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**Glossary of Terms**

ARRA	American Recovery and Reinvestment Act of 2009	ITC	Infant Toddler Credential
BOCES	Boards of Cooperative Educational Services	ITERS	Infant/Toddler Environment Rating Scale
CACFP	Child and Adult Care Food Program	KRT	Kindergarten Readiness Tool
CBK	Core Body of Knowledge	LEA	Local Education Agency
CBO	Community Based Organizations	LECEA	Legally Exempt Caregiver Enrollment Agencies
CCBG	Child Care Block Grant	MOU	Memorandum of Understanding
CCDF	Child Care and Development Fund	NACCRRRA	National Association of Child Care Resource and Referral Agencies
CCF	New York State Council on Children and Families	NAEYC	National Association for the Education of Young Children
CCFS	OCFS' Child Care Facility System	NAFCC	National Association of Family Child Care
CCR&R	Child Care Resource and Referral Agencies	NBPTS	National Board for Professional Teaching Standards
CDA	Child Development Associate	NFP	Nurse Family Partnerships
CHI2	Child Health Information Integration	NYC	New York City
CHPlus	Child Health Plus	NYCACS	New York City Administration for Children's Services
CHW	Community Health Worker	NYCDOE	New York City Department of Education
CLASS	Classroom Assessment Scoring System	NYSAEYC	New York State Association for the Education of Young Children
CPAC	Children's Program Administrator Credential	NYSPEP	New York State Parenting Education Partnership
CSEA	Civil Service Employees Association	NYSSIS	New York State Student Identification System
CUNY	City University of New York	OCFS	New York State Office of Children and Family Services
DOH	New York State Department of Health	OMH	New York State Office of Mental Health
EAP	Education Assistance Program	OTDA	NYS Office of Temporary and Disability Assistance
ECAC	New York's Early Childhood Advisory Council	PDI	NYC Early Childhood Professional Development Institute at CUNY
ECCS	Early Childhood Comprehensive systems	PLA	Persistently Lowest Achieving
ECERS-R	Early Childhood Environment Rating Scale	PreKIDS	Prekindergarten Integrated Data System
EI	Early Intervention	QARR	Quality Assurance Reporting Requirements
EICC	Early Intervention Coordinating Council	QIP	Quality Improvement Plan
EIP	Education Incentive Program	QSNY	QUALITYstarsNY
ELA	English Language Arts	RECAP	Rochester Early Childhood Assessment Partnership
ELD	Early Learning and Development	RFP	Request for Proposals
ELDP	Early Learning and Development Programs	RTTT	Race to the Top
ELLS	English language learners	RTTT-ELC	Race to the Top Early Learning Challenge
ERS	Environment Rating Scales	SED	State Education Department
FCCC	Family Child Care Credential	SSEGA	Supports for Social-Emotional Growth Assessment
FCCERS	Family Child Care Environment Rating Scale	SUNY	State University of New York
FERPA	Family Educational Rights and Privacy Act	T&TA	Training and Technical Assistance
HFNY	Healthy Families New York	TANF	Temporary Assistance for Needy Families
HIPAA	Health Insurance Portability and Accountability Act	TCDD	Teacher Career Development Continuum
HSPS	Head Start Performance Standards	TITLE V	Title V Maternal and Child Health Services Block Grant program
IEP	Individualized Education Plans	UFT	United Federation of Teachers
IFSP	Individualized Family Service Plans	UPK	Universal Prekindergarten
InTASC	Interstate Teacher Assessment Support Consortium		

**(A)(1) Demonstrating past commitment to early learning and development. (20 points)**

The extent to which the State has demonstrated past commitment to and investment in high-quality, accessible Early Learning and Development Programs and services for Children with High Needs, as evidenced by the State's—

(a) Financial investment, from January 2007 to the present, in Early Learning and Development Programs, including the amount of these investments in relation to the size of the State's population of Children with High Needs during this time period,

(b) Increasing, from January 2007 to the present, the number of Children with High Needs participating in Early Learning and Development Programs,

(c) Existing early learning and development legislation, policies, or practices; and

(d) Current status in key areas that form the building blocks for a high quality early learning and development system, including Early Learning and Development Standards, Comprehensive Assessment Systems, health promotion practices, family engagement strategies, the development of Early Childhood Educators, Kindergarten Entry Assessments, and effective data practices

*In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

**Evidence for (A)(1):**

- The completed background data tables providing the State's baseline data for--
  - The number and percentage of children from Low-Income families in the State, by age (see Table (A)(1)-1);
  - The number and percentage of Children with High Needs from special populations in the State (see Table (A)(1)-2);
  - and
  - The number of Children with High Needs in the State who are enrolled in Early Learning and Development Programs, by age (see Table (A)(1)-3)
- Data currently available, if any, on the status of children at kindergarten entry (across Essential Domains of School Readiness, if

- available), including data on the readiness gap between Children with High Needs and their peers.
- Data currently available, if any, on program quality across different types of Early Learning and Development Programs.
  - The completed table that shows the number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years (2007-2011) (see Table (A)(1)-4).
  - The completed table that shows the number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years (2007-2011) (see Table (A)(1)-5).
  - The completed table that describes the current status of the State's Early Learning and Development Standards for each of the Essential Domains of School Readiness, by age group of infants, toddlers, and preschoolers (see Table (A)(1)-6).
  - The completed table that describes the elements of a Comprehensive Assessment System currently required within the State by different types of Early Learning and Development Programs or systems (see Table (A)(1)-7).
  - The completed table that describes the elements of high-quality health promotion practices currently required within the State by different types of Early Learning and Development Programs or systems (see Table (A)(1)-8).
  - The completed table that describes the elements of a high-quality family engagement strategy currently required within the State by different types of Early Learning and Development Programs or systems (see Table (A)(1)-9).
  - The completed table that describes all early learning and development workforce credentials currently available in the State, including whether credentials are aligned with a State Workforce Knowledge and Competency Framework and the number and percentage of Early Childhood Educators who have each type of credential (see Table (A)(1)-10).
  - The completed table that describes the current status of postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators (see Table (A)(1)-11).
  - The completed table that describes the current status of the State's Kindergarten Entry Assessment (see Table (A)(1)-12).
  - The completed table that describes all early learning and development data systems currently used in the State (see Table (A)(1)-13).

## Executive Summary

New York has a sustained and robust record of investing and supporting early childhood learning and development programs. Through our large and long-standing Universal Prekindergarten (UPK) program, a child care system with strong licensure requirements, and leading-edge health initiatives, New York boasts an early childhood system with broad and positive impact on our youngest residents, their families, and communities.

Our early childhood programs stand out in many ways from those in other states. New York's UPK program is a cross-system program, which requires 10 percent of funding allocated to school districts to be set aside for collaborative efforts with eligible agencies, including child care centers, Head Start programs, private nursery schools, and preschool special education providers (see §3602-e(5)(e) of the Education Law in Appendix SR\_1 and Commissioner's Regulation 8NYCRR§151-1.4 in Appendix SR\_9). New York's child care system is set apart by licensure requirements that include rigorous standards for health and safety, ongoing provider professional development, and developmentally appropriate activities that set a much higher baseline for minimum quality of care than exists in many other states.<sup>1</sup> Our investments and commitment to health services is difficult to match, with New York leading the way with Child Health Plus (CHPlus), implementing the nation's largest Early Intervention program (EI), and providing comprehensive home visiting services through multiple programs.

**(a) Financial investment, from January 2007 to the present, in Early Learning and Development Programs, including the amount of these investments in relation to the size of the State's population of Children with High Needs during this time period;**

Over the past 5 years, New York has spent: \$12.75 billion on Early Learning and Development Programs (ELDPs) (see Table (A)(1)-4). Our current spending of \$2.5 billion represents a 24 percent increase from our 2007 spending level of \$1.94 billion. New York has maintained and increased spending on ELDPs even as many other programs in the State faced budget cuts due to the 2008 economic recession. Key highlights of New York's investment in ELDPs include:

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<sup>1</sup> New York's comprehensive licensing requirements have been noted by national experts and are described throughout, including for example: NACCRA bi-annulal rating of state child care center licensure standards and oversight.

- **Universal Prekindergarten:** New York's UPK program, enacted in 1997 (see §3602-e of the Education Law in Appendix\_SR\_1), supports high-quality prekindergarten programs for 4-year olds, delivered by school districts and Community-Based Organizations (CBOs). New York has maintained its financial commitment to UPK from 2007-2011. In 2010 \$384.3 million in State funds supported UPK, up from \$289.4 million in the 2006-2007 fiscal year. UPK was significantly expanded in the 2007-2008 school year, from a program that primarily served high needs school districts to a program available to districts statewide (currently in 440 school districts). Even during this statewide expansion, the formula determining local school districts' allocations is designed to provide additional incentives to our State's high needs school districts to provide more opportunity for their students to be served in these programs (see §3602-e(10) of the Education Law in Appendix\_SR\_1). As a result, State-funded UPK programs are weighted toward our high needs school districts. A small-scale State-funded Targeted Prekindergarten Program, which exclusively serves three of the State's high-need communities, continues to operate independently of UPK, and has been funded steadily at \$1.3 million since 2009.
- **Preschool Special Education:** The State Education Department (SED) oversees the State's preschool special education program to provide individual or group instructional services and/or programs to eligible children who have a disability that adversely affects their ability to learn (see §4410 of the Education Law in Appendix SR\_2). From 2007 to 2011, funding for these programs has increased from \$648 million to \$869 million.
- **Child Care:** The New York State Office of Children and Family Services (OCFS) oversees New York's comprehensive child care system, which in federal fiscal year 2010 administered subsidies for over 216,500 children with Child Care and Development Funds (CCDF), Temporary Assistance for Needy Families (TANF), American Recovery and Reinvestment Act of 2009 (ARRA) funds, and State funds, an increase of over 2,000 since 2007. Since 2007, total State contributions have increased from \$140.1 million in 2006-2007 to over \$144.3 million in the 2011-2012 State Budget. TANF spending during the same period has also increased from \$365.3 million in 2006-2007 to over \$396 million in 2011-2012.

- **Early Intervention:** New York's EI program is the largest in the nation. State funding for EI, which includes a combination of state budget appropriations and the state share of Medicaid reimbursement for EI services, has decreased from \$264.3 million in 2006-2007 to \$236.8 million in 2011-2012, likely reflecting incomplete claiming by municipalities for payment of state share for services provided. (see Title 2-A of the Public Health Law in Appendix SR\_3) Total annual funding, which includes federal share of Medicaid expenditures, payment from other third party insurers, and a substantial local share, is approximately \$700 million. Based on the required federal annual count of children receiving EI services on October 1 of each year, New York has increased the number of children served by EI from 29,765 in 2007 to 30,982 in 2010. When considering all children who received EI services at any time from 2006-2010, an average of 73,000 children and their families received EI services annually.
- **Home Visiting:** New York currently supports multiple home visiting programs, including Healthy Families New York (HFNY), Nurse Family Partnership (NFP), the Community Health Worker (CHW) Program and the Healthy Mom-Healthy Baby systems-building initiative. The State invested \$29.8 million in combined State funding for these programs in 2011 and has secured new funding through the federal Maternal, Infant & Early Childhood Home Visiting (MIECHV) program.
- **Race to the Top (RTTT) – Early Learning Priority:** As part of its successful 2010 Race to the Top (2010 RTTT) application, SED is using \$4 million of its funding to support the expansion of QUALITYstarsNY (QSNY), New York's tiered Quality Rating and Improvement System, which is clearly organized into five tiers (Stars 1 to 5, with 5 being the highest Star rating), in the neighborhoods of the State's 67 Persistently Lowest Achieving (PLA) schools. New York's successful 2010 RTTT application also included \$4.7 million to create linkages to the P-20 Longitudinal Data System, including linkages with early learning data systems.



New York's significant investment in ELDPs enables us to serve a high percentage of the State's Children with High Needs, who make up nearly 50 percent of children ages 0-5 in ELDPs (see Tables (A)(1)-1 and (A)(1)-5)). Highlights of our investment include:

- New York provides child care subsidies for 75 percent of those eligible for them.<sup>2</sup>
- 8.3 percent of New York's children from birth-5 are in EI.
- 59 percent of all 4 year olds in New York participate in UPK, Head Start or preschool special education (while we are unable to quantify the exact percentage of Children with High Needs participating in high-quality prekindergarten, we know that it is higher than this because Head Start and preschool special education explicitly serve Children with High Needs and because New York's UPK system statewide was developed from an initial focus on high-need communities.)

**(b) Increasing, from January 2007 to the present, the number of Children with High Needs participating in Early Learning and Development Programs;**

New York's sustained, in some cases increasing, investment in ELDPs has enabled the State to serve nearly 50,000 additional children, even as the State faced difficult budgetary conditions. The following programs expanded the numbers of children served during this period (see Tables (A)(1)-3 and (A)(1)-5):

- **Universal Prekindergarten:** From the 2007-2008 to the 2010-2011 school year, the number of Children with High Needs served by UPK programs increased more than 10 percent, from 76,400 to 84,551 children. This increase continues a trend of increasing UPK enrollment since the program was enacted in 1997, with a particularly significant expansion in 2007.

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<sup>2</sup> *Early Care and Learning in New York State: Key Data on Child Care Supply, Demand, Affordability, and Quality*. New York State Office of Children and Family Services, Commissioner Gladys Carrion. Albany, NY. November 2009.

- **Preschool Special Education:** Enrollment in preschool special education programs steadily increased from 2007 through 2011, with a total enrollment increasing from 86,964 to 96,275 during the entire time period.
- **Child Care:** The average monthly number of children served through programs receiving CCDF funds (all of whom are, by definition, Children with High-Needs) has shown steady and sustained growth every year since 2007 through 2011. During that time frame, the average number of children served monthly rose from approximately 120,000 to 129,000.
- **Home Visiting:** The numbers of women, children, and families served by NFP, CHW Program, and HFNY has increased steadily over the past 5 years. Collectively, these programs serve over 10,000 young children annually, and that number is projected to grow with the infusion of new federal MIECHV funds for NFP and HFNY.
- **Early Intervention:** New York's EI enrollment has remained steady serving around mid-30,000 children since 2007 through 2010 (the last year for which there is available data).
- **Head Start and Early Head Start:** New York increased enrollment in Head Start and Early Head Start by 14 percent from 2007 to 2011. In 2007, over 57,000 of New York's children were served by Head Start and Early Head Start programs, and in 2011, nearly 65,000 children are in programs.<sup>3</sup>

**(c) Existing early learning and development legislation, policies, or practices; and**

New York's commitment to early learning and development is also reflected in our implementation of statute, policies and practices that have set high standards for ELDPs, expanded access to early learning opportunities, and strengthened coordination and

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<sup>3</sup> Region II Office of Head Start, Program Information Reports September 2006-August 2007 and September 2010-August 2011

integration across various early childhood programs and funding streams. These policies and practices position New York to maximize the impacts of a Race to the Top-Early Learning Challenge (RTTT-ELC) grant to drive rapid progress in early childhood system-building to improve quality and school readiness in our State. Key elements of our statutory and policy framework supporting quality ELDPs include:

**High-Quality Early Learning as a Critical Foundation for Education Reform**

New York’s support for ELDPs springs from a deep recognition among the State’s policymakers that high-quality ELDPs that ensure children enter school prepared to succeed are a critical foundation for improving educational achievement and narrowing achievement gaps to ensure that all our State’s students are prepared to succeed in college and careers. This perspective is reflected in the Board of Regents’ 2005 early childhood policy statement, “Early Education for Students in a Global Community.” (See Appendix A\_1\_1) This statement emphasizes the need for an integrated system to support the healthy development and learning of children from birth through Grade 3. The importance of integration across multiple programs and services to support children’s comprehensive development is not new to New York, and has been a keystone of the Board of Regents’ policies for more than six years. The policy explicitly states that:

*Early childhood education, for all children ages birth through grade 3, is an integrated system designed to ensure that each child receives a healthy start and attains the skills and concepts to have a successful academic experience in developmentally-appropriate programs. Components of the system include standards-based programs that start early, instruction by highly qualified persons, and an environment that coordinates comprehensive services and provides information and support to families.*

The State’s and the Board of Regents’ deep commitment to early learning and development as part of a broader education reform agenda is also evident in New York’s successful 2010 RTTT application. New York addressed the Early Learning Invitational Priority in its successful application (see Appendix A\_1\_2) which committed resources to improve early learning and strengthen alignment between ELDPs and the first years of elementary school. Specifically, SED is using \$4 million of its 2010 RTTT grant award to

support the expansion of QSNY in the neighborhoods of the State's 67 PLA schools. In addition to that significant commitment in its 2010 RTTT application, SED also proposed to:

- Address school readiness and transitions between preschool and kindergarten by building on current initiatives and policies;
- Establish world class, internationally benchmarked early learning standards, aligned with the Common Core English Language Arts (ELA) and Math Standards, for prekindergarten and kindergarten to improve school readiness;
- Develop a comprehensive assessment protocol and data system for prekindergarten – Grade 3;
- Develop an early childhood professional development and technical initiative; and
- Develop a tool for parents' use in identifying high-quality prekindergarten settings.

An RTTT-ELC grant will enable New York to build upon and leverage this work that has already begun under SED's current 2010 RTTT grant.

### **Expanding Access to High-Quality Early Learning and Development Programs**

New York has a long-standing commitment to expanding access to high-quality prekindergarten. In 1997, New York became only the third state in the nation to commit to the goal of providing high-quality prekindergarten to all 4-year olds (see §3602-e of the Education Law in Appendix SR\_1). New York has made significant progress towards the realization of this goal by increasing the number of children attending State-funded prekindergarten, beginning with high-needs communities and expanding to all school districts in the State in 2007. That year, New York significantly increased investment in UPK, by more than \$146 million. Today, some 45 percent of all 4-year olds in New York, including more than 85,000 Children with High-Needs, participate in UPK programs. New York serves more children in prekindergarten than any state except Florida, Texas, and California, and ranks 8<sup>th</sup> among the states in the percentage of children accessing state prekindergarten.

Although funding for UPK flows through school districts, districts are required to set aside at least 10 percent of UPK funds for collaborative efforts with eligible agencies, including child care centers, Head Start programs, private nursery schools, and preschool

special education providers, ensuring that children are served in diverse settings and making New York’s UPK program an exemplar of the State’s integrated, cross-sector approach to serving young children (see §3602-e(5)(e) of the Education Law in Appendix SR\_1 and Commissioner’s Regulation 8NYCRR§151-1.4 in Appendix SR\_9).

New York City’s Administration for Children’s Services (NYCACS), which administers child care subsidies for 100,000 children in New York City (NYC) and serves as a Head Start “super-grantee” for Head Start Centers serving about 19,300 children in NYC, is a leader for fuller integration of Head Start, Child Care, and UPK services in New York. NYCACS has launched the EarlyLearn NYC initiative, which builds on the 2007 interagency Memorandum of Understanding (MOU) with the New York City Department of Education (NYCDOE) and integrates multiple funding streams to provide full-day services to high needs families. Through the MOU, NYCACS was able to provide full day services to more than 16,000 Children with High Needs in the 2010-2011 school year. NYCACS’ EarlyLearn NYC initiative leverages an innovative interagency partnership with the NYCDOE to expand universal, integrated, high-quality ELDPs that:

- Utilize multiple funding streams to support programs and expand services provided to families;
- Raise program standards and expected child outcomes, ensuring programs are developmentally focused;
- Encompass important support services for all children and families;
- Increase coordination of service delivery among systems and government agencies;
- Economically integrate early care settings that both low- and middle-income families access;
- Increase infant and toddler care, especially through home-based settings, to meet needs of a greatly underserved populations; and
- Provide more full-day (8-10 hours) and full year programs for the most vulnerable children through child care, Head Start, and UPK.

NYCACS announced the release of the EarlyLearn NYC Request for Proposals (RFP) on May 23, 2011. Responses to the RFP were due in September (See Appendix A\_1\_3 for more information on the EarlyLearn NYC initiative).

### **Setting High Standards**

New York is proud of our history of setting high quality standards for child care licensure, which form a solid base from which to build the QSNY system. Many of the features that other states are now addressing in quality rating and improvement systems have long been incorporated into New York's licensure standards, which set a much higher baseline for minimum quality of care than exists in many other states. For example, our child care licensure requirements include rigorous standards for health and safety, ongoing provider professional development, requiring a provider to attend 30 hours of professional development every two years, and developmentally appropriate activities that set a much higher baseline for minimum quality. New York's child care regulators are highly trained and attend courses in developmental milestones, age-appropriate programming, and meaningful learning experiences that have been specifically developed to support the regulatory framework and enable regulators to provide on-going technical assistance to child care providers to enable them to foster a healthy learning environment and school readiness. Our licensure requirements and robust oversight place New York 6<sup>th</sup> among states nationally (including Department of Defense childcare) in the National Association of Child Care Resource and Referral Agencies' (NACCRRA) bi-annual ranking of state child care center licensure standards and oversight, and New York has ranked in the top 10 states nationally in each of three bi-annual editions of NACCRRA's state child care licensure rankings.<sup>4</sup>

To support providers in reaching higher standards of quality, and to ensure that families receiving child care subsidies have access to a diverse supply of quality providers, New York is committed to setting reimbursement rates for subsidized child care up to the 75<sup>th</sup>

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<sup>4</sup> *We Can Do Better 2011: NACCRRA's Ranking of State Child Care Center Standards and Oversight*. National Association of Child Care Resource and Referral Agencies Alexandria, Virginia, 2011.

percentile of market rates—the rates recommended by federal regulation, but met by relatively few states nationally. New York is one of only 3 states that continue to set reimbursement rates up to the 75<sup>th</sup> percentile.

OCFS is currently undertaking a major review and revision of childcare licensure and subsidy regulations to raise standards and improve quality in State-subsidized child care, including new regulatory standards designed to support and encourage continuity of care models that allow a group of infants and their primary caregiver to remain together until children reach 36 months of age. This review of regulatory standards is well-timed in that it will enable OCFS to make necessary changes in regulatory standards and requirements to fully support the work of this RTTT-ELC grant.

New York's commitment to supporting and improving quality in child care is not limited to licensed child care providers. New York has done more than perhaps any other state to support and encourage improvement in the quality of legally-exempt child care, typically care provided by friends, neighbors, and relatives to two or fewer children in their homes. Legally-exempt child care providers may enroll to provide subsidized child care only if they meet basic health and safety standards.

New York has also created incentives that encourage legally-exempt child care providers to improve the quality of the care they provide. Legally-exempt providers who successfully complete 10 hours of training annually in one or more of the nine State-defined mandated training areas (see Appendix SR\_4 and SR\_14 18 NYCRR 415.9 (j)) are eligible to receive an enhanced rate of reimbursement. There are many organizations that offer training for legally-exempt providers. A new mechanism for training is now available through the 10-Hour Legally-Exempt Provider Training curriculum, which is an introduction to basic child development and fundamental health and safety practices in legally-exempt child care settings. The curriculum is divided into six modules along with corresponding video segments and includes all of the training topics referenced in State regulations. It provides a comprehensive introduction to the basic knowledge and skills appropriate for legally-exempt providers who previously had very few options for professional development.

In addition to the incentives provided to legally exempt providers described above, OCFS has also developed professional development contracts with two unions – the Civil Service Employees Association (CSEA) in the counties outside NYC and the

United Federation of Teachers (UFT) in NYC – to provide professional development activities for legally-exempt child care providers, as well as family care and group family day care providers. Each union received \$500,000 to provide the following professional development opportunities:

- Train-the-Trainer Program to develop a training base of providers to facilitate the completion of 10 or more hours of training annually in order to receive the enhanced market rate. Legally-exempt workshop topics focus on core competencies as outlined in the Social Services Law.
- Online courses to expand availability and access to training, offered 24/7, to include child care provider business record maintenance and management modules.

These innovative strategies and investments demonstrate New York’s commitment to ensuring that adults taking care of children are offered opportunities to improve their skill set in order to provide the best care possible.

### **Building an Integrated Early Care and Education System**

In 1977, the State Legislature passed, and Governor Hugh Carey signed into law, legislation to create the New York State Council on Children and Families (CCF) (see Appendix SR\_5), an independent State entity charged with coordinating cross-agency collaboration and streamlining decision-making between the State health, education, and human services agencies. In 2003, the CCF was administratively transferred within OCFS, where it continues to operate (see Appendix SR\_6).

New York’s Early Childhood Advisory Council (ECAC) was established in May 2009 to support New York’s efforts to build a high-quality early learning and development system, and is New York’s state Advisory Council on Early Care and Education meeting the requirements described in section 642B(b) of the Head Start Act (42 U.S.C. 9837b). The ECAC grew out of the Governor’s Children’s Cabinet, and was formally established by then-Governor David Paterson in 2009 via a letter to United States Department of Health and Human Services Secretary Kathleen Sebelius on June, 2010. (See Appendix A\_1\_4).

Since 2009, the ECAC has completed the design and field test for QSNY, developed the framework for the New York Early Learning Data System, established a cost estimation model to support efforts to finance the early learning and development system,



developed New York State's *Early Learning Guidelines* and revised its Core Body of Knowledge Framework (CBK), and developed plans for establishing statewide systems of developmental screening and mental health consultation among other accomplishments. The ECAC is funded through \$5.6 million in federal ARRA funding and a \$140,000 annual grant from the BUILD Initiative.

The close alignment between the goals of the RTTT-ELC grant and the ECAC's pre-existing work makes RTTT-ELC a powerful opportunity for New York to bring these on-going efforts to the next level of development.

### **Healthy Children**

New York is a national leader in assuring that children with high-needs have access to affordable health insurance and high-quality, comprehensive primary health care services. New York created CHPlus, in 1990, nearly a decade before creation of the federal equivalent, to provide comprehensive health insurance coverage for children under age 19 who are not eligible for Medicaid and have no other health insurance coverage (See Title I-A of Article 25 of the Public Health Law in Appendix SR\_19). CHPlus provides subsidized coverage for children up to 400 percent of the federal poverty level, making New York the only state to offer subsidized public health insurance to children with family incomes up to 400 percent of the federal poverty level, and one of only 14 states that allow families with incomes above their state's eligibility levels to buy into public health insurance, assuring that all New York children are eligible for some form of health insurance. Currently, over 411,000 children are enrolled in CHPlus, including approximately 67,600 children between the ages of 0 to 5.<sup>5</sup>

New York's Medicaid program provides expanded income eligibility levels for children. Infants under age one are eligible up to 200 percent of the federal poverty level, and children ages 1 through 5 are eligible up to 133 percent of the federal poverty level. New York's Medicaid program currently provides coverage to approximately 700,000 children under age 5.

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<sup>5</sup> Henry J. Kaiser Family Health Foundation, Statehealthfacts.org, Retrieved Sept 27 2011 from <[www.statehealthfacts.org/comparecat.jsp?cat=4](http://www.statehealthfacts.org/comparecat.jsp?cat=4)>

As a result of these policies, children in New York are more likely to be insured and to receive health services than in other states. New York supported a steady increase in children's enrollment in public health insurance since 2008, and the proportion of children without health insurance declined from 9.2 percent in 2007 to 7.8 percent in 2009, compared to an uninsured rate for children of 10 percent nationally.

In addition to expanding health insurance, New York has strategically invested significant public resources to support healthy early childhood development through family home visiting programs, including the HFNY program, operated by OCFS, and the NFP, CHW Program, and the Healthy Mom/Healthy Baby Initiative, funded by DOH. DOH has also led major cross-agency efforts to prevent and mitigate the impacts of childhood lead poisoning including new investments to support intensive primary prevention strategies in targeted high-incidence communities. These investments promote young children's health to ensure that they enter school ready to succeed.

New York has a longstanding commitment to providing critical services to individuals with developmental disabilities, including services to infants and pre-school aged children. These significant services are primarily focused on providing the supports needed to enable children to remain in their homes and in their communities. New York's Office for People with Developmental Disabilities (OPWDD) administers Care At Home waivers, clinic services, and Family Support Services, as well as a variety of services provided through the Home and Community Based Services waiver, including physical therapy, occupational therapy, speech/language therapy, behavior support services, socialization skills training and the adaptive equipment needed for children to participate in the public school system.

In addition to these significant and longtime investments, New York has been particularly committed to children's mental health needs. As part of that effort, in 2008 the New York State Office of Mental Health (OMH) spearheaded the development of the Children's Mental Health Plan. (See Appendix A\_1\_5 for a summary of the Plan's development.) This Plan, developed collaboratively across multiple agencies, articulates a blueprint to move New York towards an integrated system of early intervention, collaboration with parents, and improved outcomes for our most vulnerable children.

## **Engaging Families and Communities**

New York's ELDPs have established comprehensive family engagement policies, as outlined in Table (A)(1)-9, and highlighted below:

- **Universal Prekindergarten:** SED Commissioner's regulations (8 NYCRR §100.3(a)(4); See Appendix SR\_7) require each school operating a UPK program to develop procedures to ensure active engagement of parents in the education of their children.
- **Early Intervention:** A statewide annual family survey is conducted to engage families evaluating the impact of early intervention services on their child and family. Furthermore, the Early Intervention Partners Training Project conducts training sessions to provide information, resources, and skill-building activities designed to increase parent advocacy and leadership skills. Section 2553 of the Public Health Law enacted the Early Intervention Coordinating Council (EICC), which is an advisory council appointed by the Governor to provide advice and assistance about the EI program to DOH. The EICC is comprised of 26 members, including five parents. Each county in the State also has a Local EICC made up of parents and professionals (see Appendix SR\_3 for statutory language).
- **Preschool Special Education:** A majority of the members of the SED Commissioner's Advisory Panel, established pursuant to §4403(6) of the Education Law, must be individuals with disabilities or parents of children with disabilities; the panel advises SED on the needs of students with disabilities, including preschool-aged children (see Appendix SR\_8 for statutory language).

**(d) Current status in key areas that form the building blocks for a high quality early learning and development system, including Early Learning and Development Standards, Comprehensive Assessment Systems, health promotion practices, family engagement strategies, the development of Early Childhood Educators, Kindergarten Entry Assessments, and effective data practices.**

Over the past 20 years, New York has made significant progress in putting together the key foundations for a high-quality early learning and development system. New York believes its efforts in developing key components over the past several years have been thoughtful and deliberate and have included ample time for stakeholder feedback and buy-in, as well as evaluation and validation by external experts, and will result in high-impact implementation and better results for families and children over the long-term. Having invested significant resources in developing key system components, New York is now poised, with RTTT-ELC resources, to act on the plans that the State has developed and to expand statewide those programs that have been implemented in targeted communities.

**Early Learning and Development Standards:** Through the work of the Board of Regents, New York has built a solid foundation in setting Early Learning and Development Standards. In January 2011, the Board of Regents adopted Prekindergarten Learning Standards for statewide implementation. The Prekindergarten Learning Standards are intended to improve the quality and consistency of early childhood instruction for all prekindergarten children across all settings and are aligned to fully encompass the State P-12 Common Core Learning Standards in ELA and Mathematics. To date, New York is one of only two states across the nation to create and add Prekindergarten Learning Standards to the Common Core Learning Standards before adopting them. In addition, the *Early Learning Guidelines*, developed by the ECAC, describe what children should know and be able to do as they develop from birth through kindergarten entry.

**Comprehensive Assessment Systems:** ELDPs in New York already have in place policies and practices ensuring that all children are screened, and the State's plan builds on the current practice in a variety of programs (Head Start, Early Head Start, UPK, preschool special education, and Home Visiting) of conducting and collecting early screening results for children. It is our aim that ELDPs will use developmentally appropriate assessments to inform instruction. There has also been innovation at the local level, particularly in the NYCDOE, which has piloted a public-private partnership that utilizes item response theory to align assessment measures in

NYC's three major authentic assessment systems (Work Sampling System, Child Observation Record and Creative Curriculum GOLD, all of which are supported by the National Research Council) and will align results to State standards.

**Health Promotion Practices:** New York is a leader in children and family health services and through this application will build on that status. QSNY includes standards addressing screening and health promotion practices, and our efforts through RTTT-ELC, will improve New York's already high quality early childhood health services. New York has developed a network of child care Health Care Consultants (HCCs) to support ELDPs in meeting health and safety standards, which will be expanded and strengthened through our RTTT-ELC plan.

**Family Engagement Practices:** New York has in place systems and infrastructure to support parent engagement through the New York State Parenting Education Partnership (NYSPEP). Additionally regulations and statute provide for parental engagement. For example, §4403(6) of the Education Law (see Appendix SR\_8) establishes a Commissioner's Advisory Panel, which includes individuals with disabilities and parents of children with disabilities. SED Commissioner's Regulations (see 8 NYCRR§151-1.3(h) in Appendix SR\_9) require UPK programs to develop procedures to ensure active engagement of parents. The EICC, established in §2553 of the Public Health Law (see Appendix SR\_3), advises the Commissioner of Health and requires that at least 5 members be parents.

Fostering an environment that has resulted in flourishing public/private parent engagement practices, NYSPEP was established in 2007 as an initiative among CCF, OMH, Prevent Child Abuse New York, and the New York State Children and Family Trust Fund. NYSPEP is comprised of over 400 parenting educators from across New York and awards small grants to address barriers to participation in parenting education. The core objectives of NYSPEP are to:

- Normalize parenting education so that it is not perceived as a service exclusively for at-risk families;
- Support parenting educators in developing evidence-based parenting education services; and
- Make parenting education more readily available through program expansion and the provision of web-based parent education program databases.

NYSPEP's Community Café is a parent leadership and community engagement initiative that partners with ELDPs, neighborhood centers, community-based family resource centers, schools, immigrant and refugee agencies, faith-based organizations, and health clinics, to engage parents and other participants in meaningful discussion to uncover commonalities and themes that serve as the foundation of community action.

**Development of Early Childhood Educators:** New York's CBK, created in 1997 and recently revised, describes the skills and knowledge teachers need to know in their work with young children birth through age 5. After undergoing revision this year, the CBK is now a competency-based tool that will have several applications, such as:

- Serving as a framework for higher education faculty in their teacher preparation work;
- Providing directors with a framework to evaluate classroom staff and provide the infrastructure for directors to make tailored professional development plans with their staff;
- Providing the practitioner with a career development guide with which to consider career options and pathways to professionalism; and
- Providing New York with a mechanism to use its public resources to fund intentional and appropriate professional development.

Recognizing the importance of specialized training for teachers working with children in the birth to five and early elementary years, the Board of Regents and the Commissioner of Education established an Early Childhood Education Birth - Grade 2 Certification (see Commissioner's Regulations 8NYCRR§80-3.2(e)(1) in Appendix SR\_15). Through the coursework required in registered programs leading to certification in this area, candidates focus on the unique developmental needs of young children (see, for example, 8 NYCRR§52.21(b)(3)(i) in Appendix SR\_17).

New York is also building an Early Learning Workforce Registry to track all providers in regulated settings and capture information on their education, experience, and professional development.

**Kindergarten Assessments:** New York currently does not have a statewide kindergarten readiness tool. SED Commissioner's Regulations Part 117 (see Appendix SR\_10), does require the screening of every new entrant to New York schools to determine which students are possibly gifted, have or are suspected of having a disability, and/or are possibly limited English proficient. Some school districts have experience using some type of baseline measurement at the time of kindergarten entry, as evidenced by a 2005 survey. However, these are quite varied as to the domains of children's development that are measured and the type of tool used.

**Effective Data Practices:** SED has undertaken significant efforts, through its successful 2010 RTTT application (see Appendix A\_1\_6), to develop and implement a P-20 Longitudinal Data System, a system into which UPK and preschool special education programs are already built in. In addition, SED committed resources in the 2010 RTTT application to create linkages with early learning data systems. In addition to 2010 RTTT funding, in 2010 SED was also awarded \$19.7 million by the United States Education Department toward the design and implementation of its statewide longitudinal data system. The State also already has multiple systems that collect early learning data. RTTT-ELC presents an opportunity to leverage the ongoing work at SED and integrate all these data components.

<b>Table (A)(1)-1: Children from Low-Income<sup>1</sup> families, by age</b>			
	<b>Number of children from Low-Income families in the State</b>	<b>Children from Low-Income families as a percentage of all children in the State</b>	<b>Children from Low-Income families as a percentage of all children ages birth-kindergarten entry in the State</b>
<b>Infants under age 1</b>	100,714	2.31%	6.9%
<b>Toddlers ages 1 through 2</b>	207,772	4.79%	14.2%
<b>Preschoolers ages 3 to kindergarten entry</b>	285,456	6.57%	19.6%
<b>Total number of children, birth to kindergarten entry, from low-income families</b>	593,942	13.67%	40.7%
Data Source: U.S. Census 2005-2009 American Community Survey, University of Minnesota Integrated Public Use Microdata, version 5.0.			

<sup>1</sup> Low-Income is defined as having an income of up to 200% of the Federal poverty rate.



<b>Table (A)(1)-2: Special populations of Children with High Needs</b>		
<i>The State should use these data to guide its thinking about where specific activities may be required to address special populations' unique needs. The State will describe such activities throughout its application.</i>		
<b>Special populations: Children who . . .</b>	<b>Number of children (from birth to kindergarten entry) in the State who...</b>	<b>Percentage of children (from birth to kindergarten entry) in the State who...</b>
<b>Have disabilities or developmental delays<sup>2</sup>(a)</b>	104,966	7.3%
<b>Are English learners<sup>3</sup> (b)</b>	68,800	4.6%
<b>Reside on "Indian Lands" (c)</b>	1,788	0.12% or 1.2 per 1,000 children ages 0-5
<b>Are migrant<sup>4</sup> (d)</b>	1,421	0.099% or 9.9 per 10,000 children ages 0-5
<b>Are homeless<sup>5</sup>(e)</b>	43,016	3%
<b>Are in foster care (f)</b>	7,441	0.171% or 1.71 per 1,000 children ages 0-5

<sup>2</sup> For purposes of this application, children with disabilities or developmental delays are defined as children birth through kindergarten entry who have an Individual Family Service Plan (IFSP) or an Individual Education Plan (IEP).

<sup>3</sup> For purposes of this application, children who are English learners are children birth through kindergarten entry who have home languages other than English.

<sup>4</sup> For purposes of this application, children who are migrant are children birth through kindergarten entry who meet the definition of "migratory child" in ESEA section 1309(2).

<sup>5</sup> The term "homeless children" has the meaning given the term "homeless children and youths" in section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)).

**Table (A)(1)-2: Special populations of Children with High Needs**

*The State should use these data to guide its thinking about where specific activities may be required to address special populations' unique needs. The State will describe such activities throughout its application.*

<b>Special populations: Children who . . .</b>	<b>Number of children (from birth to kindergarten entry) in the State who...</b>	<b>Percentage of children (from birth to kindergarten entry) in the State who...</b>
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Data sources:  
 (a) Data on children in Preschool Special Education with an IEP (73,984) Source: VR-13 Report from State Reporting System 2010-11(July-June). Data source on children in Early Intervention (30,982) is Kids Integrated Data System (KIDS) completed on October 1, 2010.  
 (b) U.S. Census Bureau 2005-2009 American Community Survey, University of Minnesota Integrated Public Use Microdata.  
 (c) U.S. Census Bureau 2005-2008 American Community Survey.  
 (d) New York State Migrant MIS-2000 System, 2009/2010.  
 (e) New York State Education Department McKinney-Vento, 2009/2010 school year. This is an estimate, based on the number of school age children.  
 (f) New York State Office of Children and Family Services Data Warehouse/Child Care Review System, as of 8/31/2011.

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>State-funded preschool</b></p> <p><b>Universal Prekindergarten</b> (84,511) and <b>Needs to Resource Categories</b> added to count additional 3 year olds (201). <i>Data Source and Year: Basic Education Data Source, 2010-2011.</i></p> <p><b>Targeted Prekindergarten</b> Offered by Board of Cooperative Educational Services in three communities in Syracuse and Binghamton (342). <i>Data Source and Year: BOCES reports regarding application information, 2010-2011 school year.</i></p>	N/A	N/A	85,094	85,094

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<b>Early Head Start and Head Start<sup>6</sup></b> <i>Data Source and Year: Program Information Report, September 2010 August 2011, cumulative enrollment.</i>	2,342	6,645	55,901	64,888

<sup>6</sup> Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Programs and services funded by IDEA Part C and Part B, section 619</b></p> <p><b>Early Intervention</b>  <i>Data Source and Year:</i> Kids Integrated Data System (KIDS) completed on October 1, 2010 (30,982 infant through age 2).</p> <p><b>Preschool Special Education</b>  <i>Data Source and Year:</i> VR-13 Report from SIRS July-June, 2010. (97,570 children age 4 through age 5).</p>	2,692	28,290	73,984 (a)	104,966
<p><b>Programs funded under Title I of ESEA(b)</b></p> <p><b>Even Start</b>  <i>Data Source and Year:</i> ESSTAR data base, 2010-2011 data. (c)</p>	116	322	442	880

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

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Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Programs receiving funds from the State's CCDF program</b></p> <p><i>Data Source and Year</i> OCFS, January 2011-June 2011. Monthly average number of children served.</p>	4,343	24,755	46,318	75,416
<p><b>Other: Breastfeeding Promotion</b></p> <p>Program serves infants and children, who are enrolled in NYSWIC who are being breastfed.</p> <p><i>Data Source and Year:</i> Center for Disease Control, Pediatric Nutrition Surveillance, New York, Summary of Health Indicators, 2010.</p>	108,781	25,372	N/A	134,153

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: The Child and Adult Care Food Program</b>                      CACFP is a nutrition education and meal reimbursement program helping providers serve nutritious and safely prepared meals and snacks to children and adults in day care settings. The number of low-income children, defined as households at or below 185% of the federal poverty level, participating in CACFP.</p> <p><i>Data Source and Year: CACFP participation data, 2011.</i></p>	N/A	N/A	N/A	206,259 (d)

<b>Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age</b>				
<i>Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.</i>				
<b>Type of Early Learning and Development Program</b>	<b>Number of Children with High Needs participating in each type of Early Learning and Development Program, by age</b>			
	<b>Infants under age 1</b>	<b>Toddlers ages 1 through 2</b>	<b>Preschoolers ages 3 until kindergarten entry</b>	<b>Total</b>
<b>Other: Childhood Obesity</b> <i>Data Source and Year: CACFP Reporting of Participation in Eat Well Play Hard Programs, 2010.</i>	N/A	N/A	11,346	11,346
<b>Other: Children's Health Insurance Program (CHIP)</b> <i>Data Source and Year: Child Health Plus Knowledge, Information and Data System monthly program enrollment, 2011.</i>	394	12,656	74,056	87,106 (e)



**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: Community Health Worker</b>                      CHWP enrolls women prenatally and provides services to existing children up to age 6.  <i>Data Source and Year: CHWP program data 2010.</i></p>	N/A	N/A	N/A	3,760
<p><b>Other: Healthy Families New York</b>                      HFNY enrolls pregnant women and new mothers and serves families until child is age 5.  <i>Data Source and Year: HFNY Management Information System, for the period of September 1, 2010 – August 31, 2011.</i></p>	1,490	2,264	1,020	3,851 (f)

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: Lead Poisoning Prevention</b>                      Figures represent incident (new) cases. Includes all Elevated Blood Lead Tests (<math>\geq 10</math> mcg/dl) collected in 2009 in all of New York State, including New York City.(g)</p> <p><i>Data Source and Year:</i>                      LeadWeb, 2009.</p>	978	1176	853	3007 (h)

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: Medicaid</b>                      Number of children age birth through age 5 yrs (i.e. &lt; 6 years) enrolled in Medicaid program for calendar year 2010.   <i>Data Source and Year:</i>                      NYS Department of Health Office of Health Insurance Programs Datamart, January 1, 2010 – December 31, 2010.</p>	147,724	297,412	364,122	809,258
<p><b>Other: Physically Handicapped Children (i)</b>   <i>Data Source and Year:</i>                      Physically Handicap Children Program Annual Report, 2010.</p>	4	53	56	113

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Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: Nurse Family Partnership</b>                      NFP enrolls first time mothers prenatally and retains them thru child's 2<sup>nd</sup> year.</p> <p><i>Data Source and Year:</i>                      Efforts-to-Outcomes (ETO<sup>TM</sup>),                      January 1 - June 30, 2011.</p>	1,198	1,377	N/A	2,575

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: The Special Supplemental Nutrition Program for Women, Infants and Children</b>                      WIC offers nutrition education, breastfeeding support, referrals and a variety of nutritious foods to low-income pregnant, breastfeeding or postpartum women, infants and children up to age 5.</p> <p><i>Data Source and Year:</i> Center for Disease Control Pediatric Nutrition Surveillance, New York, Summary of Health Indicators, 2010.</p>	141,458	216,292	144,349	502,099

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<p><b>Other: Early Childhood programs provided by the Office for People with Developmental Disabilities (OPWDD)</b></p> <p><i>Data Source and Year: NYS Department of Health eMedNY Data Warehouse, 2010.</i></p>	45	599	5,193	5837(j)
<p><b>Other: Services provided to Early Childhood populations by the State Office of Mental Health (OMH) (k)</b></p> <p><i>Data Source and Year: NYS Office of Mental Health, Patient Characteristic Survey, 2010.</i></p>	0	0	1,500	1,500

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<b>Other: Full-Day Kindergarten Conversion Aid</b>  <i>Data Source and Year: State total for suspense file location 11-143 for year 2010-2011.</i>	N/A	N/A	N/A	332 (1)

Notes:

- (a) Data reflects the total number of preschool students with disabilities receiving special education during 2010-11 as reported on "BEDS DAY," which is the first Wednesday of October during that school year.
- (b) While Title I funds are used by local school districts to support early learning and development programs other than Even Start, participation data is not available at the state level.
- (c) Data reflects partial participation in Even Start for 2011-2012. Final data from 2011-2012 has not been compiled as the program for this year only began on September 1, 2011. Due to the elimination of federal funding for the program, 2011-2012 Even Start funding is exclusively comprised of 2010-2011 unexpended funds.
- (d) Child and Adult Care Food Program (CACFP) does not maintain participant level data and is not able to provide data on infant, toddler, and preschooler participation. Data reflects total number of low-income children birth to kindergarten participating in CACFP.
- (e) Child Health Insurance Program enrollment data for 2011 is for September and represents only children that are under 222% of the Federal Poverty Line. An additional 48,374 children over 222% of the Federal Poverty Line were served through CHIP in September 2011 (1,941 infants under age 1; 8,044 toddlers ages 1 through 2; 14, 2102 preschoolers ages 3 until kindergarten).
- (f) Children enrolled in Healthy Families New York change ages within a year so total of 3,851 reflects an unduplicated count of children served in the program.
- (g) This Lead Poisoning Prevention Program data for children under 1 year includes children ages birth through 18 months.

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total

Participant data for children between 1-2 years represents children 18 -33 months of age. Participant data for children between 3 years and kindergarten entry represents children age 36-72 months.

(h) 2009 is the most recent year for which age specific data is available for the Lead Poisoning Prevention Program.

(i) Data reported for Physically Handicap Children Program are for children less than 5 years of age.

(j) Data for children served by OPWDD aggregated base on service date not date of payment.

(k) OMH estimates community mental health programs provide services to approximately 1,500 children annually who are under the age of 6 years and the vast majority of these children are between the ages of 3 and 5 years old.

(l) Kindergarten enrollment is used to determine districts' eligibility for Full Day Kindergarten Conversion funds. Data represent total number of full day kindergarten students that generated any Full Day Kindergarten Conversion Aid in 2010-2011.



<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>State-funded preschool Universal Prekindergarten Program (a)</b>	\$289.4M	\$348.6M	\$372.9M	\$376.8M	\$382.0M	\$384.3M
Source Documentation: SED report of State Support for Elementary and Secondary Education, September 2011. Funding Source(s): State only; Targeted age group: age 4.						
<b>Supplemental State spending on Early Head Start and Head Start</b>	\$0	\$0	\$0	\$0	\$0	\$0
<b>State contributions to IDEA Part C (Early Intervention)</b>	\$264.3M	\$248.2M	231.0M	\$218.0M	\$299.3M	\$236.8M
Source Documentation for Early Intervention: State appropriations: State Budget FY 2011; Medicaid expenditures. NYS Department of Health Office of Health Insurance Program Datamart Portal, produced October 17, 2011. Includes both state budget appropriation expenditures and state share of Medicaid expenditures, including both fee-for-service and managed care, for Early Intervention services for state fiscal year shown. Does not include federal or local Medicaid shares. Figures provided for Medicaid state share are based on claims processed through eMedNY and do not reflect any state share adjustments based on the local county Medicaid cap.						

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>State contributions for special education and related services for children with disabilities (b)</b>	\$648.4M	\$663.1M	\$703.5M	\$589.6M	\$619.9M	\$869.9M
Source Documentation: Office of the New York State Comptroller; Accounting data current as of September 2011. Funding Source(s): State only; Targeted age group: age 3 through age 5.						
<b>Total State contributions to CCDF</b>	\$207.9M	\$212.8M	\$211.0M	\$206.6M	\$202.5M	\$212.6M
<b>State match to CCDF</b> Exceeded by in all years:	\$2.11M	\$8.51M	\$9.22M	\$5.52M	\$870,000	\$11.48M
<b>TANF spending on Early Learning and Development Programs (c)</b>	\$356.6M	\$366.6M	\$489.6M	\$413.9M	\$466.0M	\$396.7M
<b>Other: Healthy Families NY Home Visiting (d)</b>	\$490,000	\$2.2M	\$11.2M	\$23.4M	\$15.4M	\$23.3M

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
CCDF, TANF and Healthy Families NY Source Documentation: The Office of the New York State Comptroller, Internal Number Report, September 2011. Funding Source(s): CCDF - State and Local Funds; TANF - Federal funds; Healthy Families NY Home Visiting - State only. Targeted Age Group: CCDF and TANF transfer to CCDF - children ages birth to age 13; Healthy Families NY Home Visiting - children ages birth to age 5.						
<b>Other: Breastfeeding Promotion</b>	\$1.6M	\$2.4M	\$1.5M	\$2.4M	\$3.0M	\$5.4M
<b>Other: Childhood Obesity</b>	\$1.2M	\$1.6M	\$490,000	\$1.3M	\$330,000	\$660,000
<b>Other: Children's Health Insurance Program (CHIP)</b>	\$105.6M	\$103.4M	\$116.8M	\$120.6M	\$138.1M	\$175.1M
<b>Other: Community Health Worker Program</b>	\$4.4M	\$4.6M	\$4.3M	\$4.3M	\$4.1M	\$4.5M
<b>Other: Lead Poisoning Prevention</b>	\$7.7M	\$6.6M	\$7.2M	\$7.3M	\$7.5M	\$14.9M
<b>Other: Physically Handicapped Children</b>	\$1.4M	\$1.7M	\$610,000	\$1.4M	\$1.3M	\$3.7M

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>Other: State contributions to Women, Infants and Children (WIC)</b>	\$30.0M	\$31.0M	\$13.6M	\$32.1M	\$37.3M	\$27.8M
Source Documentation for the above consortium of Department of Health Programs: State Budget FY 2011. Funding Source(s): State only; Targeted age groups: birth to age 5, unless otherwise indicated through footnote.						
<b>Other: Medicaid (e)</b>	\$601.6M	\$627.4	\$659.9M	\$678.8M	\$676.1M	\$674.8M
Source Documentation: NYS Department of Health Office of Health Insurance Program, Datamart Portal, produced October 17, 2011.						
<b>Other: State Spending on Medicaid Services by the Office for People with Developmental Disabilities (OPWDD) (f)</b>	\$5.3M	\$5.1M	\$5.3M	\$4.5M	\$4.3M	\$5.6M
Source Documentation: New York State Department of Health eMedNY Data Warehouse. Medicaid data extracted 09/15/2011. Data aggregated based on service date, not date of payment. Claiming for SFY 2010-11 is not yet completed. Funding Source(s): State only; Targeted age groups: birth to age 5.						

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>Other: State Spending on non-Medicaid Services for Early Childhood programs provided by the State Office of Mental Health (OMH) (g)</b>	\$1.8M	\$1.8M	\$1.8M	\$1.8M	\$1.8M	\$1.8M
Source Documentation: OMH Patient Characteristics Survey and OMH program-specific spending records. Funding Source(s): State only; Targeted age groups: birth to age 5.						
<b>State Spending on Medicaid Services for Early Childhood programs provided by the State Office of Mental Health (h)</b>	\$13M	\$13M	\$13M	\$13M	\$13M	\$13M
Source Documentation: New York State Department of Health eMedNY Data Warehouse. Funding Source(s): State only; Targeted age groups: birth to age 5.						
<b>Full-Day Kindergarten Conversion Aid (i)</b>	\$2.8M	\$1.7M	\$5.5M	\$8.5M	\$1.4M	\$4.8M

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
Source Documentation: SED report of State Support for Elementary and Secondary Education, September 2011.						
Funding Source(s): State only; Targeted age group: age 5.						
<b>Total State contributions:</b>	<b>\$2.55B</b>	<b>\$2.65B</b>	<b>\$2.86B</b>	<b>\$2.71B</b>	<b>\$2.88B</b>	<b>\$2.88B</b>
<p>(a) The Universal Prekindergarten program was reconfigured beginning in the 2007-08 school year. Data for the 2006-07 school year represents State funding for the Prekindergarten, Supplemental Prekindergarten and Targeted Prekindergarten programs. Data is reflective of School Year values.</p> <p>(b) In addition to the amounts listed as State support, in 2009-10 and 2010-11, the State used \$326.8 million of State Fiscal Stabilization Fund - Other Government Services funding to support what otherwise would have been the State share of this program.</p> <p>(c) TANF spending on Early Learning and Development Programs: includes transfers to CCDF and funding for the Healthy Families NY Home Visiting Program.</p> <p>(d) Other State Contributions Healthy Families NY Home Visiting: funding specified is State General Fund; additional funding from the TANF block grant was also used for this program.</p> <p>2011-12 spending for OPWDD programs is an estimate based on year-to-date results, and does not represent current appropriations (funding for programs is not appropriated at this level of detail).</p> <p>(e) Figures reported are the total State share of all Medicaid expenditures, including both fee-for-service and managed care, for children age 0 - &lt; 6 years for state fiscal year shown. Does not include federal or local shares. Figures provided for State share are based on claims processed through eMedNY and do not reflect any state share adjustments based on the local county Medicaid cap. Figures shown exclude Medicaid spending for OMH, OPWDD and Early Intervention services shown separately on this chart. Figures for 2011-12 are estimated based on 2010-11 figures, as complete 2011-12 data not yet available.</p> <p>(f) Includes: case management, family education and training, residential, day habilitation, environmental modifications, and adaptive technologies.</p> <p>Identified State share spending for SFYs 2008-09 through 2010-11 adjusted based on temporary FMAP enhancements enacted in ARRA; appropriation values did not assume FMAP enhancements.</p> <p>2011-12 spending for OPWDD programs is an estimate based on year-to-date results, and does not represent current appropriations (funding for programs is not appropriated at this level of detail).</p> <p>(g) The State Office of Mental Health (OMH) provides several State Aid supported youth programs that include children ages birth through age 5. This includes Family Support Services, Advocacy Support, School-Based Mental Health programs, Outreach, Crisis Intervention, Respite, Case Management Services, and the Coordinated Children's Service Initiative, as well as several programs.</p> <p>2006-07 through 2010-11 data reflective of estimates based on enrollment of birth through age 5 children, as specific expenditures for only the targeted age group cannot be determined. 2011-12 data is an estimate and does not represent current appropriations. Funding for OMH programs is not appropriated at this level of detail, however we assume funding will be</p>						

**Table (A)(1)-4: Historical data on funding for Early Learning and Development**

Type of investment	Funding for each of the Past 5 Fiscal Years					
	2007	2008	2009	2010	2011	2012
<p>relatively consistent with prior years.</p> <p>(h) Includes State Share Medicaid spending funded through OMH and DOH for clinic and inpatient services for children under age 6.</p> <p>2006-07 through 2010-11 data reflective of estimates based on enrollment of birth through age 5 children, as specific expenditures for only the targeted age group cannot be determined. 2011-12 data is an estimate and does not represent current appropriations. Funding for OMH programs is not appropriated at this level of detail, however we assume funding will be relatively consistent with prior years.</p> <p>(i) In addition to School Aid provided for Kindergarten through grade twelve, the Full-Day Kindergarten Conversion Aid provides funding to encourage school districts to convert half-day kindergarten programs into full-day programs. Data is reflective of School Year values.</p>						

**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

**Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.**

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>7</sup>				
	2007	2008	2009 <sup>8</sup>	2010 <sup>8</sup>	2011 <sup>8</sup>
<p><b>State-funded preschool</b> (annual census count; e.g., October 1 count)</p> <p><i>Specify: Universal Prekindergarten and Needs to Resource Categories</i> added to count additional 3 year olds (201 annually). (a)</p> <p><i>Specify: Targeted Prekindergarten</i> operated by district level Board of Cooperative Educational Services (342 annually). (b)</p>	76,963	81,791	81,371	85,094	N/A

<sup>7</sup> Include all Children with High Needs served with both Federal dollars and State supplemental dollars.

<sup>8</sup> Note to Reviewers: The number of children served reflects a mix of Federal, State, and local spending. Head Start, IDEA, and CCDF all received additional Federal funding under the 2009 American Recovery and Reinvestment Act, which may be reflected in increased numbers of children served in 2009-2011.



**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

**Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.**

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>7</sup>				
	2007	2008	2009 <sup>8</sup>	2010 <sup>8</sup>	2011 <sup>8</sup>
<b>Early Head Start and Head Start<sup>9</sup> (c)</b> <i>(funded enrollment)</i>	48,699	48,497	48,334	54,571	64,888
<b>Programs and services funded by IDEA Part C (d) and Part B, section 619 (e)</b>	116,729	120,357	126,142	128,552 (f)	N/A
<b>Programs funded under Title I of ESEA (g)</b> <b>Even Start (h)</b>	1,501	1,078	1,045	880	195
<b>Programs receiving CCDF funds (i)</b> <i>(average monthly served)</i> 2011 includes data from January-June only.	54,606	56,606	58,106	65,164	75,416
<b>Other: Breastfeeding Promotion (j)</b>	131,933	141,880	139,735	134,153	N/A

<sup>9</sup>Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

**Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.**

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>7</sup>				
	2007	2008	2009 <sup>8</sup>	2010 <sup>8</sup>	2011 <sup>8</sup>
<b>Other: The Child and Adult Care Food Program (k)</b>	167,963	174,949	86,988	196,789	206,259
<b>Other: Childhood Obesity (l)</b>	1,820	6,865	8,111	11,346	N/A
<b>Other: Children's Health Insurance Program (CHIP) (m)</b>	99,414	90,568	89,050	87,592	87,106
<b>Other: Community Health Worker (n)</b>	4,766	3,964	3,540	3,760	N/A
<b>Other: Healthy Families New York (o)</b>	4,680	5,195	5,548	5,424	4,206
<b>Other: Lead Poisoning Prevention (p)</b>	3855	3292	3007	3166	N/A
<b>Other: Medicaid (q)</b> Number of children age birth through 5 years (i.e. < 6 years) enrolled in Medicaid program.	745,948	757,135	784,640	809,258	730,139 (r)
<b>Other: Nurse Family Partnership (s)</b>	979	1,833	2,745	3,192	2,575 (t)

**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

**Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.**

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>7</sup>				
	2007	2008	2009 <sup>8</sup>	2010 <sup>8</sup>	2011 <sup>8</sup>
<b>Other: Physically Handicapped Children (u)</b>	301	237	186	113	N/A
<b>Other: The Special Supplemental Nutrition Program for Women, Infants and Children (v)</b>	469,617	492,610	571,792	502,099	N/A
<b>Other: Medicaid Services provided to Early Childhood populations by the Office for People with Developmental Disabilities (w)</b>	5252	5410	5719	5837	5476
<b>Other: Services provided to Early Childhood populations by the State Office of Mental Health (OMH) (x)</b>	1,500	1,500	1,500	1,500	1,500
<b>Full-Day Kindergarten Conversion (y)</b>	1,239	523	1,486	2,884	332

Data Sources and Notes:

(a) Universal Prekindergarten is Basic Education Data (84,511) plus Needs to Resource Categories added to count additional 3

**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

**Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.**

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>7</sup>				
	2007	2008	2009 <sup>8</sup>	2010 <sup>8</sup>	2011 <sup>8</sup>
<p>year olds (201 3yrs old annually).</p> <p>(b) Targeted Prekindergarten operated by district level Board of Cooperative Educational Services in three communities in Syracuse and Binghamton (342 annually).</p> <p>(c) Program Information Report; Annual enrollment September-August.</p> <p>(d) Early Intervention is Kids Integrated Data System (KIDS) completed each year on October 1<sup>st</sup>.</p> <p>(e) Preschool Special Education is 2006-07- PD 1/4 District reported; 2007-2010- VR-13 Report from SIRS (July-June); 97,570 children (4-5 yr. olds). Data reflects the number of preschool students with disabilities who were reported to NYS Education Department as having received special education by the end of the school year, which for 2010-2011 is June 30, 2011. The federal Office of Special Education Programs does not require this data.</p> <p>(f) The data for (A)(1)-5 is greater than that for Table (A)(1)-3 because it includes additional data for preschool students with disabilities (reported between October 6, 2010 and June 30, 2011).</p> <p>(g) While Title I funds are used by local school districts to support ELDP other than Even Start, participation data is not available at the state level.</p> <p>(h) Even Start; ESSTAR data base. Data reflects partial participation for 2011-2012. Final data from 2011-2012 has not been compiled as the program for this year only began on September 1, 2011.</p> <p>(i) OCFS monthly average number of children served. Data for 2011 reflects participant served from January to June only.</p> <p>(j) Pediatric Nutrition Surveillance, New York, Summary of Health Indicators. Program serves infants and children, who are enrolled in NYSWIC who are being breastfed.</p> <p>(k) This reflects the number of low-income children, age birth to kindergarten, enrolled in CACFP child care facilities during March of each year. Children are defined as low-income if they live in a household at or below 185% of the federal poverty level. March claiming data for CACFP.</p> <p>(l) CACFP Reporting of Participation in Eat Well Play Hard Programs.</p> <p>(m) Child Health Plus Knowledge, Information and Data System monthly program enrollment. Enrollment for 2011 is for September.</p> <p>(n) Community Health Worker Program data.</p>					

**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

**Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.**

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>7</sup>				
	2007	2008	2009 <sup>8</sup>	2010 <sup>8</sup>	2011 <sup>8</sup>

- (o) Healthy Families New York Home Visiting Management Information System. Data reflects children served within a full calendar year and therefore do not match data for Healthy Families NY in table A1-3, which reflects most recent data available. Data for 2011 reflect participants served from January to June 2011 only.
- (p) LeadWeb 2007-2010. Figures represent incident (new) cases of children less than age 6. Includes all Elevated Blood Lead Tests ( $\geq 10$  mcg/dl) collected in 2007-2010 in New York State, including New York City.
- (q) NYS Department of Health Office of Health Insurance Programs Datamart, January 1, 2010 – December 31, 2010.
- (r) Age is calculated as of December of the respective calendar year for 2007, 2008, 2009 and 2010. Age is calculated as of June 2011 for 2011. The reported number of children enrolled for 2011 is lower than 2010 because 2011 data are not yet complete (year in progress).
- (s) Efforts-to-Outcomes (ETO<sup>TM</sup>) reporting system.
- (t) Nurse Family Partnership 2011 figures are for first two quarters (January 1 - June 30).
- (u) Program Annual Reports 2006 through 2010.
- (v) Center for Disease Control, Pediatric Nutrition Surveillance System.
- (w) NYS Department of Health eMedNY Data Warehouse. Data aggregated based on service date, not date of payment.
- (x) NYS Office of Mental Health, Patient Characteristic Survey. OMH estimates community mental health programs provide services to approximately 1,500 children annually who are under the age 6 and the vast majority of these children are between ages 3 and age 5.
- (y) State total for suspense file location 11-143 for each year. Kindergarten enrollment is used to determine districts' eligibility for Full Day Kindergarten Conversion funds. Data represent total number of full day kindergarten students that generated any Full Day Kindergarten Conversion Aid in each year.

