

Quality Performance Report (QPR)  
For

New York  
FFY 2012

Appendix 1  
Quality Performance Report

### A1.1 Progress on Overall Goals

**Based on the goals described in the Lead Agency's CCDF Plan at Section 3.1.7, please report your progress using the chart below.** You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible ( e.g., revised licensing regulation to include elements related to SIDS prevention, lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers). If applicable, describe any barriers to implementing your planned goals.

**Note: If your licensing standards changed during this period, please provide a brief summary of the major changes and submit the updated regulations to the National Resource Center for Health and Safety in Child Care ([www.nrckids.org](http://www.nrckids.org).)**

Not applicable.

#### Goals Described in FY 2012-2013 CCDF Plan:

##### **Regulated Child Care**

*OCFS has begun a comprehensive review of its child care regulations. This includes reaching out to unions, providers, parents, child care resource and referral agencies, sister State agencies, and many other child care stakeholders. The changes will reflect new laws such as: additional reporting requirements concerning child abuse reports, requiring that there be a caretaker with CPR and first aid in all child care settings during the hours of operation, strengthening regulations for aquatic activities, reviewing the need for physical activities for all children in child care, limiting screen time activities, re-evaluating health and infection control standards, expanding the definition and requirements for adequate supervision, prohibiting physical restraints, updating crib standards to comply with federal standards and much more. In addition, recent changes in New York State law allow child care programs to be licensed or registered for a period of four years (was two years). This change will permit OCFS inspectors to focus on their presence in the field (announced and unannounced site visits), rather than completing applications and renewal paperwork. The longer renewal period, together with the introduction of hand-held computers, which will provide access to CCFS while in the field, is expected to change both the method by which licensors complete office work and the number of inspection visits in the field. OCFS has as its goal to increase the number of routine announced visits. More frequent site visits are expected to increase technical assistance, compliance with regulatory standards, and help to identify problems before they become serious non-compliance issues. The legal process involved in authorizing proposed regulations and the roll- out plan will extend through the coming biennium.*

##### **Exempt Care**

*As part of a larger-scale review of New York State's child care subsidy regulations and policies, OCFS will conduct a targeted review of policies and regulations related to the enrollment and ongoing monitoring of legally-exempt child care providers.*

## **Orientation**

*In order to provide prospective child care providers an overview of the regulatory requirements for operating child care in New York State, a mandatory orientation session is being developed. It is hoped that better informed individuals will be better prepared to take on the obligations and responsibilities associated with providing safe and reliable child care.*

## **Child Health**

*OCFS will continue to work collaboratively with the New York State Department of Health concerning data sharing, lead poisoning in children, obesity prevention, and fetal alcohol spectrum disorders.*

### **Goal #1:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Conduct a comprehensive review of NYS's child care regulations.

### **Describe Progress - Include Examples and Numeric Targets where Possible:**

After extensive outreach to stakeholder groups (unions, providers, child care resource and referral agencies, sister State agencies, and others) as well as our own licensing staff, OCFS child care policy staff did a painstaking line-by-line review of the regulations, including cross-walking each regulated modality of care against the others. Beginning with Family Day Care and Group Family Day Care, proposed changes were carefully reviewed by OCFS attorneys knowledgeable about child care regulations; back and forth between program and legal staff then ensued until consensus was reached. Regulatory impact statements were then drafted. Upcoming in FFY 2013: Revised regulations for the two home-based modalities of care are expected to be submitted to the Governor's Office for review and approval in January 2013; followed by regulations for Day Care Center and School-Age Child Care some months later. Upon approval by the Governor's Office, the regulations will be put out for public comment.

### **Goal #2:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Increase the number of routine announced inspections visits. The following benchmark was devised for this goal: By September 30, 2012, 75% of licensing staff will have conducted at least 6 inspections per week.

### **Describe Progress - Include Examples and Numeric Targets where Possible:**

Licensing staff did not meet this target. 55% of licensing staff completed 4 or more inspections per week. In the quarter ending June 30, 2012, this target was assessed for the first time, and a baseline was set at 49% of licensing staff completing 4 or more inspections per week. After the initial assessment, it was determined that due to other operational demands and competing priorities, this goal was unrealistic and will be modified for next fiscal year. However, regional office managers will continue to work with licensing staff to improve upon the number and percentage of inspections conducted by licensing staff.

### **Goal #3:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

## Exempt Care

As part of a larger-scale review of New York State's child care subsidy regulations and policies, conduct a targeted review of policies and regulations related to the enrollment and ongoing monitoring of legally-exempt child care providers.