**Table (A)(1)-6 : Current status of the State’s Early Learning and Development Standards**

*Please place an “X” in the boxes to indicate where the State’s Early Learning and Development Standards address the different age groups by Essential Domain of School Readiness*

Essential Domains of School Readiness	Age Groups		
	Infants	Toddlers	Preschoolers
Language and literacy development	X	X	X
Cognition and general knowledge (including early math and early scientific development)	X	X	X
Approaches toward learning	X	X	X
Physical well-being and motor development	X	X	X
Social and emotional development	X	X	X

**Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State**

*Please place an “X” in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.*

Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
State-funded preschool: Universal Prekindergarten and Targeted Prekindergarten	X	X			X (a)
Early Head Start and Head Start <sup>10</sup>	X	X		X	
Programs funded under IDEA Part C	X	X			X (b)
Programs funded under IDEA Part B, section 619	X	X			
Programs funded under Title I of ESEA (c)	N/A	N/A	N/A	N/A	N/A

<sup>10</sup> Including Migrant and Tribal Head Start located in the State.

**Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State**

*Please place an “X” in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.*

Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
Programs receiving CCDF funds			X	X	
QUALITYstarsNY (d)	X	X	X (e)	X (f)	
State licensing requirements (g)			X	X	
Other: The Child and Adult Care Food Program (h)	N/A	N/A	N/A	N/A	N/A
Other: Community Health Worker (i)	X		X	X	
Other: Healthy Families New York	X	X	X	X	X
Other: Nurse Family Partnership	X		X	X	



**Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State**

*Please place an "X" in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.*

Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
<b>Other: The Special Supplemental Nutrition Program for Women, Infants and Children</b>	X (j)				

**Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State**

*Please place an “X” in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.*

Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other

- (a) Universal Prekindergarten uses outcome indicators.
- (b) Early Intervention programs also include child and family outcomes and family centered services.
- (c) Title I funds are distributed to other early learning and development programs. Programmatic information specific to Title I is not available.
- (d) Each element of a comprehensive assessment system is included in QUALITYstarsNY, with an increasing number of points earned following a sequential progression. For example, programs receive higher points for using valid, research-based screening and assessment instruments; for achieving higher overall scores on the appropriate Environment Rating Scale (ERS) conducted by an independent observer; and for writing Quality Improvement Plans to address subscale scores at incrementally higher levels. A point system awards points for meeting each criterion; where applicable, criteria that are related to a QSNY tier are specified.
- (e) All tiers of QSNY require measures of environmental quality using the applicable ERS. At Stars 1 and 2, the ERS is a self-assessment; at Stars 3-5, the ERS assessment is conducted by a reliable independent assessor.
- (f) The top tiers of QSNY (Star 4 and Star 5) require assessment using the Classroom Assessment Scoring System (CLASS).
- (g) State licensing requirements apply to all child care programs in NYS (with the exception of child care centers in NYC), whether or not they received CCDF funds. For copies of the regulations see Appendix SR\_11 (Group Family Day Care Regulations), SR\_12 (Family Day Care Regulations), SR\_13 (Day Care Center Regulations), SR\_21 (Small Day Care Center Regulations), and SR\_24 (School-Age Child Care Regulations).
- (h) CACFP program procedures do not include any elements of a Comprehensive Assessment System.
- (i) Community Health Worker program uses Ages and Stages Questionnaire that includes a Home Safety Check List, Lead Assessments, child safety and incorporates parent involvement with child and promotes play activities that enhance child development.
- (j) WIC assessments include Immunization Status and Hematology Testing for Anemia.

<b>Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
<b>Types of Programs or Systems</b>	<b>Elements of high-quality health promotion practices</b>				
	<b>Health and safety requirements</b>	<b>Developmental, behavioral, and sensory screening, referral, and follow-up</b>	<b>Health promotion, including physical activity and healthy eating habits</b>	<b>Health literacy</b>	<b>Other – Promote Access to Health Insurance</b>
<b>State-funded preschool (a) Prekindergarten and Targeted Prekindergarten</b>	X	X	X		
<b>Early Head Start and Head Start</b>	X	X	X	X	X
<b>Programs funded under IDEA Part C</b>	X	X			X
<b>Programs funded under IDEA Part B, section 619</b>	X	X			X

<b>Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
<b>Types of Programs or Systems</b>	<b>Elements of high-quality health promotion practices</b>				
	<b>Health and safety requirements</b>	<b>Developmental, behavioral, and sensory screening, referral, and follow-up</b>	<b>Health promotion, including physical activity and healthy eating habits</b>	<b>Health literacy</b>	<b>Other – Promote Access to Health Insurance</b>
<b>Programs funded under Title I of ESEA (b)</b>	N/A	N/A	N/A	N/A	N/A
<b>Programs receiving CCDF funds</b>	X		X		
<b>QUALITYstars NY(c)</b>	X	X	X		X
<b>State licensing requirements (d)</b>	X		X		
<b>Other: The Child and Adult Care Food Program</b>	X		X		

<b>Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
<b>Types of Programs or Systems</b>	<b>Elements of high-quality health promotion practices</b>				
	<b>Health and safety requirements</b>	<b>Developmental, behavioral, and sensory screening, referral, and follow-up</b>	<b>Health promotion, including physical activity and healthy eating habits</b>	<b>Health literacy</b>	<b>Other – Promote Access to Health Insurance</b>
<b>Other: Community Health Worker</b>	X	X	X	X	X
<b>Other: Healthy Families New York</b>	X	X	X	X	X
<b>Other: Nurse Family Partnership</b>	X	X	X	X	X
<b>Other: The Special Supplemental Nutrition Program for Women, Infants and Children</b>			X		X

<b>Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
<b>Types of Programs or Systems</b>	<b>Elements of high-quality health promotion practices</b>				
	<b>Health and safety requirements</b>	<b>Developmental, behavioral, and sensory screening, referral, and follow-up</b>	<b>Health promotion, including physical activity and healthy eating habits</b>	<b>Health literacy</b>	<b>Other – Promote Access to Health Insurance</b>
<p>(a) Prekindergarten programs follow health and safety standards defined in state regulation (see Appendix SR_9) as well as in the Prekindergarten Standards (See Appendix C_1_3).</p> <p>(b) Title I funds are distributed to other early learning and development programs. Programmatic information specific to Title I is not available.</p> <p>(c) Elements of high-quality health promotion practices are included in QUALITYstarsNY. Specific standards in each of the four categories (Learning Environment, Family Engagement, Qualifications and Experience, Management and Leadership) target research-based practices proven to impact child health and wellness. For example, programs and providers are recognized and rewarded for participating in the Child and Adult Care Food Program; implementing an obesity prevention curriculum; limiting screen time; providing parents with state-sponsored children’s health insurance program eligibility and enrollment information. A point system awards points for meeting each criterion; where applicable, criteria that are related to a QSNY tier are specified.</p> <p>(d) State licensing requirements apply to all child care programs in NYS (with the exception of child care centers in NYC), whether or not they received CCDF funds. For copies of the regulations see Appendix SR_11 (Group Family Day Care Regulations), SR_12 (Family Day Care Regulations), SR_13 (Day Care Center Regulations), SR_21 (Small Day Care Center Regulations), and SR_24 (School-Age Child Care Regulations).</p>					

**Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State**

*Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.*

<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
<b>State-funded preschool Universal Prekindergarten</b>	Parental Involvement: Each School operating a prekindergarten program shall develop procedures to ensure active engagement of parents and/or guardians in the education of their children.
<b>Early Head Start and Head Start</b>	<p><b>Effective parent, family and community engagement is:</b></p> <ul style="list-style-type: none"> <li>• <b>Responsive</b> to the cultures, goals and circumstances of individual parents and provides a <b>comprehensive</b> range of pathways for family support, involvement and leadership;</li> <li>• Based on <b>shared responsibility</b> where programs commit to joining families in respectful and empowering ways and families commit to actively supporting their children’s learning;</li> <li>• <b>Outcomes-based and data driven</b> thereby enabling parents, teachers, program directors, family service providers and community partners to find new solutions to new challenges; and</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>A systemic program-wide initiative</b> that is embedded in the work of all staff members, management systems, and leadership priorities.</li> </ul> <p><b>Parent and Family engagement Framework (2011)</b></p> <ol style="list-style-type: none"> <li>1. <b>Family well-being:</b> Families participate in services that ensure safety, health and financial stability offered in the context of the family’s values, culture and aspirations.</li> <li>2. <b>Positive parent-child relationships:</b> Parents participate in ongoing support, education and skills development opportunities that promote warm, healthy parent-child relationships.</li> <li>3. <b>Parents as first and lifelong educators:</b> Parents have opportunities to observe, guide and promote the learning of their children at home, school and in their community.</li> <li>4. <b>Parent connections to peers and community:</b> Parents have opportunities to form connections with peers or mentors in supportive, educational or faith-based networks that enhance social well-being and community life.</li> <li>5. <b>Parent leadership and advocacy:</b> Parents have opportunities to participate in leadership development, decision-making, program policy development, and in community and state organizing activities to improve children’s development and learning experiences.</li> <li>6. <b>Intentional transitions:</b> Parents have the necessary tools to improve their children’s learning outcomes as they transition to new learning environments, including EHS to HS, and HS to public schools.</li> <li>7. <b>Families as Advocates and Leaders:</b> parents and families participate in leadership development, decision-making, program policy development, and in community and state organizing activities to improve children’s development and learning experiences.</li> </ol>
<b>Programs funded under</b>	<ul style="list-style-type: none"> <li>• The Early Intervention Partners Training Project is for New</li> </ul>



<p><b>IDEA Part C</b></p>	<p>York State parents of young children with disabilities to help them become more actively involved in Early Intervention Program leadership activities. The training sessions provide information, resources, and skill-building activities designed to increase parent advocacy and leadership skills.</p> <ul style="list-style-type: none"> <li>• The Early Intervention Coordinating Council (EICC) is an advisory council appointed by the governor to provide advice and assistance about the Early Intervention Program to the Department of Health. The EICC has 26 members, including five parents of children up to 13 years old with disabilities. Each county has a Local Early Intervention Coordinating Council (LEICC) made up of parents and professionals (see Appendix SR_3). The LEICC advises the Early Intervention Official about local early intervention issues such as gaps in services. LEICC meetings are a way to help parents meet other parents and to learn more about the Early Intervention Program in their area (see Appendix SR_3).</li> <li>• In the Early Intervention Program, an Individualized Family Service Plan (IFSP) is developed by a team (Parent, Early Intervention Official, Evaluators/service providers). An IFSP is a written plan for the early intervention services a family and child will receive from the Early Intervention Program. An IFSP will: <ul style="list-style-type: none"> <li>○ Include the outcomes for child and family – what the parent, child and family hope to gain from early intervention services.</li> <li>○ Describe the early intervention services parent, child and family will get to help reach their defined outcomes.</li> <li>○ Describe who will provide services and where, when, and how often.</li> <li>○ Give the ways services will be used to help parent, child and family reach those outcomes.</li> </ul> </li> <li>• A statewide annual family survey is conducted to engage</li> </ul>
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	families in evaluating the impact of early intervention services on their child and family; and, assess the extent to which services are family-centered.
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**Programs funded under  
IDEA Part B, section  
619**

- Parents are appointed members of the Commissioner's Advisory Panel and play a leadership role in advising the State Education Department on the needs of students with disabilities, including preschool-aged children.
- The Early Childhood Direction Centers provide information to families of children with disabilities from birth to age 5 in a number of areas, including, evaluation and assessment services, parent education programs and resources, medical, educational, and social services, transportation, day care, funding and the State's Early Intervention System; and assist families in initially obtaining preschool special education, and in the children's transition from Early intervention to preschool and from preschool to school-age special education services.
- Training and Technical Assistance- Parents receive training to be fully informed of their rights under federal and state law and participate in the decision making of the Committee on Preschool Special Education. Families may also receive parent counseling and training as a related service to understand their child's special needs, obtain information about child development, and acquire the skills to support their child's individualized education program,
- Parent Centers - There are 13 Special Education Parent Centers across New York State. These centers provide parents of children with disabilities with information, resources, and strategies to promote their meaningful involvement in their children's education programs, including the special education process (referrals, individual evaluations and individualized education program development and transition planning); promote early resolution and mediation of disputes between parents and school districts; assist in understanding procedural due process rights, including the right to impartial hearings and appeals and the State complaint process; and enhance parents' skills and levels of confidence to communicate effectively and

	<p>work collaboratively with schools and stakeholders to advocate and actively participate in their children's education program.</p>
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<p><b>Programs funded under Title I of ESEA</b></p>	<p>Title I: All Local Education Agencies and schools receiving Title I funds are required to maintain a parent involvement policy designed to enable many of the family engagement strategies described. Additionally, any local education agency receiving \$500,000 or more in Title I funds is required to set-aside 1% of their allocation to support parent involvement activities.</p>
<p><b>Even Start</b></p>	<p>Even Start Family Literacy Partnerships provide intensive family literacy services that involve parents and children in a cooperative effort to help parents become full partners in the education of their children and assist children in reaching their full potential as learners. Parenting education is a required component of the Even Start Family Literacy program.</p> <p>The overall goal of parenting education in Even Start programs is to strengthen parents' support of their young children's literacy development and early school success.</p> <p>Five key goals for parenting education in family literacy programs:</p> <ol style="list-style-type: none"> <li>1. <b><i>Engage in language-rich parent-child interactions:</i></b> Research indicates that parents strengthen their children's literacy development when they engage in frequent and increasingly complex verbal interactions with their child; actively participate in joint book reading; ask questions that strengthen their child's problem-solving abilities; engage in attentive and flexible interactions with the child; maintain a predictable environment through routines and responsive structure; and develop and maintain a secure attachment relationship with their child.</li> <li>2. <b><i>Provide supports for literacy in the family:</i></b> Studies show that parents strengthen their child's literacy development when they provide easy access to reading and writing materials; read frequently themselves and use reading and writing to get things done and solve problems in everyday life; and demonstrate an enthusiastic view of reading as fun.</li> <li>3. <b><i>Hold appropriate expectations of their children's literacy:</i></b></li> </ol>

	<p>Development and school-related competence when they view their child as an active contributor to his/her own development through challenging yet achievable interactions with the everyday environment; know their child's interests and abilities; and maintain appropriate expectations of their child's achievements.</p> <p>4. <b><i>Actively embrace the parenting role:</i></b> Parents strengthen their child's literacy development and school success when they maintain a positive sense of personal efficacy in the parenting role and in managing relations with their environment; take proactive steps to establish and maintain positive relations with community resources; and advocate for high-quality child and family resources in the community.</p> <p>5. <b><i>Form and maintain connections with community and other resources:</i></b> It is beneficial for parents to use effective coping strategies for adapting to changes in family and community environments, and to work toward good physical and mental health.</p>
<p><b>Programs receiving CCDF funds</b></p>	<p>State licensing requirements apply to all child care programs in NYS (with the exception of child care centers in NYC), whether or not they received CCDF funds. For copies of the regulations see Appendix SR_11 (Group Family Day Care Regulations), SR_12 (Family Day Care Regulations), SR_13 (Day Care Center Regulations), SR_21 (Small Day Care Center Regulations), and SR_24 (School-Age Child Care Regulations).</p>

<p><b>QUALITYstarsNY (a)</b></p>	<p><b>Communication</b></p> <p>C 1. Program has a system for staff to provide parents with a daily written report of the child’s experiences; for children under 2 years it should include, care-giving routines such as feeding, sleeping, and diapering/toileting. 20pts</p> <p>C 2. Program provides families with a parent handbook. 10pts</p> <p>C 3. Program offers regular (at least quarterly) parent newsletter. 10pts</p> <p>C 4. Program offers additional parent-teacher conferences (once annually as required by regulations). 10pts</p> <p>C 5. Program offers written information for parents about each staff member’s educational qualifications and professional experience. 10pts</p> <p>C 6. Program offers parent meeting about center activities. 10pts</p> <p>C 7. Program offers a parent resource area with materials such as brochures, bulletin board, community resource list or handbook (updated at least annually) about supports such as information on child development, oral health, child health insurance, tax credits, child care financial assistance and other family/parent supports. 10pts</p> <p>C 8. Program provides parent materials in the parent’s dominant language (if other than English) and at appropriate literacy levels. 10pts</p> <p><b>Involvement &amp; Family Support</b></p> <p>IFS 1. Program has a breastfeeding friendly designation from CACFP or equivalent if not CACFP eligible. 5pts</p> <p>IFS 2. Program offers family social gatherings. Invitations to these gatherings intentionally target other family members, in addition to parents. 5pts</p> <p>IFS 3. Program offers educational events on topics chosen with input from families including topics about child development. 5pts</p> <p>IFS 4 Program offers volunteering opportunities for families</p>
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	<p>including opportunities for families to share talents and expertise with teaching staff and children. 5pts</p> <p>IFS 5. A parent advisory committee that meets at least 4 times per year. 10pts</p> <p>IFS 6. At least one currently enrolled parent is a member of the program's governing board or body. 10pts</p> <p>IFS 7. Families complete a program evaluation or survey annually and results are used for program improvement. 10pts</p> <p>IFS 8. Program conducts self-assessment using a tool on family responsive practices, such as the Center for the Study of Social Policy's Family Strengthening Self-Assessment tool, and results are used for program improvement. 10pts</p> <p>IFS 9. At least half of teaching staff and half of administrative staff use a self-assessment tool to measure and improve cultural competence, such as the checklist for Promoting Cultural &amp; Linguistic Competency for ECE Personnel from the National Center on Cultural Competence. 15pts.</p> <p>IFS 10. When program enrolls children who are English language learners (ELL) and/or whose families are ELL, program staff greet children and parents in the home languages of the children and parents. 10pts</p> <p>IFS 11. When 50% of enrolled children are speakers of a particular language other than English, program employs at least one staff member who speaks that language. 10pts</p> <p>IFS 12. Program staff is trained to address the needs of English language Learners, special education and or special healthcare needs of enrolled children. 15pts</p> <p>IFS 13. Program staff maintains effective communication with parents and all related service providers for children with IEPs or IFSPs. With parent permission, program staff participates in IEP/IFSP meetings. 10pts.</p> <p><b>Transitions</b></p> <p>T 1. Program has a written policy for transitioning children into the</p>
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	<p>program, which includes providing information on separation and attachment. 30pts</p> <p>T 2. Program has a written policy and procedures to support children and families during transitions within the program. 10pts</p> <p>T 3. Program has a written policy and procedures to support children and families transitioning out of the program that includes providing parents of 4-year-olds with information on kindergarten registration and transferring child records, with parent permission, when child transitions to another educational setting (e.g., other center, kindergarten). 30pts</p> <p>T 4. If program enrolls infants and toddlers, program has a policy that addresses both daily and annual continuity of care from the child's perspective and ensures no more than one transition within child's first two years.</p> <p>OR</p> <p>If program does <u>not</u> enroll infants and toddlers, program promotes the quality and continuity of teacher-child relationships through teacher training and scheduling. 20pts</p>
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<p><b>State licensing requirements</b></p>	<p>Parents must be given the opportunity to discuss issues related to their children and the care of their children with an appropriate staff member or members. Such opportunities must occur at the time of enrollment and as frequently as needed thereafter, but at least annually (Title 18 NYCRR, Section 416.15(a)(15), 417.15(a)(15), 418-1.15(a)(15), and 418-2.15(a)(15).</p> <ul style="list-style-type: none"> <li>• Where the written statement from the health care provider advises the day care provider that the child being enrolled is a child with special health care needs, the day care provider must work together with the parent and the child's health care provider to develop a reasonable health care plan for the child while the child is in the child day care program. (Title 18 NYCRR Section 416.11(17)(e), 417.17(e), 418-1.11(e), and 418-2.11(d))</li> <li>• The parent of a child receiving care must have: unlimited and on demand access to such child; the right to inspect all parts of the building used for child day care or which could present a hazard to the health or safety of the child whenever the parent requests at any time during the hours of operation of the child day care center; unlimited and on demand access to the provider whenever such child is in care or during the normal hours of operation; and unlimited and on demand access to written records concerning such child except where access to such records is otherwise restricted by law (Title 18 NYCRR Section 416.15(a)(9)(i), 417.15(a)(9)(i), 418-1.15(a)(8)(i), and 418-2.15(a)(9)(i)).</li> <li>• The child day care center must post or display conspicuously in a place to which parents have free and daily access, the following: <ul style="list-style-type: none"> <li>○ the Office's child day care center regulations;</li> <li>○ the name(s), addresses and telephone numbers of person(s) with the legal responsibility and administrative authority for the operation of the child day care center;</li> </ul> </li> </ul>
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	<p>and</p> <ul style="list-style-type: none"> <li>○ the address and telephone number of the appropriate regional office of the Office which may be contacted to lodge a complaint against the center for violations of statutory and regulatory requirements, which may be contacted to lodge a complaint against the center for violations of statutory and regulatory requirements (Title 18 NYCRR, Section 418-1.15(a)(9)).</li> <li>● Family and group family day care homes must make the applicable Office regulations to parents upon request. (Title 18 NYCRR, Sections 416.15(a)(13) and 417.15(a)(13)).</li> </ul>
<b>Other: The Child and Adult Care Food Program</b>	CACFP does not mandate family engagement as a requirement of Program participation. Family education is a mandatory component of our optional obesity prevention initiatives, Eat Well Play Hard in Child Care Settings, Eat Well Play Hard with Day Care Homes, and Breastfeeding Friendly Child Care.
<b>Other: Community Health Worker</b>	Community Health Worker Program promotes optimal health, self-sufficiency and family functioning. The goal is obtain a medical home for women, infants and children living in the home; provide screening and referrals for perinatal depression, lead, and developmental delays; and educate on topics including immunizations, HIV, breastfeeding, family planning, oral health, and home safety practices.
<b>Other: Healthy Families New York</b>	Healthy Families New York programs utilize persistent and creative outreach methods to engage and re-engage families and to maintain family involvement. Services are offered on a voluntary basis and demonstrate respect for the rights and decisions of program participants. Agreements, mailings, flyers, face to face contacts and brochures are used to inform participants and are culturally, gender, and language appropriate for the groups in the target area of service delivery. Services are tailored to meet the individual needs of families and include the unique strengths the family has. Additionally, programs are required to demonstrate a commitment

	<p>to hire staff and involve volunteers and community partners who are representative of the language and culture of the population to be served and who are hired from the community targeted for services. HFNY program sites must ensure that cultural diversity training is provided for all staff and that they provide services that are respectful of family traditions, religious beliefs, values, norms, and parenting styles. All programs provide education and information in child development as well as screening and referrals when needed. All programs are required to reach out to fathers in order to involve them in all aspects of service delivery as well as provide non-traditional hours for those parents who are working or in training/education programs. Several programs have a dedicated Fatherhood specialist who work with father's on increasing their knowledge and involvement with their children. Services are provided and engage the whole family residing within the home of the child. Groups are offered for parents to enhance both their socialization and education in specific topic areas. Participants are referred for needed services and staff work with parents to ensure that service needs are provided. Families are also invited to participate on individual program advisory boards to assist the program in providing effective services to the target population.</p>
<p><b>Other: Nurse Family Partnership</b></p>	<p>The nurse home visitor engages in a therapeutic nurse-client relationship focused on promoting the client's abilities and behavior change to protect and promote her own health and the well-being of her child.</p> <p>Nurse home visitors use strength-based approaches to working with families and individualize the guidelines to meet the client's needs. Domains include: personal and maternal health, environmental health, health and human services referrals, and friends and family network relationships.</p>

<p><b>Other: The Special Supplemental Nutrition Program for Women, Infants and Children</b></p>	<p>WIC provides nutrition education and counseling services, and referrals to health and human service programs to parents/caretakers of enrolled infants and children. Physical Activity discussions are family oriented.</p>
<p>(a) Standards listed are center-based Family Engagement Standards. For home-based Family Engagement Standard see Appendix B_1_2. A point system awards points for meeting each criterion; where applicable, criteria that are related to a QSNY tier are specified.</p>	

**Table (A)(1)-10: Status of all early learning and development workforce credentials<sup>11</sup> currently available in the State**

List the early learning and development workforce credentials in the State	If State has a workforce knowledge and competency framework, is the credential aligned to it? <i>(Yes/No/Not Available)</i>	Number and percentage of Early Childhood Educators who have the credential		Notes (if needed)
		#	%(a)	
<b>Infant/Toddler Care and Education Credential</b>	Yes	8	N/A (a)	
<b>Family Child Care Credential</b>	Yes	1	N/A	
<b>Children’s Program Administrator Credential</b>	Yes	33	N/A	
<b>Child Development Credential</b>	Yes	5,285	N/A	3026 first time credentials (valid for 3 years) 2259 renewal credentials (valid for 5 years)
<b>Trainer’s Credential</b>	Yes	33	N/A	Level I – 9; Level II – 9; Level III - 15

<sup>11</sup> Includes both credentials awarded and degrees attained.

**Table (A)(1)-10: Status of all early learning and development workforce credentials<sup>11</sup> currently available in the State**

List the early learning and development workforce credentials in the State	If State has a workforce knowledge and competency framework, is the credential aligned to it?  <i>(Yes/No/Not Available)</i>	Number and percentage of Early Childhood Educators who have the credential		Notes (if needed)
		#	% <b>(a)</b>	
<b>Verified Specialty Trainer</b>	Yes	355	N/A	

(a) New York is currently developing a data base to collect and track data on the number and specific qualification of all Early Childhood Educators within the state (see Section (D)(2)(a) of the narrative for detailed information). Because the state data system is currently under development, the percentage of Early Childhood Educators with specific credentials is not yet available.

**Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators**

<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b>  <i>(Yes/No/ Not Available)</i>
Adelphi University	66 (a)	N/A (b)
Alfred University-Main	47	N/A
Bank Street College Of Education	135	N/A
Bronx Community College	N/A	N/A
Broome Community College	N/A	N/A
Canisius College	34	N/A
Cayuga Community College	N/A	N/A
Cazenovia College	2	N/A
College of New Rochelle	120	N/A
College Mount St Vincent	2	N/A
College Of Saint Rose	162	N/A
Columbia-Greene Community College	12	N/A
Concordia College	5	N/A



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<b>City University of New York, Brooklyn College</b>	148	N/A
<b>City University of New York, City College</b>	54	N/A
<b>City University of New York, College Staten Island</b>	25	N/A
<b>City University of New York, Hostos Community College-Bilingual Education</b>	N/A	N/A
<b>City University of New York, Hunter College</b>	133	N/A
<b>City University of New York, Kingsborough Community College</b>	N/A	N/A
<b>City University of New York, Lehman College</b>	90	N/A
<b>City University of New York, Queens College</b>	52	N/A

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<b>Daemen College</b>	199	N/A
<b>Dominican College Blauvelt</b>	8	N/A
<b>Dowling College</b>	61	N/A
<b>Dutchess Community College</b>	N/A	N/A
<b>Elmira College</b>	24	N/A
<b>Erie Community College</b>	N/A	N/A
<b>Fordham, Rose Hill and Lincoln Center combined</b>	46	N/A
<b>Fulton-Montgomery Community College</b>	N/A	N/A
<b>Genesee Community College</b>	N/A	N/A
<b>Herkimer County Community College</b>	N/A	N/A
<b>Hofstra University-Main</b>	128	N/A
<b>Iona College, New Rochelle Campus</b>	37	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
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<b>Jamestown Community College</b>	8	N/A
<b>Jefferson Community College</b>	N/A	N/A
<b>Keuka College</b>	25	N/A
<b>Long Island University, Brooklyn Campus</b>	7	N/A
<b>Long Island University, Brentwood Campus</b>	69	N/A
<b>Long Island University, C. W. Post Campus</b>	58	N/A
<b>Long Island University, Hudson Graduate Center Rockland</b>	27	N/A
<b>Long Island University, Hudson Graduate Center Westchester</b>	19	N/A
<b>Long Island University, Riverhead</b>	4	N/A

**Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators**

<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b>  <i>(Yes/No/ Not Available)</i>
<b>Manhattanville College</b>	57	N/A
<b>Maria College</b>	N/A	N/A
<b>Medaille College</b>	46	N/A
<b>Medgar Evers College</b>	4	N/A
<b>Mercy College, Bronx Campus</b>	67	N/A
<b>Mercy College, Main Campus</b>	286	N/A
<b>Mercy College, Manhattan Camp</b>	18	N/A
<b>Mercy College, Yorktown Heights</b>	24	N/A
<b>Molloy College</b>	6	N/A
<b>Monroe Community College</b>	N/A	N/A
<b>Mount Saint Mary College</b>	43	N/A
<b>Nassau Community College</b>	43	N/A
<b>Nazareth College Rochester</b>	105	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
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<b>New York University</b>	104	N/A
<b>Niagara University</b>	84	N/A
<b>Nyack College</b>	5	N/A
<b>Pace University, New York</b>	2	N/A
<b>Pace University, Pleasantville</b>	17	N/A
<b>Roberts Wesleyan College</b>	13	N/A
<b>Sarah Lawrence College</b>	13	N/A
<b>St. Bonaventure University</b>	44	N/A
<b>St. John Fisher College</b>	33	N/A
<b>St. John's University, Main Campus</b>	31	N/A
<b>St. John's University, Staten Island</b>	3	N/A
<b>St. Joseph's College, Main Campus</b>	86	N/A
<b>St. Joseph's College, Suffolk</b>	528	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b> <i>(Yes/No/ Not Available)</i>
<b>St. Thomas Aquinas College</b>	8	N/A
<b>State University of New York, Brockport</b>	29	N/A
<b>State University of New York, Buffalo</b>	74	N/A
<b>State University of New York, Cortland</b>	129	N/A
<b>State University of New York, Empire State College</b>	N/A	N/A
<b>State University of New York, College of Technology at Canton</b>	18	N/A
<b>State University of New York, Fredonia</b>	32	N/A
<b>State University of New York, Geneseo</b>	55	N/A
<b>State University of New York, New Paltz</b>	87	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b> <i>(Yes/No/ Not Available)</i>
<b>State University of New York, Oneonta</b>	29	N/A
<b>State University of New York, Oswego</b>	44	N/A
<b>State University of New York, Plattsburgh</b>	31	N/A
<b>State University of New York, Potsdam</b>	59	N/A
<b>State University of New York, Albany</b>	100	N/A
<b>State University of New York, Binghamton</b>	25	N/A
<b>State University of New York, Buffalo</b>	22	N/A
<b>Syracuse University</b>	16	N/A
<b>Teachers College</b>	80	N/A
<b>The Sage College, Troy Campus</b>	23	N/A

**Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators**

<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b>  <i>(Yes/No/ Not Available)</i>
Touro College	919	N/A
Touro College, Flatbush Campus	N/A	N/A
Trocaire College	N/A	N/A
Ulster Community College	22	
University Of Rochester	5	N/A
Utica College	6	N/A
Villa Maria		
Wagner College	9	N/A
Yeshiva University	7	N/A

Notes:

(a) Number of Early Childhood Educators listed in this column represent only educators who have completed a post secondary degree or credential program and have also completed requirements for certification. Currently in New York, there is no existing method of tracking educators who have completed post secondary programs in early childhood who have not completed certification requirements. Going forwards, this information will be collected and tracked in the Workforce Registry. For more information on the Registry, see Section (D)(2)(a) of the narrative.

(b) New York's Core Body of Knowledge was recently revised to make it a competency-based framework. Now that the revision is complete, the Early Childhood Advisory Council will seek the endorsement of the NYS Board of Regents, the State University of New York, and the City University of New York and will take steps to make the Core Body of Knowledge a foundation for early childhood teacher education in public and private colleges and universities throughout the state.





<b>Table (A)(1)-12: Current status of the State's Kindergarten Entry Assessment</b>					
<b>State's Kindergarten Entry Assessment</b>	<b>Essential Domains of School Readiness</b>				
	<b>Language and literacy</b>	<b>Cognition and general knowledge (including early mathematics and early scientific development)</b>	<b>Approaches toward learning</b>	<b>Physical well-being and motor development</b>	<b>Social and emotional development</b>
<b>Domain covered? (Y/N)</b>	N/A (a)	N/A	N/A	N/A	N/A
<b>Domain aligned to Early Learning and Development Standards? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>Instrument(s) used? (Specify)</b>	N/A	N/A	N/A	N/A	N/A
<b>Evidence of validity and reliability? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>Evidence of validity for English learners? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A

<b>Table (A)(1)-12: Current status of the State's Kindergarten Entry Assessment</b>					
<b>State's Kindergarten Entry Assessment</b>	<b>Essential Domains of School Readiness</b>				
	<b>Language and literacy</b>	<b>Cognition and general knowledge (including early mathematics and early scientific development)</b>	<b>Approaches toward learning</b>	<b>Physical well-being and motor development</b>	<b>Social and emotional development</b>
<b>Evidence of validity for children with disabilities? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>How broadly administered? (If not administered statewide, include date for reaching statewide administration)</b>	N/A	N/A	N/A	N/A	N/A
<b>Results included in Statewide Longitudinal Data System? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
(a) New York State is currently developing a Kindergarten Entry Assessment system, which is described in detail Section E of the New York State Early Learning Challenge Grant application. Because this system is under development, the data is not yet available.					

Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State

List each data system currently in use in the State that includes early learning and development data	Essential Data Elements <i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
NYS Office of Children and Family Services-- Child Care Time and Attendance (CCTA)	X		X	X			X
NYS Department of Health-- Early Intervention	X	X	X	X	X	X	X
NYS Education Department —Student Information Repository System (SIRS) (b)	X		X	X			X

Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State

List each data system currently in use in the State that includes early learning and development data	Essential Data Elements <i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
NYC Administration for Children's Services-- Automated Child Care Information System (ACCIS) (c)	X		X	X			X
NYC Administration for Children's Services-- Head Start		X	X		X		
NYS Home Visiting Programs	X	X	X	X	X	X	X
New York Works for		X	X		X		

Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State

List each data system currently in use in the State that includes early learning and development data	Essential Data Elements <i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
Children Registry (d)							
QUALITYstarsNY/WELLS			X			X	
NYS Office of Children and Family Services-- Child Care Facilities System (CCFS)		X	X			X	
NYC Department of Health-- Child Care Activity Tracking System (CCATS)		X	X			X	

Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State

List each data system currently in use in the State that includes early learning and development data	Essential Data Elements <i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
<b>Federal Head Start (PIR)</b>			X				
<b>NACCRR Aware</b>		X	X		X		

Notes:

(a) There is no data system that currently collects information on child suspension and expulsion rates, staff compensation and staff retention.

(b) The NYS Education Department Student Information Repository System includes those children receiving Preschool Special Education services, Universal Prekindergarten as well as K-12 students.

(c) With the exception of those Head Start programs funded by NYC ACS, we have no child level data on the Head Start or Early Start population.

(d) The New York Works for Children Registry is currently in the development phase.

**(A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals. (20 points)**

The extent to which the State clearly articulates a comprehensive early learning and development reform agenda that is ambitious yet achievable, builds on the State's progress to date (as demonstrated in selection criterion (A)(1)), is most likely to result in improved school readiness for Children with High Needs, and includes—

(a) Ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs statewide, and closing the readiness gap between Children with High Needs and their peers,

(b) An overall summary of the State Plan that clearly articulates how the High-Quality Plans proposed under each selection criterion, when taken together, constitute an effective reform agenda that establishes a clear and credible path toward achieving these goals; and

(c) A specific rationale that justifies the State's choice to address the selected criteria in each Focused Investment Area (C), (D), and (E), including why these selected criteria will best achieve these goals.

*In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

**Evidence for (A)(2)**

- The State's goals for improving program quality statewide over the period of this grant.
- The State's goals for improving child outcomes statewide over the period of this grant.
- The State's goals for closing the readiness gap between Children with High Needs and their peers at kindergarten entry.
- Identification of the two or more selection criteria that the State has chosen to address in Focused Investment Area (C).
- Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (D).
- Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (E).
- For each Focused Investment Area (C), (D), and (E), a description of the State's rationale for choosing to address the selected criteria in that Focused Investment Area, including how the State's choices build on its progress to date in each Focused Investment Area (as outlined in Tables (A)(1)6-13 and in the narrative under (A)(1)) and why these selected criteria will best achieve the State's ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs statewide, and closing the readiness gap between Children with High Needs and their peers.



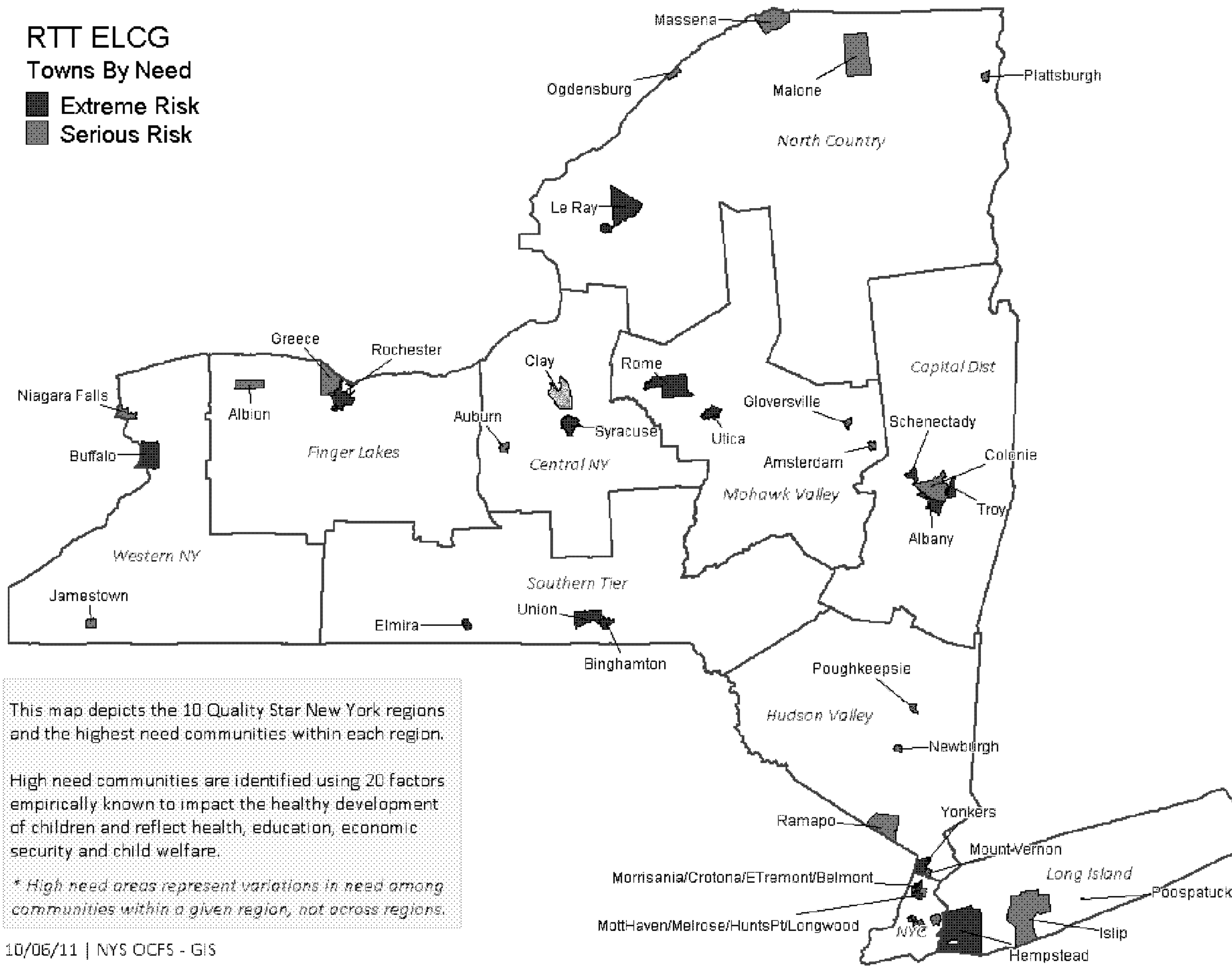
**(a) Ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs Statewide, and closing the readiness gap between Children with High Needs and their peers;**

New York's early childhood education community has come together in an unprecedented show of support to articulate a clear and compelling vision for the early education and development system in the State. Our Participating State agencies, in conjunction with the interagency CCF and ECAC, have laid the groundwork for comprehensive, landmark statewide reform. The State's Prekindergarten Learning Standards, *Early Learning Guidelines*, CBK, and QSNY build the foundation for New York's RTTT-ELC High Quality Plan. The State's goals are to (1) increase the number of high-quality ELDPs for New York's children, especially those with high needs, as measured by QSNY; (2) close the achievement gap by providing high-quality programs that prepare children for kindergarten entry and place them on track for successful early elementary outcomes, as measured by the Kindergarten Readiness Tool (KRT) and improved outcomes in Grade 3 ELA and Math Exams; and (3) improve the quality of the early childhood workforce as the foundation to achieve program improvement. This application builds on New York's long history of policies and practices designed to set high standards for ELDPs and expand children's access to high-quality comprehensive ELDP opportunities.

**Goal 1: Increase the number of high-quality ELDPs for New York's children, especially those with high-needs, as measured by QSNY.** Last year in 13 communities, New York piloted QSNY, the State's Quality Rating and Improvement System. The State will scale up QSNY, starting in the communities with the highest number of PLA schools and in communities exhibiting the highest number of risk factors as shown in the map below, and in regional detail in Appendix (A\_2\_1).

It is New York's goal that over the next 10 years, after an initial investment and focus on our high-need communities through RTTT-ELC, QSNY will be implemented and supported in a manner to make highly-rated QSNY programs available throughout the State. As QSNY is scaled up, we will implement policies to ensure that publicly funded programs participate in QSNY as a condition for receiving public resources. By promoting public and provider awareness of QSNY standards and offering supports for quality

improvement, the State will work towards the goal that all children with high-needs will attend top-rated 3-, 4-, or 5-Star level programs.



Goal 1 will be measured through the following objectives:

- Objective 1: The majority of ELDPs serving Children with High Needs will achieve at least a 3-Star rating by 2015.
  - New York’s current evidence on the quality of ELDPs provides limited information. By establishing consistent standards and ratings of program quality, the State will better understand how we are serving children, make informed decisions about allocating resources and support, and leverage the ratings to inform and empower parent choice throughout the State. QSNY will enable State agencies to target existing supports to better meet the needs of programs and improve programs statewide to ensure that the majority of programs serving Children with High Needs will obtain at least a 3-Star rating. Additionally, QSNY will support continuous improvement, so that even as programs move up into the 3-Star quality level, they will be continuously improving, which will lead to more programs in the 4- and 5-Star levels.
- Objective 2: Over 4 years, New York will substantially decrease the number of 1-Star programs through quality rating and improvement provided by QSNY.
  - Low-performing programs will utilize feedback from the QSNY ratings and assessments, as well as QSNY trainings to help improve their ratings. Information on the quality of each site through a common rating and improvement system will empower ELDP administrators/leaders as drivers of change at their sites and provide greater understanding to program administrators/leaders of areas for improvement.
- Objective 3: Through QSNY, New York will drive continuous improvement to increase the percentage of its ELDPs with exemplary (4- and 5-Star) ratings.
  - These programs will be known as “best practice” models throughout the State, and will share innovative techniques on QSNY and *New York Works for Children* websites to provide “best practices” techniques to lower-Star level programs to encourage improvement.

**Goal 2: Close the achievement gap, by providing high-quality programs that prepare children for kindergarten entry and place them on track for successful early elementary outcomes, as measured by the Kindergarten Readiness Tool and improved outcomes in Grade 3 ELA and Math Exams.** New York’s goal is to thoroughly prepare all children for kindergarten (as informed by the KRT) and put them on course for a successful academic career (as measured by proficiency in Grade 3 ELA/Math Exams). Currently, 44 percent of third graders in New York read below proficient levels. New York’s plan to build out the Early Learning Data System will allow us to identify gaps and trends in children’s preparation for school and target policies, programs, and resources to close those gaps. Goal 2 will be measured through the following objectives;

- Objective 1: Develop and implement a comprehensive KRT for all public kindergarten programs, which will inform kindergarten and ELDP instructional practices as well as State-level policy aimed at narrowing school readiness and elementary achievement gaps.
- Objective 2: Align the Early Learning Data System with SED’s P-20 Longitudinal Data System. All children receiving publicly funded services will receive a unique student identifier to track the student from birth through college. This system will link children receiving early childhood services, the programs’ quality, and the early childhood staff providing those services. Even more significant than constructing a data-supported system that can provide that information to our State’s policymakers and stakeholders, is knowing that we will have the tools to allow us to make corrections and changes to ensure that we sustain a system that is continuously improving and providing high-quality options for families, especially those in high-need areas.
- Objective 3: Increase the number of college and career ready students statewide. New York will increase access to high quality ELDPs to increase kindergarten readiness, providing a strong academic foundation to ensure that New York’s children are on a college and career ready track. The Board of Regents P-20 Reform Agenda aligns curriculum and assessment with college and career readiness standards by identifying standards for students to be on a college and career ready track.

**Goal 3: Improve the quality of the early childhood workforce as the foundation to achieve program improvement.** New York acknowledges teacher quality as vastly impactful on children’s learning and as a significant tenet in improving program quality. The State is committed to investing in building educators’ skills and knowledge to improve the workforce, which will subsequently improve program quality and student outcomes. Goal 3 will be measured through the following objectives:

- Objective 1: Build infrastructure through *New York Works for Children* to support Early Childhood Educators in improving knowledge and skills.
  - Prepare Early Childhood Educators by phasing-in the CBK, the competencies they need to be successful, and articulate the high expectations for providers entering the early learning workforce.
  - Establish a regional presence, in each of the 10 QSNY regions, to ensure that Early Childhood Educators in all regions of New York have access to professional development resources and supports that are tailored to the needs and resources of each region.
  - Create an integrated early childhood Workforce Registry to better understand Early Childhood Educator qualifications, training and needs.
- Objective 2: Align existing State professional development and training resources to the CBK and QSNY improvement plans and goals.
- Objective 3: Provide access to professional development specifically aligned with Early Learning and Development Standards, Comprehensive Assessment System (CAS), and CBK, to drive improvements in Early Childhood Educator practice, specifically around use of standards, assessments and data, independent of obtaining advanced degrees.
- Objective 4: Align State University of New York (SUNY) and City University of New York (CUNY) publicly funded teacher preparation programs with the CBK and New York State Early Learning and Development Standards.

Our State’s early childhood initiatives are closely aligned with, and form the necessary foundation for, our State’s efforts to advance the Board of Regents P-20 Reform Agenda to ensure that all children in New York are equipped with the skills and

knowledge to succeed in school, college and careers. Ensuring children enter school prepared to learn is an essential step on the path to college and career readiness. Moreover, New York's approach to improving early learning and development would extend into the early childhood arena core principles from SED's successful 2010 RTTT application: an emphasis on high standards that define clear expectations for both program quality and children's learning; a commitment to collecting and using data and developmentally appropriate assessments to evaluate performance and inform improvement efforts; a belief that teacher quality is the most fundamental determinant of children's learning and commitment to investing in building educators' skills and knowledge; and a commitment to working with educators, schools, and ELDPs to improve the quality of services and outcomes for the children they serve (See Appendix A\_2\_1).

**(b) An overall summary of the State Plan that clearly articulates how the High-Quality Plans proposed under each selection criterion, when taken together, constitute an effective reform agenda that establishes a clear and credible path toward achieving these goals; and**

New York's RTTT-ELC application is built around the goals to:

- Increase the number of high-quality ELDPs for New York's children, especially those with high needs, as measured by QSNY.
- Close the achievement gap by providing high-quality programs that prepare children for school and place them on track for successful early elementary outcomes, as measured by improved outcomes through the KRT and State Grade 3 ELA and Math Exams.
- Improve the quality of the early childhood workforce as the foundation to achieve program improvement.

The activities proposed throughout this application are in direct support of the above goals and will allow New York to achieve statewide improvements in school readiness.

QSNY is the infrastructure for New York's high quality plan as detailed in this application. QSNY will (1) provide ELDPs, parents, and policymakers with information about program performance relative to expectations, which will enable programs to have a clearer picture of strengths and weaknesses and plans for improvement; (2) allow parents to identify and select high-quality child care options; and (3) provide for the first time a clear picture of the overall quality of programs in the State to inform investment and policy. By focusing on using QSNY to drive change in ELDPs and improved outcomes, New York will have a single, integrated and coherent Quality Rating and Improvement System. The implementation plan for QSNY creates a clear focus on New York's highest areas of need and subsequently grows to encompass the entire State. In addition, by phasing in a requirement that public funding be contingent on participation in QSNY, we will be ensuring that public resources are targeted to continuously improving programs. By promoting public and provider awareness of QSNY standards and offering supports for quality improvement, the State will work towards the goal that all Children with High-Needs will attend top-rated 3-, 4-, or 5-Star level programs.

Our State plan also focuses on **Early Learning and Development Standards** and **comprehensive assessments** that are clear, rigorous and developmentally appropriate. The State's goal is to ensure all of New York's children achieve the standards across the Essential Domains of School Readiness, are **healthy and prepared** for their transition into the early elementary grades, and continue on the road to becoming college and career ready. The CAS will improve the ability of Early Childhood Educators and program directors to use data to drive instruction and practice.

Building on the practice of utilizing assessments to inform instruction in ELDPs, the Board of Regents will develop a **Kindergarten Readiness Tool**. The KRT will enable policymakers to understand the skills children have at kindergarten entry, to inform program design, target resources, and inform K-12 reform efforts to promote school readiness and close achievement gaps.

The State's **workforce development system and Workforce Registry** will allow New York to track professional development experiences of teachers, which will enable the State to better understand the knowledge and skills of existing Early Childhood Educator, to target resources to better align professional development funds with the CBK and identified workforce needs, as well as to identify challenges to retention and progression of teachers through the career pathways and develop strategies to address them. The

State will work to promote the professionalism of all Early Childhood Educator in New York so they will recognize themselves as professional educators and will continuously improve their education, credentials, knowledge and skills to ensure that the children they serve leave ELDPs ready to succeed in school.

To complement the components of the plan above, New York will leverage SED's P-20 Longitudinal Data System, which was a major component of the successful 2010 RTTT application, and will have a place to collect data that will measure the effectiveness of our programs and policies, and provide the information to make necessary changes to achieve our desired results. The **Early Learning Data System** will allow New York to integrate data across all data systems to provide a true picture of how and where children are being served and to track children's participation and progress across a variety of early childhood settings and into the P-20 system. Access to this data will enable New York not only to design policies but also to better understand the linkages between early childhood participation, school readiness, and elementary school performance to target policies, practices, and resources accordingly.

All of these strategies will be initially **focused on high needs children, families, and communities**. To identify the areas of our State most in need of these services, New York conducted a comprehensive mapping process, using a modified version of the method developed for the needs assessment of the New York State Affordable Care Act MIECHV grant, that will allow us to identify and target RTTT-ELC resources effectively, and the be able to leverage our investments to achieve our ambitious, yet achievable, goals.

#### **Identifying Our High Needs Children, Families and Communities**

New York's approach to RTTT-ELC reflects the well-established finding that children's well-being can be compromised by a range of risk factors that may be associated with children, their families, the quality of schools they attend and the communities in which they live. Identifying communities where children are disproportionately exposed to factors that can compromise their development allows us to align and mobilize resources available through various service systems that promote the well-being of young children.

The mapping method used a comprehensive view of child development, primarily identifying a range of 20 risk factors that spanned from prenatal development through age five, and is driven by a public health perspective that recognizes the role multiple



service systems play in promoting healthy child development (See Appendix A\_2\_2). As a result of this approach, the identification of at-risk areas was informed by data from the fields of health, education, child welfare, social services and labor. Finally, the approach is sensitive to the diverse urban and rural communities across New York, by examining risk factors in terms of their severity (i.e., prevalence) and burden (i.e., number of individuals impacted). Detailed regional maps and results of the analysis can be found in Appendix A\_2\_3 and includes the Highest Need Localities in New York by QSNY Region.

**(c) A specific rationale that justifies the State’s choice to address the selected criteria in each Focused Investment Area (C), (D), and (E), including why these selected criteria will best achieve these goals.**

New York has constructed an application that builds on the strengths of the early childhood system currently in place, while making strategic and targeted investments, and proposing an innovative plan to improve areas where we can take great strides forward. To that end, New York has submitted an application that addresses the following criteria within each of the Focused Investment Areas:

***(C) Promoting Early Learning and Development Outcomes for Children:***

- (C)(1) Developing and using Statewide, high-quality Early Learning and Development Standards;
- (C)(2) Supporting effective uses of Comprehensive Assessment Systems; and
- (C)(3) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs to improve school readiness.

Our focus in this particular criterion is derived from the strength that New York has in the development of Early Learning Development Standards, the alignment of those standards to the P-12 Common Core Standards, and the opportunity to leverage that alignment to sustain the gains made in ELDPs through the early elementary years. Additionally, the application leverages New York’s theory of action from SED’s successful 2010 RTTT application: an emphasis on high standards that define clear expectations for both

program quality and children's learning and a commitment to collecting and using data and appropriate assessments to evaluate performance and inform improvement efforts.

The application contains a dynamic plan to support ELDPs in their use of the CAS. New York believes that developmentally appropriate comprehensive assessment and ongoing use of data is critical for driving instructional practice. For this reason, the State has taken steps to ensure that practices related to appropriate use of the CAS are integrated into QSNY, as well as developed a plan to provide professional development supports to ELDPs to appropriately implement the CAS. QSNY and our workforce development strategy will invest significant resources in improving structural indicators of program quality including program management/leadership and Early Childhood Educator qualifications. However, we also believe that to achieve the results we desire from ELDPs, it is equally critical to change how Early Childhood Educators understand their roles as professionals and interact with children on a daily basis in their classrooms. Research shows such practices can produce results independent of improvements in Early Childhood Educators' postsecondary credentials. The formative assessment and measures of adult-child interaction components of the CAS will be critical tools for providing Early Childhood Educators with the tools and knowledge to change these practices.

New York has long been a leader in supporting children's health by expanding access to health insurance and supporting programs designed to foster children's healthy development. Our emphasis on this strategy reflects our recognition of the critical importance of health to school readiness and success. Approximately 8.5 percent of New York children ages 0-5 (over 126,000 children) have one or more special health care needs, and many more are at risk for increasingly prevalent chronic conditions such as obesity, hypertension, diabetes, heart disease and depression in adolescence and adulthood due to behavioral and environmental factors. Of great concern are the significant racial, ethnic and economic disparities present for these and other measures of population health, emphasizing the need for a cross-sector approach to promote health beginning in the earliest years of life to assure that all children have access to health insurance and high-quality comprehensive health care services, and to integrate effective health promotion policies and practices across all settings in which young children spend time, with special attention to Children with High Needs, including those with special health needs and disabilities. This approach ultimately influences school readiness and success.

New York's leading role in providing health services for children is also leveraged in this application to build off of our already impressive services. Our definition of health promotion is comprehensive, going beyond the criteria enumerated in the RTTT-ELC application to include: promotion of healthy behaviors (e.g., eating habits, nutrition, physical activity, safety practices, oral hygiene, sleep hygiene); prevention and control of injury and disease; support for children's healthy development in all domains, with screening and follow-up to identify and address potential delays; health literacy; linking families to health insurance and medical homes; successful inclusion of children with special health care needs and disabilities; and family engagement in supporting their children's health and development in all of these areas. The activities in our high-quality plan will enable New York to be a national model for promoting young children's health, particularly in the areas of health promotion in states' Quality Rating and Improvement Systems, promotion of physical activity, and ensuring that children receive appropriate screenings, referral, and follow-up as part of regular scheduled well-child care.

While criterion (C)(4) relating to family engagement is not specifically addressed in the application, the importance of connecting with families and our communities is integrated throughout our State's plan. Additionally, existing QSNY program standards award a significant amount of points for family engagement practices. The ultimate goals in this application are geared towards providing families with access to high-quality ELDPs in their communities. The vision of this application is to improve the early childhood products in our communities, especially those with high-needs, and then ensure that families have the information and support to access those programs.

***(D) A Great Early Childhood Education Workforce:***

- (D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials; and
- (D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.

SED's successful 2010 RTTT application focused extensively on teacher and school leader effectiveness as a mechanism to drive student success. With the understanding that few factors are more important a determinant of successful child outcomes than the

effectiveness of the Early Childhood Educator, New York has focused on both criterion within Focus Investment Area D to leverage the work that has already been done in this area.

New York's CBK is our framework to inform the knowledge, skills and abilities of our early childhood education workforce. New York, as illustrated in Table (A)(1)-11, has strong relationships with postsecondary institutions that will enable us to enhance and transform Early Childhood Educator preparation by aligning it with the CBK. We have, through this application, an opportunity to develop the tools and resources for those institutions and their graduates to enter the early childhood workforce prepared to succeed. To realize our goals to improve the early childhood workforce, New York will provide targeted professional development to enable educators to utilize the infrastructure in this plan and the State has put in place strategies to do that. Primarily, QSNY sets high standards for workforce qualifications and experience. Through QSNY, New York is creating the new QUALITYScholars program with existing State resources designed to enable more Early Childhood Educators to increase their credentials in order to improve QSNY ratings.

New York will provide continued professional development support to Early Childhood Educators through *New York Works for Children* and its website, which will be the main form of communication for Early Childhood Educators. *New York Works for Children* will feature the Workforce Registry and host a training calendar, web-based tools and resources aligned with the CBK and *Early Learning Guidelines*, and a career calculator to promote professional progression along the career ladder.

***(E) Measuring Outcomes and Progress:***

- (E)(1) Understanding the status of children's learning and development at kindergarten entry.
- (E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.

The Kindergarten Readiness Tool (KRT) will enable policymakers to understand the skills children have at kindergarten entry, to inform program design to tailor instruction, target resources, and also inform K-12 reform efforts to better target school readiness and achievement gaps. Our application recognizes that comprehensive assessment and ongoing use of data is critical for driving instructional practice.

The P-20 Longitudinal Data System was a key component of SED's successful 2010 RTTT application, where SED had the vision to respond to the Early Learning Invitational Priority and committed funding to create linkages to Early Learning Data Systems. RTTT-ELC will allow us to make that effort much more comprehensive. Our application recognizes the need for a data system that allows policymakers to make informed decisions about program efficacy, provide the necessary supports to programs to improve, and inform professional development and workforce training. This element of our application will allow us to determine and measure success within our early childhood system, and perhaps more critically, areas for targeted, continuous improvement and investment.

Taken as a whole, the focus of this application will allow New York to achieve its goal that, through the vehicle of QSNY, New York's children – particularly Children with High Needs – will be school ready through access to high-quality ELDPs. Our programs will be guided by clear standards, we will have the tools to better understand the needs and progression of the children we serve, our workforce will enter ELDPs ready to succeed, we will be able to gauge our performance and adjust as needed, and as a result, children, families, and our high need communities will have access to high-quality ELDP options.

**Identification of the two or more selection criteria that the State has chosen to address in Focused Investment Area (C):**

*Please check the box to indicate which selection criterion or criteria in Focused Investment Area (D) the State is choosing to address*

- X (C)(1) Developing and using statewide, high-quality Early Learning and Development Standards.
- X (C)(2) Supporting effective uses of Comprehensive Assessment Systems.
- X (C)(3) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs to improve school readiness.
- (C)(4) Engaging and supporting families.

**Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (D):**

*Please check the box to indicate which selection criterion or criteria in Focused Investment Area (D) the State is choosing to address*

- X (D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.
- X (D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.

**Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (E):**

*Please check the box to indicate which selection criterion or criteria in Focused Investment Area (E) the State is choosing to address*

- X (E)(1) Understanding the status of children's learning and development at kindergarten entry.
- X (E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.

(A)(3) Aligning and coordinating early learning and development across the State. (10 points)

The extent to which the State has established, or has a High-Quality Plan to establish, strong participation and commitment in the State Plan by Participating State Agencies and other early learning and development stakeholders by--

(a) Demonstrating how the Participating State Agencies and other partners, if any, will identify a governance structure for working together that will facilitate interagency coordination, streamline decision making, effectively allocate resources, and create long-term sustainability and describing--

(1) The organizational structure for managing the grant and how it builds upon existing interagency governance structures such as children's cabinets, councils, and commissions, if any already exist and are effective;

(2) The governance-related roles and responsibilities of the Lead Agency, the State Advisory Council, each Participating State Agency, the State's Interagency Coordinating Council for part C of IDEA, and other partners, if any;

(3) The method and process for making different types of decisions (*e.g.*, policy, operational) and resolving disputes, and

(4) The plan for when and how the State will involve representatives from Participating Programs, Early Childhood Educators or their representatives, parents and families, including parents and families of Children with High Needs, and other key stakeholders in the planning and implementation of the activities carried out under the grant;

(b) Demonstrating that the Participating State Agencies are strongly committed to the State Plan, to the governance structure of the grant, and to effective implementation of the State Plan, by including in the MOU or other binding agreement between the State and each Participating State Agency--

(1) Terms and conditions that reflect a strong commitment to the State Plan by each Participating State Agency, including terms and conditions designed to align and leverage the Participating State Agencies' existing funding to support the State Plan;

(2) "Scope-of-work" descriptions that require each Participating State Agency to implement all applicable portions of the State Plan and a description of efforts to maximize the number of Early Learning and Development Programs that become Participating Programs; and

(3) A signature from an authorized representative of each Participating State Agency; and

(c) Demonstrating commitment to the State Plan from a broad group of stakeholders that will assist the State in reaching the ambitious yet achievable goals outlined in response to selection criterion (A)(2)(a), including by obtaining--

(1) Detailed and persuasive letters of intent or support from Early Learning Intermediary Organizations, and, if applicable, local early learning councils; and

(2) Letters of intent or support from such other stakeholders as Early Childhood Educators or their representatives, the State's legislators, local community leaders, State or local school boards, representatives of private and faith-based early learning programs; other State and local leaders (e.g., business, community, tribal, civil rights, education association leaders); adult education and family literacy State and local leaders; family and community organizations (e.g., parent councils, nonprofit organizations, local foundations, tribal organizations, and community-based organizations); libraries and children's museums; health providers; and postsecondary institutions.

*In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

- *In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

Evidence for (A)(3)(a) and (b).



- For (A)(3)(a)(1): An organizational chart that shows how the grant will be governed and managed.
- The completed table that lists governance-related roles and responsibilities (see Table (A)(3)-1).
- A copy of all fully executed MOUs or other binding agreements that cover each Participating State Agency. (MOUs or other binding agreements should be referenced in the narrative but must be included in the Appendix to the application).

Evidence for (A)(3)(c)(1):

- The completed table that includes a list of every Early Learning Intermediary Organization and local early learning council (if applicable) in the State and indicates which organizations and councils have submitted letters of intent or support (see Table (A)(3)-2).
- A copy of every letter of intent or support from Early Learning Intermediary Organizations and local early learning councils. (Letters should be referenced in the narrative but must be included in the Appendix with a table.)

Evidence for (A)(3)(c)(2):

- A copy of every letter of intent or support from other stakeholders. (Letters should be referenced in the narrative but must be included in the Appendix with a table.)

**(a) Demonstrating how the Participating State Agencies and other partners, if any, will identify a governance structure for working together that will facilitate interagency coordination, streamline decision making, effectively allocate resources, and create long-term sustainability and describing--**

**(1) The organizational structure for managing the grant and how it builds upon existing interagency governance structures such as children’s cabinets, councils, and commissions, if any already exist and are effective;**

**(a) Demonstrating how the Participating State Agencies and other partners, if any, will identify a governance structure for working together that will facilitate interagency coordination, streamline decision making, effectively allocate resources, and create long-term sustainability and describing--**

Governor Andrew M. Cuomo has designated the Office of Children and Family Services (OCFS) as the lead and fiscal agent for this grant. OCFS administers \$975 million for the Child Care and Development Fund, and provides oversight and monitoring of

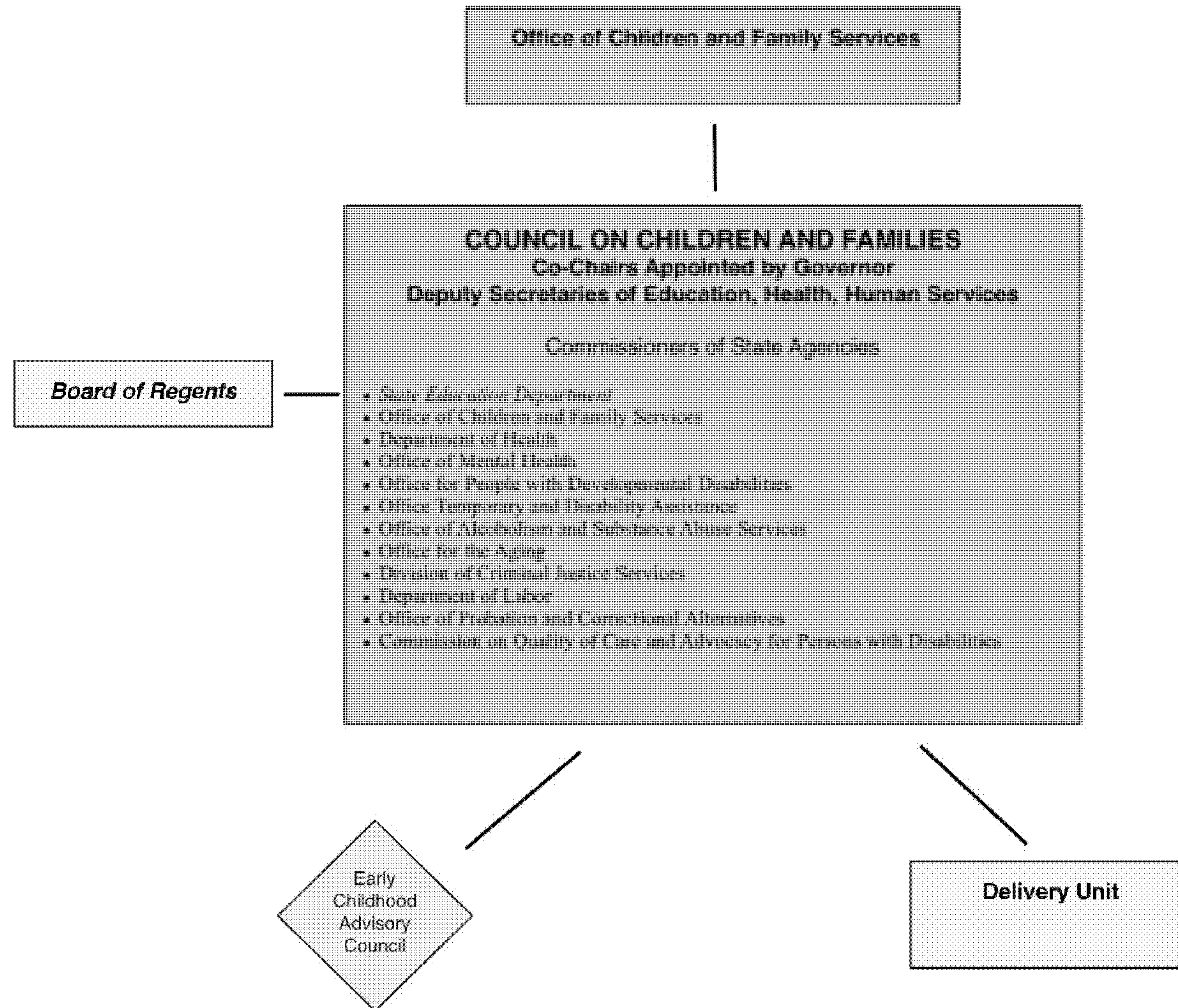
regulated child care programs (family day care, group family day care and school-age child care programs statewide and child day care centers outside of New York City). It also provides statewide oversight and monitoring of legally-exempt child care, publicly funded child care subsidies, child care resource and referral programs (CCR&Rs), and the Advantage After School Program, as well as providing and funding training, services, and professional development activities for Early Learning Development Programs (ELDPs) that serve infants, toddler, preschoolers, and school-age children. OCFS successfully piloted QSNY, the key lever for improving program quality in this grant.

OCFS is dedicated to improving the integration of services for New York's children, youth, families and vulnerable populations; to promoting their development; and to protecting them from violence, neglect, abuse and abandonment. The agency provides a system of family support, juvenile justice, child care and child welfare services that promote the safety and well-being of children and adults. Among the operating principles across all program areas are that services should be developmentally appropriate, family-centered and family-driven, community-based, locally responsive, and evidence and outcome based.

In addition to its early learning activities, OCFS is also responsible for programs and services involving foster care, adoption and adoption assistance, child protective services, preventive services for children and families, juvenile justice services, and protective programs for vulnerable adults, as well as the functions performed by the State Commission for the Blind and Visually Handicapped and coordinating the state government response to the needs of Native Americans on reservations and in communities.

OCFS also administratively houses and is a participating member of CCF (see Appendix SR\_5), an independent State entity charged with coordinating cross agency collaboration and streamlining decision-making. The structure of CCF, comprised of the Commissioners of the 12 State agencies supporting children and families, allows for policy and operational decisions to be resolved by the CCF (See Appendix SR\_6). CCF includes the Commissioner of Education, who is appointed by the Board of Regents. Currently, CCF facilitates the coordination of services with and between OCFS, SED, DOH, OMH and other necessary agencies, in order to effectively allocate resources in the best interest of children. When operational difficulties arise, the agency commissioners on CCF work to ensure that services and programs are delivered more productively.

**(2) The governance-related roles and responsibilities of the Lead Agency, the State Advisory Council, each Participating State Agency, the State’s Interagency Coordinating Council for part C of IDEA, and other partners, if any;**



Governor Cuomo has designated the Deputy Secretaries of Human Services, Health, and Education, who all are appointed directly by the Governor, to serve as the Executive Co-Chairs of CCF. Deputy Secretary of Human Services Kristin Proud oversees OCFS and the Office of Temporary Disability Assistance. She served the administrations of both Governor Cuomo and Governor David Paterson. Previously, she was Deputy Director of State Operations and coordinated the activities of the State's more than 80 agencies and authorities. Deputy Secretary of Health James Introne has recently created significant cost efficiencies in Medicaid, was CEO of ArchCare, and was previously Commissioner for the Office of Mental Retardation and Developmental Disabilities under Governor Hugh Carey. Deputy Secretary of Education David Wakelyn has successfully led K-12 reform projects across 15 states for the National Governors Association.

OCFS with the support of the CCF member agencies, and strengthened by the leadership of the Governor and Executive Chamber, has the capacity and ability to efficiently facilitate interagency coordination and allocate resources. Such partnerships are critical to ensuring that the grant achieves its intended outcomes. CCF has a rich history of improving early childhood supports and services in New York, including the Early Childhood Comprehensive Systems Initiative, Project LAUNCH (Linking Actions for Unmet Needs in Children's Health), and the New York State Head Start Collaboration Project. CCF also serves as a co-convenor of NYSPEP. Under its auspices, CCF served the Children's Cabinet created in 2007 by Governor Eliot Spitzer, which facilitated a significant expansion of health insurance coverage for children and a substantial increase in the number of prekindergarten programs in New York.

The long-term sustainability of CCF is ensured by State statute, and it has the governance structure to oversee ELDPs. CCF orients its priorities toward the development of comprehensive and coordinated systems of care that respond to the wide-ranging needs of children and families in New York. By concentrating its efforts on structural issues, CCF facilitates the efficient and effective delivery of services to children and families.

**(3) The method and process for making different types of decisions (e.g., policy, operational) and resolving disputes; and**

OCFS will have the assistance of the CCF members and Executive Co-Chairs to make decisions and resolve disputes related to the grant. Decisions pertaining to State-funded pre-kindergarten, full-day kindergarten are made by the New York State Board of Regents. The CCF, led by the three Executive Co-Chairs and comprising the twelve Commissioners of the State agencies administering and regulating ELDPs for all children, will make decisions and obtain the on-going support of the agencies implementing the various components of the grant, and to streamline the delivery of services by negotiating best practices within and between agencies.

Under this grant, OCFS will oversee the continued development and operation of QSNY and the professional development under *New York Works for Children*. Ultimately, OCFS, under the leadership of the Governor, will be responsible for the successful implementation of New York's plan to increase access to high-quality ELDPs. OCFS will create a Delivery Unit modeled on the unit SED has created to ensure successful implementation of its successful 2010 RTTT grant. The Delivery Unit will monitor progress on the implementation of the grant and will strengthen New York's capacity to deliver its key priorities on early learning. The roles and responsibilities of OCFS and its Delivery Unit will include:

- \* Project plan and work plan development,
- \* Supervision of detailed tasks related to procurement, contracting, staffing, and resource development
- \* Task execution and monitoring
- \* Project reporting to the federal government in accord with grant requirements
- \* Coordination of teams assigned to implementation tasks
- \* Coordination with CCF, members and Executive Co-Chairs on interagency items and problem escalation and resolution
- \* Stakeholder outreach and input solicitation
- \* Implementation of risk management techniques to make sure project schedule is met

- \* Annual renewal tasks
- \* External communication

To guide its work, the Delivery Unit will establish meaningful metrics on QSNY implementation, New York Works for Children and all related efforts to improve the quality of the workforce, and the creation of the assessment and data system tools. It will report quarterly to CCF members on these metrics. The MOUs will also serve as detailed work plans for each State agency. The Delivery Unit will share the progress made on each of these initiatives visible to the public on the CCF website, keeping it accountable for reaching its goals.

The CCF is administratively housed within OCFS. This governance structure, allows OCFS and CCF to align functions in order to create a comprehensive system of early learning systems administered and regulated by OCFS, and phased into QSNY for performance oversight and assistance.

Under this application, SED will build and monitor the early learning data system and develop and phase-in a KRT. OCFS will be responsible for using early childhood data to drive improvement in early learning programs. Additionally, OCFS will be responsible for using the data from SED's P-20 Longitudinal Data System to tell New York's story of our ELDP, areas of needed improvement, and alignment of ELDP with the kindergarten through college spectrum.

**(4) The plan for when and how the State will involve representatives from Participating Programs, Early Childhood Educators or their representatives, parents and families, including parents and families of Children with High Needs, and other key stakeholders in the planning and implementation of the activities carried out under the grant;**

CCF is also responsible for coordinating the activities of the ECAC, on behalf of OCFS. The ECAC is the Governor's liaison to early childhood advocates and partners and has provided essential contributions to the development of this proposal. Decisions are made by the ECAC Steering Committee and its workgroups by majority vote. The ECAC is charged with engaging a wide-ranging set of entities (early care and learning providers, parents' groups, unions, researchers and other stakeholders) to provide input and recommend how to strengthen the work. The ECAC is also charged with developing improved communication strategies with families

across New York. The ECAC will continue to provide advice and recommendations to OCFS and CCF on ways to improve program quality and access. In turn, CCF leadership and Delivery Unit will provide the data to the ECAC that informs their conversations. Further, the ECAC will hold public hearings twice a year and provide on-going opportunities for public comment through its website, to be reviewed and recommended by the Co-Chairs quarterly. All State agencies under the Governor's jurisdiction will cooperate with, provide assistance to, and review the recommendations of the ECAC, which will be submitted to the Executive Co-Chairs quarterly for their review and determinations.

**(b) Demonstrating that the Participating State Agencies are strongly committed to the State Plan, to the governance structure of the grant, and to effective implementation of the State Plan, by including in the MOU or other binding agreement between the State and each Participating State Agency--**

**(1) Terms and conditions that reflect a strong commitment to the State Plan by each Participating State Agency, including terms and conditions designed to align and leverage the Participating State Agencies' existing funding to support the State Plan;**

**(2) "Scope-of-work" descriptions that require each Participating State Agency to implement all applicable portions of the State Plan and a description of efforts to maximize the number of Early Learning and Development Programs that become Participating Programs; and**

**(3) A signature from an authorized representative of each Participating State Agency; and**

Please refer to the text of the MOU beginning on page 353.

**(c) Demonstrating commitment to the State Plan from a broad group of stakeholders that will assist the State in reaching the ambitious yet achievable goals outlined in response to selection criterion (A)(2)(a), including by obtaining--**

**(1) Detailed and persuasive letters of intent or support from Early Learning Intermediary Organizations, and, if applicable, local early learning councils; and**

**(2) Letters of intent or support from such other stakeholders as Early Childhood Educators or their representatives; the State’s legislators; local community leaders; State or local school boards; representatives of private and faith-based early learning programs; other State and local leaders (e.g., business, community, tribal, civil rights, education association leaders); adult education and family literacy State and local leaders; family and community organizations (e.g., parent councils, nonprofit organizations, local foundations, tribal organizations, and community-based organizations); libraries and children’s museums; health providers; and postsecondary institutions.**

New York received over 200 letters of support from leaders of Early Childhood Learning and Development intermediary organizations, ECAC members, Local Educational Agencies, higher education institutions, community-based organizations, State and local United Way chapters, prominent businesses and their coalitions, cultural organizations, health professionals, and foundations. (See Appendix A\_3\_1). In a show of support for the importance of the early learning agenda in New York, high-ranking members of both Houses of the Legislature, including the Speaker of the Assembly, and the Chairs of the respective Education Committees submitted strong letters in support of the State’s Plan. The letters of support consistently commend the breadth of vision and the action plan in the State’s proposal and recognize the long-term benefit of increasing State and local investments in ELDPs. This support is vital to ensuring steady implementation of the grant activities.

New York has built strong relationships with stakeholders throughout the State whose buy-in to our high quality plan is indicative of the success we will achieve through implementation. The roots of this support stem from the working relationships the CCF has established over the last three decades among a wide range of stakeholders to support and serve young children and their families. Previous efforts such as Governor Mario Cuomo’s Decade of the Child, New York’s Children’s Cabinet, and various gubernatorial commissions on education have expanded the State’s network of ELDPs and intermediary organizations to include advocacy organizations, business and philanthropy, health care and mental health care providers, organizations providing family support services,



colleges and universities, unions, and most important families. Currently, stakeholders from each group are represented on the ECAC, whose members also reflect the geographic and cultural diversity of New York.

The following chart further articulates the governance structure described above and delineates the roles and responsibilities of the OCFS as the Lead Agency, and SED, DOH, and OMH as Participating State Agencies. Moreover, the chart describes the interagency involvement of CCF and the ECAC and lists every Intermediary Organization and local early learning council in the State.

Table (A)(3)-1: Governance-related roles and responsibilities	
Participating State Agency	Governance-related roles and responsibilities
New York State Office of Children and Families (NYSOCFS)	<ul style="list-style-type: none"> <li>• Governor Andrew M. Cuomo designated OCFS as the lead and fiscal agent for this grant. In this role OCFS will facilitate all inter-agency coordination and allocate resources for this grant, it will also be responsible for implementing the following roles and responsibilities:               <ul style="list-style-type: none"> <li>○ Direct the collaboration with other agencies needed to successfully implement this grant, as well as administratively house and oversee the New York State Council on Children and Families (CCF) and Early Childhood Advisory Council (ECAC).</li> <li>○ Streamline the delivery of services by negotiating best practices within and between each agency.</li> <li>○ Lead the scale-up of QUALITYstarsNY (QSNY) from field test to full implementation. Oversee the continued development and operation of QSNY and the professional development under NY Works for Children.</li> <li>○ Create a Delivery Unit to ensure successful implementation of the grant. The Delivery Unit will monitor progress on the implementation of the grant and will strengthen New York’s capacity to deliver its key priorities on early learning. The roles and responsibilities of OCFS and its Delivery Unit will include:                   <ul style="list-style-type: none"> <li>▪ Project plan and work plan development;</li> <li>▪ Supervision of detailed tasks related to procurement, contracting, staffing, and resource development;</li> <li>▪ Task execution and monitoring;</li> <li>▪ Project reporting to federal government in accord with grant requirements;</li> <li>▪ Coordination of teams assigned to implementation tasks;</li> </ul> </li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>▪ Coordination with CCF on interagency items and problem escalation;</li> <li>▪ Stakeholder outreach and input solicitation;</li> <li>▪ Implementation of risk management techniques to make sure project schedule is met;</li> <li>▪ Annual renewal tasks;</li> <li>▪ External communication.</li> </ul> <ul style="list-style-type: none"> <li>○ Use early childhood data to drive improvement in early learning programs. Additionally, OCFS will be responsible for using the data from SED's P-20 Longitudinal Data System to tell New York's story of our ELDP, areas of needed improvement, and alignment of ELDP with the kindergarten through college spectrum.</li> </ul>
<p><b>New York State Department of Health (NYSDOH)</b></p>	<ul style="list-style-type: none"> <li>• DOH will play a critical role in assuring that early learning and development programs have the tools necessary to meet the State goal of identifying and addressing the health, behavioral, and developmental needs of children, to improve school readiness. DOH will provide many in-kind staff contributions to work with OCFS and other participating agencies to incorporate health care standards into all projects undertaken in this grant. In addition DOH will fulfill the following governance-related roles and responsibilities: <ul style="list-style-type: none"> <li>○ Lead the implementation of specific health strategies, with accountability to OCFS as lead agency and CCF as interagency body for oversight of entire ELCG initiative.</li> <li>○ Support QSNY by working with stakeholders to support dissemination of information about QSNY to assist families of infants and toddlers with disabilities in identifying high quality early learning and development programs for their children, including programs where early intervention services can be provided.</li> <li>○ Provide information to Early Intervention programs that operate preschool (including preschool special education) and/or child care programs that may be required or encouraged to participate in QSNY.</li> <li>○ Disseminate information within DOH-sponsored early childhood programs, such as Early Intervention and Home Visiting.</li> <li>○ Lead and coordinate the development of enhanced health standards, including a new expanded Health and Learning rating tool, to be recommended for inclusion in QSNY.</li> <li>○ Participate in regional meetings and follow-up activities to help early learning and development programs develop joint plans for children are served by multiple programs to reduce duplication and improve outcomes</li> <li>○ Work closely with SED and other participating agencies to design and implement an early learning longitudinal data system that links information across the spectrum of early childhood program and service settings.</li> </ul> </li> </ul>

**New York State Education  
Department (NYSED)**

- SED will work with the participating agencies by leading and collaborating on projects undertaken for this grant that provide for clear and developmentally appropriate standards and assessments, an effective early childhood workforce, and improved learning outcomes. SED will leverage some work that has already been begun under its successful 2010 RTTT application, and that work will be supplemented by this grant. In addition SED will fulfill the following governance-related roles and responsibilities:
  - Lead the implementation of linking the P-20 Longitudinal Data System with the Early Learning Data System. SED will work with partnering agencies to design, develop, and implement the plan to link these systems, including building the Early Education Reporting Portal.
  - At the request of the Governor, and following approval by the Board of Regents, establish an Advisory Council to consult in the development and implementation of a statewide Kindergarten Readiness Tool to inform instruction, help close achievement gaps, and provide data to guide the improvement of the early learning system.
  - Support QSNY by continuing the implementation in PLA areas as planned and funded under the 2010 RTTT award. SED will also recommend that the Board of Regents require QSNY participation for UPK programs in 2015. In addition, the Parent Tool Kit being developed by SED will contain information and written materials to inform parents about quality early education and QSNY.
  - Collaborate with OCFS on the development of authentic and developmentally appropriate assessments and a common metric
  - Present to the Board of Regents the Early Learning Guidelines, Head Start Child Development early Framework, and the Core Body of Knowledge for consideration and endorsement.
  - Collaborate with OCFS on the development and presentation of training modules to support early learning standards and the comprehensive assessment system. This will include issuance of an RFP for the development of a video training library.
  - Retain all of its regulatory and statutory oversight of UPK, preschool special education, and registered nonpublic nursery schools and kindergartens as an independent agency governed by the Board of Regents. SED is a non-executive agency will not be subject to proposed changes in regulatory or statutory oversight over any of its programs that are considered in context of RTTT-ELC.

Other Entities	
State advisory council on early childhood education and care	<ul style="list-style-type: none"> <li>• The ECAC is the Governor’s liaison to early childhood advocates and partners and has provided essential contributions to the development of this proposal. The ECAC is charged with engaging a wide-ranging set of entities—early care and learning providers, parents’ groups, unions, researchers and other stakeholders— to provide input and recommend how to strengthen the work. In addition ECAC will fulfill the following governance-related roles and responsibilities: <ul style="list-style-type: none"> <li>○ Develop improved communication strategies with families across New York.</li> <li>○ Continue to provide advice and recommendations to OCFS and CCF on ways to improve program quality and access.</li> <li>○ Hold public hearings twice a year and provide on-going opportunities for public comment through its website, to be reviewed and recommended by the Co-Chairs quarterly.</li> </ul> </li> <li>• All State agencies under the Governor’s jurisdiction will cooperate with, provide assistance to, and review the recommendations of the ECAC.</li> </ul>
State Interagency Coordinating Council for Part C of IDEA	<ul style="list-style-type: none"> <li>• DOH will play a critical role in assuring that early learning and development programs have the tools necessary to meet the State goal of identifying and addressing the health, behavioral, and developmental needs of children to improve school readiness. DOH will provide many in-kind staff contributions to work with OCFS and other participating agencies to incorporate health care standards into all projects undertaken in this grant. In addition DOH will fulfill the following governance-related roles and responsibilities: <ul style="list-style-type: none"> <li>○ Lead the implementation of specific health strategies, with accountability to OCFS as lead agency and CCF as interagency body for oversight of entire ELCG initiative.</li> <li>○ Support QSNY by working with stakeholders to support dissemination of information about QSNY to assist families of infants and toddlers with disabilities in identifying high quality early learning and development programs for their children, including programs where early intervention services can be provided.</li> <li>○ Provide information to Early Intervention programs that operate preschool (including preschool special education) and/or child care programs that may be required or encouraged to participate in QSNY.</li> <li>○ Disseminate information within DOH-sponsored early childhood programs, such as Early Intervention and Home Visiting.</li> <li>○ Lead and coordinate the development of enhanced health standards, including a new expanded Health and Learning rating tool, to be recommended for inclusion in QSNY.</li> </ul> </li> </ul>

- Participate in regional meetings and follow-up activities to help early learning and development programs develop joint plans for children are served by multiple programs to reduce duplication and improve outcomes
- Work closely with SED and other participating agencies to design and implement an early learning longitudinal data system that links information across the spectrum of early childhood program and service settings.

DOH is also the lead agency for New York State’s Early Intervention Program, and in this capacity is responsible for state-level administration and oversight of the EIP. The Bureau of Early Intervention in the Division of Family Health, Center for Community Health, is responsible for (Section 2550(2)):

- Establishing program standards for evaluators, service coordinators, and providers of early intervention services;
- Approving and periodically reapproving evaluators, service coordinators, and providers of early intervention services who meet Department-established standards.
- Monitoring of agencies and individual providers of early intervention services;
- Enforcing compliance with Federal and State requirements for the EIP.
- Providing training and technical assistance to EIP providers and municipal agencies responsible for local administration of the program, to assist them in identifying, locating, and evaluating eligible children; development of IFSPs; provision of appropriate early Intervention services; and development of new services where there is a demonstrated need for these services.
- Correcting deficiencies identified through monitoring.
- Maintenance of a comprehensive system of personnel development to promote the availability of qualified personnel to deliver early intervention services.

As lead agency for the EIP, the Department of Health is also responsible for establishing reimbursement rates for EIP services, with the approval of the Division of Budget and reimbursement municipalities for the State share of early intervention services. The Department is also responsible for collection and reporting of Early Intervention Program data, and is currently transitioning from a legacy data system, KIDS, to a state of the art web-based data system, the New York Early Intervention System (NYEIS).

The Department receives advice and assistance on the Early Intervention Program from the Governor-appointed Early Intervention Coordinating Council, which meets quarterly

<p>Other: Interagency Governance Structure</p> <p><i>Specify:</i> New York State Council on Children and Families (CCF)</p>	<ul style="list-style-type: none"> <li>• The CCF is administratively housed within OCFS. This governance structure, allows OCFS and CCF to align functions in order to create a comprehensive system of early learning programs administered and regulated by OCFS, and phased into QSNY for performance oversight and assistance.</li> <li>• Under this grant CCF will fulfill the following governance-related roles and responsibilities: <ul style="list-style-type: none"> <li>○ Continue to facilitate the coordination of services with and between OCFS, SED, DOH and other necessary agencies, in order to effectively allocate resources in the best interest of children.</li> <li>○ Address operational difficulties if they arise and ensure that services and programs are delivered productively.</li> <li>○ Oversee and coordinate the activities of New York’s Early Childhood Advisory Council (ECAC), including: <ul style="list-style-type: none"> <li>○ Conducting public hearings with the ECAC.</li> <li>○ Providing necessary data to the ECAC to inform its deliberations..</li> </ul> </li> </ul> </li> </ul>
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Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
<b>Intermediary Organizations</b>	
<b>Child Care Resource and Referral Agencies</b>	
ACCORD Corporation (Allegany/Wyoming)	Y
Adirondack Community Action Programs, Inc.	Y
Capital District Child Care Coordinating Council, Inc. (Albany)	Y
Catholic Charities of Delaware and Otsego Counties	Y
Center for Children's Initiatives (Manhattan)	Y
Chautauqua Child Care Council	Y
Chemung County Child Care Council, Inc.	Y
Chenango County Child Care Coordinating Council	Y
Child & Family Resources, Inc. (Ontario)	Y
Child and Family Resource Center of Ontario & Yates Counties, Inc.	Y
Child Care Coordinating Council of the North Country	Y
Child Care Council of Dutchess, Inc.	Y

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List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Child Care Council of Nassau, Inc.	Y
Child Care Council of Oneida County Cornell Cooperative Extension	Y
Child Care Council of Orange County, Inc.	Y
Child Care Council of Suffolk, Inc.	Y
Child Care Council of Westchester, Inc.	Y
Child Care Council, Inc. of Rochester	Y
Child Care Resource Network (Erie)	Y
Child Care Resources of Rockland, Inc.	Y
Child Care Solutions (Onondaga)	Y
Child Development County of Tompkins County, Inc.	Y
Child Development Support Corporation (Kings)	Y
Chinese-American Planning Council, Inc. (Manhattan)	Y
Community Child Care Clearinghouse of Niagara	Y
Cortland Area Child Care Council	Y



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List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Day Care Council of New York, Inc. (Manhattan)	Y
Delaware Opportunities, Inc.	Y
Family Enrichment Network, Inc. (Broome)	Y
Family of Woodstock, Inc. Child Care Council of Ulster County	Y
Jefferson Lewis Childcare Project	Y
Orleans Community Action Committee Child Care Resource & Referral	Y
Oswego County Child Care Council	Y
Schoharie County Community Action Program, Inc.	Y
Schuyler County Child Care Coordinating Council	Y
Southern Adirondack Child Care Network, Inc. (Warren/Washington)	Y
Steuben Child Care Project	Y
Sullivan County Child Care Council, Inc.	Y

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List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
The Committee for Hispanic Children and Families, Inc. (Manhattan)	Y
<b>Other Intermediary Organizations</b>	
Council for Exceptional Children	N
Early Care and Learning Council	Y
Early Childhood Advisory Council	Y
Family Child Care Assoc. of NY	Y
National Association of Early Childhood Teacher Educators-NYS Chapter	Y
New York Head Start Association	Y
New York Zero to Three Network, Infancy Leadership Circles (Erie)	Y
New York Zero to Three Network, Infancy Leadership Circles (New York State)	Y
NYS Association for the Education of Young Children	Y
<b>Union</b>	
Council of School Supervisors and Administrators	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
CSEA (New York State)	Y
New York State United Teachers	Y
New York Union Child Care Coalition	Y
United Federation of Teachers (New York City)	Y
<b>Other Organizations</b>	
<b>Advocacy</b>	
Advocates for Children	Y
Alice Honig	Y
Alliance for Quality Education	Y
Brooklyn Kindergarten Society	Y
Citizen Action	Y
Diane Shafer	Y
Early Childhood Development Initiative	Y
Empire Justice Center	Y

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List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Families Together	Y
Generations United	Y
Head Start Dental Home Initiative	Y
Institute for Infants, Children & Families	Y
Irene Balint Wemer	Y
Kathleen Williams-Ging	Y
Kevin and Jackie Bryans	Y
Literacy New York	Y
Long Island Progressive Coalition	Y
Lorraine Kinney-Kitchen	Y
Nicole Dillon	Y
NYS Day Care Directors Association	Y
Port Washington Child Care Partnership	Y
Schuyler Center for Analysis and Advocacy	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Tammy Ablang	Y
The Children's Agenda	Y
The Coalition of Behavioral Health Agencies, Inc.	Y
Toni H. Liebman	Y
Winning Beginnings	Y
YMCA's of NYS	Y
<b>Business Leaders</b>	
America's Edge	Y
Buffalo Niagara Partnership	Y
First Niagara Financial Group	Y
North Country Chamber of Commerce	Y
The Business Council of New York State	Y
Seavest Inc. Venture Capital	Y
<b>Children Cabinet Advisory Board</b>	
Binghamton City School District	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Citizen's Committee for Children	Y
Harlem Children's Zone	Y
The Children's Defense Fund	Y
United Neighborhood Houses of New York	Y
United Way of New York State	Y
<b>Community Based Organization</b>	
Catholic Charities for the Archdiocese of NY	Y
Family Services of Westchester, Inc.	Y
Hillside Family of Agencies, Crestwood Children's Center	Y
JCY Westchester Community Partners	Y
Jewish Community Center of Syracuse	Y
Literacy Coalition of Onondaga County	Y
Mt. Hope Family Center	Y
National Association of Mothers' Centers	Y
Onondaga County Department of Aging & Youth	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Onondaga County Health Department	Y
<b>ECAC Members</b>	
A.L.Mailman Foundation	Y
Associate Degree Early Childhood Teacher Education Association	Y
Astor Services for Children and Families	Y
Carol Saginaw	Y
Cattaraugus & Wyoming Counties Project Head Start	Y
Children's Aid Society	Y
Docs For Tots New York	Y
Early Childhood Policy Research	Y
Early Years Institute -EDI	Y
Fight Crime: Invest in Kids New York	Y
Health and Welfare Council of Long Island	Y
Infant/Toddler Specialist and Early Head Start	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
National Association of Early Childhood Teacher Educators	Y
National Center for Children in Poverty	Y
New York Center for Child Development	Y
NYC Early Childhood Professional Development Institute/CUNY	Y
NYS Community Action Association, Inc.	Y
NYS Education Department--Education TV and Public Broadcasting	Y
NYS Fed of Growers and Processors Assoc Agri-Business Child Development	Y
Prevent Child Abuse New York	Y
Rauch Foundation	Y
<b>Education</b>	
Cornell University Cooperative Extension of Suffolk County	Y
Early Educators' Network of Greater Rochester	Y



Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Freeport Public Schools	Y
Jumpstart New York	Y
New York City Department of Education	Y
New York State Library	Y
Questar III BOCES	Y
Sesame Workshop	Y
Success By 6	Y
Syracuse City School District	Y
Teach For America	Y
Westbury Union Free School District	Y
<b>Health Professionals</b>	
New York State Nurses Association	Y
NY Project LAUNCH	Y
NY State Coalition for School-Based Health Centers	Y
<b>Higher Education</b>	

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Bank Street College of Education	Y
City University of New York	Y
CUNY—University Dean of Education	Y
ECE PolicyWorks	Y
Empire State College	Y
Long Island University - C.W. Post Campus	Y
Queens College-Division of Education	Y
State University of New York, Office for Community Colleges and the Education Pipeline	Y
<b>Legislators</b>	
Assembly Member Joel Miller	Y
Assembly Member Catherine Nolan	Y
Assembly Member Karim Camara	Y
Speaker, New York State Assembly, Sheldon Silver	Y
<b>Parents</b>	
1199 SEIU Child Care Corporation	Y
Betsy Abrams	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Carla Hibbard	Y
Christina Hann Szydlik	Y
Club Fed--Camp American Elm Room	Y
Club Fed--Camp Cherry Blossoms Room	Y
Club Fed--Camp Dutch Apple Room	Y
Club Fed--Camp Laurel Oak Room	Y
Club Fed--Camp Mighty Redwood Room	Y
Club Fed--Camp Sugar Maple Room	Y
Club Fed--Camp Walking Banyan Room	Y
Club Fed--Water Hole Room	Y
Donna Wood	Y
Elizabeth O'Brien	Y
K. McCarthy	Y
Linda Martini	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Melissa Whipps	Y
Natalie Abramson	Y
Nicole Beatty	Y
Paula Larnay	Y
Shayna Smith	Y
Shirley Herrick	Y
Tanya Gadziala	Y
<b>Philanthropies</b>	
Frog Rock Foundation	Y
Horace Hagedorn Foundation	Y
JP Morgan Chase	Y
Rochester Area Community Foundation	Y
Sandy River Charitable Foundation	Y
The Rauch Foundation	Y
<b>Professional Organizations</b>	

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Children's Institute, Inc.	Y
Conference of Big Five School Districts	Y
Federation of Protestant Welfare Agencies, Inc.	Y
Law Office of Leslie Y. Kimball	Y
New York State Head Start Collaboration Project	Y
New York Head Start State Training and Technical Assistance Center	Y
New York Public Welfare Association	Y
Nurse-Family Partnership	Y
NYS Afterschool Network	Y
NYS Conference of Local Mental Hygiene Director's, Inc.	Y
NYS Parenting Education Partnership	Y
Parent-Child Home Program, Inc.	Y
Reach Out and Read of Greater New York	Y
The NYS Association of Small City School Districts	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
<b>Providers (Child Care)</b>	
Action for a Better Community Inc.	Y
Albany Public Schools Early Childhood	Y
Alternatives for Children	Y
Beatrice Key	Y
Brushton-Moira UPK	Y
Care-a-lot Child Care Inc.	Y
County North Children's Center	Y
Creative Play Childcare	Y
Club Fed	Y
Community Action Organization of Erie County	Y
Cub Care Children's Center	Y
Friedberg Jewish Community Center, Long Beach	Y
Gan Shalom Nursery School	Y
Handicapped Children's Association	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Hastings "Co-op" Nursery School	Y
Mary Ellen DeNardo	Y
Middle County Central School District PreK	Y
NYC Administration for Children's Services	Y
PEACE Inc.	Y
Plattsburgh YMCA Bright Beginnings	Y
Pooh's Corner Child Care Center	Y
Stony Brook Child Care Services	Y
Terrie Perkins	Y
Together We Grow Child Care Center	Y
<b>United Way</b>	
Tioga United Way	Y
United Way of Broome County	Y
United Way of Dutchess County	Y
United Way of Greater Rochester	Y

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
United Way of New York City	Y
United Way of Rockland County	Y
United Way of Seneca County	Y
United Way of Sullivan County	Y
United Way of the Greater Capital Region	Y
United Way of the Southern Tier (Chemung/Steuben)	Y
United Way of Westchester and Putnam	Y



**(A)(4) Developing a budget to implement and sustain the work of this grant. (15 points)**

The extent to which the State Plan--

(a) Demonstrates how the State will use existing funds that support early learning and development from Federal, State, private, and local sources (e.g., CCDF; Title I and II of ESEA; IDEA; Striving Readers Comprehensive Literacy Program; State preschool, Head Start Collaboration and State Advisory Council funding; Maternal, Infant, and Early Childhood Home Visiting Program; Title V MCH Block Grant; TANF; Medicaid; child welfare services under Title IV (B) and (E) of the Social Security Act; Statewide Longitudinal Data System; foundation; other private funding sources) for activities and services that help achieve the outcomes in the State Plan, including how the quality set-asides in CCDF will be used;

(b) Describes, in both the budget tables and budget narratives, how the State will effectively and efficiently use funding from this grant to achieve the outcomes in the State Plan, in a manner that--

(1) Is adequate to support the activities described in the State Plan,

(2) Includes costs that are reasonable and necessary in relation to the objectives, design, and significance of the activities described in the State Plan and the number of children to be served; and

(3) Details the amount of funds budgeted for Participating State Agencies, localities, Early Learning Intermediary Organizations, Participating Programs, or other partners, and the specific activities to be implemented with these funds consistent with the State Plan, and demonstrates that a significant amount of funding will be devoted to the local implementation of the State Plan; and

(c) Demonstrates that it can be sustained after the grant period ends to ensure that the number and percentage of Children with High Needs served by Early Learning and Development Programs in the State will be maintained or expanded.

*The State's response to (A)(4)(b) will be addressed in the Budget Section (section VIII of the application) and reviewers will evaluate the State's Budget Section response when scoring (A)(4). In the text box below, the State shall write its full response to (A)(4)(a) and (A)(4)(c) and may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

Evidence for (A)(4)(a)

- The completed table listing the existing funds to be used to achieve the outcomes in the State Plan (see Table (A)(4)-1)
- Description of how these existing funds will be used for activities and services that help achieve the outcomes in the State

**Plan.**

**Evidence for (A)(4)(b).**

- The State's budget (completed in section VIII)
- The narratives that accompany and explain the budget, and describes how it connects to the State Plan (also completed in section VIII)

**(a) Demonstrates how the State will use existing funds that support early learning and development from Federal, State, private, and local sources (e.g., CCDF; Title I and II of ESEA; IDEA; Striving Readers Comprehensive Literacy Program; State preschool; Head Start Collaboration and State Advisory Council funding; Maternal, Infant, and Early Childhood Home Visiting Program; Title V MCH Block Grant; TANF; Medicaid; child welfare services under Title IV (B) and (E) of the Social Security Act; Statewide Longitudinal Data System; foundation; other private funding sources) for activities and services that help achieve the outcomes in the State Plan, including how the quality set-asides in CCDF will be used;**

In addition to the funds requested under this grant, New York will also be using existing early learning and development funds to support activities and services to help achieve the outcomes in the State plan. Participating Agencies will realign a total of \$15,540,000 in current funding in order to successfully implement the goals articulated in the budget as well as rethink how existing staff and resources can be utilized and current initiatives leveraged to achieve the State's mission. Through a combination of realigning existing funding and in-kind work that will be absorbed in the current participating State agency budgets, and by leveraging ongoing investments, New York demonstrates its willingness to create an integrated system of quality ELDPs accessible to all of New York's children, especially those with high needs, so that they will enter kindergarten ready with the tools to build a successful academic career through college.

OCFS is committed to reprogramming \$15 million in Federal CCDF funds over the course of this grant in order to support the early care and learning system in New York. Each year, OCFS commits CCDF funds for the Educational Incentive Program (EIP), which provides scholarships to income-eligible child care professionals. These funds are currently allocated on a first-come, first-served basis, and are not currently aligned with child care providers' professional development needs. With the development of the Workforce Registry, which is one of the projects that will be supported with funds from this grant, providers participating in QSNY

will be required to enter their training and coursework into the Registry and develop a Quality Improvement Plan in order to achieve a higher Star quality level for their program. To support the training and professional development needed to help providers achieve the goals in their Quality Improvement Plans, OCFS will reprogram some of the funding currently used for EIP into a new scholarship and training reimbursement program called QUALITY Scholars. This funding will increase each year because we anticipate that more and more programs will participate in QSNY and be eligible for QUALITY Scholars reimbursement. In year one, OCFS will commit \$1.5 million in EIP funding toward the QUALITY Scholars program, in year two \$3.5 million, in year three \$4.0 million and in year four \$6.0 million for a total of \$15 million.

The State is also committed to providing SED with \$2,083,134 in State support for the purposes of developing a Kindergarten Readiness Tool (KRT) that will be used to better understand how well prepared young children are when they begin kindergarten. In year one, the State will commit \$1,269,381 in State funding toward this project, in year two \$263,274, in year three \$271,172 and in year four \$279,307.

The Department of Health (DOH) has committed to reprogram \$325,000 over the course of the grant to support activities and services that help achieve the outcomes identified in the State plan. With funds from the grant, DOH will implement an intensive outreach campaign to encourage ELDPs to participate in the Child and Adult Care Food Program (CACFP), which will help achieve the goal outlined in Section (C)(3)(c) of the application to promote healthy eating habits and improve nutrition. Given the intensity of this project, funds from this grant will be needed in order to help support a staff position that will manage the systematic evaluation of CACFP and the overall development of the outreach campaign. As outreach is an allowable use of CACFP funds, DOH will reprogram CACFP administration funding to continue to meet the goal of promoting healthy eating habits and improving nutrition outlined in this application. DOH will reprogram \$5,440 in year one, \$101,247 in year two, \$106,635 in year three, and \$111,678 in year four for a total of \$325,000.

The Office of Mental Health (OMH) has committed to reprogram \$215,000 over the course of the grant to support activities and services that help achieve the outcomes in the State plan. For each year of the grant, \$53,750 has been identified from a special

revenue account that can be reprogrammed to support social-emotional development consultation and build the capacity of staff, families, programs and systems to promote children's social skills and positive emotional development, and to prevent, identify, treat and reduce the impact of disruptive and challenging behaviors among children from birth to age six and their families.

In addition to identifying specific resources and funding streams that can be realigned to meet the goals outlined in the State plan, the participating State Agencies will adjust the focus of staff, as appropriate, to integrate work functions to align with the State plan. For example, each participating agency will be updating their current websites to include information on RTTT-ELC projects such as QSNY, the Workforce Registry and the Comprehensive Assessment System in order to promote the projects associated with implementing the early learning and development system in New York. State websites will also create links to [www.earlychildhood.org](http://www.earlychildhood.org) and other websites to help anyone interested in early childhood, including parents, connect with resources. Also, each participating agency will continue its participation in ECAC meetings as a forum for continuously improving the early learning and development system.

OCFS currently sets aside approximately \$90 to \$100 million annually in CCDF funding for quality improvement activities, which exceeds the minimum requirement of setting aside at least four percent of Child Care Block Grant funding for such activities. This funding supports quality expansion activities including criminal background and fingerprinting checks of child care providers, supports to child care resource and referral agencies (CCRAs), targeted funds to enhance infant and toddler programs in the State and current administrative and regional staff. OCFS has identified the following areas where this quality set-aside funding will be re-programmed to more effectively support the goals articulated in this application.

OCFS commits CCDF funding to support various regional staff to license and register child care providers. This regional staff will be trained on the QSNY program and be given the knowledge to communicate the QSNY project to the child care providers they license. Licensors and registrars are front-line contact between the child care providers and the State, so they will play a critical role in outreach and promotion activities. This will be done within the existing CCDF resources as an in-kind contribution.

OCFS commits CCDF funding annually to Child Care Resource and Referral (CCRR) agencies to provide information and referral services to parents, provide technical assistance to child care programs and providers to promote quality, and develop and maintain provider data bases to determine service utilization and unmet need for additional early childhood services. OCFS will work with the CCRRs to develop ways to re-program CCRR activities and deliverables within existing resources to better align them with the goals of the early learning and development system. These might include promoting QSNY on their websites and outreach materials, helping providers enroll in QSNY, and assisting providers in finding the training and professional development they need to improve the quality of their programs. OCFS recognizes the importance of collaborating with CCRRs and other entities as critical partners in supporting the State's QUALITYNY Plan.

The CCF, the entity in New York that receives Head Start Collaboration funds, will also be reprioritizing its current work to more closely align with the goals and outcomes outlined in the State plan. The CCF will help distribute the *Early Learning Guidelines* to higher education faculty and early learning and development programs in order to assist OCFS in providing information to partners in the early learning and development field. CCF will also develop a crosswalk of the QSNY standards with Head Start Performance Standards and the National Association for the Education of Young Children (NAEYC) Accreditation Standards in order to provide early care and learning programs with information on how these standards can be streamlined to improve the quality of their programs and attain higher star ratings in QSNY.

CCF will also use existing Early Childhood Comprehensive Systems funding to support the RTTT-ELC effort. Current work is being done with this funding as part of a statewide family engagement initiative. These efforts include developing a New Parent Kit to provide information on early learning and development programs, and assisting parents in identifying high quality programs. This project will be aligned with the effort to support outreach to parents regarding the QSNY system and promote awareness of the changes in the early learning and development field.

SED will play a critical role in linking the early care and learning system with the K-12 system in NY. Within current resources, SED will assist school districts receiving UPK funding and their partner agencies bridge the gap between the Workforce Registry and

TEACH system so that credentials are aligned. SED will also provide guidance and technical assistance to school districts receiving UPK funds to encourage those programs to participate in QSNY and support programs such as childhood obesity prevention, health care consulting and family engagement.

In addition, SED is using \$4 million of the 2010 RTTT grant to support the expansion of QSNY in the neighborhoods of the State's 67 Persistently Lowest Achieving (PLA) schools. This work began in September 2011 and involves 480 ELDP sites. The State has begun implementation and is poised to maximize this investment by strategically linking the work being done in the 2010 RTTT grant with the RTTT-ELC initiatives.

DOH will play a critical role in assuring that ELDPs have the tools necessary to meet the State goal of identifying and addressing the health, behavioral, and developmental needs of children to improve school readiness. DOH will provide many in-kind staff contributions to work with OCFS and other participating agencies to incorporate health care standards into all projects undertaken in this grant.

DOH staff will also support QSNY by working with stakeholders to support dissemination of information about QSNY to assist families of infants and toddlers with disabilities in identifying high quality ELDPs for their children, including programs where early intervention services can be provided. This would include providing information to EI programs that operate preschool (including preschool special education) and/or child care programs that may be required or encouraged to participate in QSNY. This would also include the dissemination of information within DOH-sponsored early childhood programs, such as EI and Home Visiting. In addition, DOH staff will also lead and coordinate the development of enhanced health standards, including a new expanded Health and Learning rating tool, to be recommended for inclusion in QSNY.

DOH staff will also work closely with participating agencies by participating in regional meetings and follow-up activities to help early learning and development programs develop joint plans for aligning and, as appropriate, sharing results of assessments when children are served by multiple programs to reduce duplication and improve outcomes for children with high needs. DOH staff will

also work closely with SED and other participating agencies to design and implement an early learning longitudinal data system that links information across the spectrum of early childhood program and service settings.

**(c) Demonstrates that it can be sustained after the grant period ends to ensure that the number and percentage of Children with High Needs served by Early Learning and Development Programs in the State will be maintained or expanded.**

Research by Nobel Prize economist James Heckman also finds early learning to be one of the most valuable steps New York can take to reduce poverty. When successful, New York's high quality plan will reduce, and ultimately eliminate, the achievement gap before it exists.

It is a priority of the Governor and the State to ensure the success of our high quality plan by identifying sustainable funding sources. Beginning in January 2012, the Governor will identify public-private partnerships in the business and philanthropic communities to support quality ELDPs that promote school readiness. This public-private partnership will sustain QSNY as the foundation for New York's high quality plan. Over the course of the next 4 years, State Agencies committed to improving New York's early learning and development system will identify funding streams that will be invested in supporting the sustainability of our high quality plan. Additionally, the Governor will continue to include financial support for New York's plan in the Executive Budget.

A number of costs in New York's grant application are development costs; the annual cost to sustain our Early Learning System is smaller than the budget costs each year. New York's investment in the ELDP system building now will reduce future costs that are caused by a lack of quality early education, as evidenced by the achievement gap: remedial education special education and grade retention in elementary grades. These investments are expected to improve school readiness and should result in system wide savings that would be available for future general support of early learning priorities. OCFS, with the support of the Commissioners on the CCF will identify a mechanism for capturing the savings resulting from our investment in early education infrastructure and invest it in ongoing support for QSNY.

Additionally, New York will see a tangible return on our investment in Early Learning Data Systems and improved ELDPs through QSNY. With this information, policy makers will more readily recognize the value of investing in systems building for quality ELDPs, and this will foster political support for ongoing state investment, additional support from private philanthropy, and willingness of higher-resource providers to take on elements of the cost to sustain the value and return on investments from QSNY.

<b>Table (A)(4) – 1 Existing other Federal, State, private, and local funds to be used to achieve the outcomes in the State Plan.</b>					
<b>Source of Funds</b>	<b>Fiscal Year 2012</b>	<b>Fiscal Year 2013</b>	<b>Fiscal Year 2014</b>	<b>Fiscal Year 2015</b>	<b>Total</b>
<i>OCFS</i>	\$1,500,000	\$3,500,000	\$4,000,000	\$6,000,000	<b>\$15,000,000</b>
<i>SED</i>	\$1,269,381	\$263,274	\$271,172	\$279,307	<b>\$2,083,134</b>
<i>DOH</i>	\$5,440	\$101,247	\$106,635	\$111,678	<b>\$325,000</b>
<i>OMH</i>	\$53,750	\$53,750	\$53,750	\$53,750	<b>\$215,000</b>
<b><i>Total</i></b>	<b>\$2,828,571</b>	<b>\$3,918,271</b>	<b>\$4,431,557</b>	<b>\$6,444,735</b>	<b>\$17,623,134</b>



**(B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System. (10 points)**

The extent to which the State and its Participating State Agencies have developed and adopted, or have a High-Quality Plan to develop and adopt, a Tiered Quality Rating and Improvement System that--

(a) Is based on a statewide set of tiered Program Standards that include--

- (1) Early Learning and Development Standards;
- (2) A Comprehensive Assessment System;
- (3) Early Childhood Educator qualifications;
- (4) Family engagement strategies;
- (5) Health promotion practices; and
- (6) Effective data practices;

(b) Is clear and has standards that are measurable, meaningfully differentiate program quality levels, and reflect high expectations of program excellence commensurate with nationally recognized standards<sup>1</sup> that lead to improved learning outcomes for children; and

(c) Is linked to the State licensing system for Early Learning and Development Programs.

*In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High*

<sup>1</sup> See such nationally recognized standards as: U.S. Department of Health and Human Services. (2009). Head Start Program Performance Standards. Washington, DC: U.S. Department of Health and Human Services. PDF retrieved from: 45 CFR Chapter XIII - 1301-1311 [http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII\\_ENG.pdf](http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII_ENG.pdf) U.S. Department of Defense. DoD Instruction 6060.2, Child Development Programs (CDPs), January 19, 1993, certified as current August 25, 1998 (to be updated Fall 2011). Washington, DC: U.S. Department of Defense. Retrieved from: [http://www.militaryhomefront.dod.mil/portal/page/mhf/MHF/MHF\\_DETAIL\\_1?section\\_id=20.60.500.100.0.0.0.0.0&current\\_id=20.60.500.100.500.60.60.0.0](http://www.militaryhomefront.dod.mil/portal/page/mhf/MHF/MHF_DETAIL_1?section_id=20.60.500.100.0.0.0.0.0&current_id=20.60.500.100.500.60.60.0.0) American Academy of Pediatrics, American Public Health association, and National Resource Center for Health and Safety in Child Care and Early Education. (2011) Caring for Our Children: National Health and Safety Performance Standards: Guidelines for Early Care and education Programs. Elk Grove Village, IL; American Academy of Pediatrics.

*Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

Evidence for (B)(1):

- The completed table that lists each set of existing Program Standards currently used in the State and the elements that are included in those Program Standards (Early Learning and Development Standards, Comprehensive Assessment Systems, Qualified Workforce, Family Engagement, Health Promotion, Effective Data Practices, and Other). (see Table (B)(1)-1).
- To the extent the State has developed and adopted a Tiered Quality Rating and Improvement System based on a common set of tiered Program Standards that meet the elements in criterion (B)(1)(a), submit--
  - A copy of the tiered Program Standards;
  - Documentation that the Program Standards address all areas outlined in the definition of Program Standards, demonstrate high expectations of program excellence commensurate with nationally recognized standards, and are linked to the States licensing system;
  - Documentation of how the tiers meaningfully differentiate levels of quality.

QSNY is New York's common, statewide, tiered Quality Rating and Improvement System created to provide the framework for defining and improving quality in our early learning and development system. QSNY does this by providing ELDPs with aligned Early Learning and Development Standards used in the State (e.g., *Early Learning Guidelines* as described in Section (C)(1), Prekindergarten Foundation to the Common Core, and Head Start Child Development and Early Learning Framework); a common protocol for the assessment of program quality; and leveraged resources for supporting program improvement and rewarding program success. QSNY was designed to include all settings for children that are regulated by a State Agencies in New York: child care and Head Start centers, family child care and group family child care homes, State-funded prekindergarten programs, and registered nonpublic nursery schools (see Appendix SR\_9, SR\_11, SR\_12, SR\_13, SR\_14, SR\_20). QSNY was designed to align with the CAS (see Section (C)(2)), and *New York Works for Children* (see Section (D)).

QSNY emerged from a planning process that began in 2005 and engaged diverse stakeholders from across the State, including public and private agencies, business groups, unions, philanthropies, and professional associations, along with academics, researchers, and advocates. Key stakeholders agreed on two sets of tiered program standards for centers and schools, one for home-based

programs, and a five-tiered point system with standards in four categories: Learning Environment, Family Engagement, Qualifications and Experience, and Management and Leadership.

In 2009, OCFS chose to dedicate \$1.2 million in ARRA funds to field test QSNY, leveraging an additional \$381,000 in private funding, which set a precedent for future public-private support. The 2009 field test included 272 sites located in 13 communities, representing the geographic, demographic, and cultural diversity of New York. The ECAC oversaw the design and implementation of the field test, which was managed and evaluated by the New York Early Childhood Professional Development Institute at the City University of New York (PDI) and the Center for Assessment and Policy Development, in partnership with the National Center for Children in Poverty at Columbia University and Cornell University. The evaluation team's final report, which was completed in April 2011, is attached in Appendix B\_1\_1. Once the field test was completed, the ECAC's Quality Improvement Workgroup responded to the evaluation findings by revising the standards, changing the distribution of points, and making critical policy and procedural implementation decisions (see Sections (B)(1)(a) and (B)(1)(b) for further details).

To build on the success of the field test, SED dedicated \$4 million from its successful 2010 RTTT grant to QSNY. New York was one of eight states to address the Early Learning Invitational Priority in the 2010 RTTT, underscoring SED's commitment to building New York's early learning and development system. These funds support the expansion of QSNY in 480 ELDPs in the neighborhoods of the State's 67 PLA schools in 2011.<sup>2</sup>

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<sup>2</sup> In order to be eligible for federal School Improvement Grant (SIG) funding New York State was required to identify as persistently lowest-achieving the bottom five percent of Title I schools in "Improvement," "Corrective Action," or "Restructuring" status that had the lowest combined performance on the State's English language arts (ELA) and mathematics tests, and that had failed to demonstrate progress on those assessments; as well as the lowest-performing five middle and high schools that were eligible for, but do not receive, Title I funds.

**(B)(1)(a) Is based on a statewide set of tiered Program Standards that include—**

**(1) Early Learning and Development Standards; (2) A Comprehensive Assessment System; (3) Early Childhood Educator qualifications; (4) Family engagement strategies; (5) Health promotion practices; and (6) Effective data practices;**

New York drew upon national standards and accreditation criteria (Table (B) (1)-1) to develop comprehensive standards for QSNY that include (see Appendix B\_1\_2 for the full QSNY Standards):

**(1) Early Learning and Development Standards:** The Learning Environment category of the QSNY standards, valued at 30 percent of overall available points, has five sections on Classroom (or Home) Environment, Child-Teacher Interaction, Child Observation and Assessment, Curriculum Planning and Implementation (CPI), and Health and Learning. The Curriculum Planning and Implementation section awards points to programs and providers using curricula that are aligned with the *Early Learning Guidelines* (see Appendix C\_1\_1) and Prekindergarten Learning Standards (see, for example, item CPI 6 for center/schools and item CPI 6 for homes). Points are awarded for using a curriculum that is culturally competent (see item CPI 4 and CPI 4) and for supporting staff with training and supervision to implement the selected curricula.

**(2) Comprehensive Assessment System:** New York’s CAS for children’s learning and development includes: formal screening<sup>3</sup> of each child upon entry in an ELDP and annually thereafter; ongoing child formative assessments that are appropriate for children, research-based, valid, and reliable; use of formative assessment to inform instruction and for program planning through the Common Metric, a process for analysis of the results of formative assessments; measures of environmental quality and the quality of adult-child interactions for programs and providers in QSNY standards.

The QSNY Learning Environment category in the Child Observation and Assessment section addresses practices for screening and formative assessment of children’s learning and development outcomes. QSNY incorporates the Environment Rating Scales (ERS) as

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<sup>3</sup> The child screening would be a) conducted by professionals specifically trained to do so; b) age- and developmentally appropriate; c) a valid and reliable instrument; and d) able to address developmental, learning, and/or health needs such as physical, behavioral, and oral health, as well as needs in child development hearing and vision.

a measure environmental quality.<sup>4</sup> To measure the quality of teacher-child interactions, QSNY uses the Classroom Assessment Scoring System (CLASS).<sup>5</sup> At the lower Star tiers, ERS is used for program self-assessment. To reach the high 3-, 4- and 5-Star levels, a valid reliable ERS and CLASS assessment must be conducted by an outside assessor.

QSNY is clearly organized into five tiers (Stars 1 to 5, with 5 being the highest Star rating) which are differentiated and progressive by design. Star 1 is equivalent with licensing, meaning that a program site in good standing with the State Agency regulatory standards applicable to that program type;<sup>6</sup> Star 2 focuses on program self-assessment with the ERS and other tools chosen to provide evidence for quality improvement planning; Stars 3 to 5 gradually deepen the commitment to evidence-based quality improvement planning and incorporate independent observations; and Stars 4 and 5 are distinguished by the requirement for both independent ERS and CLASS observations (centers and schools only).

**(3) Early Childhood Educator qualifications:** Early Childhood Educator Qualification and Experience comprise an entire domain of the QSNY standards. This domain awards programs with increasing numbers of points as Early Childhood Educators increase their levels of education and credentials in the Qualifications and Experience category. Points are awarded for health training (TSQ 1), national and State credentials (see TSQ 2-9 for teachers and AQ 1-7 for administrators), and to administrators for ongoing education in management, leadership, and supervision.

**(4) Family engagement strategies:** Family Engagement comprises an entire domain of the QSNY standards, valued at 20 percent of the total available points, and beyond that are incorporated throughout QSNY standards. Family Engagement has sections on

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4 The Environment Rating Scales include: Early Childhood Environment Rating Scale, revised (ECERS-R); the Infant/Toddler Environment Rating Scale, revised (ITERS-R); and the Family Child Care Environment Rating Scale, revised (FCCERS-R).

Harms, T., Cryer, D., & Clifford, R.M. (2005). *Early Childhood Environment Rating Scale, Revised Edition*. New York, NY: Teachers College Press. Harms, T., Clifford, R.M. & Cryer, D. (2007). *Family Child Care Environment Rating Scale, Revised Edition*. New York, NY: Teachers College Press. Harms, T., Cryer, D., & Clifford, R.M. (2006). *Infant/Toddler Childhood Environment Rating Scale, Revised Edition*. New York, NY: Teachers College Press.

5 Pianta, R.C., La Paro, K.M., & Hamre, B.K. (2008). *Classroom Assessment Scoring System (CLASS)*. Baltimore: Paul H. Brookes Publishing Co.

6 The applicable regulatory agencies in New York City are: SED for prekindergarten programs; OCFS for child care and Head Start centers, family child care homes, and group family child care homes; and the NYCDOHMH for child care centers in New York City.

Communication, Involvement and Family Support, and Transitions. Points are awarded for communication with families, for example, daily written reports of a child's experience (C 1), community resources guides (C 7), and providing materials in families' dominant language (C 8). Involvement and Family Support includes being a designated breastfeeding-friendly site (IFS 1), having a parent advisory committee that meets at least quarterly (IFS 5), and conducting program self-assessment using a tool on family responsive practices, such as the Center for the Study of Social Policy's Family Strengthening Self-Assessment tool, and using results for program improvement (IFS 8). The Transitions section addresses policies and practices for transitions into, out of, and within the early learning setting, including daily and annual continuity of care for infants and toddlers (T 4). Transition to kindergarten is specifically addressed (T 3).

**(5) Health promotion practices:** Health promotion standards are addressed throughout the QSNY standards. Current State regulations for child care and State-funded preschool/prekindergarten programs, which are incorporated in QSNY as the basis for the first Star rating, are required to comply with all applicable health and safety codes (see Title 18NYCRR §416 for group family day care, 18NYCRR §417 for family day care, and 18NYCRR §418-1 for day care centers, NYCRR §418-2 for small day care centers, §3602-e of the Education Law and SED Commissioner's regulations 8NYCRR §151-1 in Appendix SR\_11, SR\_12, SR\_13, SR\_21, SR\_1 and SR\_9 respectively). Additional health-related standards within QSNY include: inclusion of health concerns, special needs, enrollment in health insurance, and access to medical and dental homes in a parent questionnaire (COA 1); developmental screening (COA 2-5); providing daily opportunities for age-appropriate physical activity, limiting media screen time, and use of obesity prevention curricula (HL 1-4); staff training on health promotion (HL 5), first aid/CPR (TSQ 1), child development assessment (COA 6-7) and addressing special health care needs of enrolled children (IFS 12); providing information on oral health care, health insurance, medical and dental homes through a parent resource area (C 7); participation in the federal CACFP or compliance with New York CACFP age-appropriate healthy meal patterns, which exceed federal minimum requirements (FAS 5); breastfeeding-friendly designation from the State's CACFP (IFS 1); and effective communication with families and related service providers for children with Individualized Education Plans (IEPs) or Individualized Family Service Plans (IFSPs) (IFS 13). The ERS informs

ratings in the Learning and Environment domain and also includes several health and safety items that contribute to the overall ERS score. The integration of health promotion standards throughout QSNY reflects the State's comprehensive approach to child well-being and strong inter-agency collaboration to support that approach.

**(6) Effective data practices:** The collection and use of data to improve early learning and development at all levels (child, family, staff, program, and community/State systems) is embedded within the QSNY standards and implementation. Essential data elements related to ELDP and provider/educator demographics, qualifications, and experience will be gathered and entered in the QSNY data system as part of the QSNY application and assessment/rating process. The QSNY data system will pool data from the Workforce Registry and will integrate with a statewide, cross-program Early Learning Data System that will be integrated with SED's P-20 Longitudinal Data System (see Section (E)(2) for additional detail).

QSNY standards and implementation address quality assurance controls related to data collection, storage, and transmission procedures. Several QSNY standards address collection and handling of data, including staff training on how to accurately use program and child assessment tools (COA 8 for schools/centers and COA 6 for family homes). These standards refer to a child assessment system in which child assessment data is collected and protected and also shared appropriately with families. Current State statute and licensing regulations, which are incorporated in QSNY as the basis for the first Star rating, address requirements for maintaining confidentiality of child-level data, including the need for parental consent to share data with other parties (see Title 18NYCRR §416.15(a)(7), 18NYCRR §417.15(a)(7), 18NYCRR §418-1.15(a)(5) and §418-2.15(a)(7) in Appendix SR\_11, SR\_12, SR\_13, and SR\_21 respectively).