### Describe Progress - Include Examples and Numeric Targets where Possible:

In June 2012, OCFS began its review of New York State's child care Subsidy regulations and policies. That review will extend throughout the remainder of FFY 2013. The work is proceeding in two phases. The first phase includes review of Part 415 of the regulations for child care subsidies, including those regulations that apply to eligibility determination and redetermination, market rates (enhanced rates, cost of care, the definition of county clusters, enhanced rate for legally-exempt), differential rates, absence policies, and the like. As a first step in this first phase, OCFS conducted a survey of participants in the child care delivery system, including local social services districts, child care resource and referral agencies, legally-exempt caregiver enrollment agencies, child care provider organizations, advocacy groups, and unions representing child care providers, to receive input on some of the key provisions related to child care subsidy program eligibility and payment. The purpose of the survey, which was sent out in mid-June, was to identify areas of functionality and concern. This was intended to allow OCFS to preliminarily assess the level of need for change and then to direct resources to establish workgroups to comprehensively review and make recommendations to revise the child care subsidy regulations. Initial analyses were presented to local social services commissioners in July 2012. Meetings soon followed with other stakeholder groups.

The second phase, which is happening during FFY 2013, includes the review of legally-exempt child care and the child care fraud and abuse control requirements.

#### Goal #4:

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Develop a mandatory orientation session for prospective child care providers that will provide them with an overview of the regulatory requirements for operating child care in New York State.

### Describe Progress - Include Examples and Numeric Targets where Possible:

The following modules have been completed by staff at the Professional Development Program at the State University of New York:

- "Do I have to be licensed or registered?" which covers both family-based and center-based care settings, and a separate piece on "What is a SACCC program?"
- "Overview of general responsibilities for licensed and registered programs"
- "Orientation for Group and Family Family Day Care:

Produced in a video format, with "chapter" breaks to allow viewers to self-pace their experience, these modules will be available online. In addition to solo reviewing by prospective providers on their own, provisions will be made for group orientation sessions, such as those conducted by local child care resource and referral agencies or OCFS regional offices. Figuring out just how to make that happen was one of the FFY 2012 tasks, along with the script development, shooting, and editing of the modules themselves.

Upcoming in FFY 2013: Production of the orientation module for day care centers and for school age child

care, piloting of the whole package, and informing prospective providers of the new requirement that they complete the overview and at least one of the modality modules before they can be issued an application for a license or registration.

**Goal #5:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Continue to work collaboratively with the New York State Department of Health concerning data sharing, lead poisoning in children, obesity prevention, and fetal alcohol spectrum disorders.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

In FFY 2012, OCFS staff, through the Division of Child Care Services:

- continued to be represented on the NYS Lead Poisoning Prevention Advisory Council (led by the NYS Department of Health)
- worked hand-in-hand with the NYS Department of Health to develop new nutrition regulations in child care centers and after-school programs. Besides the drafting of language that will require that meals and/or snacks provided to children by center-based programs must be in compliance with the State Department of Health, Child and Adult Food Program (CACFP) meal pattern (excluding serving size requirements and exempting meals and snacks provided by the parent); activities included input into a survey that was issued in July 2012 to all 31 states that specified the CACFP meal pattern in regulation for at least one modality of care (the purpose of the survey was to obtain information about states' experience in implementing and enforcing the CACFP meal and snack patterns); and drafting language for regulated family-based modalities that will require that fluid low-fat or fat-free milk, 100% juice, and water be the only beverages that are served to children (unless provided by the parent).
- partnered with the NYS Department of Health and the Centers for Disease Control and Prevention (Division of Nutrition) to hold a "Train the Trainer" workshop on *Let's Move Child Care*, the initiative spearheaded by First Lady Michelle Obama to address higher obesity rates in children. The session, which was held in FFY 2013 (on 12/14/12), was attended by approximately 34 Child Care Resource and Referral Agency staff and OCFS training contract staff.
- contributed, as co-chair of the NYS Fetal Alcohol Spectrum Disorder (FASD) Interagency Workgroup, to the development of, and outreach for, a Fetal Alcohol Spectrum Disorders Training that was conducted by the Learning Disabilities Association of New York State in early FFY 2013 (10/16/12). The session, which targeted OCFS foster care staff, adoption staff, child care staff, and workers in OCFS juvenile justice facilities, focused on causes and contributing factors to the effects of alcohol, diagnosis; barriers to diagnosis, FASD diagnostic criteria, common signs of FASD, prevention of FASD, impact of FASD, and strategies for working with individuals with FASD.

**A1.2 Key Data**

**A1.2.1 Number of licensed programs**

a) How many licensed center-based programs operated in the State/Territory as of September 30, 2012? 6690

N/A

Describe:

The above figure includes both child care centers serving children birth to school-age (N=4,178) and center-based school-age child care programs (N= 2,512). [Note that in New York State, regulated center-based, school-age child care programs are classified as "registered," not licensed.]

b) How many licensed home-based programs operated in the State/Territory as of September 30, 2012? 14726

N/A

Describe:

Note that in New York State, regulated home-based programs are classified as "registered," not licensed.

c) Does the State/Territory have data on the number or percentage of programs (i.e., paid care provided on a regular basis by an unrelated caregiver outside of the child's own home) operating in the State/Territory that are not subject to licensing regulations?