**(b) Is clear and has standards that are measurable, meaningfully differentiate program quality levels, and reflect high expectations of program excellence commensurate with nationally recognized standards<sup>7</sup> that lead to improved learning outcomes for children; and**

QSNY has standards that meaningfully differentiate program quality levels, reflect high expectations of program excellence commensurate with nationally recognized standards, including the National Association for the Education of Young Children (NAEYC) accreditation standards,<sup>8</sup> the National Association of Family Child Care (NAFCC) accreditation standards,<sup>9</sup> and the Head Start Performance Standards (HSPPS)<sup>10</sup>, and are measurable. (As evidence, see Attachment B\_1\_3 for a crosswalk between the QSNY standards and the Early Head Start and Head Start Performance Standards.) Each of these nationally recognized standards highlights the importance of program elements that the National Research Council has found in exemplary programs, including teacher-child ratios in licensing that support optimal adult-child interaction in the learning environment; developmentally-appropriate, research-validated curricula that provide rich and varied learning experiences; reflective professional development focused on improved practice; collaborative relationships with parents; and comprehensive support services.<sup>11</sup>

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<sup>7</sup> See such nationally recognized standards as: U.S. Department of Health and Human Services. (2009). *Head Start Program Performance Standards*. Washington, DC: U.S. Department of Health and Human Services. PDF retrieved from: 45 CFR Chapter XIII - 1301-1311  
[http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII\\_ENG.pdf](http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII_ENG.pdf)

U.S. Department of Defense. DoD Instruction 6060.2, *Child Development Programs (CDPs)*, January 19, 1993, certified as current August 25, 1998 (to be updated Fall 2011). Washington, DC: U.S. Department of Defense. Retrieved from: [http://www.militaryhomefront.dod.mil/portal/page/mhl/MHF/MHF\\_DETAIL\\_1?section\\_id=20.60.500.100.0.0.0.0.0&current\\_id=20.60.500.100.500.60.60.0.0](http://www.militaryhomefront.dod.mil/portal/page/mhl/MHF/MHF_DETAIL_1?section_id=20.60.500.100.0.0.0.0.0&current_id=20.60.500.100.500.60.60.0.0)

American Academy of Pediatrics, American Public Health association, and National Resource Center for Health and Safety in Child Care and Early Education. (2011) *Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and Education Programs*. Elk Grove Village, IL; American Academy of Pediatrics.

<sup>8</sup> NAEYC *Early Childhood Program Standards and Accreditation Criteria: The Mark of Quality in Early Childhood Education*. (2007). <http://www.naeyc.org/academy/primary/standardsintro>

<sup>9</sup> *The Quality Standards for NAFCC Accreditation* (2005). [http://nafcc.org/media/pdf/accreditation/AccreditationQualityStandards2009\(5-10\).pdf](http://nafcc.org/media/pdf/accreditation/AccreditationQualityStandards2009(5-10).pdf)

<sup>10</sup> U.S. Department of Health and Human Services. (2009). *Head Start Program Performance Standards*. *op cit*.

<sup>11</sup> Nation Research Council. *Eager to Learn: Educating our Preschoolers*. Committee on Early Childhood Pedagogy, B., Bowman, S., Donovan, and M.S. Burns, (Eds). Commission on Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press. 2000



QSNY uses a point system to measure quality across four main categories of standards. Participants can earn up to a maximum number of points in each category. The weighting of each of the four categories reflects the approximate strength of the evidence for each in relation to child outcomes and program quality; it also reflects measurable ways in which programs and providers can demonstrate progress. New York's innovative use of a point structure to determine levels of quality has advantages over the building block system used in many states, because it recognizes a variety of ways that programs can improve quality along a continuum. QSNY requires programs at 2-Star levels and higher to earn at least five points from each of the four categories to ensure comprehensive quality. Further, to earn a Star 5 rating, a program must earn 80 percent of the possible points in each of the four standards categories to ensure excellence among all aspects of program quality.

**(c) Is linked to the State licensing system for Early Learning and Development Programs.**

QSNY standards are designed to build upon, not duplicate, New York's already rigorous licensing regulations for child care, and all licensed programs automatically qualify for a 1-Star rating (see supra on page 158; for NYC child care see Health Code §43 et. seq. and §47 et. seq. contained within Title 24 of the Rules of the City of New York and SR\_22). QSNY is designed to cover all State regulated ELDPs, including family and center based child care, school-based prekindergarten programs, and registered nursery schools. The first tier of QSNY achieves applicable regulatory standards; the remaining tiers are intended to demonstrate increasing levels of quality above any State Agency's regulatory standards.

QSNY is connected to licensure in several key ways. The QSNY data system will import data from a Workforce Registry that will house data on programs, personnel and training; it also will import data on the licensing status of programs applying for and participating in QSNY. All data will regularly be updated so that compliance with regulations, a cornerstone of QSNY, is continuously documented. Programs found to be out of compliance will be placed on a probationary status in QSNY and will have a specified

period of time in which to return to good standing before their Star rating is revoked. Linkages between the OCFS licensing system, the Workforce Registry, and the QSNY data system will be multidirectional.

Licensors will be able to access programs’ rating reports for information; this will likely increase the efficiency of the licensing process. Finally, OCFS licensing staff will serve as ambassadors for QSNY to programs, including providing QSNY promotional materials.

<b>Table (B)(1)-1: Status of all Program Standards currently used in the State</b>							
<b>List each set of existing Program Standards currently used in the State; specify which programs in the State use the standards</b>	<b>Program Standards Elements<sup>12</sup></b>						
	<i>If the Program Standards address the element, place an “X” in that box</i>						
	Early Learning and Development Standards	Comprehensive Assessment Systems	Qualified workforce	Family engagement	Health promotion	Effective data practices	Other
Head Start (42USC9801 et seq)	X	X	X	X	X	X	
Early Head Start (42USC9801 et seq)	X	X	X	X	X	X	
UPK (Title 8NYCRR Part 151)	X		X	X	X		
Voluntarily Registered Nursery Schools (Title 8NYCRR Subpart 125)	X		X	X	X		

<sup>12</sup> Please refer to the definition of Program Standards for more information on the elements.

**Table (B)(1)-1: Status of all Program Standards currently used in the State**

List each set of existing Program Standards currently used in the State; specify which programs in the State use the standards	Program Standards Elements <sup>12</sup>						
	<i>If the Program Standards address the element, place an "X" in that box</i>						
	Early Learning and Development Standards	Comprehensive Assessment Systems	Qualified workforce	Family engagement	Health promotion	Effective data practices	Other
Title I Preschool Programs (Data unavailable)							
Child Care Centers (Title 18NYCRR §418-1 and 418-1.2)	X		X	X	X	X	
Group Family Child Care (18 NYCRR §416)	X		X	X	X	X	
Family Child Care (18 NYCRR §417)	X		X	X	X	X	
Early Intervention (Title 2-A of Art. 25 of the Public Health Law)		X	X	X	X	X	
Preschool Special Education Programs (§4410 of the Education Law; Title 8NYCRR Subpart 200.7, 200.20, 200.22)	X	X	X	X		X	

**(B)(2) Promoting participation in the State's Tiered Quality Rating and Improvement System. (15 points)**

The extent to which the State has maximized, or has a High-Quality Plan to maximize, program participation in the State's Tiered Quality Rating and Improvement System by--

(a) Implementing effective policies and practices to reach the goal of having all publicly funded Early Learning and Development Programs participate in such a system, including programs in each of the following categories--

- (1) State-funded preschool programs;
- (2) Early Head Start and Head Start programs;
- (3) Early Learning and Development Programs funded under section 619 of part B of IDEA and part C of IDEA;
- (4) Early Learning and Development Programs funded under Title I of the ESEA; and
- (5) Early Learning and Development Programs receiving funds from the State's CCDF program;

(b) Implementing effective policies and practices designed to help more families afford high-quality child care and maintain the supply of high-quality child care in areas with high concentrations of Children with High Needs (e.g., maintaining or increasing subsidy reimbursement rates, taking actions to ensure affordable co-payments, providing incentives to high-quality providers to participate in the subsidy program), and

(c) Setting ambitious yet achievable targets for the numbers and percentages of Early Learning and Development Programs that will participate in the Tiered Quality Rating and Improvement System by type of Early Learning and Development Program (as listed in (B)(2)(a)(1) through (5) above).

*In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations. Additionally, the State must provide baseline data and set targets for the performance measure under (B)(2)(c).*

**(a) Implementing effective policies and practices to reach the goal of having all publicly funded Early Learning and Development Programs participate in such a system, including programs in each of the following categories--**

- (1) State-funded preschool programs;**
- (2) Early Head Start and Head Start programs;**
- (3) Early Learning and Development Programs funded under section 619 of part B of IDEA and part C of IDEA;**
- (4) Early Learning and Development Programs funded under Title I of the ESEA; and**
- (5) Early Learning and Development Programs receiving funds from the State's CCDF program;**

Our goal is that New York's ELDPs will be integrated into a coherent system that is driven by developmentally appropriate standards and measureable outcomes. By 2015, QSNY will include all UPK and child care programs serving at least 25 percent subsidized children, programs in 30 high needs communities across the State, and other programs that voluntarily enroll.

QSNY implementation is guided by a philosophy that values universal access by all ELDPs, but that takes into account decades of research documenting the powerful impact of high-quality early care and education on the lives of our most vulnerable children.<sup>13</sup> Building on our current implementation of QSNY in communities with PLA schools, we will continue to expand QSNY through a place-based strategy that targets both publicly and privately funded programs in communities with concentrations of Children with High Needs.

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<sup>13</sup> F.A. Campbell, C.T., Ramey, E. Pungello, J. Sparling, & S. Miller-Johnson (2002), Early Childhood Education: Young Adult Outcomes from the Abecedarian Project, *Applied Developmental Science*, 6(1), 42-57; L.J. Schweinhart (2005). *The High/Scope Perry Preschool Study Through Age 40: Summary, Conclusion, and Frequently Asked Questions*. Ypsilanti, MI: High/Scope Educational Research Foundation.

## Development and Implementation of QUALITYstarsNY

2005-2009	2009-2010	2011	2012	2013	2014	2015
Design	Field Test	Refinement	Readiness	Expansion	Full Access	Learning
<i>Activities</i>	<i>Activities</i>	<i>Activities</i>	<i>Activities</i>	<i>Activities</i>	<i>Activities</i>	<i>Activities</i>
*Development of standards	*192 sites in 13 communities	*Revise standards	*Expansion to PLA schools identified through 2010 RTT	*Subsidized programs join QSNY	*Universal access	*Completion of validation studies and outcome evaluation
*Design of field test	*Evaluation conducted	*Plan for expansion	*Development of online training modules		*UPK mandatory	
	*Validation of assessment	*Continued support to field	*Prepare for required participation in 2013			
			*Procurements for QSNY coordination, quality assessment, quality improvement activities, data systems, and evaluation			
			*Outreach to high-needs communities			
			*Validation studies launched			

### QSNY Implementation Activities

OCFS will oversee the implementation of QSNY as follows:

#### QSNY Implementation: 2012

**Strategy 1: Implementation in PLA Districts:** Through the 2011-2012 and 2012-2013 school years, QSNY will be implemented in 480 sites located near the 67 PLA schools, in addition to the sites that participated in the field test. SED selected CUNY, which coordinated QSNY field test activities, to implement QSNY in the PLA districts, funded through SED's successful 2010 RTTT grant.

**Strategy 2: Outreach to High-Needs Communities:** The initial focus of QSNY is 30 high-needs communities, the identification of which is described in Section (A)(2). The 10 regions will each contain an organizational hub for implementation of QSNY activities.

ELDPs serving Children with High Needs, including children receiving child care subsidies, children with disabilities and special

needs, and English language learners (ELLs) will be recruited to participate in QSNY, beginning in 2012. QSNY regional coordinators will have primary responsibility for the outreach activities described below in Sections (B)(2)(a)(1) – (B)(2)(a)(5).

**Strategy 3: Development of Online Training Tool:** OCFS will support development of three webinars (to be initially presented live, in real time, and then archived online for download at the user’s convenience) and two asynchronous online training modules that will introduce prospective QSNY participants to the Quality Rating and Improvement System and to the enrollment and self-assessment process and provide answers to Frequently Asked Questions. OCFS will complete this using a base of existing resources.

**Strategy 4: Infrastructure building and procurement:** In 2012, OCFS will procure the services of vendors that will be responsible for executing major implementation activities of QSNY, including all personnel responsible for overall administration of QSNY (including database management and sub-contracting for evaluation activities); program assessment and assignment of Star ratings and quality improvement activities; and regional coordinators. OCFS will complete work on the web-based QSNY data system’s “Provider Portal,”<sup>14</sup> program sites will be able to sign up and use the online application beginning in 2012.

**Strategy 5: Announcement of required enrollment of publicly funded child care providers:** OCFS will adopt regulations requiring publicly funded child care providers to participate in QSNY (§390 of Social Services Law, see Appendix SR\_4).

### **QSNY Implementation: 2013**

**Strategy 1: Continued outreach to high-needs communities:** Locally-based QSNY coordinators will continue to recruit programs located in high-needs communities. Beginning in 2013, QSNY will reach all 10 regions of the State, and initial outreach and recruitment of programs in one of 30 targeted high-needs communities will intensify. Programs serving Children with High Needs will be invited to participate; this will include all Head Start and Early Head Start programs and all other settings whose enrollment is at least 25 percent Children with High Needs. In addition, the web-based QSNY data system will be completed.

**Strategy 2: Phase in required enrollment for subsidized child care providers:** Beginning in 2013, all child care providers whose

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<sup>14</sup> The Web-based Early Learning System (WELS) Foundation developed the QSNY Data System for the field test and is currently customizing the online Provider Portal for QSNY implementation; expected completion in late 2011.

enrollment is at least 25 percent subsidized will be required to enroll in QSNY when it is time to renew their license (child care centers and group family child care homes) or registration (family child care). The estimated annual number of new enrollees in QSNY is expected to be approximately 4,200.

**Strategy 3: Validation and evaluation studies launched:** See Section (B)(5) for a description of what this will entail.

**Strategy 4: Universal access:** We also will open up universal access to QSNY beginning in 2013. We will emulate our most successful ELDPs and provide “best practice” videos and strategies on the QSNY and *New York Works for Children* websites. These successful programs will be strong role models for change and high achievement that will create an incentive and motivator for all programs, even those with a longer road to travel to achieve high-quality. While we will target our resources to the neediest programs, New York will encourage enrollment of as many interested providers and program sites as possible, regardless of their geographic location or the population of children they serve.

**Strategy 5: Publicly Release Quality Ratings:** Beginning in 2013, OCFS will utilize the parent portal to make information about quality rated programs widely available to parents, the public, and stakeholders across the State. New York made a strategic decision to wait to publish ratings until the end of 2013, when a critical mass of programs will be enrolled. This will provide a range of rated programs from which parents can choose, and provide sufficient time for programs to meet QSNY standards and ratings.

#### **QSNY Implementation 2014**

**Strategy 1: Continued Expansion in High-Needs Communities:** In 2014, expansion in each of the 10 regions will aim to engage every program in the identified high-needs communities and recruit ELDPs throughout each region that are receiving public funds. To achieve our ambitious goals for QSNY implementation, New York will build on the successful engagement strategies utilized in the field test to attract, recruit, and engage publicly funded programs. Using information sessions held throughout the State, local partner agencies provided recruitment support by publicizing the field test and hosting the information sessions, and all eligible programs were sent informational materials and a letter inviting them to participate. More than twice as many ELDPs applied to participate in



the field test as could be accommodated.

**Strategy 2: Required enrollment for UPK programs.**

**(B)(2)(a)(1) State-funded preschool programs.** SED will recommend that the Board of Regents endorse regulatory changes so that all UPK programs will participate in QSNY by the 2014-2015 school year. Since school districts use at least a minimum of 10 percent of their UPK funding to collaborate with other agencies to provide preschool services to eligible 4-year olds, many UPK programs will already have been part of QSNY (see Appendix SR\_1 and SR\_9). In 2012-2013, all school districts and their collaborating CBOs will be encouraged to engage in the QSNY self-assessment process. Implementation in the 2013-2014 school year will target PLA schools and their collaborating CBOs to seek QSNY assessments and utilize quality improvement assistance as necessary.

**(B)(2)(a)(2) Early Head Start and Head Start programs.** Many Early Head Start and Head Start programs receive child care subsidies and UPK funding in addition to their federal funds. Programs receiving these funds will therefore be required to participate in QSNY. In NYC, the majority of Head Start programs (79) are delegates of the NYCACS. NYCACS will require participation in QSNY through the EarlyLearn NYC initiative. As a result, the majority of Head Start programs in the State will fall within the requirement to participate in QSNY for one of these two reasons. Head Start and Early Head Start programs that do not fall within these requirements will have many incentives to participate in QSNY, including an expedited enrollment process that leverages data from their triennial federal review and CLASS observations administered in compliance with federal Head Start requirements.

**(B)(2)(a)(3) Early Learning and Development programs funded under section 619 of part B of IDEA and part C of IDEA.**

Preschool special education programs were encouraged to participate in the QSNY field test, and ultimately 24 programs, serving preschool students with disabilities at 37 different sites, participated in the process. Because SED has extensive monitoring, a quality assurance system, and supports already in place for preschool special education programs, participation in QSNY will not be required for these programs, although they will be encouraged to participate on a voluntary basis. Information regarding the planning and

implementation of QSNY will be disseminated to parents and providers through technical assistance networks of the Early Childhood Direction Centers and Special Education Parent Centers.

The New York EI program provides services to infants and toddlers with developmental delays and disabilities and their families. Consistent with federal regulations, the vast majority of EI services in New York (more than 90 percent of all services rendered) are delivered using the home- and community-based service delivery model (see Appendix SR\_3, and Title 10NYCRR Subpart 69-4 in Appendix SR\_23).<sup>15</sup> Because QSNY is not designed for this model of individual therapeutic services, and because the DOH has an extensive monitoring and quality assurance system already in place for EI, these programs will not be required to participate in QSNY. The subset of EI providers that also operate child care centers and/or preschool special education programs will be encouraged to participate in QSNY. DOH will work with EI stakeholders to support dissemination of information about QSNY to assist families in identifying high-quality ELDPs for their children, including programs where EI services can be provided to infants and toddlers with disabilities.

**(B)(2)(a)(4) Early Learning and Development Programs funded under Title I of the ESEA.**

In these fiscally challenging times, Title I funding is primarily being used to support teacher positions, and consequently relatively few districts use Title I funds for early childhood education. Most districts using Title I funds for ELDPs also participate in UPK and would therefore be included in QSNY through anticipated changes in UPK regulations.

**(B)(2)(a)(5) Early Learning and Development Programs receiving funds from the State's CCDF program.**

Within two years of implementation, all programs serving at least 25 percent subsidized children will be required to participate in QSNY. The 25 percent threshold was selected to correspond to the threshold established by the federal CACFP for its program participation. Participation in QSNY will also be required for all NYC ELDPs that receive an EarlyLearn NYC contract. EarlyLearn

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<sup>15</sup> Less than 10 percent of EI services are delivered using group developmental intervention services, and those that are provided are typically less than 2 ½ hour sessions, with variation in program models. The NYS Department of Health in collaboration with a task force of the Early Intervention Coordinating Council (EICC) is currently developing standards for group developmental intervention services to ensure consistency and quality in delivery of these services.

NYC<sup>16</sup> is an innovative interagency partnership to expand universal, integrated, high-quality early care and education, utilizing multiple funding streams to support programs through professional development and technical assistance to ensure that programs have the tools needed to meet QSNY standards.

**(b) Implementing effective policies and practices designed to help more families afford high-quality child care and maintain the supply of high-quality child care in areas with high concentrations of Children with High Needs (e.g., maintaining or increasing subsidy reimbursement rates, taking actions to ensure affordable co-payments, providing incentives to high-quality providers to participate in the subsidy program); and**

New York has taken steps to enhance the ability of working and low-income families to access high-quality ELDPs. The major source of funding for non-school-based ELDPs is tuition paid by families. New York offers child care assistance to eligible families through its Child Care Block Grant (CCBG), which includes funds from two major federal funding streams—CCDF and TANF—in addition to State and local contributions. For example, in State fiscal year 2011-2012, New York transferred \$393 million in TANF funds to child care subsidies, compared to \$353 million in State fiscal year 2006-2007. State-funded subsidies help families up to 200 percent of the federal poverty level pay for child care.<sup>17</sup> Notably, New York is one of 3 states that set subsidy payment rates at the federally recommended 75<sup>th</sup> percentile of current market rates (tuition rates paid by private-fee paying families),<sup>18</sup> as determined by a market rate survey, which the states are mandated to conduct every two years. This means that a family receiving child care assistance in New York has access to 75 percent of available care options (based on rates charged by programs/providers for care).

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<sup>16</sup> EarlyLearn NYC seeks to provide the highest quality community-based early care and education services for approximately 42,000 children through center- and home-based care settings, by utilizing contracts that maximize available public funding sources (Head Start, UPK, Child Care, and local tax revenue), as well as private revenues.

<sup>17</sup> Except for TANF recipients, all other recipients of child care subsidies must contribute to the cost of care by paying a county-determined family co-payment, which is linked to family income.

<sup>18</sup> Schulman, K., & Blank, H. *State Child Care Assistance Policies 2010: Reduced Support for Families in Challenging Times*. National Women's Law Center. October, 2011.

OCFS promotes access to child care subsidies for students and migrant workers, who have non-traditional child care scheduling needs and might otherwise not have access to subsidized care. MOUs with other State partners, including SUNY, CUNY, and the Department of Agriculture & Markets allow these entities to determine eligibility and assist parents in locating accessible, quality child care.

Because both subsidized and non-subsidized families already have access to the majority of the market place, the barrier to getting high-quality care is less financial than it is related to the quality of available care. A major emphasis in New York is increasing the quality of the care that families choose through QSNY, especially in high-needs communities. For programs serving Children with High Needs, there will be a continuum of incentives/supports for quality improvement (see criterion (B)(4)). To incentivize high-quality programs (those with Star levels of 4 or 5) to enroll subsidized children, regardless of whether or not they are located in a high-needs community, financial incentive awards will be available to them if 25 percent or more of the children they serve are supported by subsidies. These incentive awards will be available to programs each time their quality rating is renewed.

New York has also expanded families' access to high-quality ELDPs by expanding access to State-funded UPK. As a major policy commitment of the Governor's Office and the State Assembly and Senate, New York's UPK program experienced substantial increases during the 2007-2008 and 2008-2009 school years, expanding by 191 school districts in those two years alone. In the 2007-2008 school year, the NYCDOE, in partnership with the NYCACS, created an interagency MOU to leverage multiple funding streams to provide UPK services to all four-year olds receiving child care and Head Start services at NYCACS sites, resulting in a full-day educational experience for these children. This collaborative arrangement has contributed to steady year-to-year increases in enrollment over a five-year period. Annual enrollment in the UPK program in NYC increased by roughly 10,200 children in the 2010-2011 school year, to 58,000 children.

**(c) Setting ambitious yet achievable targets for the numbers and percentages of Early Learning and Development Programs that will participate in the Tiered Quality Rating and Improvement System by type of Early Learning and Development Program (as listed in (B)(2)(a)(1) through (5) above).**

New York looked to the experience of other states for guidance in projecting achievable targets for increasing participation in QSNY.<sup>19</sup> For example, after six years of implementation, Pennsylvania achieved a participation rate of 80 percent of centers and 33 percent of homes in the Keystone STARS Quality Rating and Improvement System. Based on geographic and demographic similarities between our two states, New York has used these numbers to set our targets for QSNY participation rates at the end of the four-year RTTT-ELC grant period. Defining our scope as including regulated child care, Head Start/Early Head Start, and UPK, this translates to adding 500-1,000 programs in New York per year over the next six years. This is an ambitious expansion timeline, but it is achievable, not only because of the efficiencies that have been incorporated into QSNY as a result of the lessons learned from the field study, but also because of our innovative plans to utilize technology in the recruitment and readiness process. Already we are in the process of expanding QSNY to an additional 480 schools in 2012 and 2013, using \$4 million from SED's successful 2010 RTTT grant.

A web-based application process will enroll programs and providers in QSNY, and screen for program capacity and technical assistance needs as it guides the program or provider through a self-assessment process. In its first year of implementation, New York has scheduled online QSNY webinar-based "readiness seminars" for the purpose of orienting providers to the system. Additional seminars will prepare providers to use ERS as a self-assessment tool that is integral to QSNY. These readiness activities will impact approximately 2,500 providers across the State by June 2012. It is expected that these activities will enable programs to build readiness and momentum within their programs to work independently on their quality improvements.

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<sup>19</sup> Specifically, we looked to data generated by the *Quality Rating System (QRS) Assessment Project, 2008-2011*, sponsored by the federal Administration for Children and Families Office of Planning, Research and Evaluation.

An additional feature of QSNY implementation that supports the achievability of our projections is our continuum of supports and incentives. Not every participating program will need intensive technical assistance—either because the program is already exhibiting the characteristics of a high-quality program, or because it can afford to purchase its own professional development and technical assistance resources. This will moderate the intensity of QSNY implementation, in contrast to the field test experience in which every participating program accessed the services of a quality improvement consultant.

<b>Performance Measures for (B)(2)(c): Increasing the number and percentage of Early Learning and Development Programs participating in the statewide Tiered Quality Rating and Improvement System</b>											
<b>Type of Early Learning and Development Program in the State</b>	<b>Number of sites in the State</b>	<i>Baseline and Annual Targets -- Number and percentage of Early Learning and Development Programs in the Tiered Quality Rating and Improvement System</i>									
		<b>Baseline (a) (Today)</b>		<b>Target- end of calendar year 2012</b>		<b>Target -end of calendar year 2013</b>		<b>Target- end of calendar year 2014</b>		<b>Target- end of calendar year 2015</b>	
		<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
State-funded preschool	2,868	N/A	N/A	86	3	946	33	1922	67	2,868	100
Early Head Start and Head Start <sup>20</sup>	874	N/A	N/A	26	3	288	33	586	67	874	100
Programs funded by IDEA, Part C	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>Sites</b> funded by IDEA, Part B, section 619	645	N/A	N/A	N/A	N/A	19	3	213	33	435	67
Programs funded under Title I of ESEA	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>Sites</b> receiving from CCDF funds	18,700	N/A	N/A	391	2	2,909	16	6,875	37	10,545	56

1. Sirinides, P. (2010, November). Demonstrating Quality: Pennsylvania Keystone STARS 2010 Program Report. PA Departments of Education and Public Welfare. <http://www.ocdelresearch.org/Reports/Keystone%20STARS/Keystone%20STARS%202010%20Evaluation%20Report.pdf>

(a) As noted earlier, the purpose of the field test was to cost-effectively test New York's approach to quality rating and improvement, so as to make Statewide implementation more effective and efficient. It was not the intention of the field test to establish baseline data for the purpose of assessing baseline levels of quality or participation by program type or funding. Nor can it be used retrospectively, because the field test sample was not a representative sample of NY's Early Learning and Development system. Because it was wholly self-selected, we believe that the sample was skewed towards relatively more high-quality programs. We therefore determined that the field test sample would not be a suitable base for projecting QSNY participation over the next four years. Instead, we turned to the State of Pennsylvania, a neighboring State that, like New York State, is relatively large with a mix of urban and rural communities. It is also a State that has a long-term track record with its Keystone STARS quality rating and improvement system. We drew upon data from recently published evaluation of Keystone STARS to guide our projections of future participation rates in QSNY, as well as the percentage of programs that would be at selected Star levels.



**(B)(3) Rating and monitoring Early Learning and Development Programs. (15 points)**

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for rating and monitoring the quality of Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

(a) Using a valid and reliable tool for monitoring such programs, having trained monitors whose ratings have an acceptable level of inter-rater reliability, and monitoring and rating the Early Learning and Development Programs with appropriate frequency; and

(b) Providing quality rating and licensing information to parents with children enrolled in Early Learning and Development Programs (e.g., displaying quality rating information at the program site) and making program quality rating data, information, and licensing history (including any health and safety violations) publicly available in formats that are easy to understand and use for decision making by families selecting Early Learning and Development Programs and families whose children are enrolled in such programs.

*In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

**(a) Using a valid and reliable tool for monitoring such programs, having trained monitors whose ratings have an acceptable level of inter-rater reliability, and monitoring and rating the Early Learning and Development Programs with appropriate frequency; and**

QSNY will use two research-based valid and reliable assessment tools—the ERS and CLASS. While structural indicators such as educator-to-child ratio or cost of care can be important factors in children’s success, observational assessments (such as the ERS and CLASS) that measure process quality have been found to be more predictive of child outcomes.<sup>21</sup> In this section, we explain our choice of these instruments and describe our plan to validate whether the QSNY tiers accurately reflect differentiated levels of quality.

QSNY uses three ERS tools that are valid and reliable measures of environmental classroom quality: Family Child Care Environment Rating Scale (FCCERS); Infant/Toddler Environment Rating Scale (ITERS, center based); and Early Childhood Environment Rating Scale (ECERS-R, center-based). Each scale provides a way to measure the quality of ELDPs on the seven subscales.<sup>22</sup> The ERS tools have been shown to have strong predictive validity of student academic success.<sup>23,24</sup>

Programs seeking a Star 1 or 2 rating will undertake a self-assessment using the appropriate ERS instrument. To receive a Star 3 or higher rating, programs must be independently assessed using both the ERS and CLASS tools.

CLASS is a valid and reliable tool that measures adult-child interactions,<sup>25</sup> which have been proven to be highly predictive of students’ academic and social skill development.<sup>26</sup> CLASS assesses teacher-student interactions within three domains, each of which

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21 Whitebook, M. (1989). *Who cares? Child care teachers and the quality of care in America. Final report, National Child Care Staffing Study*. Berkeley, CA: Child Care Employee Project.

22 Seven ERS subscales are: Space and Furnishings; Personal Care Routines; Listening and Talking (Language-Reasoning); Activities; Interaction, Program Structure; Parents and Provider/Staff.

23. Zill, N., & Resnick, G. *Family and Child Experiences Survey (FACES)*. Westat for Head Start National Study. 1998

27.

- Peisner-Feinberg, E. S., Burchinal, M. R., Clifford, R. M., Culkin, M. L., Howes, C., Kagan, S. L., et al. The relation of preschool child-care quality to children's cognitive and social developmental trajectories through second grade. *Child Development*, 72, 1534-1553. 2001
- Love, J. M., Constantine, J., Paulsell, D., Boller, K., Ross, C., Raikes, H., et al. The role of Early Head Start programs in addressing the child care needs of low-income families with infants and toddlers: Influences on child care use and quality. In J. Constantine (Ed.): *Mathematica*. 2004
- Bryant, D., Maxwell, K., Taylor, K., Poe, M., Peisner-Feinberg, E., & Bernier, K. *Smart Start and Preschool Child Care Quality in NC: Change Over Time and Relation to Children's Readiness*. In K. Maxwell (Ed.). Chapel Hill, NC: FPG Child Development Institute. 2003
- Mashburn, A. J., Pianta, R., Hamre, B. K., Downer, J. T., Barbarin, O., Bryant, D., et al. *Measures of classroom quality in prekindergarten and children's development of academic, language, and social skills*. *Child Development*, 79, 732-749. 2008

25 La Paro, K. M., Pianta, R. C., & Stuhlman, M. *The Classroom Assessment Scoring System: Findings from*

is made up of dimensions that measure interactions known to contribute to positive outcomes for children.<sup>27</sup> Research has shown that higher outcomes on CLASS in the instructional support domain result in better preschool student outcomes in pre-reading and math skills.<sup>28</sup> Additionally, research has shown that higher outcomes on CLASS in the emotional support domain contribute to preschoolers' kindergarten social readiness.<sup>29</sup>

To ensure reliability of ERS and CLASS ratings, New York will procure one or more vendors to recruit, develop, and employ a cadre of objective observers trained to nationally standardized levels of inter-rater reliability (a rate of at least 85 percent for ERS and a rate of at least 80 percent for CLASS). Through this contract, New York will also cover the costs of independent ratings for subsidized child care and UPK programs mandated to participate in QSNY, as well as for all providers in identified high-needs communities. Using a train-the-trainer model, a cohort of master trainers will be trained to train others in the State. These master observers will serve as anchors for the other assessors who will undergo periodic inter-rater reliability checks. The master observers/anchors will also undergo periodic inter-rater reliability checks with each other and receive additional training as necessary. Assessors will be independent observers and will not provide technical assistance to programs. Over the course of the 2009-2010 school year, the Rochester Early Childhood Assessment Partnership completed a pilot of CLASS; similarly, NYC is conducting a pilot of CLASS in 2011. Thus, the State already has a team of trained observers who can be contracted to conduct these program assessments for QSNY ratings, particularly in the short term, allowing the State to build additional capacity over time.

Assessors will conduct ERS and CLASS observations every three years in tandem with the QSNY rating renewal process. A program may request one additional set of ERS and CLASS observations during the three-year rating term, but must pay the cost of this rating themselves. New York has chosen a three-year rating period because ELDPs in New York already receive frequent site

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*the Prekindergarten Year*. The Elementary School Journal, 104(5), 409. 2004

26 Andrew Mashburn, Robert Pianta, Bridget Hamre, Jason Downer, Oscar Barbarin, Donna Bryant, Margaret Burchinal, Richard Clifford, Diane Early, and Carrollee Howes, *Measures of Classroom Quality in Pre-Kindergarten and Children's Development of Academic, Language, and Social Skills*. Child Development, 79, pages 732-749. 2008

27 The three CLASS domains are Emotional Support, Classroom Organization and Instructional Support.

28 Mashburn, Pianta, Hamre, Downer et al., Child Development, 79, pp. 732-749.

29 Timothy Curby, Jennifer Locasale-Crouch, Timothy Konold, Robert Pianta, Carolllee Howes, Margaret Burchinal et al., *The Relations of Observed Pre-K Classrooms Quality Profiles to Children's Academic Achievement and Social Competence*, Early Education and Development, 19, pages 643-666. 2009

visits for regulatory and oversight purposes from State Agencies, and we wish to minimize the burden of visits on programs. Additionally, New York will use information obtained through the full range of visits to supplement data about program quality in between official QSNY visits.

OCFS is working with other regulatory agencies to leverage information from other regulatory visits to improve the quality of monitoring licensed child care programs. For example, OCFS and DOH are building an interface between the CACFP database and OCFS' Child Care Facility System (CCFS) in order to share data about child care providers who are participants in CACFP. The two agencies already share information on a regular basis. OCFS may use information about CACFP terminations/disqualifications, poor observed quality, and other violations to inform complaints and investigations, if warranted.

To supplement three-year QSNY ratings, programs will provide an annual report showing quality improvement efforts and receive a "desk review." The annual desk review, which will be conducted by QSNY regional coordinators, will increase the accountability of the rating system for all customers of QSNY, ensure that rated programs continue to make progress on the QSNY standards, and provide QSNY with the most up-to-date information related to a program's daily operations and overall characteristics. To build on existing interagency collaboration and data sharing policies, any information submitted through annual review pointing to a violation will be reported to the appropriate State regulatory agency.

In preparation for the publication of QSNY ratings starting in 2013, OCFS will develop an appeals process for QSNY programs that seek to challenge a Star rating. The State will conduct a comprehensive review of successful appeal processes developed by other State Quality Rating and Improvement Systems in order to develop a fair and reasonable process for appeals. Programs will have a designated number of days after they receive their QSNY rating to submit an appeal and trigger a review.

## **(b) QSNY and licensing information to parents with children in Early Learning and Development Programs**

In order to support families in making the best possible choices for the care and early education of their children, comprehensive and clear information is critical. New York values transparency and one of our goals for QSNY is that it provide transparent, easily understandable information to parents/caretakers.

**Strategy 1: Creating interfaces between the QSNY data system and the State's regulatory databases:** The QSNY website ([www.qsny.org](http://www.qsny.org)) will interface with the QSNY data system<sup>30</sup> and OCFS and the New York City Department of Health and Mental Hygiene (NYCDOHMH) licensure databases to automatically display the quality Star ratings of all of the ELDPs in New York. It will also function as a new parent portal so that parents/caretakers can access program-specific information on the quality of ELDPs. (This parent portal will be completed by April 2012.) Once the QSNY data system is fully functional, it will be possible for a parent/caretaker or any other interested party to see whether a program site is participating in QSNY and, if so, whether a Star rating has been assigned, and what that rating is. The ratings will be clearly explained, along with instructions on how to learn more about what comprises a particular rating (e.g., the specific domain scores, and even the sub-scale scores), which will give a prospective or current parent/caretaker insights into the strengths of a particular program.

QSNY will also be integrated with the websites of State Agencies (SED, OCFS, and NYCDOHMH) with regulatory responsibility for ELDPs in New York, enabling users to access information about quality and regulatory history and compliance through either the QSNY or State Agency websites.

QSNY builds off of a history of transparency in child care oversight. OCFS has had a searchable website since 2003, allowing families and other stakeholders to access important licensing information online, and to search for child care options that meet their

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<sup>30</sup> The QSNY data system has been developed by the Web-based Early Learning System (WELS) Foundation based in Miami, Florida. WELS provided data management and rating services for the QSNY field test. The system is used in Miami-Dade County's quality rating and improvement system, Quality Counts, and was customized to meet New York State's needs.

needs. NYCDOHMH also administers a website that publicizes up-to-date information on NYC child care centers to help parents/caretakers make the most informed decisions about child care in NYC. Additionally, SED lists locations and contact information of UPK programs and registered nursery schools on its website.

**Strategy 2: Public outreach and information:** In addition to making information available online, ELDPs will be encouraged to help publicize QSNY and will be required to post their four domain scores and overall Star rating at a visible place in their programs. Beyond the program sites themselves, New York will enlist important partners in local Child Care Resource and Referral Agencies (CCR&R), Early Childhood Direction Centers (which provide information and referral services for children with disabilities from birth to five), CSEA and UFT unions representing home-based child care providers,<sup>31</sup> and institutions of higher education. Each of these partners will be enlisted to help spread the word about the importance of quality ELDP experiences in general, and in QSNY in particular.

Finally, in the 30 targeted localities identified as high-needs communities, QSNY regional coordinators will follow an outreach strategy that recognizes and leverages the informal channels through which most families, especially families living in high-needs communities, gather information about ELDP choices. Even in densely populated areas, beauty salons, Laundromats, bodegas/grocery stores, health clinics, and other community-based institutions are often the “go-to” places for information and recommendations about ELDPs. We will engage community partners who are bilingual/bicultural native speakers who possess knowledge and understanding of language and cultural characteristics to ensure that our outreach strategies reach a culturally diverse population. With support from its successful 2010 RTTT grant, SED is developing a parent tool kit that will include written materials and web-based resources to inform parents about the importance of quality early education, including information on QSNY. By considering all community places where families may congregate, we can expand the availability of information about finding quality ELDPs for New Yorkers.

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<sup>31</sup> The United Federation of Teachers represents home-based providers in New York City; and the Civil Services Employees Association represents home-based providers throughout the rest of the State.

Following an approach taken by NYC to recruit families for UPK,<sup>32</sup> the QSNY regional coordinators will reach out to libraries, pediatricians, health clinics, places of worship, and parks and museums, among others, to ask their help in publicizing the importance of quality child care, including announcing the QSNY program and its Star rating system. To support these efforts, the network of CCR&Rs, as well as Early Childhood Direction Centers, will increase their outreach to parents and incorporate Star ratings as part of the program profile they provide to parents. This may include presentations and “lunch and learn” sessions for working parents.

Families of children with special health needs and disabilities face additional challenges in accessing ELDPs for their children. New York supports several important resources to assist these families, including a statewide network of 14 Early Childhood Direction Centers provide information about programs and services for young children, ages birth through five, who have physical, mental, or emotional disabilities. These centers also help families obtain services for their children, such as transportation, medical, educational, and social services, evaluation and assessment services, funding, and child care. The Title V Maternal and Child Health Services Block Grant program (Title V), administered by DOH, supports information and referral services for children with special health care needs in local health departments across the State. Title V also collaborates with the State's Family-to-Family Health Information Center, which provides information, advocacy skills development, and emotional support to families of children and youth with special health care needs. We will engage these partners to promote QSNY participation within their communities, and we will build on these important resources as part of our plan to enhance QSNY health standards, training and other quality supports related to the successful inclusion of children with special health care needs and disabilities in ELDPs (see Section (C)(3)(a-b)).

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<sup>32</sup> Outreach to high-needs communities was conducted in Brownsville, Hunts Point and East Harlem. Staff canvassed the neighborhoods with information about UPK enrollment targeting the areas outlined in this paragraph.

**(B)(4) Promoting access to high-quality Early Learning and Development Programs for Children with High Needs. (20 points)**

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for improving the quality of the Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

- (a) Developing and implementing policies and practices that provide support and incentives for Early Learning and Development Programs to continuously improve (e.g., through training, technical assistance, financial rewards or incentives, higher subsidy reimbursement rates, compensation);
- (b) Providing supports to help working families who have Children with High Needs access high-quality Early Learning and Development Programs that meet those needs (e.g., providing full-day, full-year programs; transportation; meals; family support services); and
- (c) Setting ambitious yet achievable targets for increasing--
  - (1) The number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System; and
  - (2) The number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.

*In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

*Additionally, the State must provide baseline data and set targets for the performance measures under (B)(4)(c)(1) and (B)(4)(c)(2).*



**(a) Developing and implementing policies and practices that provide support and incentives for Early Learning and Development Programs to continuously improve (e.g., through training, technical assistance, financial rewards or incentives, higher subsidy reimbursement rates, compensation);**

Our plan to promote access to high-quality ELDPs, especially for Children with High Needs, has a 10-year time horizon. Our 10-year goal is that all Children with High Needs will attend a 3-, 4-, or 5-Star program. The goal is that more than half of the State's ELDPs will be at the Star 3 level or above by the end of 2015. To achieve this goal, we will provide a variety of supports and incentives for programs to improve.

QSNY lays the groundwork for continuous improvement by creating a consistent definition of quality that all programs in the State can use to drive improvement. From the field test, we learned that having resources and support for quality improvement was the most frequently mentioned incentive or reward for participation cited by both participants and other programs. For this reason, our strategy to engage programs in QSNY will prioritize resources and supports for quality improvement, including both broadly available resources and tailored consultation for high-needs providers, over other types of incentives.

**Strategy 1: Define quality for programs and providers.** Upon enrolling in QSNY, all providers will participate in a guided self-assessment. Using the web-based QSNY data system's "Provider Portal,"<sup>33</sup> program sites will be able to sign up and use the online application beginning in 2012. The online application will include the standards and a built-in documentation checklist that notes the titles of all referenced assessment tools but does not include the actual items within them.<sup>34</sup> This will allow applicants to create a provisional rating for themselves—a first step towards a self-assessment. In the process, ELDPs will be introduced to the elements that comprise a high-quality program. A licensed or otherwise State-regulated program that is in good standing with its regulatory body will become a Star 1 by applying.

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<sup>33</sup> The Web-based Early Learning System (WELS) Foundation developed the QSNY Data System for the field test and is currently customizing the online Provider Portal for QSNY implementation; completion expected in in late 2011.

<sup>34</sup> Note that an online QSNY application, for those applicants eligible for on-site assessments, will include the overall and sub-scale scores of external assessments in their online record in the QSNY Data System.

To proceed past a Star 1 rating, QSNY applicants will be required to take an online training course, “Introduction to QNSY,” that will be developed by OCFS. Recorded copies of the webinar will be available for download by June 2012 at the QSNY website.

**Strategy 2: Provide support for quality improvement.** The QSNY implementation plan targets the most intensive supports to programs serving children with high needs. Publicly funded programs located in high-needs communities will be assigned Quality Improvement Consultants to provide support and interpret the observational assessments. They will review the program’s standards self-assessment information, assist participants in writing a Quality Improvement Plan (QIP), help participants to identify local or regional resources to meet their unique needs for QIP implementation, and work to build the capacity of program directors to drive change. New York's decision to focus quality improvement support investments in high-need communities will allow Quality Improvement Consultants to establish communities of practice among QSNY-participating ELDPs in these communities, to foster collaboration across diverse ELDPs and enable program staff to share best practices and resources and engage in shared problem-solving around common challenges. These communities of practice are a cost effective way to enhance the quality supports available to both lower-quality providers, who can learn from their higher-quality peers, and higher-quality providers, who may not need intensive one-to-one support but can still benefit from group support provided in communities of practice, as well as opportunities to share their successful strategies with other providers.

The QIP will be organized around the four categories of the standards: Learning Environment, Staff Qualifications and Experience, Family Engagement, and Management and Leadership. Each component of the QIP will have an overall goal and numerous action items linked to that goal. The QIPs will be updated regularly as participants achieve the outlined action goals, and programs and providers will be held accountable to the action items described in their QIP. Additionally, the QSNY data system captures levels of financial and technical assistance investments in programs that can be used to assess the effectiveness of the various supports and incentives a program receives.

In the initial phase of implementation, consultations will focus on providers in the catchment areas of PLA schools, and other high-needs areas identified by the State. Information on these consultations will be collected centrally through the QSNY data system and

used to inform statewide policy around workforce investments and strategies to help programs improve quality. Improvements will be measured by increases in program ratings and by professional growth through education and training. These data can be connected with child outcome measures once the State adopts a common metric.

To inform allocation of resources, the online QSNY application will capture ELDP, Early Childhood Educator, and demographic information, and include a series of questions that assess capacity to improve. These data together will help identify programs that should be targeted for quality improvement support.

**Strategy 3: Provide incentives to support and recognize quality.** All programs participating in QSNY, both voluntarily and as a condition for receiving UPK or child care subsidy funds, will have participation incentives. These incentives will include a public recognition as a Star-rated program. QSNY will implement an aggressive public information campaign (aligned with the phased statewide roll-out plan) to raise awareness about Star ratings and drive parents to choose high-quality programs, and providers will receive rating certificates that can be posted at their site.

Using RTTT-ELC funds included in our budget, New York will also provide financial incentives to support program improvement and recognize quality, including:

- **Improvement Support Grants:** To recognize and reward improvement, such as movement from one Star level to the next highest. ELDPs serving at least 25 percent high-needs children will be eligible for Improvement Support Grants. These awards, which will be intended to help offset the cost of program improvements, will range from \$500 to \$7,500 and will depend on the program site's enrollment, quality rating, and whether or not it is located in a high-needs community.
- **Quality Achievement Awards:** These awards will reward achievement of quality level for a program that reaches the Star 4 or Star 5 level. They will be targeted to program sites in high needs communities, but will be provided to any high-achieving program, dependent on funding. Intended to acknowledge programs that reach the highest quality ratings that are not located in high-needs communities, the size of these awards will be nominal and the emphasis of the award will be the public recognition that accompanies it.

- **Service Incentive Awards:** These are direct, nominal supports of up to \$250 for programs earning a Star 4 or Star 5 rating regardless of geographical location, and whose enrollment comprises at least 25 percent Children with High Needs. They will be designed to incentivize programs to enroll subsidized children.

**(b) Providing supports to help working families who have Children with High Needs access high-quality Early Learning and Development Programs that meet those needs (e.g., providing full-day, full-year programs; transportation; meals; family support services); and**

New York places a priority on helping working families, especially families who have Children with High Needs, access high-quality ELDPs.

NYC has been a national leader in interagency collaboration to enable providers to combine child care, Head Start, and State prekindergarten funds to provide high-quality, full-day ELDP experiences for young children. NYCACS recently launched the EarlyLearn NYC initiative, which integrates multiple funding streams to provide full-day services to high-needs families. Among its many features are several that are geared to helping working families with Children with High Needs access high-quality programs.

For example, EarlyLearn NYC:

- Raises program standards and expected child outcomes, ensuring programs are developmentally focused;
- Encompasses important support services for all children and families;
- Increases infant and toddler care, especially through home-based settings, to meet the needs of a greatly underserved population; and
- Provides more full-day (8-10 hours) and full-year programs for the most vulnerable children through Child Care, Head Start, and UPK.

EarlyLearn NYC is a promising model for the State and OCFS will collect information from NYCACS and NYCDOE to determine its potential applicability with other communities in the State.

New York commits funds towards the goal of improving the quality of infant and toddler care. Funds are used to provide enhanced technical assistance to child care providers, including addressing specific issues they have identified in their program, and supporting providers as they develop new infant/toddler care programs. The State (through OCFS) commits these funds with the goal of having a child care delivery system that supports very young children's healthy physical, social, and emotional development, and better prepares them for school.

In order to promote better quality meals for children in child care settings, OCFS coordinates with DOH's CACFP. Per State Regulations, Legally-Exempt Caregiver Enrollment Agencies (LECEA) must refer family child care providers who provide legally-exempt family child care for subsidized children to the CACFP program (see Appendix SR\_14 for 18 NYCRR Part 415, in particular, 18NYCRR§415.4(f)(8)(i)). Additionally, regulations allow for local social services districts to implement an additional local standard for enrollment requiring participation in CACFP by any legally-exempt family child care provider caring for a subsidized child an average of 30 or more hours per week.

One promising approach to addressing this situation is Shared Service Alliances, which bring together a group of programs to share administration and management to create economies of scale. One of the model Alliances is in New York's Steuben County (rural, high poverty) and focuses on family child care providers. The Alliance offers recruitment and enrollment of children, offers access to group purchasing of supplies and equipment, fiscal management training and/or direct services and families, tax preparation assistance, early literacy curriculum, and materials and training on the pre-school component of the research-based curriculum used by their local school district or by Steuben County Head Start.

<b>Performance Measure for (B)(4)(c)(1): Increasing the number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System.</b>					
	<b>Baseline (Today)</b>	<b>Target- end of calendar year 2012</b>	<b>Target- end of calendar year 2013</b>	<b>Target- end of calendar year 2014</b>	<b>Target- end of calendar year 2015</b>
<b>Total number of programs covered by the Tiered Quality Rating and Improvement System</b>	NA	500	4,162	9,596	14,722
<b>Number of programs in Star 1</b>	NA	No ratings until 2013	1,665(40%)	3,359 (35%)	2,944 (20%)
<b>Number of programs in Star 2</b>	NA	No ratings until 2013	1,249 (30%)	2,399 (25%)	3,681 (25%)
<b>Number of programs in Star 3</b>	NA	No ratings until 2013	624 (15%)	1,919 (20%)	3,681 (25%)
<b>Number of programs in Star 4</b>	NA	No ratings until 2013	416 (10%)	1,439 (15%)	2,944 (20%)
<b>Number of programs in Star 5</b>	NA	No ratings until 2013	208 (5%)	480 (5%)	1,472 (10%)
<i>Include a row for each tier in the State's Tiered Quality Rating and Improvement System, customize the labeling of the tiers, and indicate the highest and lowest tier. [Please indicate if baseline data are actual or estimated; describe the methodology used to collect the data, including any error or data quality information. Also, if applicable, describe in your narrative how programs participating in the current Tiered Quality Rating and Improvement System will be transitioned to the updated Tiered Quality Rating and Improvement System.]</i>					

New York State conducted a field test in 2010. However, the data gathered through that study does not serve as an accurate baseline for this purpose. The programs in the field test self-selected, and were not a representative sample of the different modalities of care and/or funding streams.

The target for the end of calendar year 2012 includes 300 programs which will be identified through the current RTTT agreement; RTTT-ELC funds will allow an additional 180 programs to be incorporated in the implementation plan.

Percentages are based on the expectation that more programs will be at the lower Star levels in the early years of implementation. Using the experience of the state of Pennsylvania as a benchmark, movement to increased levels of quality may take up to two years, on average. (from “Demonstrating Quality: Pennsylvania Keystone STARS 2010 Program Report”)

**Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.**

Type of Early Learning and Development Program in the State	Number of Children with High Needs served by SITES in the State	Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System									
		Baseline (Today)		Target- end of calendar year 2012		Target -end of calendar year 2013		Target- end of calendar year 2014		Target- end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
State-funded preschool <i>Specify: (78 percent of Total enrollment of 105,000 considered high needs</i>	84,752	N/A	N/A	0	0	8,390	10	22,714	27	46,641	55
Early Head Start and Head Start	61,043	N/A	N/A	0	0	6,043	10	16,360	27	33,574	55
Early Learning and Development Programs funded by IDEA, Part C	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Early Learning and Development Programs funded by IDEA, Part B, section 619	73,984	N/A	N/A	N/A	N/A	666	1	9,766	13	27,263	37
Early Learning and Development Programs funded under Title I of ESEA	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Early Learning and Development Programs receiving funds from the State's CCDF program	75,525	N/A	N/A	0	0	3,524	5	11,106	15	23,423	31



**Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.**

Type of Early Learning and Development Program in the State	Number of Children with High Needs served by SITES in the State	<i>Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System</i>									
		Baseline (Today)		Target- end of calendar year 2012		Target -end of calendar year 2013		Target- end of calendar year 2014		Target- end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%

Tiers 4 and 5 denote top tiers. The numbers are estimates based on the field study. Because we do not have accurate baseline numbers, we used data on the average ratings that various types of ELDPs received in the field test, and projected those numbers across the four grant years. Numbers of children being served in top tier programs are based on the average number of children served in field test programs. Because we include a larger percentage of family child care programs during the next four years we adjusted that figure slightly.

**(B)(5) Validating the effectiveness of the State Tiered Quality Rating and Improvement System. (15 points)**

The extent to which the State has a High-Quality Plan to design and implement evaluations--working with an independent evaluator and, when warranted, as part of a cross-State evaluation consortium--of the relationship between the ratings generated by the State's Tiered Quality Rating and Improvement System and the learning outcomes of children served by the State's Early Learning and Development Programs by--

(a) Validating, using research-based measures, as described in the State Plan (which also describes the criteria that the State used or will use to determine those measures), whether the tiers in the State's Tiered Quality Rating and Improvement System accurately reflect differential levels of program quality; and

(b) Assessing, using appropriate research designs and measures of progress (as identified in the State Plan), the extent to which changes in quality ratings are related to progress in children's learning, development, and school readiness.

*In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

**(a) Validating, using research-based measures, as described in the State Plan (which also describes the criteria that the State used or will use to determine those measures), whether the tiers in the State's Tiered Quality Rating and Improvement System accurately reflect differential levels of program quality; and**

As demonstrated in the 2009 QSNY field test, New York is committed to using research-based measures to validate and evaluate QSNY. Building on the field test, New York will continue to work with independent evaluators to select a research design utilizing

valid and reliable measures. New York will work with the evaluators to conduct three types of evaluation: validation of the tiers of QSNY, validation of QSNY ratings against student outcomes, and implementation evaluation of QSNY’s PLA rollout in 2011-12.

The field test produced key findings about the differentiated levels of program quality in the QSNY tiers, which have informed our ongoing implementation of the system. First, the average number of points assigned was 45 out of 100 possible points across all participating programs and providers. Second, the fewest points were generally assigned for the Qualifications and Experience category. Third, almost all public schools and centers were at the Star 3 or Star 4 level. Family child care home provider settings were typically clustered at the Star 1 and Star 3 levels. Finally, there were no participants at the Star 5 level.

Following the field test, the ECAC’s Quality Improvement Workgroup revised the weighting criteria for QSNY to better reflect evidence on the weight of each of the four factors in improving child outcomes, and to reflect feedback from QSNY field test participants. The revised weighting places greater emphasis on the Learning Environment and Family Engagement categories, because of the strong evidence for the relationship of adult-child interactions to child outcomes. These revisions also allow programs to demonstrate their specific strengths when determining overall quality, and achieve higher quality ratings with reasonable effort, support, and resources within a two- to three-year period. The original and revised weightings are as follows:

QSNY Standards Category	Point Distribution: Field Test	Revised Point Distribution
Learning Environment	25% of points	30% of points
Family Engagement	15% of points	20% of points
Qualifications and Experience	35% of points	25% of points
Management and Leadership	25% of points	25% of points

The points defining the five levels of QSNY were not altered, since an equal distribution of total points across the Star levels (e.g., 20 points between each level) is accurate, and helps explain the “value” of each level to participants and to parents.

QSNY will be rolled out with a revised point structure and include an additional instrument to measure the quality of adult-child interactions. It will also eventually implement an enhanced Health and Learning (HL) survey tool. Building on lessons learned from the field test, New York will again contract with an independent evaluator to validate the tiers of QSNY.

Several fundamental principles of the validity of QSNY will need to be evaluated. Through the Qualifications/Experience and Learning Environment domains, QSNY allocates 55 percent of a program's total score based on the lead Early Childhood Educators responsible for children's growth and development ability. New York will work with evaluators to validate that the emphasis on these categories, as well as the inclusion of the adult-child interaction measure, differentiate levels of program quality in an accurate manner. Because QSNY will involve observational assessments of one classroom/teacher in ELDPs, we will work with an independent evaluator to determine the relationship between independent program level quality ratings and QSNY ratings. Some ways of measuring quality independently of the program level or QSNY rating might include repeated observations of the same teacher to validate the assumption that program quality is related to the ability to maintain (or improve) quality over time. Another option will be to measure whether all individual teachers in ELDPs have similar levels of quality, to assess the program quality in its ability to ensure that every child in the program is in a quality learning environment.

The assessments incorporated in QSNY measure elements that have been shown to be closely associated with improved child outcomes. While we believe that we have selected the best possible measures for the items in the rating scale, differentiated levels of quality determined through QSNY should be validated by using multiple measures that address the same elements of quality in a representative sample of ELDPs. We have tools to validate the measures of QSNY, such as the Program Administrator Scale (PAS) to validate the Management/Leadership measures. We will work with an independent evaluator to validate the differentiated levels of ELDP quality rated through QSNY.

In addition, New York will implement and validate a second independent assessment of the critical adult-child interactions taking place in the early learning environment. The Supports for Social-Emotional Growth Assessment (SSEGA) is an observation-based classroom assessment instrument that documents the strength of key supports for children's social-emotional growth (e.g., space and

materials conducive to small group play), classroom routines and activities (e.g., adequate time for peer interaction, unhurried transitions) and teacher behavior (e.g., guidance to help children develop positive peer relationships and skills in conflict resolution).<sup>35</sup> The 16-item measure, which was developed for use with children ages 3 to 5 in center-based settings, was developed and piloted in prekindergarten classrooms in low-income, urban communities. SSEGA complements the ERS by expanding the focus on children's social-emotional development, which research has shown is critical to positive child outcomes. The opportunity afforded by the expansion of QSNY to conduct validity and reliability studies of SSEGA would add significantly to the field and provide an additional tool for assessing and improving the quality of the early learning setting.

**(b) Assessing the extent to which changes in quality ratings are related to progress in children's learning, development, and school readiness.**

New York will engage an independent evaluator to examine the extent to which changes in quality ratings are related to improved outcomes for children. We will work with the evaluator to select a research design utilizing reliable measures that will rigorously evaluate the validity of QSNY in its ability to measure program quality that is linked to children's progress in learning, development, and school readiness.

The main objective in evaluating the relationship between a change in QSNY ratings and improved outcomes for children is to ensure that the measures of quality in QSNY are indeed measuring improvements that move programs toward our ultimate goal of school readiness for children. Specifically, the evaluator would need to examine to what degree specific measures in QSNY are related to child outcomes.

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35. S. Smith (unpublished). *Supports for Social-Emotional Growth Assessment (SSEGA)*. New York University Steinhardt School of Education.

Although New York has a strong record of highly inclusive programs, we will also work with evaluators to validate how well QSNY standards accommodate programs serving children with disabilities. The evaluation of this aspect of QSNY will inform potential enhancements to QSNY standards building on robust State policies to support improved inclusiveness in mainstream ELDPs.

A rigorous approach to evaluating the relationship between QSNY and improved outcomes for children will require on-going data gathering and assessments. Development and school readiness will need to address all Essential Domains of School Readiness because there is clear evidence that social-emotional development is key to language and cognitive development. An essential measure in this process is the KRT. We will work with the evaluators to select measures for children's progress that are authentic, unobtrusive, and ideally based on multiple opportunities for observation whenever possible. The evaluators will also be encouraged to use assessments that are standard throughout the field to ensure that New York's measures of student outcomes align with nationally utilized measures. Although measuring change in children's development and learning is challenging, one possible approach is to compare the rate of gain in learning and development for children in a specific program when it is at one quality level and compare that rate with the rate of gain for children once the program has improved.

Additionally, there are clear issues of selection bias when measuring the relationship between a particular program's quality improvement and child outcomes. We will include in the bid for the evaluator a requirement that all potential evaluators address the methodological approach that they will use to correct for selection bias and other potentially complicating factors, and will draw on independent peer reviewers to assist in evaluating the strength of evaluators' proposed designs. Family characteristics and demographic data will also be made available to evaluators. By comparing QSNY family characteristics to population characteristics, evaluators will also be able to provide information on children and families that are not reached through the QSNY work to inform QSNY outreach and program recruitment efforts.

**(C)(1) Developing and using statewide, high-quality Early Learning and Development Standards.**

The extent to which the State has a High-Quality Plan to put in place high-quality Early Learning and Development Standards that are used statewide by Early Learning and Development Programs and that--

(a) Includes evidence that the Early Learning and Development Standards are developmentally, culturally, and linguistically appropriate across each age group of infants, toddlers, and preschoolers, and that they cover all Essential Domains of School Readiness;

(b) Includes evidence that the Early Learning and Development Standards are aligned with the State's K-3 academic standards in, at a minimum, early literacy and mathematics;

(c) Includes evidence that the Early Learning and Development Standards are incorporated in Program Standards, curricula and activities, Comprehensive Assessment Systems, the State's Workforce Knowledge and Competency Framework, and professional development activities; and

(d) The State has supports in place to promote understanding of and commitment to the Early Learning and Development Standards across Early Learning and Development Programs.

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

Evidence for (C)(1)(a) and (b):

To the extent the State has implemented Early Learning and Development Standards that meet any of the elements in criteria

(C)(1)(a) and (b). submit--

- Proof of use by the types of Early Learning and Development Programs in the State;
- The State's Early Learning and Development Standards for:
  - Infants and toddlers
  - Preschoolers
- Documentation that the standards are developmentally, linguistically and culturally appropriate for all children, including children with disabilities and developmental delays and English Learners;
- Documentation that the standards address all Essential Domains of School Readiness and that they are of high-quality;
- Documentation of the alignment between the State's Early Learning and Development Standards and the State's K-3 standards, and

**(C)(1)(a) Includes evidence that the Early Learning and Development Standards are developmentally, culturally, and linguistically appropriate across each age group of infants, toddlers, and preschoolers, and that they cover all Essential Domains of School Readiness**

New York has Early Learning Development Standards that are developmentally, culturally, and linguistically appropriate across age groups and inclusive of all service delivery systems. Our Early Learning and Development Standards are designed to foster high-quality learning, experiences, and outcomes for all children, and support our goal of ensuring that all of New York's children achieve standards across the Essential Domains of School Readiness, are healthy as they transition into kindergarten, and continue on the road to becoming college and career ready. New York's Early Learning and Development Standards encompass three aligned documents:

(1) *The Early Learning Guidelines*, (2) *The Head Start Child Development and Early Learning Framework*, and (3) *The Prekindergarten Foundation for the Common Core* (See Appendix C\_1\_1, C\_1\_2 and C\_1\_3 for each set of standards).

Each of these three documents serves a specific role in developing a strong foundation for school readiness for all children. The *Early Learning Guidelines* provide information to enable professionals, caregivers, and parents to understand, track, and support the developmental progress of children birth to 5 years of age (divided into three age groups; birth to 18 months, 18 months to 3 years, and 3 to 5 years). *The Head Start Child Development and Early Learning Framework* provides guidance for educational programming



for children ages 3- 5 in federally funded programs. These standards are composed of developmental building blocks critical to a child's school and long-term success. *The Prekindergarten Foundation for the Common Core* works to prepare all children for the transition to kindergarten by clearly defining expectations needed for kindergarten readiness. All three sets of standards are aligned with one another and the P-20 Common Core to support comprehensive, developmentally appropriate skills, knowledge and approaches to learning that is needed for school readiness.

*The Prekindergarten Foundation for the Common Core* and the *Early Learning Guidelines* were developed in succession using the *Head Start Child Development and Early Learning Framework* as a guiding tool to guarantee alignment and applicability across settings. Through a collaborative interagency partnership led by the ECAC, numerous early childhood stakeholders and experts in the field contributed to the development of the Early Learning and Development Standards and ensured alignment of the developmental domains across documents (See Appendix C\_1\_4). Each component of the Early Learning and Development Standards is organized within the following domains, which align with the Essential Domains of School Readiness: Approaches to Learning; Language, Communication and Literacy; Social and Emotional Development; Cognition and Knowledge; and Physical Development and Health. The high-quality plan for implementing the standards across ELDPs throughout the State is outlined in Section (C)(1)(d).

**Table (C)(1)-1: Alignment of Essential Domains of School Readiness and Early Learning and Development Standards**

<b>Essential Domains of School Readiness</b>	<i>New York State Early Learning Guidelines</i>	<i>The Prekindergarten Foundation for the Common Core</i>	<i>The Head Start Child Development and Early Learning Framework</i>
Language and Literacy Development	Language, Communication & Literacy	Communication, Language & Literacy	Language Development, Literacy Knowledge & Skills
Cognition and General Knowledge	Cognition and General Knowledge	Cognition and Knowledge of the World	Mathematics Knowledge and Skills Science Knowledge and Skills Creative Arts Expression Logic and Reasoning Social Studies Language and Skills
Approaches to Learning	Approaches to Learning	Approaches to Learning	Approaches to Learning
Physical Well-being and Motor Development	Physical Well-being, Health and Motor Development	Physical Development and Health	Physical Development and Health
Social and emotional Development	Social and Emotional Development	Social and Emotional Development	Social and Emotional Development

New York implemented a number of strategies to ensure the developmental, linguistic, and cultural appropriateness of each document within our Early Learning and Development Standards, including:

- Multiple stakeholder meetings, held throughout the two-year development period, included experts in the development of learning standards from the areas of child development, special education, birth to 3, EI, ELLs, Head Start, health, mental health and others (See Appendix C\_1\_5).
- Teams developing the *Early Learning Guidelines* and the *Prekindergarten Foundation for the Common Core* gathered prekindergarten standards that addressed the Essential Domains of School Readiness from other states, and researched how other states implemented a B-5 continuum of developmental learning standards.
- In 2007, Sharon Lynn Kagan, the Virginia and Leonard Marx Professor of Early Childhood and Family Policy and Co-Director of the National Center for Children and Families at Teachers College, Columbia University, and Professor Adjunct at Yale University's Child Study Center, was brought into the process to ensure vertical and horizontal alignment of expectations so that the standards fit into a continuum of development and school expectations. Dr. Kagan, who is recognized internationally for her work related to the care and education of young children and their families, provided feedback and support to ensure appropriate developmental, linguistic, and cultural elements in the standards.
- Standards were vetted with teacher focus groups and at the NYSAEYC annual conferences.
- In June 2009 the standards were circulated to expert researchers (See Appendix C\_1\_6), released for public comment, revised, and then presented to the Board of Regents in January 2011.

The State Early Learning and Development Standards are appropriate for multiple types of learners because young children with special needs and young ELLs are addressed explicitly in each of the supporting documents. The *Head Start Child Development and Early Learning Framework* provides a specific domain for ELLs. The *Early Learning Guidelines* provide explicit strategies to foster development in struggling students and support the Early Childhood Educator's ability to identify children who may have special needs. The *Prekindergarten Foundation for the Common Core* is inclusive of ELLs and students with disabilities. In their entirety, the

Early Learning and Development Standards provide a wealth of examples and evidence of their developmental, linguistic, and cultural appropriateness.

**(C)(1)(b) Includes evidence that the Early Learning and Development Standards are aligned with the State’s K-3 academic standards in, at a minimum, early literacy and mathematics**

New York’s *Early Learning Guidelines* and the *Prekindergarten Foundation to the Common Core* are aligned with the *Common Core State Standards*, which the Board of Regents adopted in 2010 as New York’s P-12 academic standards in ELA and Math. New York is one of only two states across the nation to incorporate prekindergarten standards into the Common Core Standards before adopting them. New York incorporated prekindergarten standards for early literacy and math as part of New York’s 15 percent addition to the Common Core State Standards, reflecting the Regents’ strong belief that the path to college and career readiness begins before children enter kindergarten.

New York implemented a number of strategies to ensure that the Early Learning and Development Standards are aligned to the State’s K-3 academic standards, including:

- Convening a workgroup comprised of internal and external professionals, teachers, and individuals from institutes of higher learning which developed aligned prekindergarten standards based on developmentally appropriate practice and within the regulations outlined for this process by the *Common Core* authors.
- To ensure developmental appropriateness and alignment of the *Prekindergarten Foundation for the Common Core*, New York engaged Dr. Barbara Foreman, the Francis Eppes Professor of Education and Director of the Florida Center for Reading Research at Florida State University, as an expert reviewer for the *Common Core State Standards* for prekindergarten. Dr. Foreman’s experience includes serving as the principal investigator of several federally-funded grants concerning early reading interventions, scaling assessment-driven instruction, and literacy development in Spanish-speaking children.

The inclusion of prekindergarten standards for ELA and Math in New York's *Common Core State Standards* aligns expectations for preschool children with the expectations for K-12 students. Vertical alignment of the standards helps Early Childhood Educators understand the differences between prekindergarten and kindergarten, bolstering developmentally appropriate practice across early years. Because the *Common Core State Standards* includes only ELA and Math, the Board of Regents further adopted the *Prekindergarten Learning Standards* in January 2011 to set standards in the Essential Domains of School Readiness not covered by the *Common Core State Standards* for prekindergarten. As Early Childhood Educators used these standards to inform curriculum and instruction, they provided feedback about integrating the ELA and Math *Common Core State Standards* into *The Prekindergarten Learning Standards*. The result of this process is the *Prekindergarten Foundation for the Common Core*, which incorporates both the *Common Core State Standards* for ELA and Math and the *Prekindergarten Learning Standards* for all other Essential Domains of School Readiness. (See Appendix C\_1\_5 for specific evidence of stakeholder involvement)

*The Prekindergarten Foundation for the Common Core* was developed concurrently with the *Early Learning Guidelines*, which are New York's Early Learning and Development Standards for children ages birth - 5 aligned with the *Prekindergarten Foundation for the Common Core* which focuses on skills, knowledge, and approaches to learning for prekindergarten students. The *Early Learning Guidelines* focus on child development, and together these documents provide a comprehensive approach to understanding and meeting the needs of children. The *Early Learning Guidelines* development team used the *Prekindergarten Foundation for the Common Core* and the *Head Start Child Development and Early Learning Framework* as a framework to create standards with aligned domains that are developmentally, linguistically, and culturally appropriate. The team also drew on high-quality standards and best practices from other states to inform the development of New York's guidelines. New York decided to extend the *Early Learning Guidelines* through the fifth year because not all 4-year olds attend prekindergarten, and it is a priority of the State to serve every form of ELDP through the Early Learning and Development Standards.

**(C)(1)(c) Evidence that Early Learning and Development Standards are incorporated into Program Standards, curricula and activities, Comprehensive Assessment Systems, the State’s Workforce Knowledge and Competency Framework, and professional development activities**

Over the past four years, New York has worked to develop key components of our common statewide early learning and development system, including QSNY based on common program standards, the *Core Body of Knowledge* for Early Childhood Educators, the *New York Works for Children* workforce developments system, and the CAS. Because the expansion of this infrastructure occurred concurrently with the creation and adoption of our State’s Early Learning and Development Standards, we have been able to fundamentally embed them within all components of our ELDP system settings, as follows:

- *The Early Learning Guidelines* and the *Prekindergarten Foundation for the Common Core* describe what children should know and be able to do as they develop from birth through kindergarten entry and are coordinated with the P-12 Learning Standards.
- The QSNY standards articulate common expectations for what programs need to do to enable children to meet Early Learning and Development Standards, and include standards requiring programs to utilize curriculum, assessments, and activities that are aligned with and support children’s development against Early Learning and Development Standards.
- The *CBK* articulates the skills, knowledge, and competencies that Early Childhood Educators need to have in order to enable children to reach Early Learning Development Standards, and incorporates examples and references to these standards for children in defining what teachers need to know and be able to do.
- New York’s CAS incorporates screening, establishment of a developmental baseline, and ongoing use and analysis of formative assessments to track children’s progress and inform instruction and activities in early learning settings, as well as measures of environmental quality and adult-child interactions. Our implementation of the CAS will support ELDPs and Early Childhood Educators in selecting and adopting comprehensive assessment tools and protocols that are aligned to the

Early Learning and Development Standards, and that aid Early Childhood Educators in using assessment data to support children in achieving the development and early learning goals articulated in the standards.

- The *New York Works for Children* Workforce Development System includes our *CBK*, Workforce Registry to track Early Childhood Educators' credentials, professional development, and experience. It also sequences credentials and professional development opportunities designed to create pathways for Early Childhood Educators ongoing professional development and growth. To facilitate alignment of credentials and professional development opportunities to the *Early Learning Guidelines*, OCFS, in collaboration with SED, will work with postsecondary institutions to adopt the *Early Learning Guidelines*, the *Prekindergarten Foundation for the Common Core*, and *CBK* as foundational texts in teacher training and certification programs, and will target professional development funds to providers demonstrating alignment with *Early Learning Guidelines* and the *CBK*.
- The New York Early Learning Data System is a birth to kindergarten child level data tracking system. It will include child assessment information, and be linked to SED's P-20 Longitudinal Data System to enable educators and policymakers to access and track data on children's progress relative to both early learning and P-12 standards.

**(C)(1)(d) The state has supports in place to promote understanding of and commitment to the Early Learning and Development Standards across Early Learning and Development Programs.**

New York has developed a high-quality plan to implement the *Early Learning Guidelines* and the *Prekindergarten Foundation for the Common Core* across ELDPs in the State by the end of the fourth year of the grant period. This plan, which leverages work by the ECAC to plan and build buy-in for the Early Learning and Development Standards, includes the following activities:

***Strategy 1: Create and disseminate training modules for New York State Early Learning and Development Standards***

OCFS will create training modules for the Early Learning and Development Standards to be conducted in Train-the-Trainer format. The trainings will build off of work underway in areas throughout the State including Buffalo, Rochester, Hempstead, Westchester

and New York City. NYCDOE developed curriculum embedded performance tasks in UPK programs to reflect how children demonstrate progress in developing skills and knowledge towards the *Prekindergarten Foundation for the Common Core* standards. These tasks build upon the existing practice in early childhood education of documenting and collecting student work throughout the year to individualize instruction, and bring together curriculum, assessments and standards into a coherent instructional program designed to increase school readiness.

Statewide efforts to support the Early Learning and Development Standards will include working with entities that are currently providing training and technical assistance to ELDPs including: the QSNY technical assistance team, CCR&Rs, Head Start/Early Head Start Technical Assistance, SUNY and CUNY trainings sponsored by OCFS, the Head Start Association, NYSAEYC, and other partners. Web-based tools will be developed to reach all Early Childhood Educators through multiple websites to provide video examples of best practices. The statewide training on the use of Early Learning and Development Standards and strategies on how they can inform best practice in educating children will be rolled out beginning with ELDPs in neighborhoods surrounding the State's 67 PLA schools, followed by other high-needs areas, and finally statewide implementation.

***Timeline:*** *Year 1:* OCFS will complete an implementation plan; select trainers (and engage external vendors as necessary); create training modules; and seek official endorsement for the State for the Early Learning and Development Standards; SED will present to the Board for consideration of endorsement. *Year 2:* Disseminate training modules through web-based tools posted on the OCFS and *New York Works for Children* websites; provide training for selected staff in CCR&Rs, QSNY technical assistance team, and OCFS sponsored training providers (SUNY, CUNY); rollout training modules to ELDPs in the neighborhoods of the State's 67 PLA schools. *Year 3:* Continue roll out of training modules. *Year 4:* Rollout training modules in areas other than high-needs communities across the 10 QSNY regions.

***Responsible Parties:*** OCFS

***Financial Resources:*** The RTTT-ELC budget includes funds to support creation of training modules and conducting trainings. Additional agency staff time will be an in-kind contribution to this effort.



(C)(2) Supporting effective uses of Comprehensive Assessment Systems

The extent to which the State has a High-Quality Plan to support the effective implementation of developmentally appropriate Comprehensive Assessment Systems by--

(a) Working with Early Learning and Development Programs to select assessment instruments and approaches that are appropriate for the target populations and purposes;

(b) Working with Early Learning and Development Programs to strengthen Early Childhood Educators' understanding of the purposes and uses of each type of assessment included in the Comprehensive Assessment Systems;

(c) Articulating an approach for aligning and integrating assessments and sharing assessment results, as appropriate, in order to avoid duplication of assessments and to coordinate services for Children with High Needs who are served by multiple Early Learning and Development Programs; and

(d) Training Early Childhood Educators to appropriately administer assessments and interpret and use assessment data in order to inform and improve instruction, programs, and services.

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

- *In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

New York's goal is that all programs in the State will appropriately and systematically use child and program assessments to inform Early Childhood Educators' practice, tailor instruction to support children's development, and support program improvement efforts. To accomplish this goal, New York has a high-quality plan to create and implement a CAS to monitor young children's

learning and development in the five Essential Domains of School Readiness. The State’s plan builds on the current practice in a variety of programs (Head Start, Early Head Start, UPK, and preschool special education) of conducting and collecting early screening results for children, as well as QSNY standards that incorporate measures of environmental quality and adult-child interactions. The CAS also builds on the work in multiple communities throughout the State (including NYC and Rochester) that require their UPK programs to utilize authentic assessment systems to inform instruction.

Core components of the CAS include:

- A screening of each child upon entry into an ELDP to identify developmental, learning, or health needs. Screenings will also identify whether a child is a dual language learner to ensure that children receive services that are genuinely appropriate for their level of language proficiency. It is acknowledged that the term “screening” encompasses a number of different activities designed to identify potential needs, risks, or strengths that require further evaluation or follow-up;
- The establishment of a developmental baseline;
- Ongoing formative assessments appropriate for children in programs that are research-based, valid and reliable;
- Outcome assessments to document how much learning/development has occurred over a period of time;
- A process in which the results of formative assessments are analyzed in an effort to inform instruction and program planning leading to better learning outcomes;
- QSNY standards for ELDPs, which aim to improve the quality of ELDPs by focusing on environmental quality using the ERS and the quality of adult-child interactions using the CLASS;
- A common statewide KRT, conducted upon children’s entry into kindergarten, to inform instruction and services in the early elementary grades.

Reflecting recognized best practices in early childhood assessment, CAS will be implemented with a goal of leveraging and supporting family engagement. Families will be engaged in discussing the process, permission, and the results of all screenings and/or formative assessments and will be given opportunities to share observations or concerns about the child’s development with the Early

Childhood Educator. Where screening results indicate a need, Early Childhood Educators will recommend a follow-up visit with the child's primary health care provider or other specialist/professional. CAS will align with the QSNY family engagement program standards and the Family and Community Relationships competencies defined in the Family and Community Relationship section of the CBK.

**(C)(2)(a) Working with Early Learning and Development Programs to select assessment instruments and approaches that are appropriate for the target populations and purposes**

New York will work with ELDPs to provide them with the guidance, knowledge, and training necessary to select and utilize assessments that are appropriate for the children in their programs, particularly Children with High Needs. We will accomplish this using guidance and tools to help programs select assessment instruments and approaches, as well as through offering direct technical assistance to local program administrators in selecting assessment instruments and approaches that comply with State guidance and are appropriate to the populations and purposes they serve.

**Strategy 2: Refining, finalizing and disseminating the State's Assessment Guidance document.** SED has developed draft guidance to serve as a tool for ELDPs in selecting and using appropriate assessments. The draft guidance includes clear definitions based on National Resource Council<sup>1</sup> recommendations, and identifies screening and assessment instruments that are aligned with New York's Early Learning and Development Standards, and appropriate for different populations and purposes. The guidance also addresses protocols that ensure that the assessments are administered by appropriately qualified staff; specify the schedule and frequency of administration of assessments; describe the process for sharing assessment results with parents and other service providers; and describe how assessment results will be used to inform and improve instruction, programs, and services to children and their families. In the first year of the grant, SED will refine, finalize and present the guidance to the Board of Regents for approval. Subsequently,

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<sup>1</sup> *Early Childhood Assessment: Why, What, and How?* Report of the National Research Council of the National Academies. Washington, DC. August 2008.

QSNY Quality Improvement Consultants will leverage the State's assessment guidance to work with programs to select, administer and utilize assessments that are appropriate for their target populations, as part of the Quality Improvement Planning process described in Section B(2).

**Timeline:** *Year 1:* Refine, finalize and present to the Board of Regents for approval the guidance; disseminate guidance through web-based tools (include SED, OCFS, and *New York Works for Children*, websites, as well as OCFS webinars).

**Responsible Parties:** SED is responsible for the development and publication of the guidance, and will partner with OCFS, DOH, and other relevant agencies to support broad dissemination.

**Financial Resources:** Agency staff time will be an in-kind contribution to this effort.

**(C)(2)(b) Working with Early Learning and Development Programs to strengthen Early Childhood Educators' understanding of the purposes and uses of each type of assessment included in the Comprehensive Assessment System**

The CAS includes multiple forms of assessment: screening, baseline, progress monitoring, and outcomes assessment. To select appropriate assessment instruments it is critical that Early Childhood Educators understand the purposes and uses of each form of assessment. New York will utilize **Strategy 2 (refining, finalizing and disseminating the State's assessment guidance document)**, to support programs in understanding the purposes and uses of screening, baseline, progress monitoring and outcomes assessment.

**Strategy 3: Create and disseminate training modules to strengthen Early Childhood Educators' understanding of the purposes, selection, administration, and interpretation of screenings and assessments for ELDPs.** New York's strategy for supporting and expanding the appropriate use of CAS in ELDPs focuses on program administrators and leaders. Administrators and leaders have responsibility for the selection of assessment instruments for their program, the implementation of appropriate assessment protocols, and the professional evaluation and development of their staff, including developing staff's understanding and skills related to appropriate use of comprehensive assessment. For this reason, New York will focus on leaders and administrators as key change agents in supporting Early Childhood Educators' understanding and use of the CAS.

New York will develop a set of tools designed to support administrators and leaders' ability to establish program level practices and protocols related to comprehensive assessment, in which they will train their own staff. Professional development activities for administrators and leaders of ELDPs will include development of criteria to be considered when selecting assessment instruments, the development and implementation of an evaluation tool that programs may use to compare and contrast assessment instruments, and the development of training modules. Training modules will be used by CCR&Rs, infant toddler resource centers, the Head Start technical assistance team, QSNY quality improvement consultants, institutions of higher education, and other training providers working with ELDPs, and will build on the existing OCFS and NYCDOHMH training resources for licensed and registered child care providers, including video-conferencing. Training for administrators/leaders in administering, interpreting, and understanding the purposes of screenings and assessments will be rolled out beginning with early learning and development programs in the neighborhoods surrounding the State's 67 PLA schools, followed by other high-needs areas and finally statewide implementation.

***Timeline:*** *Year 1:* Complete implementation plan, select trainers; create training modules. *Year 2:* Disseminate training modules through web-based tools (OCFS and *New York Works for Children* websites; webinars, among others); provide training for selected staff in CCR&Rs, the Head Start technical assistance team, and OCFS sponsored training (SUNY, CUNY), among others; rollout training modules to ELDPs in the neighborhoods of the State's 67 PLA schools. *Year 3:* Rollout training modules in high-needs communities in the 10 QSNY regions outside of neighborhoods surrounding the State's 67 PLA schools. *Year 4:* Rollout training modules in areas other than high-needs communities across the 10 QSNY regions.

***Responsible Parties:*** OCFS

***Financial Resources:*** Funds to support creation of training modules and conducting trainings have been requested in the RTTT-ELC budget. Additional State agency staff time will be an in-kind contribution to this effort.

**(C)(2)(c) Articulating an approach for aligning and integrating assessments and sharing assessment results, as appropriate, in order to avoid duplication of assessments and to coordinate services for Children with High Needs who are served by multiple Early Learning and Development Programs**

New York's goal is to align assessments and to avoid duplicative assessments for those children receiving services from multiple ELDPs. As the number of ELDPs that participate in QSNY increases, the proper use of valid and reliable child assessments continues to become more widespread. QSNY standards include use of valid and reliable assessment tools and the use of assessment data to inform planning and instruction for individual children.

**Strategy 4: Establish a Common Metric to align and compare results from different authentic assessments currently used in New York ELDPs.** Many ELDPs already use common authentic assessment systems (such as Work Sampling System, Child Observation Record, and Creative Curriculum GOLD) to track children's progress in the Essential Domains of School Readiness. To support the alignment of assessments across programs, and assist parents and Early Childhood Educators in understanding the results of different assessments, New York will issue an RFP for an early childhood assessment and evaluation expert to create a New York Common Metric that will align a variety of assessment systems (yet to be selected) to the New York State Early Learning and Development Standards.

Currently, NYCDOE, NYCACS and NYCDOHMH have partnered with New York University, to pilot a NYC Common Metric, a comparison of child outcome data on 4-year olds (see Appendix C\_2\_1). Through a multi-agency, public-private collaboration with New York University and other funders, the project will create a population level understanding of child outcomes as well as create interagency efficiencies by aligning multiple assessments, standards, and early learning settings through a Common Metric.

The project utilizes item response theory to align assessment measures in NYC's three major authentic assessment systems (Work Sampling System, Child Observation Record, and Creative Curriculum GOLD, all of which are supported by the National Research

Council<sup>2</sup>) to create the NYC Common Metric. NYC chose to align multiple assessment systems to provide ELDPs with a choice of tools for their specific populations, while still ensuring that the tools utilized by such programs are appropriate for all populations, research-based, and reliable. The NYC Common Metric will be aligned to the *Early Learning Guidelines*, the *Prekindergarten Foundation for the Common Core*, and the *Head Start Child Development and Learning Framework*. The project will empower NYC ELDPs to continue using the formative assessment tools already in use in their classrooms to leverage best practices and make decisions that are best for their population of children and staff, while increasing teacher, administrator and agency level understanding of child outcomes against multiple standards. The project is especially important for providers that leverage multiple funding streams to provide seamless, full-day services to children and are required to respond to different program requirements which measure student progress against different sets of standards.

To build on this local effort, OCFS, in consultation with SED, will create and widely distribute an RFP for the New York Common Metric. Because other states are also interested in replicating the Common Metric project piloted in NYC, we will be able to compare Common Metric data not only across New York, but across multiple states. The ability to examine data across multiple states will increase the generalizability and overall usefulness of the tool.

**Timeline:** *Year 1:* Create and widely distribute an RFP for a New York Common Metric, aligning a variety of assessment systems to the State Early Learning and Development Standards; select and engage vendor. During the same period, the State will select a vendor to build a data store for early childhood assessment data, which will be linked to the Early Learning Data System and SED's P-20 Longitudinal Data System.

**Responsible Parties:** OCFS, in consultation with SED

**Financial Resources:** The proposed budget for this grant includes funding to support creation the New York Common Metric and the creation of the data store. Additional OCFS staff time will be an in-kind contribution to this effort.

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<sup>2</sup> *Early Childhood Assessment: Why, What, and How?* Report of the National Research Council of the National Academies. Washington, DC. August 2008.

**Strategy 5: Create collaborative interagency assessment data sharing policy to align assessments across ELDP settings, and reduce assessment duplication.** To reduce duplication of assessments across programs and providers, OCFS will work with DOH and in consultation with SED to identify children receiving services from multiple programs, assessments required by each program, the purposes of each assessment, and which program is responsible for various assessments. OCFS, DOH, SED and the Head Start Collaboration Office will convene regional meetings to assist ELDPs in creating plans for sharing the assessment responsibilities, costs, and data when children are served by multiple programs. Follow-up sessions may be conducted via webinar or on-site as needed.

**Timeline:** *Year 1:* Create a collaborative interagency assessment data sharing policy to align assessments across ELDP settings and reduce assessment duplication. *Year 3:* Review data sharing policy to reflect implementation of Early Learning Data System.

**Responsible Parties:** OCFS, with DOH and in consultation with SED

**Financial Resources:** The budget request for this grant includes funding to conduct trainings. Additional agency staff time will be an in-kind contribution to this effort.

**(C)(2)(d) Training Early Childhood Educators to appropriately administer assessments and interpret and use assessment data in order to inform and improve instruction, programs, and services**

Knowledge of appropriate assessments and the interpretation and use of assessment data to inform practice and instruction are included as core competencies for all Early Childhood Educators in New York's *CBK*. As more Early Childhood Educators participate in professional development programs aligned with the *CBK*, or enter the profession from preparation programs aligned with the *CBK*, more Early Childhood Educators will have the skills and knowledge to appropriately administer assessments and interpret and use assessment data.



As we work toward this goal, New York will focus on early childhood program administrators and leaders as the drivers of comprehensive assessment practices at their sites, working through them to change program-level practice and Early Childhood Educators. A program's assessment plan and processes must address how it will ensure that assessments are administered by appropriately qualified and credentialed staff. This includes ensuring that the person administering the assessment meets the qualifications and has the training set forth by the publisher prior to administration, has access to the administrator's manual, and follows other specifications pertaining to the manner in which the assessments are administered. QSNY standards support this expectation by defining standards that include use of assessments aligned to the program's curriculum and philosophy, and training for program staff to appropriately administer the program's selected assessments.

We will utilize ***Strategy 2 (refining, finalizing and disseminating the State's assessment guidance document)*** to provide guidance to programs on administering assessments and interpreting assessment data. OCFS will utilize ***Strategy 3 (creating and disseminating training modules selecting, administering, interpreting and purposes of screenings and assessments for ELDPs)*** to provide professional development and technical assistance for early childhood administrators and leaders to appropriately administer assessments and interpret and use assessment data in order to inform and improve instruction, programs, and services. Through these trainings, the State will create a culture of instructional leadership in ELDP administrators and leaders.

(C)(3) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs to improve school readiness.

The extent to which the State has a High-Quality Plan to identify and address the health, behavioral, and developmental needs of Children with High Needs by--

(a) Establishing a progression of standards for ensuring children's health and safety; ensuring that health and behavioral screening and follow-up occur; and promoting children's physical, social, and emotional development across the levels of its Program Standards;

(b) Increasing the number of Early Childhood Educators who are trained and supported on an on-going basis in meeting the health standards,

(c) Promoting healthy eating habits, improving nutrition, expanding physical activity; and

(d) Leveraging existing resources to meet ambitious yet achievable annual targets to increase the number of Children with High Needs who--

(1) Are screened using Screening Measures that align with the Medicaid Early Periodic Screening, Diagnostic and Treatment benefit (see section 1905(r)(5) of the Social Security Act) or the well-baby and well-child services available through the Children's Health Insurance Program (42 CFR 457.520), and that, as appropriate, are consistent with the Child Find provisions in IDEA (see sections 612(a)(3) and 635(a)(5) of IDEA);

(2) Are referred for services based on the results of those screenings, and where appropriate, received follow-up; and

(3) Participate in ongoing health care as part of a schedule of well-child care, including the number of children who are up to date in a schedule of well-child care.

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are*

*considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

*Additionally, States must provide baseline data and set targets for the performance measures under (C)(3)(d).*

**Evidence for (C)(3)(a)**

- To the extent the State has established a progression of health standards across the levels of Program Standards that meet the elements in criterion (C)(3)(a), submit--
  - The progression of health standards used in the Program Standards and the State's plans for improvement over time, including documentation demonstrating that this progression of standards appropriately addresses health and safety standards; developmental, behavioral, and sensory screening, referral, and follow-up; health promotion including healthy eating habits, improved nutrition, and increased physical activity; oral health; and social and emotional development; and health literacy among parents and children;

**Evidence for (C)(3)(b)**

- To the extent the State has existing and projected numbers and percentages of Early Childhood Educators who receive training and support in meeting the health standards, the State shall submit documentation of these data. If the State does not have these data, the State shall outline its plan for deriving them.

**Evidence for (C)(3)(d)**

- Documentation of the State's existing and future resources that are or will be used to address the health, behavioral, and developmental needs of Children with High Needs. At a minimum, documentation must address the screening, referral, and follow-up of all Children with High Needs; how the State will promote the participation of Children with High Needs in ongoing health care as part of a schedule of well-child care; how the State will promote healthy eating habits and improved nutrition as well as increased physical activity for Children with High Needs; and how the State will promote health literacy for children and parents.

**(a) Establishing a progression of standards for ensuring children’s health and safety; ensuring that health and behavioral screening and follow-up occur; and promoting children’s physical, social, and emotional development across the levels of its Program Standards;**

New York recognizes healthy development in the birth to 5 year period as a critical foundation for school readiness, and has implemented numerous policies designed to promote children’s health development and participation in regular, ongoing preventive care.

Our dedication to children’s health is reflected in our QSNY standards, which were developed with extensive input from DOH and OMH, and include standards for ensuring children’s health and safety, health promotion practices, and administration of appropriate and ongoing developmental screenings upon entry into all early learning and development programs. Few states address health promotion as extensively in their QRIS, making New York a national leader in this area.<sup>3</sup>

Building on this important work, New York has a high-quality plan to further enhance the progression of program standards related to health promotion. These expanded QSNY health standards will serve as a national model for tiered program quality standards. They will: (1) ensure children’s health and safety; (2) facilitate age-appropriate health and behavioral screening and follow-up; (3) promote children’s physical, social, and emotional development; and (4) support successful inclusion of children with special health care needs and disabilities in ELDPs. Our approach will follow the strategic framework of standards, training and consultation established by the federal Healthy Child Care America initiative, with particular emphasis on targeting programs that serve Children with High Needs.

**Strategy 6: Develop an enhanced health and learning survey tool to be incorporated within QSNY.** To enhance the progression of health standards across QSNY standards, DOH will hire an expert consultant and convene a workgroup to undertake a critical analysis of the current QSNY standards, and develop a multi-criteria health and learning survey that utilizes a rubric for each key area

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<sup>3</sup> *Compendium of Quality Rating systems and Evaluations*. Child Trends and Mathematica Policy Research. Washington, D.C. April 2011.

of health promotion.<sup>4</sup> The ECAC Quality Improvement Workgroup will expand to include additional participation from DOH staff with expertise in key areas, including child development and well-child care, physical activity and nutrition, and inclusion of children with special health care needs and disabilities.<sup>5</sup>

To support programs in achieving the new health standards, DOH will use RTTT-ELC funds to establish a dedicated Early Learning and Development (ELD) health promotion coordinator to improve efficiency of ELD health promotion efforts across State Agencies. This position, which will be funded with RTTT-ELC funds, signals a strong commitment to cross-agency collaboration and will leverage significant in-kind staff support from a large number of subject matter experts from within DOH, OMH, and external professional groups. The health and learning survey tool will be presented to the ECAC Quality Improvement Workgroup to be incorporated in the next update to QSNY, concurrent with other enhancements and updates in response to the 2012 implementation evaluation.

**Timeline:** *Year 1:* DOH ELD health promotion coordinator hired; consultant engaged; ECAC Quality Improvement Workgroup membership expanded; health and learning survey tool developed; recommendations presented to Quality Improvement Workgroup and feedback incorporated. *Years 2-4:* Enhanced health standards adopted and incorporated within QSNY concurrent with next update; health experts, including new DOH ELD health promotion coordinator, continue to provide ongoing input and feedback on QSNY implementation.

**Responsible Parties:** DOH with the support of ECAC.

**Financial Resources:** Funds to support the consultant and new DOH staff position have been requested in the RTTT-ELC budget. Additional DOH and ECAC staff time will be an in-kind contribution to this effort.

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<sup>4</sup> A key resource to guide this work will be *Caring for Our Children: National Health and Safety Performance Standards, Guidelines for Early Care and Education Programs, 3<sup>rd</sup> edition*—a comprehensive set of standards developed by AAP, the American Public Health Association, and the National Resource Center for Health and Safety in Child Care and Early Education, based on the best available evidence from peer-reviewed scientific studies, published reports, and best practice information from the field.

<sup>5</sup> Note that included among this group will be Dr. Christopher A. Kus, who chaired one of the technical panels for the 3<sup>rd</sup> edition of *Caring for Our Children* and serves as the Associate Medical Director for the Division of Family Health within NYSDOH

**(C)(3)(b) Increasing the number of Early Childhood Educators who are trained and supported on an on-going basis in meeting the health standards;**

New York already invests significant resources in training and support to enable Early Childhood Educators to meet health standards. In accordance with State regulations, all licensed/registered child care providers must complete OCFS-approved training on child health and safety and demonstrate basic competency with regard to health and safety standards (see 18NYCRR§416.14, 417.14, 4.18-1 and 4.18-2 in Appendix SR\_11, SR\_12, SR\_13, and SR\_21 respectively). OCFS has training contracts in place and allots CCDBG funding for providers to support meeting these training requirements. SED supports a network of fourteen Early Childhood Direction Centers that provide information and assistance to both parents and professionals, including ELDPs related to infants, toddlers, and preschool students with disabilities, through workshops, telephone consultation, written materials, and a variety of technical assistance projects.

New York also has a network of health care consultants and licensed medical professionals (registered nurses, physicians, nurse practitioners, or physicians' assistants) who monitor health plans for programs that administer medications and whose approval is necessary for the implementation of such health plans (18NYCRR §416.11(a), 417.11(a), and 418-1.11(a) in SR\_11, SR\_12, and SR\_13) . OCFS provides CCDF funding to CCR&R agencies to employ health care consultants as part of their professional development funds, and has allocated Early Childhood Comprehensive systems (ECCS) grant funds to enable four health care consultants to become trainers through the National Training Institute model for Child Care Health Consultation. In the coming year, ECCS funds will support the development of curriculum models based on the National Training Institute model that will be integrated into an online format as part of a larger OCFS-funded Professional Development Program and Early Childhood Education and Training Program website.

As part of our RTTT-ELC work, New York will build on these health training and consultation supports to help ELDPs meet the current QSNY health standards, as well as the planned enhancements described in Section (C)(3)(a). Health Training and Technical Assistance (T&TA) supports will be embedded in the larger QSNY quality improvement support and workforce development systems to assure a consistent and seamless set of resources for ELDPs.

**Strategy 7: Develop and implement T&TA and consultation resources to support ELDPs understanding and implementation of health promotion standards.** The DOH ELD Health Promotion Coordinator will conduct a comprehensive review of available ELDP T&TA health promotion resources, identify specific topics and skills for which additional supports are needed, and identify or develop materials to address these needs, with an emphasis on specific, practical information and resources that ELDPs can implement to improve the quality of health promotion practices.

OCFS and DOH will use RTTT-ELC resources to supplement current ECCS-funding of health care consultants to expand the National Training Institute model to additional health care consultants working in CCR&R agencies across the State, and to recruit additional health professionals to be trained and serve in health care consultant roles.

**Timeline:** *Year 1:* Review of T&TA resources completed and additional training needs identified and prioritized; additional health care consultants working in CCR&Rs trained by National Training Institute-trained consultant; online training module for health care consultants developed. *Year 2:* Additional training topics related to health standards incorporated in larger QSNY support structure; online training module for health care consultants incorporated into training site. *Years 3-4:* health care consultants trained in the National Training Institute modules become certified specialty trainers and registered in the *New York Works for Children* work force registry, and provide supplemental T&TA to ELDPs; additional health professionals recruited and trained to serve as health care consultants; assessment of health care consultant needs completed.

**Responsible Parties:** DOH ELD Health Promotion Coordinator will coordinate review of T&TA resources. OCFS will coordinate integration of health T&TA materials in broader QSNY support structure. OCFS will coordinate health care consultant training activities.

**Financial Resources:** State ECCS grant funds will support a portion of the expanded health care consultant National Training Institute training, with balance of funds requested in the RTTT-ELC budget. Additional DOH and ECAC staff time will be an in-kind contribution to this effort.

**(c) Promoting healthy eating habits, improving nutrition, expanding physical activity and enhance participation in CACFP;**

New York is committed to working with ELDPs as key partners in promoting children's and their families' healthy eating habits, nutrition, and physical activity, in order to increase the percentages of children entering school in good health.

As highlighted in Section (A)(1)(a), New York has invested significant resources in supporting federal programs and statewide initiatives, including WIC and CACFP, which promote physical activity, nutrition, and obesity prevention for our youngest children, and has pursued innovative collaborations with ELDPs to assure that these health promotion services are integrated within larger early childhood systems. In addition to reimbursing ELDPs for nutritious meals and snacks for young children, CACFP provides an access point to reach families with guidance on feeding young children. It has served as a launching point for a number of innovative initiatives, including Eat Well/Play Hard in Child Care Settings, an obesity prevention education program that reaches low-income children, families, and ELDP staff with lessons on eating healthy foods and being physically active. Building on this key infrastructure, we will:

**Strategy 8: Promote developmentally appropriate physical activity for young children in ELDPs.** Children attending child care rarely achieve recommended levels of physical activity; their physical activity varies considerably depending on the ELDP they attend, which may account for as much as 47 percent of the variation in children's physical activity across the day.<sup>6</sup> To increase the percentage of children achieving recommended levels of physical activity in early learning and development settings, DOH will

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<sup>6</sup> Larson N, Ward DS, Benjamin Neelon S, Story M. *What role can child-care settings play in obesity prevention? A review of the evidence and call for research efforts.* Journal of American Dieticians Association 2011; 111: 1343-1362.



engage an early childhood physical activity specialist to develop training resources related to developmentally appropriate physical activity for young children, including adaptive physical activity for children with disabilities. Training resources will be provided to health care consultants, who in turn will be trained to provide T&TA and consultation to ELDPs. This strategy will build on a current DOH-funded project to design and test a developmentally-focused early childhood physical activity training curriculum in collaboration with an academic partner with expertise in this specialty area.

**Timeline:** *Year 1:* Physical activity specialist engaged *Year 2:* Formative evaluation and development of provider training curriculum on early childhood physical activity completed; pilot field test initiated. *Years 3-4:* Early childhood physical activity training for ELDPs implemented statewide.

**Responsible Parties:** DOH

**Financial Resources:** DOH will utilize Childhood Obesity Prevention State funds to support the first two years of the physical specialist (i.e., development of the curricula, initial pilot test and health care consultant assessment); RTTT-ELC funds are requested to support implementation of training and coaching supports to build Statewide capacity among ELDPs and health care consultants for remaining years. Additional DOH and ECAC staff time will be an in-kind contribution to this effort.

**Strategy 9: Expand ELDP participation in the State's CACFP.** In New York, only about half of all eligible programs participate in CACFP, even though CACFP is a 100 percent federally funded entitlement program. CACFP will provide benefits to children by ensuring they receive healthier meals, and increase the QSNY rating of ELDPs.<sup>7</sup> DOH will conduct a systematic evaluation to identify challenges and barriers to CACFP participation as well as best practices in CACFP, and use that data to develop an outreach campaign to increase the percentage of eligible ELDPs participating in CACFP. DOH will conduct a series of focus groups with ELDPs (including programs with a range of experience in CACFP participation), CCR&Rs, parents, and other community partners to identify barriers to program participation, best practices in CACFP administration, and opportunities for promoting CACFP participation

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<sup>7</sup> Participation in CACFP is a current QSNY standard.

within target communities. Based on the information gathered, programmatic barriers to CACFP participation will be identified, and strategies to address specific barriers developed. A multi-sector targeted campaign will be developed and launched, in conjunction with State and local partners, to increase CACFP participation among eligible ELDPs. CACFP participation data will be used to evaluate campaign success. Staff positions to coordinate this project will be located in both DOH and OCFS, thereby supporting the interagency coordination needed for implementation.

**Timeline:** *Year 1:* Project Coordinator within DOH CACFP hired; focus groups completed. *Years 2-4:* Outreach and education campaign designed (Year 2) and carried out (Years 3 and 4).

**Responsible Parties:** DOH, in coordination with OCFS.

**Financial Resources:** While outreach to high-needs areas is an allowable administrative cost in the CACFP, RTTT-ELC funds are needed to implement a project of this magnitude and have been requested in the grant budget. Following this intensive four-year project, CACFP will sustain continued outreach and education efforts without external funding. Additionally, DOH will contribute \$325,000 in years 3 and 4 of the budget.

**(C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual targets to increase the number of Children with High Needs who--**

New York is a national leader in supporting children's health. ELDPs play a key role in reinforcing the importance of developmental screenings and routine well-child care, helping families access health insurance and link to the health care system, and identifying and communicating potential concerns related to health or development based on their daily interactions with children. Over the last two decades, New York has developed and implemented a comprehensive approach that includes: (1) policies, programs and collaborative strategies to expand eligibility and access to public health insurance for children; (2) assurance that children have access to a full range of well-child care services, as well as intervention services for children with disabilities; and (3) improvement of the quality of care, including utilization of recommended well-child services, provided to Children with High Needs. New York's

commitment to expanding access to child health insurance will allow us to achieve ambitious goals to increase the percentage of children who are screened, receive follow-up services based on those screenings, and participate in ongoing health care as part of a schedule of well-child care.

**(1) Are screened using Screening Measures that align with the Medicaid Early Periodic Screening, Diagnostic and Treatment benefit or the well-baby and well-child services available through the Children's Health Insurance Program and that, as appropriate, are consistent with the Child Find provisions in IDEA;**

New York will implement a set of strategies to quadruple the proportion of children who receive comprehensive developmental screening over the next four years. New York fundamentally believes that the preferred way for children to receive developmental and other health screening is as part of routine well-child care from a primary care provider with whom a child has an ongoing relationship, i.e. a medical home, and that access to comprehensive, affordable health insurance is a critical element in supporting utilization of needed health care services.

Both Medicaid and CHPlus have adopted the American Academy of Pediatrics (AAP) *Bright Futures Guidelines for Health Supervision of Infants, Children, and Adolescents* as the standard for well-child care, and provide full coverage for well-child services with no family co-pays (for CHPlus see Appendix SR\_19).<sup>8</sup> These standards recommend that pediatric health care providers provide ongoing developmental surveillance as part of each well-child visit, with developmental screening using a standardized tool at 9, 18, and 30 months and additional screening for autism at 18 and 24 months.<sup>9</sup> Table (C)(3)(d) illustrates that our overall use of well-child care is high, with many preventive practices, such as lead screening and immunizations, successfully incorporated into routine well-child visits, but adherence to AAP-recommended comprehensive developmental screening of children could be improved.

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8. Hagan JF, Shaw JS, Duncan PM, eds. *Bright Futures: Guidelines for Health Supervision of Infants, Children, and Adolescents*, Third Edition. Elk Grove Village, IL: American Academy of Pediatrics. 2008.

9 Monitoring of a child's progress between age-specific developmental screenings. Developmental surveillance is performed at each preventive care visit as part of the history and observation of the child.

Although systematic performance data related to developmental screening are not currently available through New York's quality reporting measures for health plans, national survey data suggest that only 14.7 percent of children ages 10 months to 5 years who are enrolled in public health insurance completed a standardized developmental screening questionnaire as part of a well-child visit within the past 12 months.<sup>10</sup> These findings are consistent with baseline developmental screening rates noted among a small number of pediatric practices in New York that participated in a DOH quality improvement initiative related to developmental and autism screening.<sup>11</sup> Barriers cited by primary care providers, including uncertainty about which screening test to use and challenges with implementation and tracking of referral,<sup>12</sup> highlight the need for skills-based training in practical strategies for providers to implement universal developmental screening and follow-up within pediatric practices.

**Strategy 10: Improve health care providers' adherence to AAP developmental screening standards.** With support from RTTT-ELC funds, DOH will provide systematic training and ongoing support for pediatric health care providers to follow AAP-recommended practices for universal developmental and autism screening. Trainings will initially target health care providers who serve the greatest number of Children with High Needs, including those practicing in Federally Qualified Health Centers (FQHCs), and will scale-up over the four-year grant period. This work will build on the evidence base from other successful health care provider education initiatives related to developmental screening,<sup>13</sup> and will expand upon a successful physician training program sponsored by the DOH Bureau of EI as part of a federally-funded State Implementation Grant to Improve Services for Children and Youth with Autism/ Other Developmental Disabilities.<sup>14</sup> The current project includes a two-part training curriculum for physicians on universal screening for and clinical management of autism spectrum disorders (ASDs), including coordination with EI services. Ongoing support is offered to participating physicians through the Health Commerce System, DOH's secure web-based system for health care providers and other public health professionals. This training curriculum will be expanded to incorporate information and tools related

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10 2007 National Survey of Children's Health. Data Resources for Child and Adolescent Health 10 Oct 2011 <<http://www.childhealthdata.org/browse/survey/results?q=257&r=34>>

11 Presentation by Scott Bello, MD, MPH, FAAP at the Child Developmental Learning Collaborative meeting on November 18, 2010 in Queens, NY.

12 King et al. *Implementing Developmental Screening and Referrals: Lessons from a National Project*. Pediatrics. 2010; 125, pp 350-360.

13 Oregon Pediatric Society Screening Tools and Referral Training (START) Annual Report July 2009 to June 2010.

14 Health Resources and Services Administration (HRSA) Maternal and Child Health Bureau Division of Services for Children with Special Health Needs, grant # H6MMC15104.

to general developmental screening, other preventive health care services and effective referral/ongoing coordination with EI or preschool special education evaluations and services, with ongoing technical assistance for participating health care providers. We will also work with the New York State AAP and New York State Academy of Family Physicians (NYSAFP) to disseminate both provider and patient educational materials to their members. Program data will be used to evaluate the effectiveness of the initiative.

**Timeline:** *Year 1:* Educational materials and online training modules developed; initial in-person training sessions held and T&TA for participating health care providers initiated. *Years 2-4:* Additional outreach materials developed and disseminated; training sessions held, with ongoing evaluation of training to inform improvements to training and assess the effectiveness of the intervention.

**Responsible Parties:** DOH Bureau of Early Intervention, in coordination with OCFS, SED and OPWDD and ECAC.

**Financial Resources:** RTTT-ELC funds will support development and implementation of the expanded training curriculum and support resources. RTTT-ELC funds for this project will not be used to support delivery of any health care services.

**Strategy 11: Adopt a statewide quality assurance measure on developmental screening for health plans.** It is expected that a nationally-endorsed quality measure of screening for developmental delay will soon be available. Pending that national action, New York will adopt a developmental screening measure within the Quality Assurance Reporting Requirements (QARR), New York's rigorous quality improvement system for managed care plans, including Medicaid and CHPlus managed care plans (which serve 90 percent of children covered through Medicaid and all children insured through CHPlus). This will require all managed care plans, including Medicaid and CHPlus, to annually report to DOH on performance measures for the percentage of children screened. Plan-level data on the developmental screening measure in turn will be incorporated in QARR consumer publications and quality improvement processes for all managed care plans, and will be incorporated into our performance measures for RTTT-ELC in place of the baseline self-reported parent survey data provided in Table (C)(3)(d).

**Timeline:** The new CHIPRA measure is expected to be available and adopted in New York QARR by 2014 (timeline dependent on national adoption of developmental screening measure).

**Responsible Parties:** DOH Office of Health Insurance Programs, with support from the DOH ELD Health Promotion Coordinator and

in coordination with OCFS, SED and ECAC.

**Financial Resources:** In kind staff contributions from DOH. No RTTT-ELC funds are requested to support this work.

**(2) Are referred for services based on the results of those screenings, and where appropriate, received follow-up;**

New York will continue to implement and improve current well-developed systems for referral, evaluation, and intervention services for children with suspected or confirmed disabilities. Children ages 0-3 with developmental disabilities are eligible for all EI services required under Part C of IDEA. Health care providers are primary referral sources under New York's EI program, including the Child Find component of this program, and are obligated to refer children suspected of having a developmental delay or disability to the New York EI Program for further evaluation (See Appendix SR\_3). As evidenced by Table (C)(3)(d), the vast majority of children referred to EI go on to receive an evaluation; those who are found to have a qualifying disability are eligible to receive comprehensive intervention services.<sup>15</sup> New York has the largest EI program in the nation, with no required parent payments for any EI services, full Medicaid coverage of EI services for all Medicaid-enrolled children, and a higher and more intense level of services compared to other states.<sup>16</sup> For children 3-5 years of age who have an identified disability that affects their learning, statewide preschool special education programs provide services. Services are provided in the least restrictive environment and are intended to support learning and to prepare children for kindergarten or other school-age programs (see Education Law §4410(5)(b) in Appendix SR\_2). To achieve further gains in the proportion of children who are referred for evaluations and receive ongoing follow-up services as needed, referral and ongoing coordination with EI will be a key emphasis of the health care provider training described in **Strategy 10** above. In addition, effective referral and ongoing communication with children's primary health care providers and EI providers will be addressed in the enhanced QSNY health standards described in **Strategy 6** above.

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<sup>15</sup> Reasons for not receiving an evaluation once referred to early intervention include families moving prior to completing an evaluation, and families declining an evaluation.

<sup>16</sup> 2011 IDEA Infant Toddlers Coordinators Association, 2011 ITCA Tipping Point Survey – Part C Implementation: State Challenges and Responses.

**(3) Participate in ongoing health care as part of a schedule of well-child care, including the number of children who are up to date in a schedule of well-child care.**

New York will continue and enhance a set of strategic approaches currently in place to assure that children, particularly Children with High Needs, have access to affordable health insurance and receive ongoing well-child care in accordance with AAP standards. In 2008, eligibility for CHPlus was expanded from 250 to 400 percent of the federal poverty level, making New York the only state that offers subsidized public health insurance to children with family incomes up to 400 percent of the federal poverty level, and one of only 14 states that allow families with incomes above the State's eligibility levels to buy into public health insurance.<sup>17</sup> New York has increased children's enrollment in public health insurance since 2008,<sup>18</sup> and the proportion of children without health insurance declined from 9.2 percent in 2007 to 7.8 percent in 2009, compared to a 10 percent uninsured rate for children nationally.<sup>19</sup> Community-based facilitated enrollment services are available statewide to assist families in applying for CHPlus or Medicaid, and enrollment processes have been streamlined through the introduction of presumptive eligibility for children, the elimination of a requirement for a face-to-face interview, and the launch of a web-based eligibility screening tool and application. Through its *Connections to Coverage* campaign, DOH has partnered with other State Agencies, schools, ELDPs, and community and faith based organizations to promote the availability of public health insurance and link uninsured children to facilitated enrollment services. Many ELDPs including EI, home visiting, WIC and Head Start routinely assess children's health insurance status and refer or assist uninsured families in applying for insurance. Several Medicaid waiver programs are in place to allow children with significant health needs/disabilities to receive comprehensive Medicaid coverage, or to provide additional coverage for needed services that would not

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<sup>17</sup> Henry J. Kaiser Family Health Foundation, Statehealthfacts.org. 27 Sept. 2011 <[www.statehealthfacts.org/comparecat.jsp?cat=4?](http://www.statehealthfacts.org/comparecat.jsp?cat=4?)>

<sup>18</sup> Data retrieved from the NYSDOH Office of Health Insurance Programs (OHIP) KIDs system (Child Health Plus) and Data Mart (Medicaid)

<sup>19</sup> US Census Bureau, data released September 16, 2011

typically be covered.<sup>20</sup> In addition, through the State's Physically Handicapped Children's Program, participating local health departments provide gap-filling financial resources for children with special health care needs who are uninsured or underinsured to help meet eligible medical expenses.<sup>21</sup>

While progress has been very positive, there were still over 365,000 uninsured children in New York in 2009, with an estimated 86 percent of these uninsured children eligible for subsidized public health insurance through Medicaid or CHPlus.<sup>22</sup> Moreover, health insurance alone is not sufficient for access to health care. As described above, additional quality improvement systems are in place to monitor and improve the use of health care services, including well-child services. To augment these already rigorous systems, in 2010, DOH started making incentive payments to community-based health care providers and clinics that are recognized by the National Committee for Quality Assurance (NCQA) as Patient Centered Medical Homes (PCMH) for services provided to Medicaid recipients; in October 2011, incentive payments will be expanded to CHPlus providers. The goal of this recognition is to replace episodic care with long-term relationship-based care, through a set of rigorous standards for providers to improve access to care, disease management, and care coordination, along with requirements for robust quality measurement and improvement activities.<sup>23</sup> Additionally, many early childhood programs, including home visiting, integrate specific strategies to link Children with High Needs to ongoing use of health care services. As illustrated in Table (C)(3)(d), the majority of State children enrolled in Medicaid and CHPlus are receiving care from a primary care provider and are up-to-date with well-child services. Despite this success, there is need for continuous improvement. New York will continue to support and improve all of these existing strategic approaches to meet targets for improving the number of children who participate in ongoing health care and are up to date in a schedule of well-child care.

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20 MA waiver programs for children 0-5 include: the *Bridges to Health (B2H) Program* to help children in foster care who have significant mental health issues, developmental disabilities, or health care needs live in a home or community-based setting; the *Care at Home Medicaid Waiver for Developmentally Disabled Children* for children living at home who have severe disabilities or medical conditions; the *Care at Home (CAH I/II) Program for Physically Disabled Children* to enable physically disabled children to remain in the home setting; and the *Home and Community-Based Services (HCBS) Waiver for Persons, Including Children, with Mental Retardation and/or Developmental Disabilities*, which allows Medicaid to pay for additional services such as respite, plan of care support services, and family education and training.

21 *Resource Directory for Children and Young Adults with Special Health Care Needs*. New York State Department of Health. 6 Oct 2011 <[www.health.state.ny.us/publications/0548.pdf](http://www.health.state.ny.us/publications/0548.pdf)>

22 2010 Annual Social and Economic Supplement to the Current Population Survey (CPS), released by the US Census Bureau September 16, 2010.

23 National Committee for Quality Assurance. 6 Oct 2011 <<http://www.ncqa.org/tabid/631/default.aspx>>



**Strategy 12: Enhance efforts to assure that Children with High Needs are enrolled in health insurance and linked to a primary care provider/medical home.** As an expansion of the New York State *Connections to Coverage* campaign described above, a specific focus of the RTTT-ELC will be to strengthen linkages between ELDPs, public health insurance, and primary health care services. This will be aligned directly with QSNY through the enhanced Health Promotion standards. To support ELDPs in meeting these standards, DOH will provide ELDPs with printed resources informing parents of Medicaid/ CHPlus eligibility requirements and enrollment steps, and QSNY T&TA will guide ELDPs on how to connect families directly with facilitated enrollers in their community.

Additionally, in order to initiate the insurance enrollment process, DOH CACFP staff will work with our Medicaid/CHPlus programs, OCFS, and participating ELDPs to develop a workable referral system that will facilitate implementation of existing rules that permit CACFP-participating child care providers to share child-level income eligibility data directly with Medicaid and CHPlus.<sup>24</sup>

**Timeline:** *Year 1:* Consumer education materials on Medicaid/CHPlus and facilitated enrollment distributed to participating ELDPs; development of a referral system and protocol based on CACFP eligibility data initiated. *Years 2-4:* Linking families to community facilitated enrollers, including CACFP referral protocols, incorporated in QSNY T&TA structure.

**Responsible Parties:** DOH Office of Health Insurance Programs, with support from the new DOH ELD Health Promotion Coordinator and in coordination with OCFS, SED and ECAC.

**Financial Resources:** Resources to support this strategy will be in-kind from DOH.

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<sup>24</sup> CACFP data 17-2010, August 2010

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets</b>					
	<i>Baseline and annual targets</i>				
	Baseline (Today, if known)	Target for end of calendar year 2012	Target for end of calendar year 2013	Target for end of calendar year 2014	Target for end of calendar year 2015
Number of Children with High Needs screened <sup>25</sup>	63,427 (14.1%)	89,967 (20%)	134,951 (30%)	179,935 (40%)	269,902 (60%)
Number of Children with High Needs referred for services who received follow-up/treatment <sup>26</sup>	a) Evaluated: 27,403 (91%)  b) Received Services: 18,178 (66%)	a) Evaluated: 27,704 (92%)  b) Received Services: 18,729 (68%)	• Evaluated: 28,005 (93%)  • Received Services: 19,279 (70%)	• Evaluated: 28,306 (94%)  • Received Services: 19,830 (72%)	a) Evaluated: 28,607 (95%)  b) Received Services: 20,657 (75%)
Number of Children with High Needs who participate in ongoing health care as part of a schedule of well-child care <sup>27</sup>	397,628 (93.3%)	397,740 (93.4%)	398,592 (93.6%)	399,869 (93.9%)	401,147 (94.2%)

25 Statewide quality assurance measures for health plans are not currently collected for developmental screening. Baseline data for this construct are estimated from the National Survey of Children's Health for NYS (2007), output limited to the subset of respondents who are enrolled in public health insurance, based on the percent of families with children between the ages of 10 mos. and 5 years old who responded that their child was screened for being at-risk for developmental, behavioral and social delays using a parent-reported standardized screening tool during a health care visit. This is expected to be a significant underestimate of the true baseline because it is based on parent self-report rather than administrative or chart review of actual clinical records. This measure will be updated when a developmental screening measure is adopted within the State Quality Assurance Reporting Requirements (QARR) for Medicaid and CHP managed care plans, as described in the accompanying narrative for (C)(3)(d). Targets for future years may need to be adjusted once actual QARR baseline data are available.

26 Actual data are presented from NYS EI (IDEA Part C) Program. Measures reported are the number and percentage of children who were age birth to 3 with Medicaid or CHP who were referred to early intervention and received an evaluation and went on to receive early intervention services in 2009-2010.

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets</b>					
	<i>Baseline and annual targets</i>				
	Baseline (Today, if known)	Target for end of calendar year 2012	Target for end of calendar year 2013	Target for end of calendar year 2014	Target for end of calendar year 2015
Of these participating children, the number or percentage of children who are up-to-date in a scheduled of well-child care <sup>28</sup>	264,712 (78%)	267,849 (79%)	271,239 (80%)	274,630 (81%)	278,020 (82%)

<sup>27</sup>Actual data are presented from NYS QARR for Medicaid and CHP managed care plans combined for 2009. Measure reported is the number and percent of children age 12 to 24 months and children 25 months to 6 years who had any visit with a primary care provider during the year of all eligible children enrolled in Medicaid or CHP age 12 to 24 months and 25 months to 6 years. The numbers (numerators) and percentages shown represent combined data for both age groups.

<sup>28</sup> Actual data are presented from NYS QARR for Medicaid and CHP managed care plans combined for 2009. Measure reported is the number and percent of children who were continuously enrolled in a Medicaid or CHP managed care plan and who had 5 or more well-child visit between birth and age 15 mos. or at least 1 well child visit in the last year for children ages 3 to 6 of all eligible children enrolled in Medicaid or CHP from birth to 15 months and ages 3 to 6. The numbers (numerators) and percentages shown represent combined data for both age groups/ measures. Additional QARR measures that track specific well-child preventive services for children 0-5 include: the percent of 2 year olds who were fully immunized (4 DPT, 3 Polio, 1 MMR, 2 Influenza B, 3 Hepatitis B, 1 Varicella, & 4 Pneumococcal) , which was 73 percent and 66 percent for Medicaid and CHP plans, respectively, based on a sample of 2009 records; and the percent of 2-year olds who had their blood tested for lead poisoning at least once, which was 90 percent and 72 percent for Medicaid and CHP plans, respectively, based on a sample of records for 2009.

(D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.

The extent to which the State has a High-Quality Plan to--

(a) Develop a common, statewide Workforce Knowledge and Competency Framework designed to promote children's learning and development and improve child outcomes;

(b) Develop a common, statewide progression of credentials and degrees aligned with the Workforce Knowledge and Competency Framework; and

(c) Engage postsecondary institutions and other professional development providers in aligning professional development opportunities with the State's Workforce Knowledge and Competency Framework.

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

**Evidence for (D)(1)**

- To the extent the State has developed a common, statewide Workforce Knowledge and Competency Framework that meets the elements in criterion (D)(1), submit:
  - The Workforce Knowledge and Competencies;
  - Documentation that the State's Workforce Knowledge and Competency Framework addresses the elements outlined in the definition of Workforce Knowledge and Competency Framework in Definitions (section III) and is designed to promote children's learning and development and improve outcomes.

New York's vision is that all Early Childhood Educators in New York will recognize themselves as professional educators whose work is critical to the State's goal of ensuring all children enter school ready and leave prepared to succeed in college and careers.

Early Childhood Educators must be equipped with, consistently demonstrate, and continuously improve, the necessary abilities, knowledge, and skills to effectively support positive development and learning outcomes for every child. To meet this challenge, New York has established a coordinated system of workforce development called *New York Works for Children*.

*New York Works for Children* is the State's integrated professional development system designed to recruit, enhance, and retain a diverse, knowledgeable, and qualified workforce. Out of a central office, *New York Works for Children* will be equipped with a dedicated staff and regional coordinators who will develop and manage the infrastructure necessary to make sure policies, programs, and professional development initiatives are coordinated across sectors. *New York Works for Children* incorporates seven major elements: (1) Core Knowledge and Competencies, (2) Career Pathways, (3) Career Pathway Supports, (4) Program Quality, (5) Recruitment, Retention and Compensation Initiatives, (6) Professional Preparation and Development, and (7) System Evaluation and Accountability.

*New York Works for Children* is integrated with QSNY. QSNY ratings will identify the professional development needs of participating programs, and provide comprehensive technical assistance based on those needs. *New York Works for Children* will provide the essential infrastructure to ensure the quality of professional development as QSNY is implemented and grows throughout the State. QSNY is effective in promoting high-quality learning environments and positive outcomes for children by providing Early Childhood Educators access to opportunities for improvement. *New York Works for Children* addresses this critical component by serving the highest-need areas of the State through its regional coordinators to ensure that all children participating in ELDPs have the strongest start possible.

**(a) Develop a common, statewide Workforce Knowledge and Competency Framework designed to promote children's learning and development and improve child outcomes.**

New York has developed a common, statewide Workforce Knowledge and Competency Framework designed to promote children's learning and development, as well as improve child outcomes. It is grounded in best practice, relevant research, and feedback from both experts in postsecondary institutions and in the early childhood field. New York's Workforce Knowledge and Competency Framework is comprised of two documents: the *CBK* (see Appendix D\_1\_1) and the *New York State Teaching Standards*. These coordinated and complimentary publications detail the professional repertoire of fundamental skills Early Childhood Educators should have and demonstrate when caring for and teaching children from birth to age 5. The framework further encompasses New York's Early Learning and Development Standards (*Early Learning Guidelines, Head Start Child Development and Early Learning Framework*, and the *Prekindergarten Foundation for the Common Core*) and QSNY Program Standards—the State's central systemic features for promoting positive outcomes for children. The *CBK* was developed concurrently with *Early Learning Guidelines* and the *Prekindergarten Foundation to the Common Core*, and is explicitly designed to support educators in utilizing the standards. Together, the *CBK* and *New York State Teaching Standards*, Early Learning and Development Standards, and QSNY program standards establish the set of expectations for practitioners and programs to support the growth and education of all children, in partnership with family and community, while holding all stakeholders accountable for their part in each child's success.

Now in draft form of its third edition, the *CBK* is evidence-based as it aligns with key sets of national standards including: (1) the NAEYC Professional Preparation Standards; (2) the NAEYC Young Children's Program Accreditation Standards and Criteria; and (3) the Division for Exceptional Children (DEC) Recommended Practices. At the State level, the *CBK* accounts for: (1) the Child Development Associate (CDA) Functional Areas; (2) the QSNY Standards; (3) the *New York State Teaching Standards*; and (4) OCFS Training Priorities. Seven core competency areas are addressed in the *CBK*. Each competency area includes recommended practices and suggested goals toward which Early Childhood Educators can work in order to provide high-quality care and education for children.

The most recent version of the *New York State Teaching Standards* was adopted by the Board of Regents in January 2011. These standards are evidence-based and are grounded in educational and developmental research and assessment frameworks including, but

not limited to: (1) CLASS; (2) Charlotte Danielson’s updated Framework for Teaching (2007); (3) the Interstate Teacher Assessment Support Consortium (InTASC); and (4) the National Board for Professional Teaching Standards (NBPTS). The *New York State Teaching Standards* address seven core standards. Each standard outlines the elements and performance indicators that Early Childhood Educators should demonstrate to provide effective instruction and positively contribute to children’s learning and achievement.

The *CBK* defines 7 Core Competency areas for Early Childhood Educators that encompass all essential elements of a workforce knowledge and competency framework. Because the *New York State Teaching Standards* are designed for broad application across the entire P-20 spectrum, they do not address all specific Early Childhood Educator core competencies, but do create a broader framework of what all educators in New York are expected to know and do:

- **Core Competency 1: Child Development and Growth** is aligned with New York’s early learning and development standards and covers expectations for Early Childhood Educators’ knowledge and promotion of child development across all developmental domains, as well as early educators’ use of evaluation and assessment data to track and support children’s healthy development, as well as application of behaviors and skills that promote children’s language and literacy development. Knowledge of child and adolescent development is also included in Standards V.1 of the NYS Teaching Standards.
- **Core Competency 2: Family and Community Relationships**, covers strategies for engaging and supporting families to promote children’s development and learning, including linguistically and culturally appropriate strategies for working with diverse families. *New York State Teaching Standards* standard I.5 further expects teachers to demonstrate knowledge and responsiveness to cultural, linguistic, family, and community factors that influence students’ learning.
- **Core Competency 3: Observation and Assessment**, covers competencies related to both Comprehensive Assessment Systems and effective use of data. Core Competency 3 guides teachers to adopt and demonstrate best practices in observation and assessment, including assessing children’s progress across all domains, using multiple methods of data collection and assessment, ensuring that assessments are linguistically and culturally appropriate, integrating the family unit into the process,

and using results to guide curriculum and teaching and to support the modification of environments. Standard V of the *New York State Teaching Standards* also specifically addresses expectations for teachers' use of comprehensive assessment to inform instruction.

- **Core Competency 4: Environment and Curriculum**, covers competencies related to teaching environment and curriculum, and creates high expectations that teachers will base their curriculum on their assessment of children's strengths and needs. This core competency includes knowledge of effective instructional practices to support mathematics and literacy development in children and the expectation that Early Childhood Educators will create a rich, integrated curriculum for children that encompasses all content and development domains, including but not limited to math, science, technology, literacy, and the arts. Teachers are required to use the *Early Learning Guidelines* and the *Prekindergarten Learning Standards* to guide their observations and assessments and to present material in developmentally appropriate ways. This core competency also addresses competencies related to creating safe, dynamic learning environments; building meaningful relationships with children; and effectively and calmly addressing challenging behaviors. Competencies and strategies for building harmonious classroom environment that reduce challenging behaviors are woven throughout the *CBK*.
- **Core Competency 5: Health, Safety, and Nutrition** covers expectations for Early Childhood Educators' knowledge and promotion of children's health.
- **Core Competency 6: Professionalism and Leadership** covers competencies related to Early Childhood Educators' professionalism and ongoing professional growth and development.
- **Core Competency 7: Administration and Management** covers competencies for Early Childhood Educators in administration and management positions, including strategies for evaluating and supporting ongoing growth and development of staff and ensuring culturally and linguistically appropriate communication and engagement of families.

Many practices and domains of Early Childhood Educator competencies are integrated across the core competencies and standards of the *CBK* and *New York State Teaching Standards* as illustrated in Table (D)(1)-1.



**Table (D)(1)-1**

Definition Criteria	Core Body of Knowledge							New York State Teaching Standards						
	Child Growth and Development	Family and Community Relationships	Observation and Assessment	Environment and Curriculum	Health, Safety, and Nutrition	Professionalism and Leadership	Administration and Management	Knowledge of Students and Student Learning	Knowledge of Content and Instructional Planning	Instructional Practice	Learning Environment	Assessment for Student Learning	Professional Responsibilities and Collaboration	Professional Growth
Early Learning and Development Standards	X	X	X	X	X			X	X	X	X	X		X
Comprehensive Assessment System	X	X	X	X	X	X		X	X				X	
Child Development	X	X	X	X	X	X		X	X				X	
Health	X				X	X								
Culturally and Linguistically Appropriate Strategies for Working with Families	X	X	X	X	X	X		X	X					
Knowledge of Early Mathematics and Literacy Development	X			X	X	X		X	X					X
Effective Instructional Practices to Support Mathematics and Literacy Development	X			X	X			X		X				X
Effective Use of Data to Guide Instruction and Program Improvement	X	X	X	X	X	X		X			X		X	

**Strategy 1: Align New York's Early Learning and Development Standards with the CBK and Disseminate to the field.** Both the *CBK* and *New York State Teaching Standards* were developed with extensive feedback from experts in the field, as well as educators and stakeholders in the State. The ECAC Workforce Development Workgroup convened a statewide group of Early Childhood Educators, including experts from the State's postsecondary institutions, to guide, review, and modify the revision of the third edition of the *CBK*. After 18 months a final draft was developed and sent to over 270 experts at the State's public and private postsecondary institutions and approximately 8,000 Early Childhood Educators and stakeholders (teachers, ELDP directors, CCR&R staff, State Agency staff, and providers of professional development) for public comment. The public comment period will end on October 21, 2011. The *CBK* writing team will carefully review all comments and share any recommended changes with OCFS and the ECAC Workforce Development Workgroup. The revisions will be integrated, a document will be published in November 2011, and the *CBK* will be printed and disseminated to the field by the end of 2011. The *New York State Teaching Standards* were released to the field in November 2010 and revised based on comments from the field before their final presentation to the Board of Regents for adoption.

With RTTT-ELC grant funding, *New York Works for Children* will build an interactive web-tool to support Early Childhood Educators in better understanding and demonstrating New York's workforce knowledge and competencies in their classroom. This interactive tool will ensure that New York's workforce knowledge and competencies are used by postsecondary institutions, professional development providers and Early Childhood Educators in their programs.

**Timeline:** Final Publication of revised *CBK* and dissemination to field: November-December 2011; Begin development of web-based interactive *CBK* tool: January 2012; launch web-based interactive *CBK* tool: December 2012

**Parties Responsible:** OCFS with support from the ECAC

**Funding Resources:** The development and publication of the *New York State Teaching Standards* and *CBK* have already been funded with existing State, ARRA, and private funds. This grant application includes funding to support the dissemination and development of web-based tools to support Early Childhood Educators in understanding and using the *CBK*.

**(b) Develop a common, statewide progression of credentials and degrees aligned with the Workforce Knowledge and Competency Framework.**

New York has and continues to enhance its common, statewide progression of credentials and degrees aligned with the Workforce Knowledge and Competency Framework and Career Ladder. As QSNY is expanded statewide, there will be an increased demand for Early Childhood Educators holding certifications, credentials, and degrees as programs employing highly qualified staff will achieve higher rating levels. Taken together the categories Qualifications and Experience and Management and Leadership in QSNY comprise 50 percent of an ELDPs rating level. This allocation structure not only promotes the progression of administrators and practitioners along a pathway of educational attainment, but is intricately intertwined with the advancement of programs along a continuum to achieve high-quality.

Currently, there are several combinations of State-specific credentials and degrees for Early Childhood Educators that supplement the nationally recognized CDA, Associate's and Bachelor's degree credentials. Credentials recognized by New York include the following: (1) the Infant Toddler Credential (ITC); (2) the Family Child Care Credential (FCCC); (3) the CDA; (4) the Children's Program Administrator Credential (CPAC); (4) the Early Learning Trainer Credential; and (5) the SED issued teaching credential for Birth-Grade 2 (see Appendix SR\_15).

Developed and administered by the NYSAEYC, the Infant ITC and FCCC have been designed to align with the *CBK* and address the specialized knowledge and skills required of professionals caring for and teaching infants and toddlers, as well as those serving as family care providers. The ITC and FCCC are competency-based and require credit-bearing coursework. CUNY, which operates both 2- and 4-year public institutions in NYC, and Empire State College, a degree-granting online postsecondary institution of SUNY, have created coursework for the ITC. CUNY is currently developing a coursework sequence aligned with the FCCC. By providing a pathway for Early Childhood Educators to earn college credit and a credential related to their daily work, these credentials serve as a

starting point for Early Childhood Educators who have no prior postsecondary experience and enables them to pursue an Associate's and/or Bachelor's Degree.

The CPAC is also administered by the NYSAEYC. The CPAC is a competency-based credential, aligned with the *CBK* that focuses on program and fiscal management, as well as leadership skills. In collaboration with OCFS, NYSAEYC also developed an Early Learning Trainer's Credential to ensure the quality of professional development providers. There are three trainer levels associated with this credential, to provide advancement opportunities for those who are building their skill in becoming professional development providers. Candidates applying for this credential must submit documentation verifying they have provided professional development for the number of training hours required for the corresponding Trainer Level. Candidates are also expected to submit a Trainer Competency Portfolio that details the ways in which they meet the specific competencies within each of the four major knowledge base areas, aligned with the *CBK*. The content of the portfolio must be coded to the *CBK*.

New York currently has thirty-five professional development practitioners holding an Early Learning Trainer's Credential; seventy-five more are engaging in the process. Over the next five years, OCFS will collaborate with NYSAEYC to increase the number of trainers in order to expand the access to and supply of high-quality professional development opportunities, with an eventual goal of requiring all providers of State-funded professional development to hold a Trainer's Credential.

The Board of Regents and the Commissioner of Education have established an Early Childhood Education Birth – Grade 2 Certification (Birth-2) to address the specialized experiences and qualifications necessary for Early Childhood Educators to successfully meet the unique developmental needs of young children. In New York, lead teachers in UPK, are required to have a Bachelor's degree with teacher certification (see SED Commissioner's Regulations 8NYCRR§80-3.2 in Appendix SR\_15). Group teachers in center-based preschool and Head Start programs in NYC are required to have a Bachelor's degree with teacher certification or, in limited circumstances, regulated appropriate equivalents (see §47.13(c)(3)(B)(d) of the New York City Health Code in Appendix SR\_22), are required to have a Bachelor's degree with teacher certification, or in limited circumstances, regulatory sanctioned equivalents. The Birth-2 certification specifically addresses early childhood development and the skills and knowledge

teachers need to work with children. New York also offers an Early Childhood Education Birth – Grade 2, Student with Disabilities Certification, for professionals pursuing a career in special education (see SED Commissioner’s Regulations 8NYCRR§80-5.8 in Appendix SR\_15) and an Early Childhood Education Birth – Grade 2, Literacy credential for professionals focused on literacy development (see SED Commissioner’s Regulations 8NYCRR§80-3.7(a)(3)(iv) in Appendix SR\_15). Educators holding a Childhood Certification Grades 1 – Grade 6 do have the opportunity to extend their certification to earlier learning environments by completing additional coursework covering developmentally-appropriate curriculum, instructional, and assessment practices for young children (see SED Commissioner’s Regulations 8NYCRR§80-3.2 in Appendix SR\_15).

SED is working to build frameworks for a Teacher Career Development Continuum (TCDC) for prekindergarten through Grade 12 educators. The TCDC establishes career development pathways through which teachers advance on a State-authorized career continuum from novice teacher to teacher leader based on evaluation ratings and minimum student growth thresholds. Teachers who demonstrate a positive impact on student growth and improvement in teaching skills can be recognized by their districts and compensated as they move to deeper levels of proficiency in practice. While historically teacher career advancement in New York, for both certification and compensation, has been linked to higher education degrees and credits, the TCDC provides advancement through proof of classroom efficacy and participation in professional development opportunities.

**(c) Engage postsecondary institutions and other professional development providers in aligning professional development opportunities with the State’s Workforce Knowledge and Competency Framework.**

The success of New York’s effort towards developing and aligning the Workforce Knowledge and Competency Framework intricately hinges on the effective engagement of postsecondary institutions and other professional development providers. Collaborative partnerships with postsecondary institutions and other professional development providers will afford New York the opportunity to enhance and strengthen pre-service preparation and in-service professional development by aligning them with workforce knowledge and competencies.

**Strategy 2: Align Pre-Service Preparation Coursework with the Workforce Knowledge and Competency Framework.** CUNY has agreed to endorse the *CBK* and the *Early Learning Guidelines* to align objectives for the dissemination of the *CBK* and the *Early Learning Guidelines*. Furthermore, CUNY has submitted a letter of intent to infuse these resource materials into their curriculum for Early Childhood Educator preparation programs, in order to ensure that pre-service early education candidates understand and utilize New York's Workforce Knowledge and Competency Framework. SED will present the *CBK* and the *Early Learning Guidelines* to the Board of Regents for consideration of endorsement, and SUNY is considering the same action.

The CUNY system is a major provider of teacher preparation and professional development coursework in New York, and its agreement to align coursework with New York's workforce competencies will reach a high percentage of students participating in Early Childhood Educator preparation programs. We also anticipate that this effort will result in the creation of model courses and course sequences aligned with the workforce competencies that can then be shared with faculty and staff at other higher education institutions in the State to increase the infusion of workforce competencies into all programs preparing and training Early Childhood Educator statewide. *CBK* and *Early Learning Guidelines* will be discussed at CUNY's Early Childhood Faculty Research symposium at the end of October 2011 and again at the statewide early childhood higher education conference in April 2012 to promote buy-in and dissemination.

**Timeline:** Development of coursework aligned with *CBK* and *Early Learning Guidelines*: January-June 2012; Initial introduction of *CBK* and *Early Learning Guidelines* aligned coursework in CUNY courses/programs: September 2012; Full integration of *CBK* and *Early Learning Guidelines* into all CUNY coursework requirements and curricula for Early Childhood Educators: 2015.

**Parties responsible:** CUNY, and consideration of endorsement by the Board of Regents and SUNY

**Funding:** Already in place; secured from private contributors.

**Strategy 3: Align In-Service Professional Development Trainings with the Workforce Knowledge and Competency Framework.** New York has developed an Early Learning Trainer's Credential to ensure the quality of professional development

providers and the efficacy of professional development workshops. OCFS, which invests significant resources in professional development for Early Childhood Educators, is committed to tailoring its investment in continuing education opportunities for Early Childhood Educators to those trainings that meet a rigorously defined standard of quality, are aligned with the Workforce and Competency Framework, and are provided by a credentialed professional. Over the next four years, this commitment will result in a significant realignment of training and professional development resources in New York to align with both the workforce knowledge and competencies and the professional development needs of Early Childhood Educators identified through the QSNY quality improvement process to enable programs to improve their ratings relative to the QSNY standards.

***Timeline:*** Launch of training calendar and Workforce Registry: Spring 2012; Revision of OCFS regulations: 2012; Increase in number of credentialed trainers: 2012-2015; All training required to be delivered by a credentialed trainer and aligned to workforce competencies: 2015.

***Parties Responsible:*** OCFS

***Funding:*** Realigned funding from OCFS's QUALITYScholars

(D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.

The extent to which the State has a High-Quality Plan to improve the effectiveness and retention of Early Childhood Educators who work with Children with High Needs, with the goal of improving child outcomes by--

(a) Providing and expanding access to effective professional development opportunities that are aligned with the State's Workforce Knowledge and Competency Framework;

(b) Implementing policies and incentives (e.g., scholarships, compensation and wage supplements, tiered reimbursement rates, other financial incentives, management opportunities) that promote professional improvement and career advancement along an articulated career pathway that is aligned with the Workforce Knowledge and Competency Framework, and that are designed to increase retention;

(c) Publicly reporting aggregated data on Early Childhood Educator development, advancement, and retention; and

(d) Setting ambitious yet achievable targets for--

(1) Increasing the number of postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework and the number of Early Childhood Educators who receive credentials from postsecondary institutions and professional development providers that are aligned to the Workforce Knowledge and Competency Framework; and

(2) Increasing the number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to*



*assist the peer reviewers in making these determinations.*

*Additionally, the State must provide baseline data and set targets for the performance measure under (D)(2)(c)(1) and (D)(2)(c)(2).*

Well-educated and committed Early Childhood Educators are the most valuable resource for children. New York has some of the highest entry-level qualifications for its early childhood workforce in the nation. Child Care Directors are required to have a Bachelor's Degree or a CPAC. Lead teachers in UPK settings, statewide and in NYC, are required to have at least a Bachelor's Degree and a New York State Birth – Grade 2 Certification (see SED Commissioner's Regulations 8NYCRR§151-1.3(e) in Appendix SR\_9). In NYC, all group teachers in Head Start, and center-based settings are required to have at least a Bachelor's Degree. Staff working in ELDPs regulated by OCFS must participate in 30 hours of professional development every two years (see Appendix SR\_11, SR\_12, SR\_13, SR\_21). SED requires teachers holding professional certificates, including Birth – Grade 2 Teaching certificates, and certificates for students with disabilities Birth – Grade 2 to complete 175 clock hours each year of every 5 year period during the life of the certificate (see SED Commissioner's Regulations 8NYCRR§80-3.6 in Appendix SR\_15). OCFS annually spends \$15.3 million on professional development to support Early Childhood Educators in meeting the 30 hours requirement over 2 years. This includes the Education Incentive Program.

In order to capitalize on the current strengths related to the development of a highly-qualified early childhood workforce, New York is poised to focus reform efforts on establishing the infrastructure needed to enhance our workforce development system. *New York Works for Children* will utilize a cross-systems approach to mitigate barriers to growing a highly-qualified, well-compensated early childhood workforce. Activities will include the following: (1) aligning workforce development system initiatives to support QSNY; (2) collaborating with professional development coordinators from CCR&Rs and independent training organizations to leverage resources and coordinate efforts; (3) partnering with faculty from higher education institutions to address professional preparation; (4) overseeing the Workforce Registry, including the collection of data, evaluation of professional development, and dissemination of a statewide training calendar; and (5) publishing materials and maintaining online resources to support career development. This infrastructure will enable New York to use both existing and new resources much more effectively and efficiently

to support Early Childhood Educators in acquiring the knowledge, skills, and competencies to support children's learning and development and in progressing along the State's continuum of professional credentials.

**(a) Providing and expanding access to effective professional development opportunities that are aligned with the State's Workforce Knowledge and Competency Framework**

New York already provides extensive access to professional development for Early Childhood Educators, including investing \$15 million annually in CCDF quality funds to support professional development and training. Numerous postsecondary institutions and professional development providers in the State also provide training and professional development for Early Childhood Educators, and will increasingly be aligned with workforce competencies. Through *New York Works for Children*, the State will expand access to effective professional development opportunities that are aligned with the State's Workforce Knowledge and Competency Framework, through the following strategies:

**Strategy 4: Expanding Access to Effective Web-based Professional Development Opportunities.** *New York Works for Children* will be the main form of communication for Early Childhood Educators and will be a highly accessible website that will serve as a gateway for Early Childhood Educators to access professional development and training opportunities and plan their professional growth. The website, which is currently in development for a planned Spring 2012 launch, will be the home for several key components of New York's workforce development system:

**Core Body of Knowledge:** To support Early Childhood Educators in understanding and using the *CBK* and the *Early Learning Guidelines*, *New York Works for Children* will develop two highly interactive web-based tools that will allow Early Childhood Educators to explore the workforce knowledge and competencies and Early Learning and Development Standards by competency and standard. Using the interactive *CBK* tool, Early Childhood Educators will be able to scroll over a particular workforce competency and access information explaining its integration with the State's Early Learning and Development Standards, video clips of Early Childhood Educators demonstrating the competency in different program settings, and information on training and professional

development opportunities that enable Early Childhood Educators to develop their knowledge and skills in the competency. Using the interactive *Early Learning Guidelines* tool, Early Childhood Educators will be able to scroll over a particular standard, view video clips of Early Childhood Educators engaging children in activities related to the standard, and access lesson plans/curricula for supporting children's development related to the standard.

**Workforce Registry:** A key component of *New York Works for Children* is a Workforce Registry database that will, for the first time, allow the State to track information on the training and experience of Early Childhood Educators, their participation in professional development and progress along career pathways, and staff retention. The Registry will provide the State with information about existing competencies and needs in the workforce to inform targeted support and training. The online portal to the Workforce Registry will live on the *New York Works for Children* website.

**Training Calendar:** The online training calendar will include information on all professional development and approved training opportunities offered by approved and/or credentialed trainers in New York. This resource will allow Early Childhood Educators to access information on the content, location, and dates of available trainings, and to identify trainings offered by credentialed trainers, enabling them to be good consumers of professional development resources. The training calendar will further allow *New York Works for Children* staff to track the availability of professional development opportunities by topic and region, to identify gaps and areas of duplication, and to work with regional coordinators and providers to fill gaps in available resources.

**Career calculator:** The career calculator is an online career planning tool, aligned with New York's progression of credentials and degrees that will allow Early Childhood Educators to input information on their experience and skills to determine where they fall on a career pathway and identify the next steps to move them forward along a career pathway.

**Timeline:** Launch of *New York Works for Children Website*: Late Spring 2012; Enrollment of QSNY participating providers in Workforce Registry: Spring 2012; Launch of web-based interactive tools: December 2012.

**Responsible Parties:** OCFS with the support of the ECAC

**Funding:** The *New York Works for Children* website, Workforce Registry, Training Calendar, and Career calculator are already being or have been developed with existing State and private funds. This grant proposal includes funding to support the development of online interactive tools and a Regional Presence to support Early Childhood Educators in understanding and using the *CBK* and *Early Learning Guidelines*. Funds allocated to the expansion of QSNY and data system will leverage this work.

**Strategy 5: Expanding Access for Legally-Exempt Child Care Providers.** New York is committed to increasing the percentage of Children with High Needs participating in high-quality ELDPs that are licensed and participate in QSNY. But we also recognize that a significant percentage of Children with High Needs are currently, and will continue to be, cared for in informal care settings that meet the needs and preferences of their families. For this reason, New York has committed to improving the quality of care offered to children in informal settings, by providing professional development and other supports to informal caregivers. New York is uniquely able to do this through our partnerships with unions representing informal caregivers who receive State child care subsidies, CSEA and UFT. OCFS has contracted with these unions to engage in the proliferation of an extensive outreach campaign designed to provide professional development opportunities for legally-exempt child care providers, as well as family care and group family day care providers. This innovative strategy and investment will ensure that this traditionally underrepresented subset of Early Childhood Educators is afforded additional opportunities to improve their skills. Each union received \$500,000 to provide the following:

- Train-the-Trainer Program – Develop a cohort of professional development providers to facilitate the completion of 10 or more hours of annual training necessary to receive the enhanced market rate. The workshops topics will focus on the *CBK*, including the core competencies as outlined in Social Services law.
- Online Courses – To expand access to continuing education modules, online courses will be made available to include material on business record maintenance and management.

**Timeline:** As part of our high-quality plan, New York will continue to work with these unions to expand access to professional development opportunities for informal care providers. It is our intention that, by providing access to professional development to

informal care providers we will enable them to better serve children in their care and also support those who wish to do so in becoming licensed.

**Funding:** None.

**Strategy 6: Development of a Comprehensive Training Video Library:** SED will issue a Request for Proposal (RFP) to partner with a public broadcast provider for the purpose of creating an interactive library of high-quality training videos. These videos will be developed to accommodate, among other topics, the diverse educational needs of our early learning community by addressing the successes experienced and challenges confronted by professionals daily, and the importance of parent literacy. Using the power of narrative story-telling coupled with the varied conditions of authentic learning environments, this forthcoming series of training video resources will be available for practitioners and parents to access at their convenience, and will be accessed via web-archives and public broadcasting services. These videos will also be accompanied with related information, including space for an online community to enhance the experience and allow for a marketplace of ideas. A particular focus of this work will also include partnering with entities that can widely disseminate the trainings, such as leveraging existing partnerships with CSEA and the UFT.

**Timeline:** Year 2: SED will develop and issue an RFP for the purpose of creating an interactive library of high-quality training videos which will be developed and implemented during Years 3 and 4, and will continue to be available in out years.

**Responsible Parties:** SED

**Financial Resources:** Funds have been requested in the RTTT-ELC budget.

**Strategy 7: Provide job-embedded training and technical assistance to build early childhood educators' capacity to address children's social emotional development needs.** Children's ability to interact socially with adults and other children is more closely associated with school readiness and success in kindergarten and first grade than cognitive and academic skills. Nationally, Early Childhood Educators report that challenging behavior and social skill problems are their greatest challenges, and programs report

expelling preschoolers at a rate three times that for school age children, with highest rates for older preschoolers, African American children, and boys. Currently, there are very few resources available to ELDPs to address the social emotional development needs of children in their programs. To address these issues OCFS allocated ARRA funding to four selected communities (Syracuse, Putnam County, Westchester County and New York City) to support a social emotional development consultation demonstration project. Through a multi-agency, collaborative model, each site provided on-site mental health consultation to child care or home visiting programs that serve infants and toddlers, with additional T&TA for each site. Results indicated improvements in children's behavioral outcomes, parenting support, knowledge and skills of providers, program quality and cross-system collaborations. As part of our RTTT-ELC application, we will build on this important work to:

- Select evidence-based trainings and curriculum materials. The theoretical foundation of this training will emphasize the relationship-based nature of working with young children, families, and ELDPs such as those offered by Georgetown University's Center for Child and Human Development and Vanderbilt University's Center on the Social and Emotional Foundations for Early Learning (CSEFEL).
- Beginning within our targeted high need communities, identify mental health professionals from the target communities with experience in early childhood mental health who want to become social emotional development consultants.
- Provide the consultants, and program directors or other management staff of selected ELDPs, along with a limited number of mental health professionals who work at community-based mental health clinics/services that provide more intensive services, a "Train the Trainer" session using the selected curriculum.
- Deploy trained social emotional development consultants to ELDPs in targeted communities to begin building relationships with staff and train the key persons within those programs who will be responsible for additional all-staff trainings. All staff (including management and other non-classroom staff) will be trained to promote an infusion of positive social-emotional supports throughout each program. Consultants will also provide on-site observations and supports to teachers in early learning and development program settings on a regular basis.

- A project coordinator will be hired within OMH to coordinate this work, in conjunction with the ECAC's Promoting Healthy Development Work Group.

**Timeline:** *Year 1:* OMH Project Coordinator hired. Evidence-based trainings and curriculum materials selected. Mental health professionals from the initial target communities identified, engaged and trained. *Years 2-4:* Continued training of social emotional development consultants, provision of social emotional development consultation services to ELDPs initiated and refined with ongoing input from OCFS and ECAC.

**Responsible Parties:** OMH, in coordination with OCFS, SED and the ECAC Promoting Healthy Development Work Group.

**Financial Resources:** Funds to support the OMH project coordinator, training and ongoing consultation services have been requested in the RTTT-ELC budget.

**(b) Implementing policies and incentives (e.g. scholarships, compensation and wage supplements, tiered reimbursement rates, other financial incentives, management opportunities) that promote professional development and career advancement along an articulated career pathway that is aligned with the Workforce Knowledge and Competency Framework, and that are designed to increase retention**

When combined with QSNY, *New York Works for Children* will greatly expand New York's ability to promote Early Childhood Educators professional development and career advancement. Because the qualifications and experience of Early Childhood Educators comprise a major component of ELDP QSNY ratings, programs will have incentives to improve their employees' qualifications and credentials, and the QIP supports included in QSNY will assist them in developing strategies and accessing resources to do so. *New York Works for Children* further complements these efforts by creating the infrastructure in New York to support and track Early Childhood Educators' ongoing professional development and advancement. Once these components are in place, New York will have the ability to align our investments in training and professional development with the State's quality improvement goals for ELDPs.

QSNY creates an incentive for programs to improve staff retention, because a portion of the points in the Staff Qualification and Experience section are based on retention rates. In addition, the QSNY incentives described in Section B (Improvement Support Grants, Quality Achievement Awards, and Service Incentive Awards) are an additional incentive for programs to invest in their staff's professional growth and, in the case of Incentive Support Grants, provide an additional source of funds that programs could use to support their employees in attaining higher levels of education and credentials.

***Strategy 8: Expand QUALITYScholars to Support Early Childhood Educators' Professional Advancement linked to QSNY.***

OCFS currently spends \$9 million annually on the EIP, which provides scholarships and financial assistance to Early Childhood Educators to access professional development and coursework. While the EIP program has prioritized participation in credit-bearing coursework, these resources have not historically been mandated to align to workforce competencies or the State's quality improvement goals for ELDPs.

To support the QSNY field test, OCFS dedicated \$500,000 in EIP funds in 2010 to a new QUALITYScholars program, designed to support Early Childhood Educators working in QSNY field test sites in pursuing professional development and coursework opportunities aligned with their program's QSNY QIP. Depending on the program's needs, funds could be used both to support Early Childhood Educators in completing postsecondary work towards a degree or credential recognized in the QSNY standards, or for other professional development linked to the QIP.

Over the next four years, as QSNY is rolled out in communities across the State, OCFS will gradually increase the percentage of EIP funds dedicated to QUALITYScholars from \$1.5 million in 2012 to \$6 million in 2015. QUALITYScholars funds will be limited to Early Childhood Educators working in programs that participate in QSNY, and may only be used for professional development and credit-bearing training aligned with the program's QIP under QSNY. This will have the dual effect of ensuring that all State scholarship funds for professional development are aligned with QSNY and the State's quality improvement goals, and of creating an additional incentive for programs to participate in QSNY, to enable their staff to access QUALITYScholars funds. It will also encourage staff retention in QSNY-participating programs. Because improving staff credentials and qualifications is a key way in



which programs can improve their Star rating, we anticipate that converting EIP to QUALITYScholars will substantially increase the extent to which funds are used for credit-bearing coursework, as opposed to short-term professional development workshops.

**Timeline:** Total QUALITYScholars funding \$500,000 in 2011; \$1.5 million in 2012; \$3.5 million in 2013; \$4 million in 2014; \$6 million in 2015.

**Responsible Party:** OCFS

**Financial Resources:** This will be achieved by reallocating existing EIP funds to QUALITYScholars

**Strategy 9: Increase ongoing professional development requirements for child care workers and require alignment with workforce competencies and professional development plans.** Current training requirements are not aligned to New York's current quality and educational expectations for the child care workforce under QSNY and the Workforce Competency Framework. As part of its current review and revision of New York's regulatory framework for child care, OCFS will increase the bi-annual training requirement for child care workers from 30 to 40 hours to focus on areas aligned with the *Early Learning Guidelines* and *CBK*. OCFS will seek legislative change to fully implement this Strategy. The expansion of high-quality web-based professional development resources and training linked to the ELDP system components, as described above, will enable child care workers to meet increased training requirements. OCFS will work with SED to develop verification mechanisms to allow Early Childhood Educators to receive Workforce Registry and training hours credit for their participation in web-based training options.

**Timeline:** Regulations will be changed by late 2012 and will be operative by 2013.

**Responsible Party:** OCFS.

**Financial Resources:** None.

**Strategy 10: Create a Regional New York Works for Children Presence to Support Early Childhood Educators in Progressing along a career pathway.** In addition to statewide workforce development system infrastructure and online tools, *New York Works for*

*Children* will establish a regional presence, in each of the 10 QSNY regions, to ensure that Early Childhood Educators in all regions of the State have access to professional development resources and supports that are tailored to the needs and resources of each region. Working with existing regional professional development resources (such as CCR&Rs, BOCES and higher education institutions), *New York Works for Children* will hire a part-time staff person to serve as a regional *New York Works for Children* coordinator in each region. These part time staff people will spend approximately 10-12 hours a week, typically at night and on weekends, providing one-on-one or site-based advising to Early Childhood Educators to help them access professional advancement opportunities, plan their career development and course of study, and navigate the higher education system, and another 2-4 hours a week organizing regional-level events, recruitment and job fairs, and training designed to develop and recruit individuals into the early childhood workforce in the region. Our past experience indicates that this is an attractive and rewarding part-time work opportunity for current and retired higher education faculty and retired center directors who want to continue to have a positive impact on the field without working full-time. These activities will replicate, on a smaller scale, the work currently done by the Career Development Services Center located in the Professional Development Institute at CUNY. The central office of *New York Works for Children* will orient, train, and support the regional part-time staff, and will collect quarterly data from each region to assess and analyze educator response to resources and programs offered, and to plan future activities to build the regional presence, accordingly. This regional infrastructure will strengthen the impact of Quality Improvement Consultants working with QSNY-participating providers in high-need areas and support more Early Childhood Educators in progressing along career and education pathways to complete a degree or credential.

**Timeline:** Negotiate arrangements with existing regional entities to house *New York Works for Children* Regional Presence: Spring 2012; Hire part-time regional coordinators: Summer-Fall 2012. Assess effectiveness of regional presence strategy and make necessary adjustments: 2014.

**Parties Responsible:** OCFS

**Funding:** This grant proposal includes funding to support salaries for part-time staff serving as regional *New York Works for Children* presence. We will negotiate arrangements with existing regional entities to provide office space in-kind.

**Strategy 11: Establish a Credit-bearing CDA and processes to enable current CDA holders to convert past training for college credits.** One obstacle to career development for New York’s early childhood workforce is the preponderance of non-credit professional development activities that may have improved practice but have not provided educators the career pathways they have needed. This situation has a negative effect on the quality and retention of educators. Shifting the culture and encouraging individuals to pursue credit-bearing professional development is seen as a significant goal in elevating the field, as well as improve program quality as measured by QSNY, which awards considerable points for credential and degree attainment.

One key need in New York is to increase the percentage of CDA holders who are earning college credit. While many Early Childhood Educators in New York have earned a CDA, most CDA programs in the State are non-credit bearing. Increasing the percentage of CDA students participating in credit-bearing coursework will encourage them to go on to pursue higher degrees, by enabling them to experience success in college-level coursework (which many Early Childhood Educators do not realize they are able to do), and to enter the higher education system with up to 12 credits already earned.

The CUNY Board of Trustees has already approved a 12-credit hour CDA program, which will be offered to students beginning in January 2012. The new CUNY option will first be available to students in NYC and the two regions—Westchester and Long Island—that border it. CUNY will also develop an on-line version of the credit bearing credential to serve Early Childhood Educators in other regions of the State, as well as those who face barriers to completing in-person higher education programs. Because CUNY coursework is available at in-state tuition to any New York resident, courses will be reasonably affordable to Early Childhood Educators, and they will also be able to access QUALITYScholars funds for tuition. To increase the availability of credit-bearing CDA programs, CUNY will share course outlines and program design will be shared with other public colleges throughout the State to encourage a statewide adoption of the credit-bearing option.

In addition, the OCFS, with the support of the ECAC, will work with CUNY and SUNY community colleges in the State to establish a process for current holders of non-credit bearing CDA to earn 6-9 hours of community college credit based on analysis of

their CDA portfolios and other demonstration of skills and/or experience. This would create an incentive for current non-credit CDA holders to pursue further postsecondary work, because they would be able to enroll in participating community colleges with credits already acquired towards an AA degree or ITC or FCCC credential.

**Timeline:** January 2012: First credit-bearing CDA coursework offered with one class of students; June 2012: 2 classes of students enrolled in CUNY credit bearing CDA; September 2012: 3 classes of students enrolled in on-site CUNY CDA; Launch of online credit-bearing CDA with 45 students enrolled. 2013: Dissemination of credit-bearing CDA curricula and syllabi to other public universities. 2015: On-site and online CDA options graduating a combined 175 students/year.

**Parties Responsible:** OCFS, ECAC Workforce Work Group, CUNY

**Funding:** Already in place; secured from private contributors.

### **(c) Publicly reporting aggregated data on Early Childhood Educator development, advancement, and retention**

QSNY, in combination with the Workforce Registry, will report aggregated, program, and professional level data on Early Childhood Educator development, advancement, and retention. QSNY will provide accessible, user-friendly information regarding the quality of participating programs and will further support targeted professional development outcomes through the identification of areas in need of improvement for ELDPs.

The Workforce Registry is a system to track the progression of an Early Childhood Educator's attainment of credentials, degrees, certifications, and continuing education. The registry will collect data on a wide range of practitioner characteristics and experiences, as well as to support licensure requirements and supply essential reports that will inform policy and funding determinations.

**Strategy 12: Annual Reporting.** Following full implementation of the Workforce Registry in 2012, OCFS, in collaboration with PDI, will publish an annual report featuring aggregated data on: (1) the qualification and experience of the early childhood workforce; (2) demographic characteristics of the early childhood workforce; (3) participation of the early childhood workforce in professional

development and training; (4) the number and percentage of Early Childhood Educators advancing on New York’s Career Ladder; (5) Retention of Early Childhood Educators in the same position year-to-year; and (6) Progress towards early childhood workforce goals articulated in this application. All data will be reported at the statewide level and disaggregated by funding stream, setting, and major geographic areas of the State (see Appendix D\_2\_1).

**Timeline:** Beginning in January 2013, the Workforce Registry will publish an annual “How New York Works for Children” report containing aggregated data on the early childhood workforce.

**Parties Responsible:** OCFS, ECAC Workforce Workgroup, CUNY

**Funding:** Currently funded through ECAC grant funding, and will be leveraged by RTTT-ELC funding.

**(d) Setting ambitious yet achievable targets for**

**1. Increasing the number of postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework and the number of Early Childhood Educators who receive credentials from postsecondary institutions and professional development providers that are aligned to the Workforce Knowledge and Competency Framework**

New York has set ambitious yet achievable targets for increasing the number of postsecondary and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework as well as increasing the number of Early Childhood Educators who receive credentials from these aligned institutions. Currently, one post-secondary institution offers coursework in accordance with the existing framework. In 2012, the total number of aligned post secondary institutions will be three. It is anticipated that in 2015, all SUNY and CUNY postsecondary institutions will offer coursework incorporating the Workforce Knowledge and Competency Framework. For additional information, see chart D(2)(d)(1).

## **2. Increasing the number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework**

New York has set ambitious yet achievable targets to increase the number and percentage of Early Childhood Educators progressing to higher levels of credentials that are aligned with the Workforce Knowledge and Competency Framework. For the specific numbers and percentages, see chart D(2)(d)(2). Note that this chart does not reflect the full extent of our ambitious and achievable goals, because it does not include information on the numbers and percentage of Early Childhood Educators with Bachelor's or Associate's degrees—postsecondary credentials that are an important step in New York's career progression for Early Childhood Educators that are recognized in both our licensing/regulatory requirements and QSNY, but which the state's existing data systems do not allow us to track. Thus, the baseline data in these charts do not reflect the number of Early Childhood Educators who currently hold Bachelor's and Associate's degrees, nor do they include our goals for the numbers who will do so in each year of the grant. We anticipate that, due to the strategies outlined above, the percentage of Early Childhood Educators holding an Associate's degree will increase by 10 percent from baseline from 2012-2015, as will the percentage holding a bachelor's degree.

**Performance Measures for (D)(2)(d)(2): Increasing number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.**

**Performance Measures for (D)(2)(d)(1): Increasing the number of Early Childhood Educators receiving credentials from postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework**

	<b>Baseline (Today)</b>	<b>Target - end of calendar year 2012</b>	<b>Target - end of calendar year 2013</b>	<b>Target - end of calendar year 2014</b>	<b>Target – end of calendar year 2015</b>
Total number of “aligned” institutions and providers	1	3	20	35	44
Total number of Early Childhood Educators credentialed by an “aligned” institution or provider	12644	14179	15754	17679	20124

*[Please indicate whether baseline data are actual or estimated and describe the methodology used to collect the data, including any error or data quality information; and please include any definitions you used that are not defined in the notice. If baseline data are not currently available please describe in your High-Quality Plan in your narrative how and when you will have baseline data available.]*

Progression of credentials (Aligned to Workforce Knowledge and Competency Framework)	<i>Baseline and Annual Targets -- Number and percentage of Early Childhood Educators who have moved up the progression of credentials, aligned to the Workforce Knowledge and Competency Framework, in the prior year</i>									
	Baseline (Today)		Target- end of calendar year 2012		Target- end of calendar year 2013		Target- end of calendar year 2014		Target- end of calendar year 2015	
	#	%	#	%	#	%	#	%	#	%
<b>Credential Type 1</b> <i>Specify :Child Development Associate (non-credit bearing)</i>	5285	4%	6000	4%	6500	5%	7000	5%	7500	6%
<b>Credential Type 2</b> <i>Specify: Child Development Associate (credit-bearing)</i>	N/A	N/A	N/A	N/A	145	0.11%	300	0.22%	615	0.46%
<b>Credential Type 3</b> <i>Specify: NYS Infant Toddler Credential</i>	8	0.01%	50	0.04%	150	0.11%	300	0.22%	600	0.45%
<b>Credential Type 4</b> <i>Specify: NYS Family Child Care Credential</i>	1	0.00%	25	0.02%	100	0.07%	200	0.15%	400	0.30%
<b>Credential Type 5</b> <i>Specify: NYS Children's Program Administrator Credential</i>	33	0.02%	75	0.06%	100	0.07%	200	0.15%	400	0.30%
<b>Credential Type 6</b> <i>Specify: NYS Trainer</i>	33	0.02%	300	0.22%	500	0.37%	700	0.52%	800	0.59%
<b>Credential Type 7</b> <i>Specify: Birth-2<sup>nd</sup> Grade Credential</i>	7025	5.25%	7459	5.57%	7959	5.93%	8659	6.45%	9459	7.03%
<b>Credential Type 8</b> <i>Specify: Preschool Special Education</i>	259	0.19%	270	0.20%	300	0.22%	320	0.24%	350	0.26%



(E)(1) Understanding the status of children's learning and development at kindergarten entry.

The extent to which the State has a High-Quality Plan to implement, independently or as part of a cross-State consortium, a common, statewide Kindergarten Entry Assessment that informs instruction and services in the early elementary grades and that--

(a) Is aligned with the State's Early Learning and Development Standards and covers all Essential Domains of School Readiness;

(b) Is valid, reliable, and appropriate for the target population and for the purpose for which it will be used, including for English learners and children with disabilities;

(c) Is administered beginning no later than the start of school year 2014-2015 to children entering a public school kindergarten; States may propose a phased implementation plan that forms the basis for broader statewide implementation;

(d) Is reported to the Statewide Longitudinal Data System, and to the early learning data system, if it is separate from the Statewide Longitudinal Data System, as permitted under and consistent with the requirements of Federal, State, and local privacy laws; and

(e) Is funded, in significant part, with Federal or State resources other than those available under this grant, (e.g., with funds available under section 6111 or 6112 of the ESEA).

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

**(a) Is aligned with the State’s Early Learning and Development Standards and covers all Essential domains of School Readiness;**

A Kindergarten Readiness Tool would have the power to provide the foundation for a systematic approach to improving student learning outcomes by providing information about children’s skills at kindergarten entry, and has the ability to drive alignment of standards and curriculum from a developmentally appropriate and rigorous starting point.

New York currently does not have a statewide Kindergarten Readiness Tool. SED Commissioner’s Regulations 8NYCRR Part 117 (see Appendix SR\_10), require the screening of every new entrant to New York schools to determine which students are possibly gifted, have or are suspected of having a disability, and/or are possibly limited English proficient. Some school districts have experience using some type of baseline measurement at the time of kindergarten entry, as evidenced by a 2005 survey of all public school districts in New York. However, these are quite varied as to the domains of children’s development that are measured and the type of tool used (formative, observation, ‘home-grown’ checklist, parent interview, etc.). At the request of the Governor, the Board of Regents will develop a process (outlined in Criteria (E)(1)(c) below) to adopt an instrument that in New York will be known as the Kindergarten Readiness Tool (KRT). The goal of KRT will be to establish an individual developmental baseline that will allow educators, parents, and policymakers to better understand the level of skills, abilities and knowledge possessed by children at the time of kindergarten entry for the purposes of:

- informing instruction in the kindergarten classroom, as well as in ELDPs, by helping the teacher identify the best starting point for each child;
- supporting kindergarten teachers by providing professional development on how to use results, including how to modify teaching strategies and the classroom environment to ensure that instruction is individualized and child-centered;
- closing the school readiness gap at kindergarten entry by providing the data needed to better target professional development to Early Childhood Educators serving children prior to kindergarten;

- informing policy and resource allocation that aim to identify gaps in school readiness in the State, either in children's skills, particular developmental domains, or for particular populations and geographic areas in the State; and
- informing parents about their children's progress relative to age-appropriate milestones that will enable them to better support their children's education.

In accordance with the process established pursuant to Criteria (E)(1)(c) below, the KRT developed in New York will be a single-point-in-time measure of the five Essential Domains of School Readiness, aligning with both the *NYS Early Learning Guidelines* (see Appendix C\_1\_1) and the *Prekindergarten Foundation for the Common Core* (Appendix C\_1\_3), which will be a particular strength in developing a unique tool for New York. This tool will provide more comprehensive baseline information about a child's skills, abilities, and knowledge prior to beginning formal instruction than is provided by a screening. It will also reveal the range or span of abilities in each classroom, because baseline results indicate the best starting point for individual student instruction. These can be used to plan experiences that can also be aggregated and used at the classroom level to identify the strengths and needs of the group. Teachers can then make informed decisions on instruction, as well as help parents see how they can best support their child's learning.

**(b) Is valid, reliable, and appropriate for the target population and for the purpose for which it will be used, including for English learners and children with disabilities;**

The Regents have a rich history of developing age-appropriate assessment tools, including the highly regarded high school Regents Exams in English, Math, Science, US History and Global History. The development of the KRT will build off of that tradition and expertise. The first two years of the grant period will be devoted to the development and field testing of the KRT, with particular attention to ensure that the tool developed is appropriate for kindergarten-aged children, including ELLs and children with disabilities.

SED will collaborate with experts in early childhood development and learning, those working with ELLs, and prekindergarten, kindergarten, and special education teachers from across the State to design and develop the tool. In addition, the Regents' Advisory Council, discussed below, will review the KRT and advise SED on policy, logistics, and special populations.

The KRT will be field tested in the fall of 2013 with a cross-section of school districts in the State as determined by the Board of Regents. During the field testing and implementation stages, SED will visit schools to support and monitor the process. These visits will be used to gather data on implementation and professional development, as well as to identify training needs.

SED will work with teachers to interpret the results during the 2013-2014 school year. As part of that process, SED will set standards and work with a vendor to facilitate the range finding with New York teachers. SED will perform an item and assessment analysis, which includes estimation of reliability, calibration of new items, statistical assessment of bias and evaluation of inter-rater reliability.

To ensure that the results obtained are valid and reliable it is crucial that the tool is administered in accordance with age-appropriate best practices. LEA administrators will be responsible for ensuring that the kindergarten teachers, as well as any other staff responsible for the administration of the KRT, have access to professional development prior to administering the KRT. School administrators will also be responsible for providing time and training for kindergarten teachers to modify instruction based on KRT results, as well as sharing KRT results with the early childhood feeder programs beginning communication and collaboration on how to close the achievement gap prior to kindergarten entry.

**(c) Is administered beginning no later than the start of school year 2014-2015 to children entering a public school kindergarten; States may propose a phased implementation plan that forms the basis for broader statewide implementation;**

SED will recommend that the Board of Regents adopt the plan below:

**Strategy 1: Establish a process to develop a KRT.** The Board of Regents will create a Kindergarten Readiness Advisory Council comprised of expert stakeholders from around the State appointed to the Advisory Council by the Chancellor of the Board of Regents. The Chancellor will designate a member of the Board to serve as Chairperson of the Advisory Council who will be responsible for

establishing and leading meetings of the Council. The Council will advise SED and the Board on the development of a comprehensive proposal to design, develop, and commence implementation of a statewide KRT beginning in the 2014-2015 school year.

The KRT will be developed by the Board of Regents in consultation with the Advisory Council. Specific activities to be conducted with the Advisory Council will include a review of best practices and review of early learning standards to identify the skills, abilities and knowledge base from each of the Five Essential Domains of School Readiness that will be measured by the KRT.

After engagement with the Advisory Council, the Regents will develop a KRT to be administered by all LEAs to kindergarteners during the first few months of their admission to kindergarten. Nonpublic kindergarten programs that are voluntarily registered with SED will also be encouraged to administer the KRT. Under no circumstances will KRT results be used to prevent children's entry into kindergarten, to place them in special education, or make other high-stakes decisions either for children or for kindergarten teachers (such as teacher evaluation decisions), Early Childhood Educators and administrators, or ELDPs.

***Timeline:*** *Year 1:* Creation of and appointments to the Advisory Council. Meetings of the Advisory Council will be held to advise on the development of the KRT. The Board of Regents' P-12 Committee adopted an item pursuant to the process contemplated under this application at its October 17, 2011 meeting (see Appendix E\_1\_1).

*Years 2-3:* Field test of the KRT in districts selected as determined by the Board of Regents.

*Year 4:* Based on a schedule and strategy to be determined and adopted by the Board of Regents, the KRT will begin a phased-in regional implementation in 2014-2015 school year, and then develop into statewide implementation during the 2015-2016 school year.

***Responsible Parties:*** SED

***Financial Resources:*** The State has committed to fully fund the development and implementation of the KRT supported with State funds. RTTT-ELC funds will not be used to support this strategy.

**(d) Is reported to the Statewide Longitudinal Data System, and to the early learning data system, if it is separate from the Statewide Longitudinal Data System, as permitted under and consistent with the requirements of Federal, State and local privacy laws; and**

LEAs will report the KRT results to the P-20 data system. Data gleaned from the KRT will link early childhood birth to age five data systems with P-20 data systems through the P-20 Interagency Data Warehouse. The P-20 Interagency Data Warehouse provides access for State agencies to share Early Childhood, K-12, Postsecondary, and Workforce data through a variety of applications. This data system will expand the impact of the KRT by enabling districts and ELDPs to collaborate around transition points from ELDPs to kindergarten entry based upon KRT outcomes. It will support administrators and kindergarten teachers by providing them information, over time, about what schools need to do to be ready to meet the needs of its incoming kindergarteners, based on the new students' prior experiences. This data collaboration will promote a continuum of targeted and appropriate services to all children, and it will especially benefit those children who are identified as high need, including:

**Sharing outcomes with parents and the public**

SED, in collaboration with OCFS and the other participating agencies, will use the aggregated analysis of KRT outcomes to develop a public report that will be widely available to parents and the public in general. This report will not include child- or program/provider-level data, but will provide a population-level overview of the skills, abilities and knowledge possessed by children in New York at the time of kindergarten entry. It will identify where children are well-prepared, and where there are gaps in children's skills, either in particular domains or for particular populations and geographic areas in the State. OCFS will use this report as the basis for the development of an annual interagency action plan for remediation of the identified gaps.

**Closing the school readiness gap at kindergarten entry**

The development and use of a KRT will provide early elementary teachers with a more precise understanding of a child's starting point. SED will analyze the data reported to the P-20 data system in a variety of ways to identify the most frequently occurring gaps in school readiness, either in particular developmental domains, or for particular populations and geographic areas in the State. Using

this analysis, SED will work collaboratively with the OCFS to target professional development to Early Childhood Educators serving children prior to kindergarten. Such professional development will focus on strengthening their understanding of the *Early Learning Guidelines* and *Prekindergarten Foundation for the Common Core*, as well as improving the range of instructional strategies in their repertoire in order to improve the school readiness of the students leaving their programs. Using information from the Early Learning Data System, particular attention will be paid to identifying and supporting Early Childhood Educators who work with significant numbers of Children with High Needs (Head Start, Early Head Start and ELDPs serving children receiving child care subsidies, located in areas served by PLA schools and located in areas of the State identified as high need), as well as those serving significant numbers of children with disabilities and children who are ELLs.

OCFS will coordinate the interagency development of training modules and/or resources focused on areas of need that can be used by staff developers, program administrators, CCR&Rs, infant-toddler resource centers, institutions of higher education, the QSNY training system and others who work with Early Childhood Educators. OCFS will collaborate with SED to ensure that the content of the training modules is such that this professional development can be used to help Early Childhood Educators meet the statutorily required training hours. As described previously in section (C)(2) of this application, these professional development efforts will build on the existing OCFS training opportunities for licensed and registered child care providers, including the use of videoconferencing, on-site technical assistance and the Education Incentive Program (EIP).

**Supporting kindergarten teachers by providing professional development on how to use assessment results to ensure that instruction is individualized and child-centered by modifying teaching strategies and the classroom environment**

SED will develop training modules on the following topics: administering the KRT; how to accurately report the KRT results in the P-20 data system; communicating with parents and caregivers about the KRT; and using KRT results to inform instruction. Modules on using the KRT results will involve several components, including how to modify teaching strategies and the classroom environment to ensure that instruction is individualized, child-centered, and built on student strengths; coordination of the KRT with the Response to Intervention model, and working with ELLs and their families based on KRT results.

SED will conduct regional train-the-trainer forums for BOCES, Big 5 school districts<sup>1</sup> and others who provide professional development to LEAs. Teachers and administrators will be able to access the modules through a variety of formats including: face-to-face training and technical assistance sessions; on-site training and coaching; telephone and e-mail support and web-based applications.

**(e) Is funded, in significant part, with Federal or State resources other than those available under this grant, (e.g. with funds available under section 6111 or 6112 of the ESEA)**

As described under *Strategy 1* and in Section (A)(4) of this application, the State has committed to fully funding the KRT with resources other than those available under RTTT-ELC. The development and implementation of the KRT will be will be supported with State funds.

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<sup>1</sup> The Big 5 School Districts is a term used to identify the State's largest city school districts (New York City, Yonkers, Rochester, Syracuse and Buffalo).



(E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.

The extent to which the State has a High-Quality Plan to enhance the State's existing Statewide Longitudinal Data System or to build or enhance a separate, coordinated, early learning data system that aligns and is interoperable with the Statewide Longitudinal Data System, and that either data system--

(a) Has all of the Essential Data Elements;

(b) Enables uniform data collection and easy entry of the Essential Data Elements by Participating State Agencies and Participating Programs;

(c) Facilitates the exchange of data among Participating State Agencies by using standard data structures, data formats, and data definitions such as Common Education Data Standards to ensure interoperability among the various levels and types of data;

(d) Generates information that is timely, relevant, accessible, and easy for Early Learning and Development Programs and Early Childhood Educators to use for continuous improvement and decision making; and

(e) Meets the Data System Oversight Requirements and complies with the requirements of Federal, State, and local privacy laws.

*If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

SED will lead the development of the New York State Early Learning Data System, a statewide, cross-program early learning longitudinal data system, to be implemented as an extension of initial work begun with funds from SEDs successful 2010 RTTT application. Once developed, the Early Learning Data System will be fully linked with SEDs P-20 Longitudinal Data System (which contains data from prekindergarten through college and into the workforce) to provide a view of what types of early childhood education services prepare children to succeed. When completed, the data system will be able to link data on children receiving early childhood services, the ELDPs from which they are receiving services, the programs' quality, and the Early Childhood Educators providing those services, all in a manner compliant with the Family Educational Rights and Privacy Act (FERPA), the Health Insurance Portability and Accountability Act (HIPAA) and all other applicable privacy and confidentiality requirements.

The goals of this data system effort are to:

- build a high quality ELDP data system that provides the information needed to inform differentiated instruction, to support efforts to improve the system of services and to ensure that children are getting the supports and services they need to be kindergarten ready to further our goal of closing the achievement gap.
- establish linkages and interoperability between the various early learning and development data systems and SED's P-20 Longitudinal Data System to allow for tracking outcomes from birth to entry into the workforce.
- create a mechanism for responding to the data needs of a wide range of stakeholders.

This will be achieved through the following seven activities, which are aligned with the elements of these Criteria:

**Strategy 1: Develop signed Memorandums of Understanding (MOUs)/Data Sharing agreements.** Agencies and other partner entities that will be involved in the data system will sign MOUs and Data Sharing agreements that will govern the data system. The agencies that must be signatories will be: SED, OCFS, DOH, NYCACS, NYCDOE, NYCDOHMH, New York State Office of Temporary and Disability Assistance (OTDA), and the NYC Early Childhood Professional Development Institute at CUNY (PDI)

**Responsible parties:** Agencies represented above

**Time period:** Year 1

**Strategy 2: Prepare for assigning the SED New York State Student Identification System (NYSSIS) Unique Statewide Identifier (ID) to children.** NYSSIS is an electronic information system that assigns an ID to students in New York public schools, including charter schools. This unique ID will follow the child from the time they receive publicly funded early childhood services, through their years in the K-12 system, through higher education, and into the workforce.

**Responsible parties:** SED, OCFS, DOH, NYCACS, NYCDOE, OTDA

**Time period:** Year 1

**Strategy 3: Infrastructure Development.** SED will begin the process to determine infrastructure needs for: linking mechanisms between the data systems, preparing the P-20 Data System to accept the additional data, and the development of the Early Education Reporting Portal.

**Responsible parties:** SED

**Time period:** Years 1 and 2

**Strategy 4: Begin linking data between the various early childhood systems.** The data system will begin gathering data that is already being collected on the individual level for children receiving child care subsidies, EI, preschool special education, Head Start programs funded by NYCACS, NYCDOE and UPK. All children receiving these publicly funded services will be assigned a NYSSIS ID. Long-term, NYSSIS ID's will be assigned to all children who enter ELDPs that are licensed by OCFS and NYCDOHMH. This will allow for the creation of a statewide early learning data system for all children receiving child care services in New York, not just those who receive publicly funded services.

**Responsible parties:** SED, OCFS, DOH, NYCACS, NYCDOE, OTDA

**Time period:** Years 1 and 2

**Strategy 5: Establish site-level identifiers.** The next step in the process of the data system will be to develop linkages and unique statewide site-level identifiers to all regulated and licensed facilities which provide ELDPs, including programs which provide UPK. Once this is complete, the data system will be able to link data between children and ELDPs.

**Responsible parties:** SED, OCFS, NYC DOHMH, NYCDOE

**Time period:** Year 3

**Strategy 6: Develop further linkages.** The next stage of linkages will include the QSNY data system, which will house all of the quality indicators and other program data collected by QSNY, and the data from the *New York Works for Children* Registry, which will maintain data on Early Childhood Educators in licensed and regulated child care centers. In conjunction with other data systems that collect such data, the Early Learning Data System will be able to create unique identifiers for Early Childhood Educators, as well as link them to the program that employs them. *The New York Works for Children* Registry will also link with SED's TEACH system, which registers certified professional staff members in New York public schools. During development, there will be considerations to linking to home visiting programs' data systems, and possibly other statewide and local programs' data systems that provide early childhood education, as appropriate. When additional child level Head Start and Early Head Start data become available, they will be linked with the Early Learning Data System. DOH's CHI2 project, currently underway, is integrating child health care data among many different internal data systems. This will allow for a full public health picture of an individual child's medical history and public health services to facilitate clinical care and follow-up in a timely manner for improved service delivery and health outcomes for the child. DOH has been, and will continue to be, engaged to investigate the possibility of being able to link to its integrated data set.

**Responsible parties:** SED, PDI

**Time period:** Year 3

**Strategy 7: Develop the Early Education Reporting Portal.** The portal, which will work in coordination with SED's P-20 portal, will provide a networking platform and information repository for dashboard reports and other customized resources so that stakeholders, including State, county, and ELDP personnel, can access and analyze educational data.

**Responsible parties:** SED

**Time period:** Years 3 and 4

The financial resources needed to create the Early Learning Data System total \$21.2 million through the four years of the grant to support the technical and professional staff and contracts to plan, develop and maintain the system, and the infrastructure support for the necessary hardware and software. The system will have recurring costs after the grant has expired for which the State will devote resources to sustain. SED's successful 2010 RTTT application included \$4.7 million in funding to create linkages to the P-20 Longitudinal Data System. Those resources will supplement the \$21.2 million needed to build up the system.

To undertake this project, New York will build off of its rich experience in data system development, including:

- **P-20 Longitudinal Data System** - SED has been developing a data system that will track and monitor student progress from entry into preschool special education or UPK through K-12 education, college, and entry into the workforce.
- **PreKIDS Data System** – NYCDOE has recently developed the Prekindergarten Integrated Data System (PreKIDS), which allows CBOs to interact with student data for their centers and through connecting with NYC public school databases and enables NYC to track the same data points for CBO and public school students. NYC's unique student identifiers allow the district to track longitudinal student outcomes as a student progresses through the P-12 continuum. PreKIDS also provides unique identifiers for CBO UPK providers, allowing NYC to more closely track program level trends and their relationship to student characteristics. NYC recently used their ability to track longitudinal student outcomes to analyze Grade 3, 4, and 5 New York State ELA and Math Exams for students<sup>2</sup> who attended NYC's UPK program in 2003, 2004, and 2005 compared to students who were not enrolled in UPK.<sup>3</sup> Accounting for demographic, student, and within-school characteristics, 4 children who participated in UPK scored significantly higher on Grade 3, 4, and 5 New York State ELA and Math Exams compared to non-UPK participants.

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<sup>2</sup> The analysis consists of students who attended schools in Districts 1-32.

<sup>3</sup> Non-UPK participants include young children who received informal care (in-home), private early childhood options, or public early childhood options outside of New York City.

<sup>4</sup> Using a fixed effects model.

- **NYC HHS Connect** – The New York City Mayor’s Office has led an effort, and recently developed a comprehensive case management system, that provides people seeking services from any of the Health and Human Services agencies and programs a unique identifier that then enables those agencies to share client information without compromising confidentiality.

In addition, data has been a focus of the ECAC’s Data Development Workgroup, which has been working to determine the systems and data needed for an early childhood education longitudinal data system that identifies trends in ELDPs, and answers key policy questions. As part of that effort, in January 2011, the Workgroup published an overview of New York’s early childhood data systems and recommendations to achieve the goal of an early childhood education longitudinal data system.

Once the data system is complete, New York will have comprehensive unduplicated information on the programs in the system, including their sources of funding, participation in QSNY, their quality rating, staffing levels, and numbers of children served. This complete picture of our service system would support:

- **State and local level decision-makers and program managers** by providing data needed to monitor the progress of efforts to build a high quality system of early learning and development services including information needed to direct resources, evaluate program strategies and support other program and policy decisions.
- **Child care licensing staff and other program regulators** by allowing for increased program accountability and efficient program reviews by providing electronic information about ELDPs that was previously available only in paper files.
- **ELDP administrators** by providing individual and aggregate information on the professional development needs of staff needed to ensure that the program is in compliance with regulations and to develop plans for meeting staff professional development needs.
- **ELDP staff and providers** by providing individual and aggregate child assessment information to enable Early Childhood Educators to develop curriculum that meets the needs of the children in their classroom and provide the ability to develop and maintain records of their education and training that will follow them through their careers.

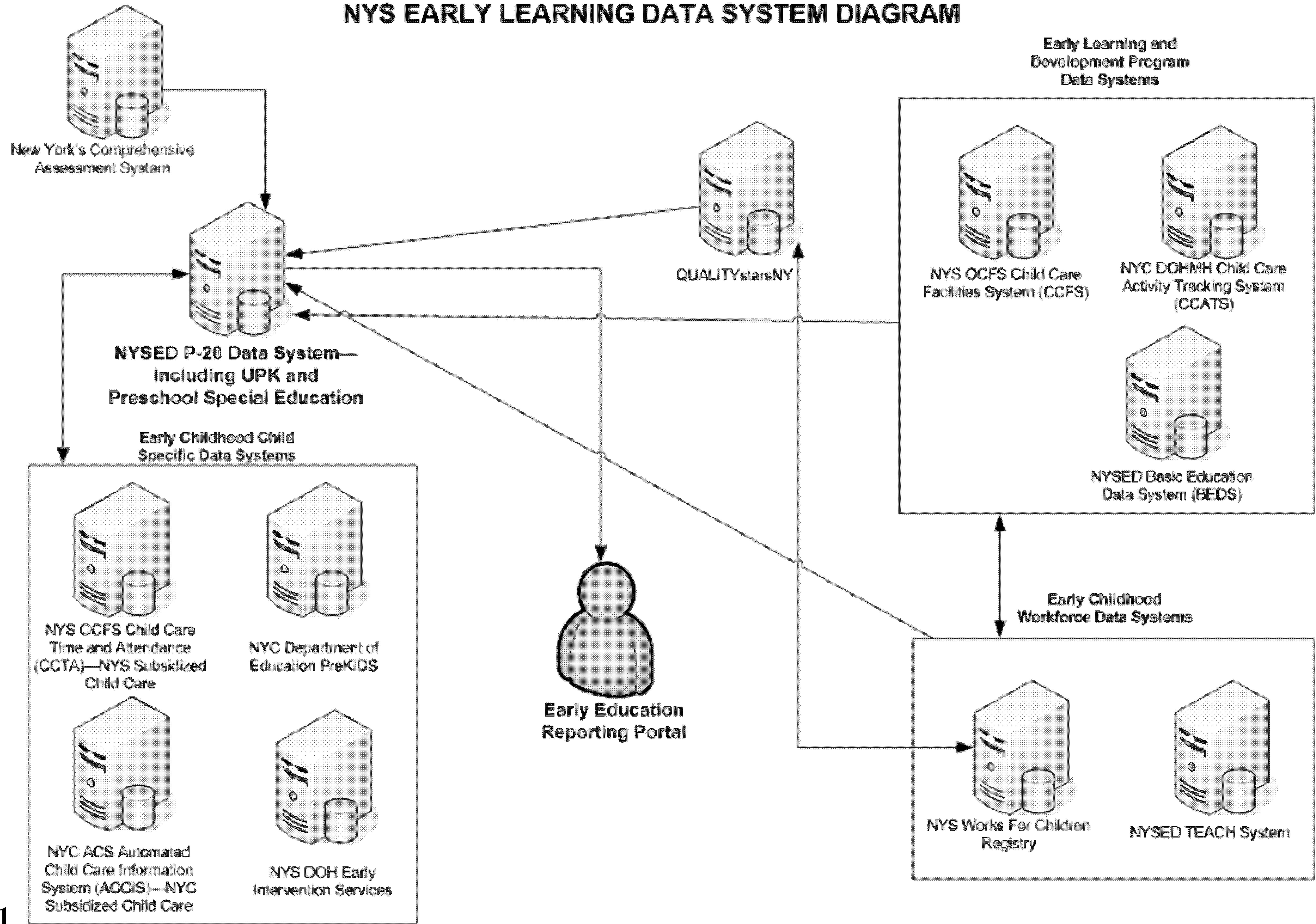
- **Families** by providing detailed information on ELDPs participating in QSNY including each program's rating, detailed information on the program's strengths and weaknesses in each program standard area that led to the rating and information on any child care regulatory compliance issue and findings.
- **Researchers** by providing comprehensive aggregate information on ELDPs, the Early Childhood Educators working at those programs, and the children being served, as well as the funding, and subsidy use by program.

**(a) Has all of the Essential Data Elements;**

As illustrated below in Chart (E)(2)-1, the State currently has 12 developed and developing data systems that provide information on early learning and development staff and providers, and the children who receive services from them. Collectively, these data systems collect information on all Essential Data Elements for ELDPs, Early Childhood Educators, and participating children and families. Because these systems are operated by seven different State and NYC agencies and are not linked in any meaningful way, New York is currently unable to use the data as effectively as it could to improve outcomes. The Early Learning Data System will overlay the current data systems in New York. It will not replace any of the systems, nor replace what they do for their home agencies. Instead, the system will take the needed common data elements from the individual data systems and provide access to the data through the Early Education Reporting Portal in a timely and relevant manner to stakeholders.

**Chart (E)(2)-**

**EARLY LEARNING CHALLENGE GRANT  
NYS EARLY LEARNING DATA SYSTEM DIAGRAM**





**(b) Enables uniform data collection and easy entry of the Essential Data Elements by Participating State Agencies and Participating Programs;**

SED will work closely with the staff of the other early learning data systems to develop standardized data structures, formats and definitions for the following early learning data elements:

- **Child and family data** – many demographic data are collected on children and families who are receiving subsidized child care services in New York. Initially, the data system will not have information on children and families in ELDPs who do not receive these publicly funded services or are not in a NYCACS funded Head Start program. Those data will be integrated into the system over time by assigning each child a NYSSIS unique student ID and entering his or her demographic information and ELDP attendance into the SED P-20 data system.
- **Early Childhood Educator information** – currently, the various data systems collect basic information on nearly all Early Childhood Educators. A New York Works for Children Registry data system is currently being developed that will provide demographic information, verified education history, credential, license and training information. The Registry will also capture information on which staff is in which classroom, specific classroom information, staff position and pay.
- **Early Learning and Development program data** - with the data from the State and New York City child care systems as a starting point for the system, New York will be able to determine all of the legally-exempt providers that serve children who receive subsidized child care, as well as regulated and licensed child care programs. There are data on address and complaint/inspection/enforcement history. EI and preschool special education have information on those agencies that provide these services. Currently, there is a lack of information on CBOs that provide UPK, unless they are in one of the New York State or New York City child care systems and it is known they provide UPK.
- **Quality Rating and Improvement System** - the QSNY data system, currently in implementation, will include many different data elements that the system will be able to link with to capture a wealth of quality indicators about the ELDP that participate in QSNY.

(For more specific information on data elements captured in New York, see the Data Elements Crosswalk in Appendix E\_2\_1.)

**(c) Facilitates the exchange of data among Participating State Agencies by using standard data structures, data formats, and data definitions such as Common Education Data Standards to ensure interoperability among the various levels and types of data;**

Currently all children who receive preschool special education services and UPK funded by public schools are assigned a NYSSIS ID. Through data sharing agreements between the participating agencies, those children receiving EI services and those receiving child care subsidies and participating in NYCACS sponsored Head Start programs will also receive a NYSSIS ID. The child level data, which includes child and family demographic information, as well as program participation and attendance information from those data systems, will then be electronically transmitted into the SED P-20 Data System for storage and integrated with the preschool special education and UPK child and family demographic and program information.

Early childhood assessments that are required to be used statewide will be entered by the appropriate staff at the early learning and development program into a web-based application to be developed and deployed by these assessment systems, which will apply appropriate edit checks and link that child's assessment to the P-20 data system via their NYSSIS ID. Through the Early Education Reporting Portal, early childhood service providers will have timely access to the results of all of their children's assessments. Based on the results of the assessments, as distributed through the service providers, early childhood educators will be able to provide more immediate interventions to positively impact the child's learning experience.

K-12 educators will also have access to the student's early learning record, including all early childhood assessments, to inform them about the child's early developmental progress. K-12 educators will use the longitudinal results of these assessments to help them prepare an educational plan that meets the needs of that student and improve the student's chances for success in the short- and long-term.

The New York Works for Children Registry will be receiving data feeds on ELDP from OCFS' Child Care Facilities System and NYCDOHMHs Child Care Activity Tracking System. In the New York Works for Children Registry, Program Directors at the ELDP will assign staff to their programs and there will be a record of where early childhood educators worked and for how long they stayed in that program.

The QSNY data system will use early learning and development program ID's from the New York Works for Children Registry to allow for easy linking of program data back to their home systems. This will also facilitate being able to determine which demographics, training and education of early childhood educators' helps lead to a quality program.

Using the NYSSIS ID, the P-20 data system will be able to follow children who receive early learning services throughout their public school career and into post-secondary education along with certain workforce data for that student. This will allow for analyzing of longitudinal data to help make determinations of what type of ELDP in conjunction with the qualities of the early childhood educators allows for long term educational and workforce success.

**(d) Generates information that is timely, relevant, accessible, and easy for Early Learning and Development Programs and Early Childhood Educators to use for continuous improvement and decision making; and**

The Early Education Reporting Portal will allow stakeholders access to certain data and outputs which will allow them to access and analyze educational data, and, depending on their role and permissions, make decisions and take actions to improve outcomes for New York's children.

When a user makes a reporting request through the Early Education Reporting Portal, the P-20 data system, using web services, will be able to access the needed data from the appropriate data systems. The Early Education Reporting Portal will allow for:

- Bulk data export from P-20 to early childhood State agencies and counties
- Pre-defined reports for State agencies and counties
- As needed data queries for State agencies and counties

- Predefined reports for early childhood service providers
- Predefined reports for K-12 educators (available through the K-12 data portal)
- K-12 parent access to early learning and K-12 data (available through the K-12 data portal)
- Public access to aggregate data

**(e) Meets the Data System Oversight Requirements and complies with the requirements of Federal, State, and local privacy laws.**

All parts of the Early Learning Data System will comply with Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA) requirements and all other applicable privacy and confidentiality requirements.

OCFS will create a process to allow for certain individually unidentifiable data sets to be given to outside researchers and analysts to report on and improve early education practices and policies.

A data governance policy will be developed by OCFS which will ensure the Early Learning Data System complies with all Federal, State and local laws in regards to the privacy and sharing of early learning data. This policy will also outline which individuals and groups can have access to the data, and which data elements they can access.

## COMPETITION PRIORITIES

*Note about the Absolute Priority: The absolute priority describes items that a State must address in its application in order to receive a grant. Applicants do not write a separate response to this priority. Rather, they address this priority throughout their responses to the selection criteria. Applications must meet the absolute priority to be considered for funding. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority*

### Priority 1: Absolute Priority – Promoting School Readiness for Children with High Needs.

To meet this priority, the State's application must comprehensively and coherently address how the State will build a system that increases the quality of Early Learning and Development Programs for Children with High Needs so that they enter kindergarten ready to succeed.

The State's application must demonstrate how it will improve the quality of Early Learning and Development Programs by integrating and aligning resources and policies across Participating State Agencies and by designing and implementing a common, statewide Tiered Quality Rating and Improvement System. In addition, to achieve the necessary reforms, the State must make strategic improvements in those specific reform areas that will most significantly improve program quality and outcomes for Children with High Needs. Therefore, the State must address those criteria from within each of the Focused Investment Areas (sections (C) Promoting Early Learning and Development Outcomes for Children, (D) A Great Early Childhood Education Workforce, and (E) Measuring Outcomes and Progress) that it believes will best prepare its Children with High Needs for kindergarten success.

### Priority 3: Competitive Preference Priority – Understanding the Status of Children's Learning and Development at Kindergarten Entry.

To meet this priority, the State must, in its application--

- (a) Demonstrate that it has already implemented a Kindergarten Entry Assessment that meets selection criterion (E)(1) by indicating that all elements in Table (A)(1)-12 are met; or
- (b) Address selection criterion (E)(1) and earn a score of at least 70 percent of the maximum points available for that criterion.

*For Competitive Preference Priority 3, a State will earn all ten (10) competitive preference priority points if a majority of reviewers determines that the State has met the competitive preference priority. A State earns zero points if a majority of reviewers determines that the applicant has not met the competitive preference priority.*

*Applicants do not write a separate response to this priority. Rather, applicants address Competitive Preference Priority 3 either in Table (A)(1)-12 or by writing to selection criterion (E)(1).*

*Under option (a) below, an applicant does not earn competitive preference points if the reviewers determine that the State has not implemented a Kindergarten Entry Assessment that meets selection criterion (E)(1); under option (b) below, an applicant does not earn competitive preference points if the State earns a score of less than 70 percent of the maximum points available for selection criterion (E)(1).*

*Specify which option the State is taking:*

- (a) Applicant has indicated in Table (A)(1)-12 that all of selection criterion (E)(1) elements are met.
- (b) Applicant has written to selection criterion (E)(1).

## ELIGIBILITY REQUIREMENTS

*The State must meet the following requirements to be eligible to compete for funding under this program:*

(a) The Lead Agency must have executed with each Participating State Agency a Memorandum of Understanding (MOU) or other binding agreement that the State must attach to its application, describing the Participating State Agency's level of participation in the grant. (See section XIII.) At a minimum, the MOU or other binding agreement must include an assurance that the Participating State Agency agrees to use, to the extent applicable--

- (1) A set of statewide Early Learning and Development Standards;
- (2) A set of statewide Program Standards;
- (3) A statewide Tiered Quality Rating and Improvement System; and
- (4) A statewide Workforce Knowledge and Competency Framework and progression of credentials.

List of Participating State Agencies:

*The applicant should list below all Participating State Agencies that administer public funds related to early learning and development, including at a minimum: the agencies that administer or supervise the administration of CCDF, the section 619 of part B of IDEA and part C of IDEA programs, State-funded preschool, home visiting, Title I of ESEA, the Head Start State Collaboration Grant, and the Title V Maternal and Child Care Block Grant, as well as the State Advisory Council on Early Childhood Education and Care, the State's Child Care Licensing Agency, and the State Education Agency.*

*For each Participating State Agency, the applicant should provide a cross-reference to the place within the application where the MOU or other binding agreement can be found. Insert additional rows if necessary. The Departments will determine eligibility.*

<b>Participating State Agency Name (* for Lead Agency)</b>	<b>MOU Location in Application</b>	<b>Funds/Program(s) administered by the Participating State Agency</b>
NYS Office of Children and Family Services*	See Page 352 and 357	CCDF, Home Visiting, Head Start State Collaboration Grant
NYS Education Department	See Page 352 and 364	State-funded preschool, Part B of IDEA, Title I of ESEA

NYS Department of Health	See Page 352 and 367	Part C of IDEA, Home Visiting, Title V Maternal and Child Care Block Grant
NYS Office of Mental Health	See Page 352 and 372	
Early Childhood Advisory Council	See Page 352	

(b) The State must have an operational State Advisory Council on Early Care and Education that meets the requirements described in section 642B(b) of the Head Start Act (42 U.S.C. 9837b).

*The State certifies that it has an operational State Advisory Council that meets the above requirement. The Departments will determine eligibility.*

Yes

No

(c) The State must have submitted in FY 2010 an updated MIECHV State plan and FY 2011 Application for formula funding under the Maternal, Infant, and Early Childhood Home Visiting program (see section 511 of Title V of the Social Security Act, as added by section 2951 of the Affordable Care Act of 2010 (P.L. 111-148)).

*The State certifies that it submitted in FY 2010 an updated MIECHV State plan and FY 2011 Application for formula funding, consistent with the above requirement. The Departments will determine eligibility.*

Yes

No



**VIII. BUDGET**

**BUDGET PART I: SUMMARY**

**BUDGET PART I -TABLES**

*Budget Table I-1: Budget Summary by Budget Category--The State must include the budget totals for each budget category for each year of the grant. These line items are derived by adding together the corresponding line items from each of the Participating State Agency Budget Tables.*

<b>Budget Table I-1: Budget Summary by Budget Category (Evidence for selection criterion (A)(4)(b))</b>					
<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	2,372,291	2,373,923	2,434,749	2,496,228	9,677,191
2. Fringe Benefits	1,150,108	1,317,052	1,428,954	1,527,941	5,424,056
3. Travel	140,963	137,442	137,442	137,442	553,289
4. Equipment	1,920,252	500	500	500	1,921,752
5. Supplies	51,801	35,932	36,695	37,461	161,889
6. Contractual	22,915,531	15,198,832	20,935,966	22,178,272	81,228,601
7. Training Stipends	0	0	0	0	0
8. Other	0	0	0	0	0
9. Total Direct Costs (add lines 1-8)	<b>28,550,946</b>	<b>19,063,681</b>	<b>24,974,306</b>	<b>26,377,844</b>	<b>98,966,778</b>
10. Indirect Costs*	152,215	156,219	160,312	164,476	633,222
11. Funds to be distributed to localities,	0	0	0	0	0

**Budget Table I-1: Budget Summary by Budget Category**  
**(Evidence for selection criterion (A)(4)(b))**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
Early Learning Intermediary Organizations, Participating Programs and other partners.					
12. Funds set aside for participation in grantee technical assistance	100,000	100,000	100,000	100,000	400,000
<b>13. Total Grant Funds Requested</b> (add lines 9-12)	<b>28,803,161</b>	<b>19,319,900</b>	<b>25,234,618</b>	<b>26,642,320</b>	<b>100,000,000</b>
14. Funds from other sources used to support the State Plan	2,828,571	3,918,271	4,431,557	6,444,735	17,623,134
<b>15. Total Statewide Budget</b> (add lines 13-14)	<b>31,631,732</b>	<b>23,238,171</b>	<b>29,666,175</b>	<b>33,087,055</b>	<b>117,623,134</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary

**Budget Table I-1: Budget Summary by Budget Category**  
**(Evidence for selection criterion (A)(4)(b))**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<p>Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.</p> <p><u>Line 12:</u> The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT–ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.</p> <p><u>Line 13:</u> This is the total funding requested under this grant.</p> <p><u>Line 14:</u> Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.</p>					

Budget Table I-2: Budget Summary by Participating State Agency--The State must include the budget totals for each Participating State Agency for each year of the grant. These line items should be consistent with the totals of each of the Participating State Agency Budgets provided in Budget Tables II-1.

<b>Budget Table I-2: Budget Summary by Participating State Agency (Evidence for selection criterion (A)(4)(b))</b>					
<b>Participating State Agency</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
Office of Children and Family Services	18,757,942	18,153,731	25,708,175	29,011,976	91,631,824
State Education Department	9,558,717	1,837,101	1,852,522	1,924,078	15,172,418
Department of Health	2,226,654	2,160,508	1,016,238	1,059,872	6,463,272
Office of Mental Health	1,088,419	1,086,832	1,089,240	1,091,130	4,355,620
<b>Total Statewide Budget</b>	<b>31,631,732</b>	<b>23,238,171</b>	<b>29,666,175</b>	<b>33,087,055</b>	<b>117,623,134</b>

Budget Table I-3: Budget Summary by Project--The State must include the proposed budget totals for each project for each year of the grant. These line items are the totals, for each project, across all of the Participating State Agencies' project budgets, as provided in Budget Tables II-2.

<b>Budget Table I-3: Budget Summary by Project (Evidence for selection criterion (A)(4)(b))</b>					
<b>Projects</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
QUALITYstarsNY	8,380,525	10,087,891	17,093,873	18,379,521	53,941,809
Longitudinal Database	10,978,633	4,070,145	3,023,059	3,099,212	21,171,050
Kindergarten Readiness Tool	1,269,381	263,274	271,172	279,307	2,083,134
QUALITY Scholars	1,716,709	3,726,872	4,237,406	6,247,164	15,928,151
Core Body of Knowledge	1,341,653	1,128,063	1,055,779	987,991	4,513,485
Early Childhood Guidelines	1,041,709	916,872	832,406	842,164	3,633,151
Workforce Registry	1,376,709	1,506,872	1,657,406	1,807,164	6,348,151
Comprehensive Assessment	5,189,683	1,078,328	1,109,717	1,050,015	8,427,743
All Other	336,730	459,855	385,358	394,516	1,576,459
<b>Total Statewide Budget</b>	<b>31,631,732</b>	<b>23,238,171</b>	<b>29,666,175</b>	<b>33,087,055</b>	<b>117,623,134</b>

## **BUDGET PART I -NARRATIVE**

*Describe, in the text box below, the overall structure of the State's budget for implementing the State Plan, including*

- *A list of each Participating State Agency, together with a description of its budgetary and project responsibilities;*
- *A list of projects and a description of how these projects taken together will result in full implementation of the State Plan;*
- *For each project:*
  - *The designation of the selection criterion or competitive preference priority the project addresses;*
  - *An explanation of how the project will be organized and managed in order to ensure the implementation of the High-Quality Plans described in the selection criteria or competitive preference priorities; and*
- *Any information pertinent to understanding the proposed budget for each project.*

**Introduction:** New York State requests \$100 million in Race to the Top-Early Learning Challenge funding to support 12 major projects over a four year project period. These projects will support New York State's Plan, an innovative and sustainable investment in the State's youngest citizens. The plan combines improvements in the quality of early care and learning, increased access to medical care and expanded data capacity. As a result of these investments, we expect to see continuing improvements in our outcomes, especially for children with high needs. Finally, Kindergarten Readiness Tool will inform efforts to close the school readiness gap at kindergarten entry by providing the State with data to improve early learning and development programs and tailor instruction.

The State's Plan builds upon years of groundwork laid by the State Agencies as part of their own efforts, by the State's Early Childhood Advisory Council and through initiatives that were enabled by the State's receipt of a Race to the Top award in August 2010. While these efforts have formed the essential foundation for the Early Learning Plan, this grant provides the opportunity to build a stronger system that serves our neediest children more effectively. The pillars of our plan are as follows:

- Access to High Quality and Improving Programs (QUALITYstarsNY)
- Integrated Data Systems
- Health Initiatives

- Kindergarten Readiness Tool
- Quality Workforce Initiatives

The State Plan will advance an agenda that leverages the State's ongoing efforts to integrate its early learning and development services, improve their quality and ensure that our children start kindergarten healthy and ready to flourish. The State's Plan combines an extension of the program to disseminate the State's Early Learning Framework, regulatory improvements and the significant projects described in the budget summaries below. The budgeted programs are not the entire State Plan. Our preparation for this application has inspired improvements to our system for childcare that do not require additional funding. These include a plan to increase training requirements for our early childhood providers. The programs budgeted for below are key landmarks in the overall roadmap to improved early learning – and to improved school readiness, especially for those of our children that need the most support.

**Current Funding for Early Childhood Programs:** The RTTT-ELC will enable New York State to expand upon ongoing efforts to integrate our early learning system more fully. While our current work has been funded both through our ongoing and substantial investment in State resources (\$2.4 billion in 2011-12, see table A(1)(4)) and also through leveraging external funds, the RTTT-ELC funds will permit us to put in place the State Plan. Under the State Plan, we will build on existing funding such as the State's own support, the investments in early learning undertaken as part of the scope of work in the State's successful Race to the Top application in 2010, the quality improvement funds from the Child Care and Development Fund (CCDF), as well as building existing agency resources with in-kind support of the RTTT-ELC initiatives from Office of Mental Health and the Department of Health in order to reach a new era in the care, support and preparation of our youngest children.

New York's Plan, supported by the RTTT-ELC funds, provides the framework necessary to create key linkages between our systems, improve the quality of our programs and our early childhood workforce, especially those that serve our high needs communities, build our capacity to use data to improve our quality and more effectively support our students as they take their first steps into schooling. The RTTT-ELC funds will provide a key bridge between our current system and the goals of the State Plan, which we intend to be a national model for high quality early learning and development programs.

**Effectively Use Existing Funds:** In order to make full use of the unique opportunity provided by the RTTT-ELC grant and support initiatives whose costs we anticipate will exceed the grant amount, New York intends to both repurpose some existing funds to the effort, leverage investments that have been made and also contribute new State funds to meet the goals of the grant. Funds to be leveraged include:

- **Child Care and Development Fund:** We will repurpose \$15 million in CCDF funds to support the development and implementation of an improved and expanded professional development curriculum for our early childhood providers.
- **Race to the Top:** New York is already developing a strong P-20 Longitudinal Data System, an effort that is supported by the funds awarded New York's successful application to a previous round of Race to the Top. New York will use RTTT-ELC funds to leverage some of the \$4.7 million that had already been allocated to create linkages to connect data across the State agencies that serve young children.
- **Additional Funding:** New York will also identify a variety of additional sources of funding to support this work, increasing the impact of each dollar of RTTT-ELC funding. State funds will support the Kindergarten Readiness Tool.

**Budget Total:** The complete portfolio of projects planned to move New York forward toward the achievement of its State Plan will require an overall investment over the next four years of \$117.6 million.

#### **Roadmap of State Agency Responsibilities in Implementing the Plan**

As summarized in the table below, four State agencies have budgeted responsibilities under the RTTT-ELC grant proposal.



- The **New York State Office of Children and Family Services (OCFS)** is the lead agency for the grant, including responsibility for the administration of QUALITYstarsNY, the comprehensive assessment and common metric for child assessments and responsibility for early childhood providers' professional development. OCFS will also contribute to the development of our longitudinal database and the common metric.
- The **New York State Education Department** will build on its previous efforts and lead the effort to expand the P-20 Longitudinal Data System to include extensive information on children in childcare, the early learning workforce and provider data. The State Education Department will also build on its expertise to develop and implement the Kindergarten Readiness Tool.
- The **New York State Department of Health** will offer its public health expertise to support improvements to QUALITYstarsNY that encourage New York's early care settings to promote a variety of health initiatives – including programs that increase enrollment in our State's generous child health programs and improve nutrition. The Department of Health will work with health care providers to increase rates of developmental screenings. Health will also contribute to the longitudinal database effort.
- The **New York State Office of Mental Health** will build a social emotional development program that will work with our early care and learning programs to reduce expulsions and help them work with students to give them the skills necessary for school success.

**State Agency Responsibilities in Implementing the State Plan**

<b>Agency</b>	<b>Project</b>	<b>Section Addressed</b>	<b>Agency Budget for the Project</b>
OCFS	QUALITYstarsNY	B(1)	\$49,058,321
	QUALITY Scholars	D(2)(b)	\$15,928,151
	Comprehensive Assessment/Common Metric	(C)(2)(b)	\$7,501,467
	Workforce Registry	D(2)(c)	\$6,348,151
	Core Body of Knowledge	D(1)(a)	\$4,513,485
	Early Learning Data System/Longitudinal Database	E(2)	\$4,249,097
	Early Childhood Guidelines	D(1)(a)	\$3,633,151
SED	Early Learning Data System/Longitudinal Database	E(2)	\$13,029,284
	Kindergarten Readiness Tool	E(1)	\$2,083,134
	PBS Training Video	D(2)(d)	\$60,000
DOH	Improved Developmental Screenings in Medical Home	C(3)(a)	\$926,276
	Expand Participation in CACFP	C(3)(c)	\$1,116,459
	Strengthen Health Component of QUALITYstarsNY	C(3)(a) and (b)	\$527,868
	Early Learning Data System/Longitudinal Database	E(2)	\$3,892,669
OMH	Socio-Emotional Development Project	C(3)(a)	\$4,355,620

**Projects in Support of New York's State Plan**

<b>Project</b>	<b>Primary Agency on Project</b>	<b>Total Four-Year Budget for This Project</b>
QUALITYstarsNY*	OCFS	\$48,132,045
Early Learning Data System/Longitudinal Database	SED	\$21,171,050
Kindergarten Readiness Tool	SED	\$2,083,134
QUALITY Scholars	OCFS	\$15,928,151
Core Body of Knowledge	OCFS	\$4,513,485
Early Childhood Guidelines	OCFS	\$3,633,151
Workforce Registry	OCFS	\$6,348,151
Comprehensive Assessment/Common Metric	OCFS	\$8,427,743
Expand Participation in CACFP	DOH	\$1,116,459
Ensure children with high needs get the health care and developmental screenings they need	DOH	\$926,276
Enhance QUALITYstarsNY health standards and supports	DOH	\$527,868
Social-Emotional Development Consultation	OMH	\$4,355,620
All Other**	Various	\$460,000

\*QUALITYstarsNY total does not include the values for the enhancement of standards and social-emotional development consultation projects; nor does the Comprehensive Screening value include the ensuring children with high needs get health care and developmental screenings budget. In other sections of this application, these may be included in those totals. These were lined out separately in this Overview in order to make the full scope of our vision clearer to the reviewer.

\*\* Includes PBS video training activity

**QUALITYstarsNY: Addresses B(1) (Total four year budget: \$53,941,809)** The implementation of QUALITYstarsNY is the core of the State's Plan. As a result, QUALITYstarsNY forms the largest component of the State's budget for the RTT-ELC grant.

We prioritize QUALITYstarsNY, New York's Tiered Quality Rating and Improvement System, because it will serve as the driver of major improvements in early childhood education in New York. By setting a clear and consistent vision of the expectations for high-quality programs, by assisting programs to achieve that improved quality and by recognizing when quality has been achieved, QUALITYstarsNY will provide the cross-setting framework that will move our Early Learning and Development Programs toward the consistent, high quality to which we aspire. In addition, we note that our expansion plan for QUALITYstarsNY will focus first on Early Learning and Development Programs in communities with schools identified as the State's Persistently Lowest Achieving, then on programs serving communities which our risk-identification project has determined to be high-needs communities, and on programs serving Children with High Needs elsewhere throughout the State.

New York's rollout of QUALITYstarsNY will prioritize programs that serve our most at-risk and high needs children, even while we will make access to QUALITYstarsNY available to all Early Learning and Development Programs. The budget includes a continuum of support for participating programs. Those programs in high-needs communities will receive extensive professional development and support as they move toward enhanced performance. In additional efforts, described below as distinct projects because of their importance to our overall view, QUALITYstarsNY will serve as the central delivery mechanism for promotion of improved health and social emotional development.

**Enhance State's Early Learning Data System/Longitudinal Database: Addresses E(2) (Total four year budget: \$21,171,050)** New York has twelve developed and developing data systems that provide comprehensive information on early learning and development staff, programs, as well as the children and families they serve. New York State will use a portion of its RTTT-ELC funding to build linkages between these systems, extend SED's P-20 data system, and build an Early Education Reporting Portal. This project supports the State's Plan by enabling key stakeholders to access data they need to both measure outcomes and build analytical solutions that improve the early learning services we provide.

**Kindergarten Readiness Tool: Addresses E(1) and Competitive Preference Priority 3 (Total four year budget: \$2,083,134)** As New York moves toward the data-guided and fully integrated Early Childhood system, we recognize the need to improve our understanding of the

preparedness of our young children as they begin kindergarten. A Kindergarten Readiness Tool (KRT) contributes to our State Plan by providing the information we need to improve both our educators' practice and the support we provide our children as they enter formal schooling. Results would be used to inform efforts to close the school readiness gap at kindergarten entry by providing the State with data to improve early learning and development programs and to inform instruction. The Kindergarten Readiness Tool is an essential part of our efforts toward the goals we have set as part of New York's State Plan and described in this grant application. This effort will be supported through State funds.

**Develop PBS Video Training Series: Addresses D(2)(d) (Total four year budget: \$60,000)** The State Education Department will issue an RFP to a partner with a public broadcast provider for the purpose of creating an interactive library of high-quality training videos. These videos will address the challenges faced by early childhood professionals and emphasize the importance of parent engagement.

**New York Works for Children: Addresses (D)(2)(c) (Total four year budget: \$6,348,151)** New York Works for Children includes the Workforce Registry project, a portion of which is already under development. New York Works for Children is a core part of the State's plan to improve the quality of its early childhood workforce. The Registry, which is currently administered by the City University of New York, will not only provide a central record of early childhood educators' credentials and training, it will be a key resource for their professional development. New York Works for Children will contribute to the State Plan by providing integrated training and development that is linked to SED's professional educators' credentials database (NY TEACH). It also contains links to the Early Education Framework that will guide educators' work.

**Common Metric: Addresses C(2)(b) (Total four year budget: \$8,427,743)** The Common Metric project is an essential component of the broader Comprehensive Assessment System – which the State will use to improve our knowledge of the status of children. This project will align a variety of assessment systems to enable our educators to develop a clear measure of a child's health and preparedness for school. This data will form an element of the State's growing capacity to improve our ability to focus research-based strategies to improve the preparation of our young children.

**Quality Scholars: Addresses (D)(2)(b) (Total four year budget: \$15,928,151)** Quality Scholars reflects a commitment to promoting professional development within our early childhood workforce and to doing so as part of a consistent plan to improve quality through the QUALITYstarsNY effort. Quality Scholars will provide scholarship support to early childhood educators as they seek to improve their knowledge and expertise through higher education. Of the approximately \$16 million budgeted for Quality Scholars over the life of the grant, approximately \$15 million will be redirected from existing Educational Incentive Program funds to Quality Scholars. This redirection of funds reflects New York's movement toward a more focused, cohesive and rigorous professional development under the State Plan.

**Core Body of Knowledge: Addresses D(1)(a) (Total four year budget: \$4,513,485)** The Core Body of Knowledge budget reflects New York's strategy of building a set of clear expectations for the skills and knowledge that will be possessed by the State's early childhood workforce. Much of the development work on the Core Body of Knowledge is complete. The budget proposed here will support the essential step of ensuring that the workforce is aware of the new guidelines. In addition, the work proposed in this project will support the dissemination of the Core Body of Knowledge through our higher education system – so that our pre-service workforce can be prepared for the new expectations our State Plan entails for their work.

**Early Childhood Guidelines: Addresses (C)(1) (Total four year budget: \$3,633,151)**

The Early Childhood Guidelines budget reflects New York's strategy of building a set of clear expectations for the skills and knowledge that will be possessed by the State's young children as they grow. Much of the development work on the Early Childhood Guidelines is complete. The budget proposed here will support the essential step of ensuring that the workforce is aware of the new guidelines to assist their work with the children in their care. In addition, the work proposed in this project will support the dissemination of the Early Childhood Guidelines through our higher education system – so that our pre-service workforce can base their work upon the Guidelines.

**Expand ELD Program Participation in Child and Adult Care Food Program (CACFP): Addresses C(3)(c) (Total four year budget: \$1,116,459)** Since early learning and development settings provide a valuable setting for the promotion of the good nutrition and healthy habits that will enable our students to begin school ready to learn, and young children may consume the majority of their daily calories while in child

care, the Department of Health will work with the QUALITYstarsNY and other entities to increase the percentage of eligible providers that participate in CACFP. This will ensure that more of our young children have access to the nutritious food and nutritional education that CACFP supports.

**Enhance QUALITYstarsNY's Health Standards and Supports: Addresses C(3)(a) and (b) (Total four year budget: \$527,868)** Since early learning and development programs provide a valuable setting for effective health promotion policies and practices that will enable our students to begin school ready to learn, the Department of Health will work with the QUALITYstarsNY program team to develop enhanced health standards and an accompanying Health and Learning (HL) survey tool to be incorporated within QUALITYstarsNY, and to integrate enhanced training, technical assistance and consultation supports to help providers meet those health standards within the quality improvement supports and professional development offered by QUALITYstarsNY .

**Enhance efforts to assure that high need children are enrolled in health insurance, linked to a primary care provider/medical home, and receive comprehensive well-child care in accordance with AAP standards including Developmental Screenings: Addresses C(3)(d). (Total four year budget: \$926,276)** Our plan will expand on our efforts to ensure that all children start school healthy, and that children who need additional support through the Early Intervention or Preschool Special Education Services are identified early and receive the referrals and assistance they need. The Department of Health will: work through QUALITYstarsNY to strengthen linkages between ELD programs and health insurance enrollers; provide systematic training and ongoing support for pediatric health care providers to promote adherence to American Academy of Pediatrics' recommended practices for universal developmental and autism screening; and adopt a statewide quality assurance measure on developmental screening as part of its established quality improvement infrastructure for health plans.

**Social-Emotional Development Consultation: Addresses C(3)(a). (Total four year budget: \$4,355,620)** In order to enable our early learning and development programs to address children's social emotional development needs, a critical part of preparation for kindergarten, the State Office of Mental Health will hire a program coordinator and identify mental health consultants in the target regions of New York State. The program coordinator will provide clinical expertise and identify important contributors to healthy social-emotional competence and assist in the

development of the Health and Learning Survey tool which will be used to improve the health promotion components of the QUALITYstarsNY program evaluations. The consultants hired through the grant will serve as a direct resource to our early learning and development programs and **provide mental health consultation as they seek to improve the ability of teachers, parents and care givers to address a child's behavior; provide needed interventions which in turn can result in improved school readiness, academic and social success.**

**Summary:** The budgeted projects described above form the key building blocks of the State's broader plan to support the learning and development of its young children. They will improve the quality of our early childhood programs, build the capacity of our workforce, provide a set of integrated expectations for what children should be able to do at each stage of development, improve the health of our students and use the data we collect about our programs, our people and our students to improve the services and supports that prepare children to succeed. The result will be a state of the art system that provides our educational leaders with the systemic perspective they need to prepare our children for academic success.



**BUDGET PART II: PARTICIPATING STATE AGENCY**

*The State must complete Budget Table II-1, Budget Table II-2, and a narrative for each Participating State Agency with budgetary responsibilities. Therefore, the State should replicate the Budget Part II tables and narrative for each Participating State Agency, and include them in this section as follows:*

- *Participating State Agency 1: Budget Table II-1, Budget Table II-2, narrative.*
- *Participating State Agency 2: Budget Table II-1, Budget Table II-2, narrative.*

**BUDGET PART II -TABLES**

Budget Table II-1: Participating State Agency Budget By Budget Category--*The State must include the Participating State Agency’s budget totals for each budget category for each year of the grant.*

<b><u>Budget Table II-1: Participating State Agency</u></b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<i>Office of Children and Family Services</i>					
<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	966,702	991,087	1,016,515	1,042,029	<b>4,016,333</b>
2. Fringe Benefits	467,593	549,855	596,593	637,826	<b>2,251,867</b>
3. Travel	60,000	60,000	60,000	60,000	<b>240,000</b>

**Budget Table II-1: Participating State Agency****(Evidence for selection criterion (A)(4)(b))***Office of Children and Family Services*

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
4. Equipment	37,752	0	0	0	<b>37,752</b>
5. Supplies	29,001	29,732	30,495	31,261	<b>120,489</b>
6. Contractual	15,578,623	12,904,326	19,885,360	21,121,166	<b>69,489,475</b>
7. Training Stipends	0	0	0	0	<b>0</b>
8. Other	0	0	0	0	<b>0</b>
9. Total Direct Costs (add lines 1-8)	<b>17,139,672</b>	<b>14,534,999</b>	<b>21,588,963</b>	<b>22,892,282</b>	<b>76,155,916</b>
10. Indirect Costs*	18,271	18,732	19,212	19,694	<b>75,909</b>
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs and	0	0	0	0	<b>0</b>

**Budget Table II-1: Participating State Agency**

**(Evidence for selection criterion (A)(4)(b))**

*Office of Children and Family Services*

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
other partners.					
12. Funds set aside for participation in grantee technical assistance	100,000	100,000	100,000	100,000	<b>400,000</b>
<b>13. Total Grant Funds Requested</b> (add lines 9-12)	<b>17,257,942</b>	<b>14,653,731</b>	<b>21,708,175</b>	<b>23,011,976</b>	<b>76,631,824</b>
14. Funds from other sources used to support the State Plan	1,500,000	3,500,000	4,000,000	6,000,000	<b>15,000,000</b>
<b>15. Total Budget</b> (add lines 13-14)	<b>18,757,942</b>	<b>18,153,731</b>	<b>25,708,175</b>	<b>29,011,976</b>	<b>91,631,824</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount

**Budget Table II-1: Participating State Agency**

**(Evidence for selection criterion (A)(4)(b))**

*Office of Children and Family Services*

	<b>Grant Year 1</b>	<b>Grant Year 2</b>	<b>Grant Year 3</b>	<b>Grant Year 4</b>	<b>Total</b>
<b>Budget Categories</b>	<b>(a)</b>	<b>(b)</b>	<b>(c)</b>	<b>(d)</b>	<b>(e)</b>

requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners

**Budget Table II-1: Participating State Agency**

**(Evidence for selection criterion (A)(4)(b))**

*Office of Children and Family Services*

	<b>Grant Year 1</b>	<b>Grant Year 2</b>	<b>Grant Year 3</b>	<b>Grant Year 4</b>	<b>Total</b>
<b>Budget Categories</b>	<b>(a)</b>	<b>(b)</b>	<b>(c)</b>	<b>(d)</b>	<b>(e)</b>

spend these funds in accordance with the State Plan.

Line 12: The Participating State Agency's allocation of the \$400,000 the State must set aside from its Total Grant Funds Requested for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Line 14: Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.

*Budget Table II-2: Participating State Agency Budget By Project--The State must include the Participating State Agency's proposed budget totals for each project for each year of the grant.*

<b><i>Budget Table II-2: Participating State Agency</i></b>					
<b><i>(Evidence for selection criterion (A)(4)(b))</i></b>					
<b><i>Office of Children and Family Services</i></b>					
<b><i>Project</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>QUALITYstarsNY</i>	7,152,695	8,877,729	15,875,012	17,152,886	<b>49,058,321</b>
<i>Longitudinal Database</i>	1,083,267	1,034,450	1,067,903	1,063,478	<b>4,249,097</b>
<i>Kindergarten Readiness Tool</i>	0	0	0	0	<b>0</b>
<i>QUALITY Scholars</i>	1,716,709	3,726,872	4,237,406	6,247,164	<b>15,928,151</b>
<i>Core Body of Knowledge</i>	1,341,653	1,128,063	1,055,779	987,991	<b>4,513,485</b>
<i>Early Childhood Guidelines</i>	1,041,709	916,872	832,406	842,164	<b>3,633,151</b>
<i>Workforce Registry</i>	1,376,709	1,506,872	1,657,406	1,807,164	<b>6,348,151</b>

<b><i>Budget Table II-2: Participating State Agency</i></b>					
<b><i>(Evidence for selection criterion (A)(4)(b))</i></b>					
<b><i>Office of Children and Family Services</i></b>					
<b><i>Project</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>Comprehensive Assessment</i>	4,945,202	862,874	882,263	811,128	<b>7,501,467</b>
<i>All Other</i>	100,000	100,000	100,000	100,000	<b>400,000</b>
<b><i>Total Budget</i></b>	<b>18,757,942</b>	<b>18,153,731</b>	<b>25,708,175</b>	<b>29,011,976</b>	<b>91,631,824</b>

**Office of Children and Family Services  
Lead Agency Budget Narrative**

The New York State Office of Children and Family Services (OCFS) will be the lead agency for the RTT-ELC grant. As the lead agency in charge of the oversight and administration of the grant, OCFS will hire 14 staff to implement these projects which are described in the application: QUALITYstarsNY (QSNY), the Core Body of Knowledge (CBK), the Early Learning Guidelines, the Workforce Registry and the Comprehensive Assessment System Common Metric. OCFS will also coordinate with the State

Education Department (SED) on the Longitudinal Database project. This staff will also collaborate with other Participating State Agencies to meet the goals outlined in the application. .

### 1) Personnel

Total personnel costs for OCFS are \$966,701 in year one, \$991,087 in year two, \$1,016,515 in year three and \$1,042,029 in year four for total of \$4,016,332 over the course of the grant. With funds from this grant, OCFS will create a new unit within the Division of Child Care Services. The following eight staff positions will assist with implementation and program oversight of the above listed projects:

- **Project Director** – one full-time position responsible the overall administrative and programmatic oversight of the State Plan. This position’s duties would include working directly with SED on the implementation of the Kindergarten Readiness Tool and the Longitudinal Database System, as well as direct supervision of both Assistant Project Directors. The projected year one salary is \$103,129; year two salary is \$104,029; year three salary is \$106,110; and year four salary is \$108,232;
- **Assistant Project Director, Early Childhood** – one full-time position responsible for the successful implementation of QSNY, the CBK, the Early Guidelines, the Workforce Registry and the Comprehensive Assessment System Common Metric. This position’s duties would include supervision of the Project Coordinator and Project Assistant for Early Childhood and serving as a liaison to the partnering agencies. The projected year one salary is \$93,906; year two salary is \$96,473; year three salary is \$99,040; and year four salary is \$101,607;
- **Assistant Project Director, Administration** - one full-time position responsible for overseeing the overall administration of the grant. This position’s duties would include working with each individual program area, preparing reports/assessments for the Commissioner, and submitting any required reports to the federal government. The projected year one salary is \$93,906; year two salary is \$96,473; year three salary is \$99,040; and year four salary is \$101,607;
- **Project Coordinator, Early Childhood** - one full-time position responsible for the oversight of QSNY, the Workforce Registry and the Comprehensive Assessment System Common Metric projects. This position’s duties would include direct



supervision of the Project Assistant for Early Childhood and working with stakeholders to facilitate completion of the project initiatives. The projected year one salary is \$77,329; year two salary is \$79,493; year three salary is \$81,657; and year four salary is \$83,821;

- **Project Coordinator, Administration** - one full-time position responsible for overall administration of the grant. This position's duties would include working with Program staff and the other Administrative areas to ensure compliance with the grant objectives, reviewing contracts/proposals, and reviewing vouchers for payment. The projected year one salary is \$77,329; year two salary is \$79,493; year three salary is \$81,657; and year four salary is \$83,821;
- **Project Assistant, Early Childhood** - one full-time position responsible for oversight of the Core Body of Knowledge and Early Learning Guidelines projects. This position's duties would also include carrying out various assignments as requested by the Assistant Project Director or Project Coordinator. The projected year one salary is \$59,990; year two salary is \$61,751; year three salary is \$63,512; and year four salary is \$65,273;
- **Project Assistant, Administration** - one full-time position responsible for overall administration of the grant. This position's duties would include assisting the Project Coordinator with all activities regarding the administration of the grant. The projected year one salary is \$59,990; year two salary is \$61,751; year three salary is \$63,512; and year four salary is \$65,273; and
- **Secretary** – one full-time position responsible for providing administrative assistance to the RTT-ELC unit in the Division of Child Care Services. The projected year one salary is \$41,231; year two salary is \$41,231; year three salary is \$43,076; and year four salary is \$43,937.

With funds from this grant, OCFS will hire six administrative staff to assist with implementation activities of the above listed projects including:

- **Senior Budget Analyst** – one full-time position in the Bureau of Budget Management responsible for overseeing the implementation of the RTT-ELC budget. This position’s duties include tracking the RTT-ELC budget expenditures, issuing certificates of allocation, allocating funding to the Participating State Agencies and fulfilling the financial reporting requirements of the grant. The projected year one salary is \$58,229; year two salary is \$58,229; year three salary is \$60,414; and year four salary is \$61,662;
- **Senior Accountant** – one full-time position in the Bureau of Financial Operations responsible for overseeing finance activities related to this grant including expenditure analysis and reconciliation of the grant, preparation of any required Financial Status reports and any other grant-related questions from staff. The projected year one salary is \$59,990; year two salary is \$61,751; year three salary is \$63,512; and year four salary is \$65,273;
- **Contract Management Specialist** – one full-time position in the Bureau of Contract Management responsible for assisting with procurements related to the RTT-ELC projects detailed in the Contractual section below. This position’s duties include developing and negotiating procurement/contract plans and monitoring adherence to these plans, evaluating contract documents to ensure administrative requirements are consistent with State Finance Law and manage contracts within acceptable timeframes and according to financial standards. The projected year one salary is \$59,990; year two salary is \$61,751; year three salary is \$63,512; and year four salary is \$65,273;
- **Training Specialist** – one full-time position in the Bureau of Training responsible for facilitating the training needs related to this grant for each of the OCFS led projects. This position’s duties include conducting start-up and follow-up meetings on the progress of the training contracts, review curriculum and other training materials. The projected year one salary is \$59,990; year two salary is \$61,751; year three salary is \$63,512; and year four salary is \$65,273;
- **Training Administrative Aide** – one full-time position in the Bureau of Training responsible for assisting the Training Specialist in facilitating the training needs related to this grant for each of the OCFS led projects. This position’s duties include coordinating, monitoring and tracking contract documents to ensure they meet all OCFS legal and fiscal standards, pre-

audit claims and audit vouchers submitted for payment, review and coordinate all fiscal documents related to contracts. The projected year one salary is \$45,362; year two salary is \$45,362; year three salary is \$47,289; and year four salary is \$48,235; and

- **Senior Attorney** – one full-time position in the Division of Legal Affairs responsible for ensuring all programs and projects undertaken with funds from this grant are in line with State and Federal law. This position's duties would include providing legal advice to staff related to relevant laws and issues related to this grant and review any contracts, RFPs and/or other procurements resulting from this grant to insure compliance. The projected year one salary is \$76,415; year two salary is \$78,539; year three salary is \$80,663; and year four salary is \$82,787.

## **2) Fringe Benefits**

The personnel fringe benefits are based on the New York State Federal fringe rates. The 2012-13 rate for year one is 48.37 percent, the 2013-14 rate for year two is 55.48 percent, the 2014-15 rate for year three is 58.69 percent and the 2015-16 rate for year four is 61.21 percent. The total budget for fringe benefits for OCFS staff positions related to this grant is \$467,593 in year one, \$549,855 in year two, \$596,593 in year three and \$637,826 in year four for a total fringe benefit cost of \$2,251,867 over the life of the grant.

## **3) Travel**

It is New York's goal to implement QSNY, the Core Body of Knowledge and the Early Learning Guidelines throughout each of the ten regions in the State identified in Section (A) of this application. In order to facilitate the proper implementation of these projects and ensure the success of RTT-ELC grant, it will be necessary for OCFS staff members to travel to the ten regions in the State to assist in the roll-out of these projects and to provide technical assistance to regional staff and providers.

The Project Director and the Assistant Project Director of Early Childhood will take quarterly trips to the ten regions (80 total trips) and the Project Coordinator of Early Childhood will need to take semi-annual trips to the ten regions (20 total trips). It is

estimated that each trip will cost approximately \$600 for a total of \$60,000 annually (\$600 x 100 trips). The \$600 per trip assumes the following averages: two overnights at \$200 per night for lodging and meals, transportation costs of \$180 and parking/miscellaneous costs of \$20. The total four year travel funding to be used from this grant is \$240,000.

#### **4) Equipment**

In order to carry out the goals of the application, staff must be provided with adequate equipment to perform their job functions effectively. According to the NY State Office of the State Comptroller's definition, equipment includes items of machinery, vehicles and apparatus which may be used repeatedly without any material impairment of physical condition and which have a probable life of more than two years. It does not include fixed building equipment such as heating, ventilating, plumbing and electrical items.

In year one, OCFS will purchase a laptop with docking stations for each new staff person hired under this grant and one copy machine with scanning capabilities for the RTT-ELC staff to use. In addition, OCFS will purchase a Blackberry device for the Project Director so that Director can be reached by staff and early learning and development partners at all times. Equipment cost of \$37,752 (14 laptops at \$1600 each, one blackberry at \$250 with additional service costs \$102 and one copy machine for \$15,000) will be spent in year one.

#### **5) Supplies**

In its role as Lead Agency, OCFS will be hire 14 additional staff to carry out the goals described in this grant. The State estimates that each position will incur three percent of the annual salary in supply costs. Applying this percentage to the 14 positions results in general office supply costs of \$29,001 in year one, \$29,732 in year two, \$30,495 in year three and \$31,261 in year four, for a total of \$120,490 over the course of this grant.

#### **6) Contractual**

In order to meet the goals outlined in the State plan, OCFS plans to acquire the following products and services with funding from this grant through a procurement process that follows the procedures for procurement under 34 CFR Parts 74.40 – 74.48 and Part 80.36. Contractual costs will equal \$15,578,623 in year one, \$12,964,326 in year two, \$19,885,360 in year three and \$21,121,166 in year four for a total of \$69,549,474 over the course of this grant.

**QSNY** – The purpose of the QSNY project is to provide the framework for defining and improving quality in the NY Early Learning and Development system. QSNY does this by providing Early Learning and Development (ELD) Programs with a set of standards that are informed by the various early learning and development standards used in the state; a common protocol for the assessment of program quality; and leveraged resources for supporting program improvement and rewarding program success. It is the central component for carrying out our State Plan.

The QSNY procurement will total \$47,391,741 with funds awarded from this grant. This funding will go to an outside vendor who will assume the role of administrator of the QSNY system that OCFS will oversee. This vendor would be responsible for continued development and expansion of the QSNY website, hiring assessors, assigning star ratings to early learning and development programs and providing technical assistance and quality improvement activities. The \$47,391,741 includes the following:

- \$1.2 million for website development and annual maintenance;
- \$14.2 million for staff functions including Website Self Assessment/User Support Staff, Outreach and Technical Support staff and quality improvement program specialists;
- \$10.1 million for program assessment that seek to achieve a quality star rating of three or higher;
- \$1.8 million in training costs;
- \$11.7 million to provide technical assistance to providers as they move up in program quality and star ratings;
- \$6.4 million in targeted financial incentives and quality grants to encourage providers to attain the 5 start quality level; and
- \$2.0 million for the services of an outside evaluator to assess and evaluate the QSNY system to ensure that it is a useful tool to assess the level of quality of ELDP.

**Longitudinal Database** – The longitudinal database will meet the data needs of a wide range early learning and development stakeholders by extending the system currently being developed for P-20 education to early learning programs. This will allow New York to track and monitor student progress from birth through K-12, college, and entry into the workforce. The procurement will total \$2,325,409 with funds awarded from this grant. Funds will support program specialists who will assist in developing linkages with OCFS systems such as the Child Care Facility System, the Child Care Time and Attendance System and the QSNY system with the Longitudinal Database.

**Core Body of Knowledge (CBK)** – The CBK for Early Childhood Educators has been carefully developed and refined over the past few years and is now ready for statewide rollout. The CBK will provide early learning educators with the skills and knowledge they need to know in their work with young children. The CBK project will total \$2,645,000 with funds awarded from this grant. Funds will support the development and roll-out of train-the-trainer modules both online and in-person, cover printing costs until the CBK can be fully accessed online and for website hardware and maintenance costs.

**Early Learning Guidelines** – The Early Learning Guidelines for Early Childhood Educators has been carefully developed and refined over the past few years and is now ready for statewide rollout. The purpose of the Early Learning Guidelines is to provide important developmental information to professionals, caregivers and parents to determine the developmental progress of a child across the birth to five age range. The Early Learning Guidelines project will total \$2,645,000 with funds awarded from this grant. Funds will support the development and roll-out of train-the-trainer modules both online and in-person, cover printing costs until the Early Learning Guidelines can be fully accessed online and for website hardware and maintenance costs.

**Workforce Registry** - The Workforce Registry is a system to track early childhood educators' credentials, professional development and experience. The workforce registry will be coordinated with early learning and development educators with the QSNY system and to enhance the credentials of the early learning workforce. The workforce registry project will total \$5,420,000

with funds awarded from this grant. It will include system maintenance, technical assistance staff support to early learning and development providers and verification of information entered into the registry.

**Comprehensive Assessment System Common Metric** – The Comprehensive Assessment System Common Metric is a tool that will align a variety of assessment systems (yet to be selected) to all the components of the NYS Early Learning and Development Standards. The purpose of the common metric to track assessments so that early learning and development educators will be able to access and understand the assessments that children have received in order to better meet their individual needs. The procurement for the common metric will total \$6 million with funds awarded from this grant for the following activities:

- \$4,000,000 will be awarded to vendors for the right to use three assessment tools that will be selected for implementation into the common metric; and
- \$2,000,000 will be awarded to a vendor to develop a data add-on system to link to the longitudinal data system in order to store the assessment data for early learning and development educators to access.

#### **7) Training Stipends**

OCFS will not use funding from this grant to provide training stipends.

#### **8) Other**

OCFS does not incur any costs outside the budget categories lined out in this section.

#### **9) Total Direct Costs**

The sum of expenditures across all budget categories in line 1-8 are \$17,139,670 in year one, \$14,653,731 in year two, \$21,588,963 in year three and \$22,892,282 in year four for a total of \$76,215,914 for the life of the grant.

#### **10) Indirect Costs**

The indirect cost rate for OCFS is 1.89 percent. This equals \$18,271 in year one, \$18,732 in year two, \$19,212 in year three and \$19,694 in year four for a total of \$75,909 over the course of the grant.

**11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.**

Not applicable to the OCFS budget.

**12) Funds set aside for participation in grantee technical assistance**

The OCFS budget sets aside \$100,000 each year for a total of \$400,000 for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. As the lead agency, OCFS will assume participation in all technical assistance activities related to this grant.

**13) Total Funds Requested**

The sum of expenditures across all budget categories in lines 9-12 are \$17,257,941 in year one, \$14,713,731 in year two, \$21,708,175 in year three and \$23,011,976 in year four for a total of \$76,691,823 for the life of the grant.

**14) Other Funds Allocated to the State Plan**

**QUALITY Scholars** - QUALITY Scholars is a scholarship program for participants of QSNY and in order to be reimbursed for tuition costs, the provider's professional development had to be aligned with the program's Quality Improvement Plan. The QUALITY Scholars program is intended to incentivize participation in QSNY and encourage early learning and development educators to attain higher levels of professionalism through credit-bearing coursework. A total of \$15,000,000 in training stipends will be provided by redirecting a portion of CCDF funding that currently supports EIP, which reimburses tuition and training costs for low-income child care providers. New York will redirect funding to QUALITY Scholars and decrease the funding used for the EIP program gradually over the next four years. The funding for QUALITY Scholars will increase each year because we anticipate that



more programs will participate in QSNY and be eligible for QUALITY Scholars reimbursement. In year one, QUALITY Scholars funding will equal \$1,500,000, in year two \$3,500,000, in year three \$4,000,000 million and in year four \$6,000,000. EIP funding will decrease by those amounts annually to fund the QUALITY Scholars program. The OCFS budget assumes that current CCDF dollars will be used to support the QUALITY Scholars program.

**15) Total Budget**

Total OCFS expenditures for year one are \$18,757,941, in year two are \$18,153,731 , in year three are \$25,708,175 and in year four are \$29,011,976. The total OCFS budget for the life of the grant is \$91,631,824.

<b><i>Budget Table II-1: Participating State Agency</i></b>					
<b><i>(Evidence for selection criterion (A)(4)(b))</i></b>					
<b><i>State Education Department</i></b>					
<b><i>Budget Categories</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<b><i>1. Personnel</i></b>	880,000	902,000	924,550	947,667	<b>3,654,217</b>
<b><i>2. Fringe Benefits</i></b>	425,656	500,430	542,618	580,067	<b>2,048,771</b>

***Budget Table II-1: Participating State Agency***

*(Evidence for selection criterion (A)(4)(b))*

*State Education Department*

<b><i>Budget Categories</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>3. Travel</i>	0	0	0	0	<b>0</b>
<i>4. Equipment</i>	1,875,000	0	0	0	<b>1,875,000</b>
<i>5. Supplies</i>	0	0	0	0	<b>0</b>
<i>6. Contractual</i>	5,000,000	60,000	0	0	<b>5,060,000</b>
<i>7. Training Stipends</i>	0	0	0	0	<b>0</b>
<i>8. Other</i>	0	0	0	0	<b>0</b>
<i>9. Total Direct Costs (add lines 1-8)</i>	<b>8,180,656</b>	<b>1,462,430</b>	<b>1,467,168</b>	<b>1,527,734</b>	<b>12,637,988</b>
<i>10. Indirect Costs*</i>	108,680	111,397	114,182	117,037	<b>451,296</b>
<i>11. Funds to be distributed to localities, Early Learning</i>	0	0	0	0	<b>0</b>

***Budget Table II-1: Participating State Agency***

*(Evidence for selection criterion (A)(4)(b))*

*State Education Department*

<i>Budget Categories</i>	<i>Grant Year 1 (a)</i>	<i>Grant Year 2 (b)</i>	<i>Grant Year 3 (c)</i>	<i>Grant Year 4 (d)</i>	<i>Total (e)</i>
<i>Intermediary Organizations, Participating Programs and other partners.</i>					
<i>12. Funds set aside for participation in grantee technical assistance</i>	0	0	0	0	0
<b><i>13. Total Grant Funds Requested (add lines 9-12)</i></b>	<b>8,289,336</b>	<b>1,573,827</b>	<b>1,581,350</b>	<b>1,644,771</b>	<b>13,089,284</b>
<i>14. Funds from other sources used to support the State Plan</i>	1,269,381	263,274	271,172	279,307	<b>2,083,134</b>
<b><i>15. Total Budget (add lines 13-14)</i></b>	<b>9,558,717</b>	<b>1,837,101</b>	<b>1,852,522</b>	<b>1,924,078</b>	<b>15,172,418</b>

**Budget Table II-1: Participating State Agency**

***(Evidence for selection criterion (A)(4)(b))***

***State Education Department***

<b><i>Budget Categories</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
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***Columns (a) through (d):*** For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

***Column (e):*** Show the total amount requested for all grant years.

***Line 6:*** Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

***Line 10:*** If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

***Line 11:*** Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners

**Budget Table II-1: Participating State Agency**

*(Evidence for selection criterion (A)(4)(b))*

*State Education Department*

<i>Budget Categories</i>	<i>Grant Year 1 (a)</i>	<i>Grant Year 2 (b)</i>	<i>Grant Year 3 (c)</i>	<i>Grant Year 4 (d)</i>	<i>Total (e)</i>
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*spend these funds in accordance with the State Plan.*

*Line 12: The Participating State Agency's allocation of the \$400,000 the State must set aside from its Total Grant Funds Requested for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated evenly across the four years of the grant.*

*Line 13: This is the total funding requested under this grant.*

*Line 14: Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.*

**Budget Table II-2: Participating State Agency**

*(Evidence for selection criterion (A)(4)(b))*

*State Education Department*

<i>Project</i>	<i>Grant Year 1 (a)</i>	<i>Grant Year 2 (b)</i>	<i>Grant Year 3 (c)</i>	<i>Grant Year 4 (d)</i>	<i>Total (e)</i>
<i>QUALITYstarsNY</i>	0	0	0	0	0
<i>Longitudinal Database</i>	8,289,336	1,513,827	1,581,350	1,644,771	<b>13,029,284</b>
<i>Kindergarten Readiness Tool</i>	1,269,381	263,274	271,172	279,307	<b>2,083,134</b>
<i>QUALITY Scholars</i>	0	0	0	0	0
<i>Core Body of Knowledge</i>	0	0	0	0	0
<i>Early Childhood Guidelines</i>	0	0	0	0	0
<i>Workforce Registry</i>	0	0	0	0	0
<i>Comprehensive Assessment</i>	0	0	0	0	0
<i>All Other</i>	0	60,000	0	0	<b>60,000</b>
<b><i>Total Budget</i></b>	<b>9,558,717</b>	<b>1,837,101</b>	<b>1,852,522</b>	<b>1,924,078</b>	<b>15,172,418</b>

## **State Education Department Participating Agency Budget Narrative**

The New York State Education Department (SED) will be a participating agency in the implementation of this grant, but will lead certain specific projects within the State's Plan. To meet its obligations and scope of work under the grant, SED will hire 11 staff with grant funds to carry out the work of implementing the following projects described in the application: Longitudinal Database Project and the Kindergarten Readiness Tool. SED will also coordinate with the OCFS on the QSNY, QUALITY Scholars, Core Body of Knowledge, Early Childhood Guidelines, Workforce Registry, and Common Metric.

### **1) Personnel**

Total personnel costs for SED are \$880,000 in year one, \$902,000 in year two, \$924,550 in year three and \$947,667 in year four for total of \$3,654,217 over the course of the grant. With funds from this grant, SED will oversee the Longitudinal Database Project and hire the following eleven positions to assist with implementation activities and oversight of the project:

- **Project Coordinator** – one full-time position in the Office of P-12 Education responsible for coordination and management of the Longitudinal Database Project. The projected year one salary is \$95,000; year two salary is \$97,375; year three salary is \$99,809; and year four salary is \$102,304;
- **Project Manager** – one full-time position in the Office of P-12 Education responsible for implementation and monitoring of the Longitudinal Database Project. The projected year one salary is \$85,000; year two salary is \$87,125; year three salary is \$89,303; and year four salary is \$91,535;
- **Program Analyst Specialist** – three full-time positions in the Office of P-12 Education responsible for programming. The projected year one salary for each position is \$75,000; year two salary is \$76,875; year three salary is \$78,797; and year four salary is \$80,767;

- **Grants Administrator** – one full-time position in the Office of P-12 Education responsible for grant administration. The projected year one salary is \$70,000; year two salary is \$71,750; year three salary is \$73,543; and year four salary is \$75,382;
- **IT Programmer** – two full-time positions in the Office of P-12 Education responsible for software programming. The projected year one salary is \$85,000; year two salary is \$87,125; year three salary is \$89,303; and year four salary is \$91,535;
- **IT Network** – one full-time position in the Office of P-12 Education responsible for network programming. The projected year one salary is \$75,000; year two salary is \$76,875; year three salary is \$78,796; and year four salary is \$80,766;
- **IT Database** – one full-time position in the Office of P-12 Education responsible for database programming. The projected year one salary is \$75,000; year two salary is \$76,875; year three salary is \$78,796; and year four salary is \$80,766; and
- **IT Architect/Modeler** – one full-time position in the Office of P-12 Education responsible for data modeling. The projected year one salary is \$85,000; year two salary is \$87,125; year three salary is \$89,303; and year four salary is \$91,535.

## 2) Fringe Benefits

The Fringe Benefits rate for the life of the grant is as follows, based on federal fringe rates: 48.37 percent in year one, 55.48 percent in year two, 58.69 percent in year, and 61.21 in year 4. This equals \$425,656 in year one, \$500,430 in year two, \$542,618 in year three, \$580,067 in year four for a total of \$2,048,771 over the life of the grant.

## 3) Travel

Not applicable to SEDs budget.

## 4) Equipment

In order to fully carry out the goals of the projects it will oversee in the Longitudinal Database Project it will be imperative that SED staff have sufficient equipment to perform their job functions effectively. In year one for the Longitudinal Data System, SED



will purchase hardware for infrastructure and reporting architecture (replacement cycle to begin in non-grant years) at an estimated cost of \$1,300,000 and software for infrastructure and reporting architecture (with license renewals in non-grant years) at an estimated cost of \$575,000 for a total equipment cost of \$1,875,000.

#### **5) Supplies**

Not applicable to SEDs budget.

#### **6) Contractual**

In order to meet the goals outlined in the application, SED plans to acquire the following products and services with funding from this grant through a procurement process:

**Longitudinal Database** – The purpose of the longitudinal database is to meet the data needs of a wide range early learning and development stakeholders by extending the tracking system currently being developed for P-20 education to early learning programs. This will allow New York to track and monitor student progress from birth through P-12, college, and entry into the workforce. The procurement will total \$5,000,000 with funds awarded from this grant. Funds will to support building a reporting portal for State agencies, counties, and service provider point of contact (with software maintenance in recurring years).

**All Other (Video Library)**: SED will procure for the creation of a video library for early childhood educators and parents. The procurement will be for \$60,000 and will be issued in Year two of the grant.

#### **7) Training Stipends**

SED will not use funding from this grant to provide training stipends.

#### **8) Other**

Not applicable to the SED budget.

**9) Total Direct Costs**

The sum of expenditures across all budget categories in line 1-8 are \$8,180,656 in year one, \$1,462,430 in year two, \$1,467,168 in year three, \$1,527,734 in year four for a total of \$12, 637,988 for the life of the grant.

**10) Indirect Costs**

The indirect cost rate for SED is 12.35 percent. This equals \$108,680 in year one, \$111,397 in year two, \$114,182 in year three, \$117,037 in year four for a total of \$451,296 over the course of the grant.

**11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.**

Not applicable to the SED budget.

**12) Funds set aside for participation in grantee technical assistance**

Not applicable – the entire set aside is contained in the OCFS budget.

**13) Total Funds Requested**

The sum of expenditures across all budget categories in lines 9-12 are \$8,289,336 in year one, \$1,513,827 million in year two, \$1,581,350 in year three, \$1,644,771 in year four for a total of \$13,029,284 for the life of the grant.

**14) Other Funds Allocated to the State Plan**

The State will allocate total of \$2083,134 to SED for the purposes of developing a Kindergarten Readiness Tool (KRT) that will be used to improve our understanding of the preparedness of our young children as they begin kindergarten. The sum will be appropriated as follows: \$1,269,381 in year one, \$263,274 in year two, \$271,172 in year three, and \$279,307 in year four.

**15) Total Budget**

Total SED expenditures for year one are \$9,558,717, in year two are \$1,837,101, in year three are \$1,852,522 and in year four are \$1,924,078. The total SED budget for the life of the grant is \$15,172,418.

<b><i>Budget Table II-1: Participating State Agency (Evidence for selection criterion (A)(4)(b)) Department of Health</i></b>					
<b><i>Budget Categories</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>1. Personnel</i>	450,589	405,836	418,684	431,532	<b>1,706,641</b>
<i>2. Fringe Benefits</i>	220,581	225,158	245,726	264,141	<b>955,605</b>
<i>3. Travel</i>	4,380	776	776	776	<b>6,708</b>
<i>4. Equipment</i>	4,000	0	0	0	<b>4,000</b>
<i>5. Supplies</i>	21,600	5,000	5,000	5,000	<b>36,600</b>
<i>6. Contractual</i>	1,494,800	1,396,400	212,500	219,000	<b>3,322,700</b>
<i>7. Training Stipends</i>	0	0	0	0	<b>0</b>
<i>8. Other</i>	0	0	0	0	<b>0</b>

**Budget Table II-1: Participating State Agency**  
**(Evidence for selection criterion (A)(4)(b))**  
**Department of Health**

<b><i>Budget Categories</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>9. Total Direct Costs (add lines 1-8)</i>	2,195,950	2,033,170	882,686	920,449	6,032,254
<i>10. Indirect Costs*</i>	25,264	26,091	26,918	27,745	106,017
<i>11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs and other partners.</i>	0	0	0	0	0
<i>12. Funds set aside for participation in grantee technical assistance</i>	0	0	0	0	0
<b><i>13. Total Grant Funds Requested (add lines 9-12)</i></b>	<b>2,221,214</b>	<b>2,059,261</b>	<b>909,603</b>	<b>948,193</b>	<b>6,138,272</b>
<i>14. Funds from other sources used to support the State Plan</i>	5,440	101,247	106,635	111,678	325,000
<b><i>15. Total Budget (add lines 13-14)</i></b>	<b>2,226,654</b>	<b>2,160,508</b>	<b>1,016,238</b>	<b>1,059,872</b>	<b>6,463,272</b>

*Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.*

*Column (e): Show the total amount requested for all grant years.*

*Line 6: Show the amount of funds allocated through contracts with vendors for products to*

**Budget Table II-1: Participating State Agency**  
**(Evidence for selection criterion (A)(4)(b))**  
**Department of Health**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
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be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The Participating State Agency's allocation of the \$400,000 the State must set aside from its Total Grant Funds Requested for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Line 14: Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.

<b><i>Budget Table II-2: Participating State Agency (Evidence for selection criterion (A)(4)(b)) Department of Health</i></b>					
<b><i>Project</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>QUALITYstarsNY</i>	139,412	123,330	129,621	135,505	<b>527,868</b>
<i>Longitudinal Database</i>	1,606,030	1,521,869	373,806	390,964	<b>3,892,669</b>
<i>Kindergarten Readiness Tool</i>	0	0	0	0	<b>0</b>
<i>QUALITY Scholars</i>	0	0	0	0	<b>0</b>
<i>Core Body of Knowledge</i>	0	0	0	0	<b>0</b>
<i>Early Childhood Guidelines</i>	0	0	0	0	<b>0</b>
<i>Workforce Registry</i>	0	0	0	0	<b>0</b>
<i>Comprehensive Assessment</i>	244,481	215,454	227,454	238,887	<b>926,276</b>
<i>All Other</i>	236,730	299,855	285,358	294,516	<b>1,116,459</b>
<b><i>Total Budget</i></b>	<b>2,226,654</b>	<b>2,160,508</b>	<b>1,016,238</b>	<b>1,059,872</b>	<b>6,463,272</b>

**Department of Health  
Participating Agency Budget Narrative**

As a Participating Agency, the New York State Department of Health (DOH) will hire seven staff to carry out the work outlined in section (C)(3) of the application and to fulfill the State's goal of identifying and addressing the health, behavioral, and

developmental needs of children with high needs to improve school readiness. In addition, DOH will also assist OCFS and SED to build the early learning data system outlined in section (E)(2).

### 1) Personnel

The application includes support for seven full-time positions at the Department of Health, as detailed below. It is anticipated that these positions will be fully utilized by the grant program and will not provide support to other DOH programs. Total personnel costs for DOH are \$450,589 year one, \$405,836 in year two, \$418,684 in year three and \$431,532 in year four for total of \$1,706,641 over the course of the grant.

- **Public Health Representative 5**— one full-time position responsible for serving as an Early Learning and Development (ELD) Health Promotion coordinator within the Department of Health. This individual will provide content expertise, coordinate the work group to develop recommendations for the new Health and Learning survey tool, conduct a comprehensive review of current health-related training and technical assistance (T&TA) resources for ELD programs, coordinate development of new health topics for T&TA, oversee the integration of health-related T&TA in the larger QSNY support structure, and serve as a project coordinator as DOH works with OCFS and other participating agencies to design and implement enhanced health standards for QSNY. The projected year one salary is \$73,768; year two salary is \$76,111; year three salary is \$78,454; and year four salary is \$80,797;
- **Public Health Nutritionist** – one full-time position responsible for managing a systematic evaluation of CACFP. Responsibilities will include overseeing focus groups with ELD program staff, parents of young children and community partners; working with consultants, federal, state and local partners to develop an outreach and education campaign intended to increase participation; and evaluating success in increasing participation. This position will be funded by CACFP using Program administrative funds once the grant period ends. The projected year one salary is \$63,041; year two salary is \$65,119; year three salary is \$67,197; and year four salary is \$69,275;

- **Public Health Representative 4** – one full-time position within the Early Intervention program responsible for overseeing the training of pediatricians, family practitioners and Federally Qualified Health Clinics across the State. The projected year one salary is \$66,375; year two salary is \$68,539; year three salary is \$70,703; and year four salary is \$72,867;
- **Health Program Aide** – one full-time position responsible for providing online technical guidance related to the Health Commerce System and the maintenance of publically available electronic materials. The projected year one salary is \$38,934; year two salary is \$40,425; year three salary is \$41,916; and year four salary is \$43,407;
- **Information Technology Specialist 4** – two full-time positions responsible for ensuring that all parts of the Early Learning Data System comply with Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA) requirements and all other applicable privacy and confidentiality requirements. These IT Specialists (includes two positions will develop and promote the linkages and interoperability at State and New York City agencies that are participating in the Early Learning Data System. The projected year one salary is \$73,768; year two salary is \$76,111; year three salary is \$78,454; and year four salary is \$80,797; and
- **Information Technology Specialist 3** – one full-time position responsible for assisting the Information Technology Specialist 4's in developing the linkages and interoperability at State and New York City agencies that are participating in the Early Learning Data System. The projected year one salary is \$66,375; year two salary is \$68,539; year three salary is \$70,703; and year four salary is \$72,867.

## 2) Fringe Benefits

The personnel fringe benefits are based on the New York State Federal fringe rates. The 2012-13 rate for year one is 48.37 percent, the 2013-14 rate for year two is 55.48 percent, the 2014-15 rate for year three is 58.69 percent and the 2015-16 rate for year four is 61.21 percent. The total budget for fringe benefits for DOH staff positions related to this grant is \$220,581 in year one,



\$225,158 in year two, \$245,726 in year three and \$264,141 in year four for a total fringe benefit cost of \$955,605 over the life of the grant.

### **3) Travel**

The Public Health Representative 5 will be required to travel occasionally to meet with agency partners and external stakeholders to support the development and implementation of enhanced health standards for QSNY. Travel costs are estimated based on four day trips from Albany to New York City including round-trip train fare, subway fare, and per diem expenses.

The Public Health Representative 4 will be required to travel to oversee contractor performance for the 24 focus groups, to meet with designers to conceptualize and finalize the outreach and education campaign materials, and to plan and oversee the outreach and education campaign. Funds are included to support travel to the two-part, in-person pediatrician training sessions in Buffalo, New York City, and Long Island, as well as one-day in-person training session at the NYS Academy of Pediatrics statewide meetings in Cooperstown (April) and New Paltz (November) and the NYS Academy of Family Physician statewide meeting in Lake Placid (January). An additional two trips to NYC will support travel to coordinate the training sessions for physicians who practice at the Federally Qualified Health Centers (FQHC). Total travel costs in year one are \$4,380, in year two are \$776, in year three are \$776 and in year four are \$776 for a total cost of \$6,708 over the life of the grant.

### **4) Equipment**

Costs are allocated for the Public Health Representative 5 and the Public Health Representative 4 to purchase two desktop computers with software and licenses at \$1,100 each for a total of \$2,200. Costs are also allocated for the Health Program Aide to purchase one laptop docking station computer with software and licenses at \$1,800. Total equipment costs will be spent in year one of the grant for a total of \$4,000.

## 5) Supplies

In order to expand early learning and development program participation in the CACFP program, DOH will conduct focus groups for a total of \$4,800. An additional \$4,800 will be used to purchase space, office supplies and other materials needed to conduct the focus groups.

In order to meet the goals of enhancing efforts to assure that high need children are enrolled in health insurance and linked to a primary care provider/medical home, DOH in year one will purchase a total of 150,000 brochures in four key languages about the importance of developmental screening and resources available for a cost of \$12,000 to be distributed to the pediatricians, family practices, and FQHCs. DOH will also develop a newsletter to be sent to members of the NYS APP and NYS AFP. An additional \$5,000 will be utilized to provide an annual newsletter to the Academy of Pediatrics and the Academy of Family Physicians. The cost of supplies in year one is \$21,600, in year two \$5,000, in year three \$5,000 and in year four \$5,000 for a total of \$36,600 over the life of the grant.

## 6) Contractual

In order to meet the goals outlined in the State plan, DOH plans to acquire the following products and services with funding from this grant through a procurement process that follows the procedures for procurement under 34 CFR Parts 74.40 – 74.48 and Part 80.36. Contractual costs will equal \$1,494,800 in year one, \$1,396,400 in year two, \$212,500 in year three and \$219,000 in year four for a total of \$3,322,700 over the course of this grant.

**Develop an enhanced *Health and Learning (HL)* survey tool to be incorporated within QSNY and develop and implement training, technical assistance and consultation resources to support ELDPs' understanding and implementation of health promotion standards**

- DOH will contract with a Master or higher level consultant with expertise in the development of valid survey instruments to provide technical support to the work group to develop recommendations for enhanced QSNY health standards. The

consultant will translate recommendations into multi-criteria survey tool that utilizes a rubric for each key aspect of health promotion incorporated and that can be readily integrated into the larger QSNY framework and process. Estimated total cost is \$24,000, based on estimated daily rate of \$1,200 x 20 days to complete deliverables.

**Improve Physical Activities in ELDs and Expand early learning and development program participation in the State's CACFP**

- The products to be acquired and/or the professional services to be provided. (1) DOH will contract with a firm to plan, conduct, transcribe, and summarize results of 24 focus groups. (2) DOH will contract with a firm(s) to design and implement a statewide outreach and education campaign.

The estimated cost per expected procurement includes (1) Focus group consultant contract at \$96,500 (includes consultant travel) during Year 1. For professional services contracts, the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award. Focus group consultant = 56 days of work @ \$1,500/day and 25 travel days @ \$500/day.

- Design of campaign = 80 days of work @ \$1,200/day and 20 travel days @ \$200/day. Contract for design and of outreach and education campaign at \$100,000 (Years 1 – 2) and contract for implementation of statewide outreach and education campaign at \$300,000 (Years 2 – 4).
- An early childhood physical activity specialist will be developing guidelines for developmentally appropriate physical activity at \$179,000 (including travel) years three and four. Early childhood physical activity consultant = 35 days of work @\$1600 and 12 travel days @\$500 to develop and field test training resources for HCCs; and, 60 days of work @\$1600 and 30 travel days @\$500 and 30 days of travel @\$200 to train/coach HCCs.

**Enhance efforts to assure that high need children are enrolled in health insurance and linked to a primary care provider/medical home**

- DOH intends to establish a contract for the developmental screening training sessions with professional organizations that represent pediatricians and family physicians and are viewed by pediatric primary care providers as reliable and credible

regarding continuing medical education and information resources. The cost per participant is \$50 with a projected plan to train 350 physicians in year 1 (\$17,500), 400 physicians in year 2 (\$20,000), 450 physicians in year 3 (\$22,500), and 500 physicians in year 4 (\$25,000). In addition, the cost for producing and distributing newsletters through the NYS Academy of Pediatrics and the Academy of Family Physicians will be contracted at a cost of \$5,000 per year over the four years of the grant.

- The New York State Department of Health intends to establish a contract for the development of the online modules as well as expert consultation for the enhancement and ongoing support of the developmental disabilities online resource established on the Health Commerce System. The total projected cost for the development of three online modules which will translate the in-person curriculum into asynchronous modules is \$30,000 (\$10,000 each). The total projected cost for the ongoing expert consultation is \$15,000 per year.

#### **Early Learning Data System linkage and compliance**

- Additional consultants will be hired as follows as part of the Early Childhood Data Systems linkage initiative including: a health data analyst for data classification and normalization; a project manager for planning, implementation and rollout; a business analyst for requirements analysis and functional testing; a Developer for unit and integration testing and an Interface Specialist to assist in the unit and integration testing. The cost for these early childhood data systems consultants will be \$1,276,800 in year one and \$1,166,400 in year two for a total of \$2,443,200 over the life of the grant.

#### **7) Training Stipends**

Not applicable to the DOH budget.

#### **8) Other**

Not applicable to the DOH budget.

**9) Total Direct Costs**

The sum of expenditures across all budget categories in line 1-8 are \$2,195,950 in year one, \$2,033,170 in year two, \$882,686 in year three and \$920,449 in year four for a total of \$6,032,254 for the life of the grant.

**10) Indirect Costs**

The indirect cost rate for DOH is 5.54 percent. This equates to indirect costs of \$25,264 in year one, \$26,091 in year two, \$26,918 in year three, and \$27,745 in year four for a total of \$106,018.

**11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.**

Not applicable to the DOH budget.

**12) Funds set aside for participation in grantee technical assistance**

Not applicable to the DOH budget.

**13) Total Funds Requested**

Total DOH funds requested for year one are \$2,221,214, in year two are \$2,059,261 in year three are \$909,603 and in year four are \$948,193 for a total of \$6,138,272 for the life of the grant.

**14) Other Funds Allocated to the State Plan**

DOH has committed to reprogram \$325,000 over the course of the grant to support activities and services that help achieve the outcomes identified in the State plan. With funds from the grant, DOH will implement an intensive outreach campaign to encourage early care and learning providers to participate in the Child and Adult Care Food Program (CACFP), which will help achieve the goal outlined in Section (C)(3)(c) of the application to promote healthy eating habits and improve nutrition. Given the intensity of this project, funds from this grant will be needed in order to help support a staff position that will manage the systematic evaluation of CACFP and the overall development of the outreach campaign. As outreach is an allowable use of CACFP funds, DOH will reprogram \$5,440 in year one, \$101,247 in year two, \$106,635 in year three and \$111,678 in year four of CACFP administration funding to continue to meet the goal of promoting healthy eating habits and improving nutrition outlined in this application.

**15) Total Budget**

Total DOH expenditures for year one are \$2,226,654 in year two are \$2,160,508, in year three are \$1,016,238 and in year four are \$1,059,872. The total DOH budget for the life of the grant is \$6,463,272.

<b><i>Budget Table II-1: Participating State Agency (Evidence for selection criterion (A)(4)(b)) Office of Mental Health</i></b>					
<b><i>Budget Categories</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>1. Personnel</i>	75,000	75,000	75,000	75,000	<b>300,000</b>
<i>2. Fringe Benefits</i>	36,278	41,610	44,018	45,908	<b>167,813</b>
<i>3. Travel</i>	76,583	76,666	76,666	76,666	<b>306,581</b>
<i>4. Equipment</i>	3,500	500	500	500	<b>5,000</b>

**Budget Table II-1: Participating State Agency**  
**(Evidence for selection criterion (A)(4)(b))**  
**Office of Mental Health**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
5. <i>Supplies</i>	1,200	1,200	1,200	1,200	4,800
6. <i>Contractual</i>	842,108	838,106	838,106	838,106	3,356,426
7. <i>Training Stipends</i>	0	0	0	0	0
8. <i>Other</i>	0	0	0	0	0
9. <b>Total Direct Costs (add lines 1-8)</b>	1,034,669	1,033,082	1,035,490	1,037,380	4,140,620
10. <i>Indirect Costs*</i>	0	0	0	0	0
11. <i>Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs and other partners.</i>	0	0	0	0	0
12. <i>Funds set aside for participation in grantee technical assistance</i>	0	0	0	0	0
13. <b>Total Grant Funds Requested (add lines 9-12)</b>	1,034,669	1,033,082	1,035,490	1,037,380	4,140,620
14. <i>Funds from other sources used to support the State Plan</i>	53,750	53,750	53,750	53,750	215,000

**Budget Table II-1: Participating State Agency**  
**(Evidence for selection criterion (A)(4)(b))**  
**Office of Mental Health**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<b>15. Total Budget</b> (add lines 13-14)	<b>1,088,419</b>	<b>1,086,832</b>	<b>1,089,240</b>	<b>1,091,130</b>	<b>4,355,620</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The Participating State Agency's allocation of the \$400,000 the State must set aside from its Total Grant Funds Requested for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.



**Budget Table II-1: Participating State Agency**  
**(Evidence for selection criterion (A)(4)(b))**  
**Office of Mental Health**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
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*Line 14: Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.*

**Budget Table II-2: Participating State Agency**  
**(Evidence for selection criterion (A)(4)(b))**  
**Office of Mental Health**

<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
QUALITYstarsNY	1,088,419	1,086,832	1,089,240	1,091,130	4,355,620
Longitudinal Database	0	0	0	0	0
Kindergarten Readiness Tool	0	0	0	0	0
QUALITY Scholars	0	0	0	0	0
Core Body of Knowledge	0	0	0	0	0
Early Childhood Guidelines	0	0	0	0	0
Workforce Registry	0	0	0	0	0
Comprehensive Assessment	0	0	0	0	0

<b><i>Budget Table II-2: Participating State Agency (Evidence for selection criterion (A)(4)(b)) Office of Mental Health</i></b>					
<b><i>Project</i></b>	<b><i>Grant Year 1 (a)</i></b>	<b><i>Grant Year 2 (b)</i></b>	<b><i>Grant Year 3 (c)</i></b>	<b><i>Grant Year 4 (d)</i></b>	<b><i>Total (e)</i></b>
<i>All Other</i>	0	0	0	0	0
<b><i>Total Budget</i></b>	<b>1,088,419</b>	<b>1,086,832</b>	<b>1,089,240</b>	<b>1,091,130</b>	<b>4,355,620</b>

**Office of Mental Health  
Participating Agency Budget Narrative**

The New York State Office of Mental Health (OMH) will oversee the Social-Emotional Development Consultation portion of the application outlined in section (C)(3). Social-Emotional Development Consultation (SEDC) is commonly referred to as mental health consultation, and OMH is well poised to implement, monitor and evaluate this project after having sponsored and participated in a pilot community demonstration of Social-Emotional Development Consultation ending in June 2011.

**1) Personnel**

Total personnel costs for OMH are \$75,000 in year one, \$75,000 in year two, \$75,000 in year three and \$75,000 in year four for total of \$300,000 over the course of the grant. With funds from this grant, OMH will hire a full-time position in the Bureau of Community Systems in the Division of Children and Family Services to assist with implementation activities and program oversight of the above listed project:

- **SEDC Statewide Coordinator** – one full-time position responsible for selecting and supervising the consultants, including quarterly on-site visits; organizing and coordinating the initial training, offering additional training opportunities to early

childhood program staff; managing implementation of the evaluation of the program measures and assisting in the development of the Health and Learning Survey tool which will be used to improve the health promotion components of the Quality Stars NY program evaluations. This position's salary is \$75,000 per year.

## **2) Fringe Benefits**

The personnel fringe benefits are based on the New York State Federal fringe rates. The 2012-13 rate for year one is 48.37 percent, the 2013-14 rate for year two is 55.48 percent, the 2014-15 rate for year three is 58.69 percent and the 2015-16 rate for year four is 61.21 percent. The total budget for fringe benefits for the OMH staff position related to this grant is \$36,278 in year one, \$41,610 in year two, \$44,018 in year three and \$45,908 in year four for a total fringe benefit cost of \$167,813 over the life of the grant.

## **3) Travel**

Total travel costs are \$306,581 over the life of the grant. Year 1 Travel expenses will be \$76,583 broken down as follows:

- Travel expenses for the statewide coordinator to oversee and coordinate the program and for the 10 consultants, 10 mental health professionals and 10 early childhood program directors to attend training;
- Per Diem for one training related overnight @ \$165/night x 30 = \$4,950;
- Current rate of \$.555/mile x estimated 1,000 miles/month x 12 months = \$6,660 per consultant; and
- If ten consultants are hired: 10 x \$6,660 = \$66,600.

Consultants receive support from the statewide coordinator in the form of a telephone-based group monthly reflective supervision. The statewide coordinator leads quarterly on-site visits to each of the ten social-emotional development consultants in the high-needs communities. The on-site technical assistance is to maintain fidelity to the consultation model and provides ongoing

support to the consultants and facility staff. The first year the coordinator will visit the sites only twice. It is assumed that there will be two sites visited within each region.

For Years 2 thru 4 travel expenses will be \$76,666, broken down as follows:

- Current rate of \$.555/mile x estimated 1,000 miles/month x 12 months = \$6,660 per consultant;
- If ten consultants are hired: 10 x \$6,660 = \$66,600; and
- Travel for the Statewide Coordinator for quarterly visits to 10 sites= \$10,066.

#### **4) Equipment**

The Statewide coordinator will need a laptop and a Blackberry. Equipment costs in year one are \$3,500, which includes \$2,500 for Laptop and software, \$500 for printer, and \$500 for the Blackberry. Costs for years two through four are \$500 per year for the Blackberry for a total of \$5,000 over the course of the grant.

#### **5) Supplies**

The Statewide Coordinator will be responsible for sending out information via mail and email to keep the consultants abreast of upcoming events and functions. This will also include sending out training materials and articles on Social-Emotional Development Consultation for annual cost of \$1,200 per year for a total of \$4,800 over the life of the grant.

#### **6) Contractual**

- Contractual costs in year one are \$842,108 and in years two through four are \$838,106 a total of \$3,356,426 over the life of the grant. Ten qualified mental health professionals who have experience in early childhood mental health who will serve as the social-emotional development consultants. These consultants will be selected to ensure that expertise is available to high-needs communities in each of the ten regions designated for implementation of QSNY. The

consultants will also be expected to work closely with the child care licensors and infant/toddler specialists. The first year, or Phase One, will target regulated child care programs within the high needs communities. Estimated salary range for one consultant [30 hours/week/48 weeks @\$60/hr.] = \$86,400

- Option to hire ten consultants:  $10 \times \$86,400 = \$864,000$ .

The coordinator, the consultants, and program directors or other management staff of selected early childhood programs attend a “Train the Trainer” session using the selected curriculum. Additionally, ten mental health professionals who work at community-based mental health clinics that provide more intensive clinical services will also be invited to participate.

The consultants will then be deployed to select early care and learning programs in the high-needs communities to begin building relationships with staff and train the key persons within those programs who will be responsible for all-staff trainings. All staff (including management and other non-classroom staff) will be trained to promote an infusion of positive social-emotional supports throughout each program. In the event of large numbers of staff, the trained director/management staff can provide training at their site.

Consultants will begin providing on-site observations and supports to teachers in classrooms on a regular basis. The frequency of regularly scheduled visits will be determined by mutual agreement and based on the definition found in Head Start Performance Standard 1304.24(a)(2): “(the program) must secure the services of mental health professionals on a schedule of sufficient frequency to enable the timely and effective identification of and intervention in family and staff concerns about a child’s mental health.”

In Year 1 there will be a one-time ‘train the trainer’ for consultants, mental health professionals and Early Childhood Program Directors for \$31,858 broken down as follows:

Contracting for a team of two expert trainers  $\times \$5,000 = \$10,000$

2 Expert trainers travel at \$1,500 = \$3,000

Materials 30 sets of materials  $\times \$400 = \$12,000$

Training incidentals = \$6,858

In Years 2 thru 4 Consultants will begin to offer parenting education programs to parents of children in the targeted programs on topics requested by parents and with input from program staff for a cost of \$27,856 broken down as follows:

10 consultants x groups @ \$180 x 12 months = \$21,600

Child care for parental groups 120 groups x \$40 = \$4,800

Materials and printing for groups = \$1,456

**7) Training Stipends**

Not applicable to the OMH budget.

**8) Other**

Not applicable to the OMH budget.

**9) Total Direct Costs**

The sum of expenditures across all budget categories in line 1-8 is: Year 1: \$1,034,669, Year 2: \$1,033,082, Year 3: \$1,035,490, Year 4: \$1,037,380 for a total of \$4,140,620 over the course of the grant.

**10) Indirect Costs**

Not applicable to the OMH budget.

**11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.**

Not applicable to the OMH budget.

**12) Funds set aside for participation in grantee technical assistance**

Not applicable to the OMH budget.

**13) Total Funds Requested**

The sum of expenditures across all budget categories in lines 9-12 is: Year 1: \$1,034,669, Year 2: \$1,033,082, Year 3: \$1,035,490, Year 4: \$1,037,380 for a total of \$4,140,620 over the course of the grant.

**14) Other Funds Allocated to the State Plan**

OMH has committed to reprogram \$215,000 over the course of the grant to support activities and services that help achieve the outcomes in the State plan. Each year, \$53,750 has been identified from a special revenue account that can be reprogrammed to support social-emotional development consultation and build the capacity of staff, families, programs and systems to promote children's social skills and positive emotional development, and to prevent, identify, treat and reduce the impact of disruptive and challenging behaviors among children from birth to age six and their families.

**15) Total Budget**

Total OMH expenditures for year one are \$1,088,419, in year two are \$1,086,832, in year three are \$1,089,240 and in year four are \$1,091,130. The total OMH budget for the life of the grant is \$4,355,620.

**BUDGET: INDIRECT COST INFORMATION**

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?

YES  NO

If yes to question 1, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):  
From: 4/1/2011 To: 3/31/2012\*

Approving Federal agency:  ED  HHS  Other  
(Please specify agency): \_\_\_\_\_

\*Our currently approved indirect cost rate is listed above and was approved in January 2011. However, we use the indirect cost rate that covers the period from 4/1/2012 to 3/31/2013 in our Application budget.

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.



2. If “No” is checked, the Departments generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
- (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after the grant award notification is issued; and
  - (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

If “Yes” is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, HHS, or another Federal agency (Other) issued the approved agreement. If “Other” was checked, specify the name of the agency that issued the approved agreement.



**MEMORANDUM OF UNDERSTANDING  
NEW YORK STATE**

This Memorandum of Understanding ("MOU") is entered into by and between the New York Office of Children and Family Services (OCFS) ("Lead Agency") and the New York State Education Department ("SED"); the New York Department of Health ("DOH"); the New York Office of Mental Health ("OMH"); and the State Advisory Council on Early Childhood Education and Care ("ECAC") ("Participating State Agencies"). The purpose of this agreement is to establish a framework of collaboration, as well as articulate specific roles and responsibilities in support of the State in its implementation of an approved Race to the Top-Early Learning Challenge grant project.

**I. ASSURANCES**

The Participating State Agency hereby certifies and represents that it:

- 1) Agrees to be a Participating State Agency and will implement those portions of the State Plan indicated in Exhibit I, if the State application is funded;
- 2) Agrees to use, to the extent applicable and consistent with the State Plan and Exhibit I:
  - (a) A set of statewide Early Learning and Development Standards;
  - (b) A set of statewide Program Standards;
  - (c) A statewide Tiered Quality Rating and Improvement System; and
  - (d) A statewide Workforce Knowledge and Competency Framework and progression of credentials.

*(Please note that Participating State Agencies must provide these assurances in order for the State to be eligible for a Race to the Top-Early Learning Challenge grant.)*

- 3) Has all requisite power and authority to execute and fulfill the terms of this MOU;
- 4) Is familiar with the State's Race to the Top-Early Learning Challenge grant application and is supportive of and committed to working on all applicable portions of the State Plan;
- 5) Will provide a Final Scope of Work only if the State's application is funded and will do so in a timely fashion but not later than 90 days after a grant is awarded; and will describe the Participating State Agency's specific goals, activities, timelines, budgets, and key personnel ("Participating State Agency Plan") in a manner that is consistent with the Preliminary Scope of Work (Exhibit I), with the Budget included in section VIII of the State Plan (including existing funds, if any, that the Participating State Agency is using for activities and services that help achieve the outcomes of the State Plan; and
- 6) Will comply with all of the terms of the Race to the Top-Early Learning Challenge Grant, this agreement, and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Race to the Top-Early Learning Challenge program, and the applicable provisions of EDGAR (34 CFR Parts, 75, 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99).

**II. PROJECT ADMINISTRATION**

## **A. PARTICIPATING STATE AGENCY RESPONSIBILITIES**

In assisting the Lead Agency in implementing the tasks and activities described in the State's Race to the Top-Early Learning Challenge grant application, the Participating State Agency will:

- 1) Implement the Participating State Agency Scope of Work as identified in the Exhibit I of this agreement;
- 2) Abide by the governance structure outlined in the State Plan;
- 3) Abide by the Participating State Agency's Budget included in section VIII of the State Plan (including the existing funds from Federal, State, private and local sources, if any, that the Participating State Agency is using to achieve the outcomes in the RTT-ELC State Plan);
- 4) Actively participate in all relevant meetings or other events that are organized or sponsored by the State, by the U.S. Department of Education ("ED"), or by the U.S. Department of Health and Human Services ("HHS");
- 5) Post to any Web site specified by the State, ED, or HHS, in a timely manner, all non-proprietary products and lessons learned developed using Federal funds awarded under the RTT-ELC grant;
- 6) Participate, as requested, in any evaluations of this grant conducted by the State, ED, or HHS;
- 7) Be responsive to State, ED, or HHS requests for project information including on the status of the project, project implementation, outcomes, and any problems anticipated or encountered, consistent with applicable local, State and Federal privacy laws.

## **B. LEAD AGENCY RESPONSIBILITIES**

In assisting the Participating State Agencies in implementing their tasks and activities described in the State's Race to the Top-Early Learning Challenge application, the Lead Agency will:

- 1) Work collaboratively with, and support the Participating State Agency in carrying out the Participating State Agency Scope of Work, as identified in Exhibit I of this agreement;
- 2) Timely award the portion of Race to the Top-Early Learning Challenge grant funds designated for the Participating State Agency in the State Plan during the course of the project period in accordance with the Participating State Agency's Scope of Work, as identified in Exhibit I, and in accordance with the Participating State Agency's Budget, as identified in section VIII of the State's application;
- 3) Provide feedback on the Participating State Agency's status updates, any interim reports, and project plans and products;
- 4) Keep the Participating State Agency informed of the status of the State's Race to the Top-Early Learning Challenge grant project and seek input from the Participating State Agency, where applicable, through the governance structure outlined in the State Plan;
- 5) Facilitate coordination across Participating State Agencies necessary to implement the State Plan; and
- 6) Identify sources of technical assistance for the project.

**C. JOINT RESPONSILITIES**

- 1) The Lead Agency and the Participating State Agency will each appoint a key contact person for the Race to the Top-Early Learning Challenge grant.
- 2) These key contacts from the Lead Agency and the Participating State Agency will maintain frequent communication to facilitate cooperation under this MOU, consistent with the State Plan and governance structure.
- 3) Lead Agency and Participating State Agency personnel will work together to determine appropriate timelines for project updates and status reports throughout the grant period.
- 4) Lead Agency and Participating State Agency personnel will negotiate in good faith toward achieving the overall goals of the State's Race to the Top-Early Learning Challenge grant, including when the State Plan requires modifications that affect the Participating State Agency, or when the Participating State Agency's Scope of Work requires modifications.

**D. STATE RECOURSE IN THE EVENT OF PARTICIPATING STATE AGENCY'S FAILURE TO PERFORM**

If the Lead Agency determines that the Participating State Agency is not meeting its goals, timelines, budget, or annual targets, or is in some other way not fulfilling applicable requirements, the Lead Agency will take appropriate enforcement action, which could include initiating a collaborative process by which to attempt to resolve the disagreements between the Lead Agency and the Participating State Agency, or initiating such enforcement in measures as are available to the Lead Agency, under applicable State or Federal law.

**III. MODIFICATIONS**

This Memorandum of Understanding may be amended only by written agreement signed by each of the parties involved, in consultation with ED.

**IV. DURATION**

This Memorandum of Understanding shall be effective, beginning with the date of the last signature hereon and, if a Race to the Top-Early Learning Challenge grant is received by the State, ending upon the expiration of the Race to the Top-Early Learning Challenge grant project period.

**V. SIGNATURES**

Authorized Representative of Lead Agency:

<i>William T. G.</i>	<i>October 18, 2011</i>
Signature	Date
<i>William T. Gettman Jr.</i>	<i>Ex Deputy Comm</i>
Print Name	Title

Authorized Representative of Participating Agency:

Signature Valerie Grey

Date October 18, 2011

Signature

Date

Print Name Valerie Grey

Title Executive Deputy Commissioner

Print Name

Title

Authorized Representative of Participating Agency:

Signature Sue Kelly

Date October 18, 2011

Signature

Date

Print Name Sue Kelly

Title Executive Deputy Commissioner  
NYSDOT

Print Name

Title

Authorized Representative of Participating Agency:

Signature [Signature]

Date October 18, 2011

Signature

Date

Print Name Kristin Riley

Title Deputy Commissioner

Print Name

Title

Authorized Representative of Participating Agency:

Signature Robert G. Frawley Co-CHAIR ECAC

Date October 18, 2011

Signature

Date

Print Name ROBERT G. FRAWLEY

Title Co-CHAIR ECAC

Print Name

Title

**NYSOCFS  
RTTT: ELCG  
MOU/SCOPE OF WORK: Exhibit 1**

Selection Criteria	Participating Party	Type of Participation
(A)(3) Oversee Implementation of the Grant.	OCFS	<ul style="list-style-type: none"> <li>• Act as lead and fiscal agent for this grant. Facilitate inter-agency coordination and allocate resources.</li> <li>• Direct the collaboration with other agencies needed to successfully implement this grant, including New York State Council on Children and Families (CCF) and Early Childhood Advisory Council (ECAC).</li> <li>• Streamline the delivery of services by negotiating best practices within and between each agency.</li> </ul>
(A)(3) Direct the day to day operations of QSNY and NY Works for Children.	OCFS	<ul style="list-style-type: none"> <li>• Lead the scale-up of QUALITYStarsNY (QSNY) from field test to full implementation. Oversee the continued development and operation of QSNY and the professional development under NY Works for Children.</li> </ul>
(A) (3). Create a Delivery Unit to oversee the implement the grant.	OCFS and CCF	<ul style="list-style-type: none"> <li>• Monitor progress on the implementation of the grant and strengthen the State government’s capacity to deliver its key priorities on early learning.</li> <li>• Report quarterly to the CCF members and the Executive Co-Chairs on the implementation progress of the grant</li> <li>• Establish meaningful metrics on QSNY, NY Works for Children, and the development of the assessment and data system tools.</li> <li>• The roles and responsibilities of the Delivery Unit will include: project plan and workplan development; supervision of detailed tasks related to procurement, contracting, staffing, and resource development; project reporting to federal government in accord with grant requirements; coordination with CCF on interagency items and problem escalation; stakeholder outreach and input solicitation; implementation of risk management techniques to make sure project schedule is met; annual renewal tasks; external communication.</li> </ul>
(A)(3). Coordinating the activities of the Early Childhood	OCFS, CCF	<ul style="list-style-type: none"> <li>• CCF coordinates the activities of the ECAC. The ECAC will submit recommendations to OCFS, the CCF member agencies and the Executive.</li> </ul>

Advisory Council (ECAC).		<ul style="list-style-type: none"> <li>• ECAC will conduct the public hearings on OCFS' behalf. OCFS will attend and assist where necessary.</li> <li>• CCF member agencies and the Delivery Unit will provide necessary data to the ECAC to inform its deliverables.</li> </ul>
(B)(2). Select a vendor/contractor to administer all of the components of QSNY.	OCFS	<ul style="list-style-type: none"> <li>• OCFS will procure a vendor to administer QSNY including hiring staff and securing offices for regional office teams; management of the QSNY database; outreach activities to high need communities; program assessment, assignment of Star ratings, distributing incentives to participants; and quality improvement activities.</li> </ul>
(B)(2). Develop online QSNY training tools	OCFS	<ul style="list-style-type: none"> <li>• OCFS will procure a vendor to: develop three webinars (to be initially presented live, in real time, and then archived online for download at the user's convenience) and two asynchronous online training modules to introduce prospective QSNY participants to QSNY; provide answers to Frequently Asked Questions; and, respond to questions and concerns from the field.</li> </ul>
(B)(2). Rollout a statewide training on the QSNY tool and the various components that comprise QSNY	OCFS, CCF	<ul style="list-style-type: none"> <li>• OCFS and CCF will work together with the vendor to train the early learning and development programs statewide; assessors will conduct ERS and CLASS observations every three years in tandem with the QSNY rating renewal process. Training will be conducted for OCFS regulated child care providers, UPK, Head Start and Early Start programs, and registered nursery schools</li> </ul>
(B)(2). Continue to develop the QSNY database	OCFS with assistance from SED	<ul style="list-style-type: none"> <li>• OCFS, with assistance from SED, will oversee the development of the online application for QSNY and oversee the work being done to develop the QSNY database by the vendor hired to administer QSNY.</li> </ul>
(B)(2) Adopt regulations requiring certain publicly funded child care providers to participate in QSNY	OCFS	<ul style="list-style-type: none"> <li>• OCFS will develop and adopt regulations requiring child care providers serving at least 25% subsidized children to participate in QSNY</li> </ul>
(B)(3). Expand and develop linkages between existing websites and enlist partners to inform the public on QSNY ratings for specific programs	OCFS, CCF	<ul style="list-style-type: none"> <li>• Information technology staff from OCFS, SED, and CCF will work together and with other partners to develop links from the OCFS website to the QSNY website.</li> <li>• OCFS will work with CCR&amp;Rs, Early Childhood Direction Centers, the unions representing home-based providers and institutions of higher education to publicize the importance of quality ELDP and QSNY.</li> </ul>



(B)(4) Provide support and incentives for quality improvement	OCFS	<ul style="list-style-type: none"> <li>OCFS, through the vendor hired to implement QSNY, will assign Quality Improvement Specialists to assist ELDP in high- need communities in completing program assessments, and writing and implementing Quality Improvement Plans; and will provide financial incentives to support program improvement and recognize quality.</li> </ul>
(B)(5). Develop an independent evaluation for QSNY	OCFS, SED, CCF	<ul style="list-style-type: none"> <li>OCFS will lead the procurement process to select a vendor and develop a contract to conduct the evaluation of QSNY.</li> </ul>
(C)(1). Engage participating State agencies in discussions related to officially endorsing the NYS Early Learning and Development Standards.	OCFS, CCF, DOH, OMH	<ul style="list-style-type: none"> <li>OCFS and CCF will engage all participating agencies and key stakeholders in developing steps needed for each State agency Commissioner to endorse the 3 components of the NYS Early Learning and Development Standards (Early Learning Guidelines, Foundations of the Common Core, and the Head Start Child Development and Early Learning Framework). SED will make recommendations for consideration and endorsement for the 3 components of the NYS Early Learning and Development Standards, Early Learning Guidelines, Foundations of the Common Core, and the Head Start Child Development and Early Learning Framework.</li> </ul>
(C)(1)(d) and (C)(2)Rollout a statewide training on the Early Learning and Development Standards [ <i>Early Learning Guideline(ELG)s, Pre-K Foundation for the Common Core, and Head-Start Child Development and Early Learning framework</i> ]	OCFS, SED, CCF	<p>OCFS, with support and input from SED and the assistance of CCF, will:</p> <ul style="list-style-type: none"> <li>complete an implementation plan, select trainers (and engage external vendors as necessary), create training modules, and seek official endorsement from the State for the Early Learning and Development Standards;</li> <li>Disseminate training modules through web-based tools (OCFS and New York Works for Children websites, webinars, among others);</li> <li>Train selected CCR&amp;R, QSNY, OCFS-sponsored training providers and district/curriculum leaders;</li> <li>Roll out training modules to ELDPs in the neighborhoods of the State’s 67 PLA schools;</li> <li>Roll out training modules in high-needs communities in the 10 QSNY regions outside of neighborhoods surrounding the State’s 67 PLA schools.</li> <li>Roll out training modules in areas other than high-needs communities across the 10 QSNY regions.</li> </ul> <p>Training would be conducted for OCFS regulated child care providers, UPK, Head Start and Early Start programs, and registered nursery schools.</p>

(C)(2). Help disseminate the State's Assessment Guidance document	SED, with assistance from OCFS	<ul style="list-style-type: none"> <li>• OCFS will assist SED in disseminating the State Assessment Guidance document through OCFS and the New York Works for Children websites.</li> </ul>
(C)(2). Develop a train-the-trainer session on how to appropriately administer the selected comprehensive assessment instruments	OCFS in collaboration with SED	<ul style="list-style-type: none"> <li>• OCFS will procure trainers; develop the training modules; and roll out to Early Learning and Development Programs statewide.</li> <li>• OCFS, in collaboration with SED, will select the provider staff for the train-the-trainer sessions. Once selected and trained, the trainers will begin rolling out the implementation plan.</li> <li>• Training would be conducted for OCFS regulated child care providers, UPK, Head Start and Early Start programs, registered nursery schools.</li> </ul>
(C)(2) Establish a Common Metric to align and compare results from different child-outcome assessments	OCFS with input from SED	<ul style="list-style-type: none"> <li>• OCFS, with input from SED, will: <ul style="list-style-type: none"> <li>○ Procure a vendor to develop the New York State Common Metric.</li> <li>○ Procure a vendor to create a data store for early childhood assessment data, which will be linked to the Early Learning Data System and SED's P-20 Longitudinal Data System.</li> </ul> </li> </ul>
(C)(2) Create a collaborative interagency assessment data sharing policy	OCFS, SED, DOH	<ul style="list-style-type: none"> <li>• OCFS with participation of SED and DOH will create an interagency assessment data sharing policy to align assessments across ELDP settings and reduce assessment duplication.</li> </ul>
(C)(3). Develop Health Promotion Standards within QSNY	DOH, CCF, OCFS	<ul style="list-style-type: none"> <li>• DOH will take the lead working closely with CCF and the ECAC to develop and support health promotion standards and, with OCFS, will roll them out with the QSNY rollout plan mentioned above. OCFS will assist DOH in: developing and rolling out the training of ELDP; coordinating the integration of health training and technical assistance materials in the broader QSNY support structure; expanding ELDP in the State's CACFP; developing outreach materials; adopting a Statewide quality assurance measure on developmental screening for health plans; and enhancing efforts to enroll children with high needs in health insurance and linking them to a primary care provider/medical home.</li> </ul>

(D)(2). Expand the Social-Emotional Development Consultation Program to selected ELDPs	OMH, SED, OCFS	<ul style="list-style-type: none"> <li>• OMH, with input from OCFS, SED and the ECAC Promoting Healthy Development Workgroup, will take the lead in identifying Social-Emotional Development consultants, selecting training materials, , and engaging and training ELDP in targeted communities.</li> </ul>
(D)(1). Publish and disseminate the final copy of the Core Body of Knowledge	OCFS with support from the ECAC	<ul style="list-style-type: none"> <li>• OCFS and the ECAC Workforce Development Workgroup will approve the final document, facilitate the printing of the CBK, and implement the dissemination plan.</li> </ul>
(D)(2) Increase the training requirements for Early Childhood Educators in OCFS-regulated programs	OCFS	<ul style="list-style-type: none"> <li>• OCFS will increase the training requirements for Early Childhood Educators in OCFS regulations that govern child care programs and better align them with the Early Learning Guidelines and CBK.</li> </ul>
(D)(2).Develop the NY Works for Children Workforce Registry website.	OCFS	<ul style="list-style-type: none"> <li>• Work together with program and Information Technology staff of both agencies; develop the Workforce Registry; post an online training calendar, career calculator and career ladder on the website; identify other materials and information for display on the website</li> </ul>
(D)(2). Investigate the possibility of developing an option for early childhood educators to earn postsecondary credit hours for completion of learning modules.	OCFS, ECAC	<ul style="list-style-type: none"> <li>• Work with ECAC and CUNY to review the CBK and ELG curricula for discussion on the steps to take to develop a process for Early Childhood Educators (ECE) to receive postsecondary credit for CDSA and convert past training into credits.</li> </ul>
(D)(2). Engage legally-exempt child care providers in professional development opportunities that both elevate practice and provide pathways to regulation, whenever possible.	OCFS	<ul style="list-style-type: none"> <li>• OCFS will work with the OCFS regional offices and the CCR&amp;Rs (enrollment agencies) and other partners to provide access to professional development opportunities for legally-exempt providers to assist them with moving to regulated care, when desirable and appropriate.</li> </ul>
(D)(1) and (2). Require State-funded training to be delivered by certified trainers and aligned to New York Early Learning Frameworks including the Workforce Knowledge and Competency Framework.	OCFS, CCF, other professional development partners	<ul style="list-style-type: none"> <li>• OCFS will work with involved parties to focus the supply of professional development opportunities in New York so that resources are spent on professional development that is aligned to the Early Learning Frameworks and meet a minimum standard of quality.</li> </ul>
(D)(2).Launch the Workforce Registry.	OCFS, CCF, Workforce Registry vendor, other	<ul style="list-style-type: none"> <li>• OCFS will work with the Workforce Registry vendor and other professional development partners to track and assure training activity in</li> </ul>

	professional development partners	
(D)(2).Expand the QUALITYScholars Plan and link State EIP funds to early professional development activities to approved Professional Development Plans	OCFS	<ul style="list-style-type: none"> <li>• Create the policy and disseminate this information to ELDPs.</li> </ul>
(D)(2) Provide Regional NY Works for Children Coordinators to assist Early Childhood Educators to improve their professional development.	OCFS	<ul style="list-style-type: none"> <li>• OCFS will procure a vendor to provide the coordinators and will assess the effectiveness of the regional presence strategy and make any necessary adjustments.</li> </ul>
(D)(2) Publish an annual report on Early Childhood Educator development, advancement, and retention.	OCFS, ECAC	<ul style="list-style-type: none"> <li>• OCFS, in collaboration with ECAC and CUNY, will publish an annual report featuring aggregated data on the early childhood workforce.</li> </ul>
(E)(1)(d) Develop a public report with aggregate information on children’s readiness to learn when they enter kindergarten.	SED in collaboration with OCFS and other participating agencies	<ul style="list-style-type: none"> <li>• SED, in collaboration with OCFS and other participating agencies, will use the aggregated analysis of the KRT outcomes to develop a public report on school readiness to inform the public and identify gaps requiring remediation.</li> </ul>
(E)(2).Data Sharing Agreements.	OCFS, SED, DOH,	<ul style="list-style-type: none"> <li>• As lead agency, OCFS will enter into a Memorandum of Understanding/Data Sharing Agreement with SED and other participating agencies.</li> <li>• OCFS will also be responsible for obtaining appropriate signatures to MOU.</li> </ul>
(E)(2). Assigning New York State Student Identification System (NYSSIS) Unique Statewide Identifiers to children.	SED, OCFS, DOH	<ul style="list-style-type: none"> <li>• OCFS will work with SED and DOH to develop a plan to assign the SED NYSSIS ID to follow children throughout their life. This will include the following: <ul style="list-style-type: none"> <li>○ Link data between early childhood systems in which data are being collected on the individual level for children receiving:</li> </ul> </li> </ul>

		<ul style="list-style-type: none"> <li>○ Once the ID is assigned, the child-specific data, with child and family demographics, will then be stored in SEDs P-20 data system.</li> <li>○ Long term, all children who enter Early Learning and Development programs that are under the authority of programs operating with licenses issued by OCFS and NYC Department of Health and Mental Hygiene will be assigned NYSSIS IDs.</li> </ul>
(E)(2). Provide training to Early Learning and Development Programs on the SED P-20 Longitudinal Data System.	SED, OCFS	<ul style="list-style-type: none"> <li>● ELDPs will receive training on how to use the SED P-20 Longitudinal Data System web-based application to enroll children.</li> </ul>
(E)(2) 6. Develop and implement the Early Education Reporting Portal to link the following Data Systems: QSNY, Workforce Registry, SED P-20 longitudinal Data System, DOH Child Health Information Integration, OCFS Child Care Facility System, OCFS Child Care Time and Attendance System, NYCDOHMH Child Care Activity Tracking System, SED UPK and Pre-School Special Education, NYCACS Automated Child Care Information System.	SED, OCFS, DOH	<ul style="list-style-type: none"> <li>● SED in consultation and with the assistance of the other agencies will design, develop and implement the plan to link these systems, including building the Early Education Reporting Portal.</li> </ul>

**NY SED  
RTTT: ELCG  
MOU/SCOPE OF WORK: Exhibit 1**

<b>Selection Criteria</b>	<b>Participating Party</b>	<b>Type of Participation</b>
(A)(3) Governance of Early Learning and Development Programs	SED, Governor's Office, OCFS, DOH	<ul style="list-style-type: none"> <li>• SED will retain all of its regulatory and statutory oversight of UPK, preschool special education, and registered nonpublic nursery schools and kindergartens as an independent agency governed by the Board of Regents.</li> </ul>
(B)(2) QSNY Implementation	SED	<ul style="list-style-type: none"> <li>• Continue implementation of QSNY in PLA areas as planned and funded under 2010 RTTT grant award</li> </ul>
(B)(2)(a)(1) UPK participation in QSNY	SED	<ul style="list-style-type: none"> <li>• SED will recommend to the Board of Regents for approval regulatory changes to require that UPK programs participate in QSNY.</li> </ul>
(B)(3)(b) Update Parent Tool Kit	SED	<ul style="list-style-type: none"> <li>• The Parent Tool Kit being developed by SED will contain information and written materials to inform parents about quality early education and QSNY.</li> </ul>
(B)(5). Develop an independent evaluation for QSNY	OCFS, SED, CCF	<ul style="list-style-type: none"> <li>• SED will assist OCFS in procuring a vendor to conduct the evaluation of QSNY.</li> </ul>
(C)(1) Endorsement of the Early Learning Guidelines and Head Start Child Development and Early Learning Framework	SED	<ul style="list-style-type: none"> <li>• SED will present to the Board of Regents the Early Learning Guidelines and Head Start Child Development Early Framework for endorsement</li> </ul>
(C)(2)(a) Finalize and release SED's Assessment Guidance for Early Learning	SED, OCFS	<ul style="list-style-type: none"> <li>• SED will finalize its Assessment Guidance to inform early education assessment practices.</li> <li>• OCFS will assist SED in disseminating the State Assessment Guidance document through OCFS and the New York Works for Children websites.</li> </ul>
(C)(2)(a) Determine which authentic assessments would comprise the Comprehensive Assessment System (CAS).	SED, CCF and OCFS	<ul style="list-style-type: none"> <li>• SED will collaborate with OCFS to determine which authentic assessments would be included in the CAS</li> </ul>

(C)(2)(b) Collaborate with OCFS on the procurement to develop the NYS Common Metric.	SED, CCF, OCFS	<ul style="list-style-type: none"> <li>Collaborate with OCFS on developing RFP for procurement of the NYS Common Metric</li> </ul>
(C)(2) (c) Collaborate on development of an interagency assessment data sharing policy.	SED, OCFS, CCF	Collaborate with partner agencies to develop joint plans for coordinating and sharing the responsibility for assessment data sharing when children are served by multiple programs to avoid duplication.
(D)(1) Endorsement of the Core Body of Knowledge.	SED	SED will present to the Board of Regents the Core Body of Knowledge for consideration and endorsement.
(D)(2) Public Broadcasting Training Library.	SED	SED will issue an RFP for public broadcasting to develop and maintain a video training library to be used as a resource for early childhood educators
(E)(1) At the request of the Governor, establish a process to develop a Kindergarten Readiness Tool (KRT).	SED	Following approval by the Board of Regents, establish a Kindergarten Readiness Advisory Council to advise on the development of a KRT to be phased in statewide.
(E)(2) Data Sharing	SED, OCFS, DOH,	Develop and execute MOUs/Data Sharing Agreements with partnering agencies
(E)(2) Provide access to the Early Education Reporting Portal.	OCFS, SED, DOH	ELDPS will receive training on how to use the Early Education Reporting Portal.

<p>(E)(2) Link the following Data Systems: QSNY, Workforce Registry, SED P-20 Longitudinal Data System, DOH Child Health Information Integration, OCFS Child Care Facility System, OCFS Child Care Time and Attendance System, NYCDOHMH Child Care Activity Tracking System, SED UPK and Pre-School Special Education, NYCACS Automated Child Care Information System.</p>	<p>OCFS, SED, DOH</p>	<p>SED will work with partnering agencies to design, develop and implement the plan to link these systems, including building the Early Education Reporting Portal (SED) and providing high quality data to the P-20 system through web services (OCFS, DOH). ELDPs will receive training on how to assign the unique student identifier at the child's first point of entry to the system or review identifiers for students who have transferred between early learning services.</p>
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**NYDOH  
RTTT: ELCG  
MOU/SCOPE OF WORK: Exhibit 1**

<b>Selection Criteria</b>	<b>Participating Party</b>	<b>Type of Participation</b>
(A)(3)(a) Support governance structure for interagency coordination	OCFS, CCF, DOH	DOH will: <ul style="list-style-type: none"> <li>• Lead the implementation of specific health strategies (as defined below), with accountability to OCFS as lead agency and CCF as interagency body for oversight of entire ELCG initiative.</li> <li>• Participate in quarterly CCF meetings.</li> <li>• Participate in Early Childhood Advisory Council (ECAC) full membership meetings and workgroups.</li> </ul>
B)(2) Promote participation in QSNY	OCFS, DOH	DOH will: <ul style="list-style-type: none"> <li>• Support dissemination of information about QSNY through DOH Early Intervention (EI) and home visiting programs to assist families in identifying high quality early learning and development programs for their children.</li> <li>• Provide information about QSNY to EI programs known to operate preschool (including preschool special education) and/or child care programs that may be required or encouraged to participate in QSNY.</li> </ul>
(B)(5) Support QSNY validation studies	OCFS, DOH	DOH will: <ul style="list-style-type: none"> <li>• Participate in the subsequent validation study of QSNY, with particular emphasis on the enhanced health standards to be added to QSNY and assessment of how well QSNY standards accommodate programs serving children with disabilities.</li> </ul>
(C)(1)(d) Promote understanding of and commitment to the Early	OCFS, DOH	DOH will: <ul style="list-style-type: none"> <li>• Conduct official agency review of ELD standards.</li> <li>• Participate in development of multi-agency dissemination and</li> </ul>

Selection Criteria	Participating Party	Type of Participation
Learning and Development Standards across DOH-administered Early Childhood Programs		implementation plan. <ul style="list-style-type: none"> <li>• Support dissemination and implementation to DOH-sponsored early childhood programs including Early Intervention and Home Visiting.</li> </ul>
(C)(2) Support effective uses of Comprehensive Assessment Systems	OCFS, DOH	DOH will: <ul style="list-style-type: none"> <li>• Actively contribute to guidance documents and training resources related to comprehensive assessment systems, with particular focus on health and developmental screening and assessment components and strategies to assure that children receive developmental and health screening as part of comprehensive well child care in a medical home.</li> <li>• Assist agency partners in convening regional meetings and follow-up activities to help ELDPs develop joint plans for sharing the responsibility for assessment when children are served by multiple programs to avoid duplicative assessments and improve quality of services.</li> <li>• When the Early Learning Data System is fully implemented, participate in the development of a process for sharing assessment data with parents and other service providers, as appropriate.</li> </ul>
(C)(3)(a) Develop a new <i>Health and Learning</i> survey tool to be incorporated within QSNY to enhance the progression of standards for health promotion practices	DOH, OCFS, CCF, ECAC	DOH will: <ul style="list-style-type: none"> <li>• Expand its participation and leadership within the ECAC Quality Improvement Work Group.</li> <li>• Engage an expert consultant to support tool development.</li> <li>• Lead and coordinate the development of enhanced health standards to be recommended for inclusion in QSNY, in collaboration with the ECAC QI Work Group.</li> </ul>
(C)(3)(b) Increasing the number of Early Childhood Educators who are trained and supported	OCFS, CCF, DOH	DOH will: <ul style="list-style-type: none"> <li>• Lead a critical review of current health-related training, technical assistance and consultation resources for ELD programs.</li> <li>• Identify needs for additional and enhanced resources to support</li> </ul>

Selection Criteria	Participating Party	
on an on-going basis in meeting the QSNY health standards		<p>ELDPs' understanding and implementation of health promotion standards, including the enhanced standards to be developed.</p> <ul style="list-style-type: none"> <li>• Work with OCFS and other partners to integrate training, technical assistance and consultation supports within the larger QSNY structure to support ELDPs' implementation of health standards.</li> <li>• Work with CCF and OCFS to expand training for health care consultants to augment the support for ELDPs related to health.</li> </ul>
(C)(3)(c) - Promote developmentally appropriate physical activity for young children in early learning and development programs	DOH, OCFS, CCF, ECAC, SED	<p>DOH will:</p> <ul style="list-style-type: none"> <li>• Engage an early childhood physical activity specialist to develop and implement training resources related to developmentally appropriate physical activity for young children, including adaptive physical activity for children with disabilities.</li> <li>•</li> </ul>
C(3)(c) Expand ELDP participation in the State's Child and Adult Care Food Program (CACFP)	DOH, OCFS, CCF, ECAC	<p>DOH will:</p> <ul style="list-style-type: none"> <li>• Conduct a formative evaluation of barriers to ELDP participation in CACFP.</li> <li>• Apply findings to design and implement an outreach and education campaign to increase CACFP participation, targeting programs serving children with high needs.</li> </ul>
(C)(3)(d)(1) Implement strategies to improve health care providers' adherence to AAP developmental screening standards	DOH, ECAC	<p>DOH will:</p> <ul style="list-style-type: none"> <li>• Develop and implement enhanced training and ongoing support for pediatric health care providers to promote adherence to AAP recommended practices for universal developmental and autism screening.</li> <li>• Adopt a nationally-endorsed quality measure of Screening for Developmental Delay within its Quality Assurance Reporting Requirements and quality improvement activities for health plans, to augment the current set of quality measures and QI activities for early childhood preventive care.</li> </ul>

Selection Criteria	Participating Party	Type of Participation
(C)(3)(d)(3) - Enhance efforts to assure that high-needs children are enrolled in health insurance and linked to a primary care provider/medical home	DOH, OCFS, CCF, ECAC, SED	DOH will: <ul style="list-style-type: none"> <li>• As an enhancement to its current <i>Connections to Coverage</i> campaign, provide ELDPs with printed resources informing parents of MA/ CHPlus eligibility requirements and enrollment steps, and to guide ELDPs on how to connect families with facilitated enrollers in their community.</li> <li>• Convene staff from CACFP, MA/CHP programs, OCFS and participating ELDPs to develop a workable referral system that will facilitate implementation of existing CACFP rules that permit CACFP-participating child care providers to share child-level income eligibility data directly with MA and CHPlus to initiate insurance enrollment process.</li> </ul>
(D)(2)(a) – Support strategies to provide training and technical assistance to build early childhood educators’ capacity to address children’s social-emotional development (S-ED) needs.	OMH – Lead  In coordination with OCFS, SED and the ECAC Promoting Healthy Development Work Group.	DOH will: <ul style="list-style-type: none"> <li>• Provide input and assist OMH and other partners in implementing strategies to provide training and technical assistance to build early childhood educators’ capacity to address children’s social-emotional development (S-ED) needs, through continued DOH staff participation in the ECAC Promoting Healthy Development Work Group.</li> </ul>

Selection Criteria	Participating Party	Type of Participation
(E)(2) Contribute to and support an integrated longitudinal early learning data system to improve instruction, practices, services, and policies.	SED, OCFS,DOH	DOH will: <ul style="list-style-type: none"> <li>• Work closely with SED and other participating agencies to design and implement an early learning longitudinal data system that links information across the spectrum of early childhood program and service settings.</li> <li>• Establish a detailed data sharing agreement with SED and other participating entities that supports integration of Early Intervention Program data, subject to all appropriate provisions of HIPAA and FERPA, etc.</li> <li>• Explore opportunities to integrate additional health-related child data including home visiting program data and other child health data being integrated within the Child Health Integrated Information (CHI2) system currently under development.</li> </ul>

**NYOMH  
RTTT: ELCG  
MOU/SCOPE OF WORK: Exhibit 1**

<b>Selection Criteria</b>	<b>Participating Party</b>	<b>Type of Participation</b>
(C)(3)(a) Develop an enhanced health and learning survey tool to be incorporated within QSNY.	DOH, OMH	<ul style="list-style-type: none"> <li>• Provide in-kind staff support in the development health and learning survey tool to be incorporated within QSNY.</li> </ul>
(D)(2)(a) Provide job-embedded training and technical assistance to build early childhood educators' capacity to address children's social-emotional development needs.	OMH in coordination with OCFS, SED, DOH, and the ECAC Promoting Healthy Development Work Group.	<ul style="list-style-type: none"> <li>• In order to enable our early learning and development programs to address children's social-emotional development needs, a critical part of preparation for kindergarten, the State Office of Mental Health will hire a program coordinator and identify mental health consultants in the target regions of New York State.</li> <li>• The program coordinator will provide clinical expertise and identify important contributors to healthy social-emotional competence and assist in the development of the Health and Learning Survey tool which will be used to improve the health promotion components of the Quality Stars NY program evaluations.</li> <li>• The consultants hired through the grant will serve as a direct resource to our early learning and development programs and provide mental health consultation as they seek to improve the ability of teachers, parents and caregivers to address a child's behavior; provide needed interventions which in turn can result in improved school readiness, academic and social success.</li> </ul>