Yes

If yes, include the number or percentage of programs:

Number:

Percentage: %

Describe:

In New York State, we have three types of license-exempt care:

**Legally-exempt Family Child Care: (N=26,921 providers)**

1. Child care for 1 or 2 unrelated children provided outside child's own home. Can care for up to 2 unrelated and up to 6 related for a maximum of 8 children.
2. Child care for more than 2 children provided outside child's own home, who provides such care for 3 hours or less per child per day.
3. Child care provided outside child's own home by a relative, such as a grandparent, aunt, uncle, sibling or cousin. When all children are related there is no established limit.

**Legally-exempt In-Home Child Care: (N=19,613 providers)**

Child care furnished in the child's own home.

Child's parent must provide the provider with all employment benefits required by law.

**Legally-exempt Group Child Care: (N=424 programs that provide care for one or more *subsidized* children. They are indicated below. There are many more programs that do not have children in care receiving child care subsidies. Presently, our data system does not allow us to break out the different types of group care into subgroups; we only have data on about half of groups. OCFS has just completed a re-build of our database's legally-enrollment module. We project that once we are a year out from conversion, we should have information on all legally-exempt group programs that provide care to subsidized children).**

In New York State, all license-exempt center-based care is referred to as legally-exempt group child care. Legally-exempt group programs enrolled to provide subsidized child care may be operating under the auspices of another government agency or not operating under the auspices of another government agency. In 2012, we added the ability to track legally-exempt group child care by *program subtype*. Legally-exempt group programs *operating under the auspices* of another government agency include the following subtypes of programs:

1. Child care programs operated by public school district: pre-kindergarten and nursery school programs for children three years of age or older, and programs for school-age children conducted during non-school hours, operated by public school districts which provide elementary or secondary education or both in accordance with the compulsory education requirements of the New York State (NYS) Education Law, provided that such pre-kindergarten, nursery school or school-age programs are located on the premises or campus where the elementary or secondary education is provided;

2. Summer day camps operated by non-profit agencies or organizations or private proprietary agencies in accordance with Subpart 7-2 of the State Sanitary Code
  1. In New York City
  2. Upstate New York state
  3. Out of state
3. Federal child care programs: day care centers, family day care homes and other child care programs located on Federal property which are operated in compliance with the applicable Federal laws and regulations for such child care programs; and
4. Tribal Child Care programs: day care centers, family day care homes and other child care programs located on tribal property that are operated in compliance with the applicable tribal laws and regulations for such child care programs.
5. Nursery school programs (not operated by a public school district) voluntarily registered with the NYS Department of Education (NYSED): nursery schools and programs for pre-school-aged children operated by non-profit agencies or organizations or private proprietary agencies which provide services for three or less hours per day [Note: 143 nursery school programs have voluntarily registered with NYSED.]
6. In New York City, school-based child care programs for children ages three to five delineated in the NYC Health Code Article 43, and not licensed by NYC Department of Health and Mental Hygiene. Legally-exempt group programs *not* operating under the auspices of another government agency include the following subtypes of programs:
  1. Child care programs operated by a *private school or academy* providing compulsory education: pre-kindergarten and nursery school programs for children three years of age or older, and programs for school-age children conducted during non-school hours, operated by public school districts or by private schools or academies which provide elementary or secondary education or both in accordance with the compulsory education requirements of the Education Law, provided that such pre-kindergarten, nursery school or school-age programs are located on the premises or campus where the elementary or secondary education is provided;
  2. Nursery School Programs operated by non-profit or private agencies not registered with NYSED: nursery schools and programs for pre-school-aged children operated by non-profit agencies or organizations or private proprietary agencies which provide services for three or less hours per day. [Note: This category exists only outside of New York City. In New York City, nursery schools are required to be licensed and are included the total number of licensed center-based programs in 1.2.1(a) above.]
  3. Unaffiliated School-Age program –no more than six school age children cared for in a non-residence

No

**A1.2.2 What percentage of programs received monitoring visits, and at what frequency, for each provider category during the last fiscal year (October 1, 2011 through September 30, 2012)?**

a) What percentage of licensed center-based programs were visited as of the end of the last fiscal year (October 1, 2011 through September 30, 2012)?

83%

What was the average number of visits?

3.1

N/A

Describe:

The average number of visits for those programs that were visited was 3.1.

b) What percentage of licensed family child care programs were visited as of the end of the last fiscal year (October 1, 2011 through September 30, 2012)?

75%

What was the average number of visits?

2.2

N/A

Describe:

NOTE: The statutory target for registered family child care programs in NYS is a single annual visit for 50% of them; thus, actual practice exceeds statutory requirement. (But, it is statutory requirement that is included in national surveys of licensing inspections.)

c) What percentage of legally exempt providers, receiving CCDF were visited as of the end of the last fiscal year (October 1, 2011 through September 30, 2012)?

20%

What was the average number of visits?

1

N/A

Describe:

The annual target for inspections of legally-exempt providers receiving subsidy reimbursement is 20% of those who are not participating in the Child and Adult Care Food Program (which already receive 3 visits/year). Data are collected and submitted to OCFS by individual legally-exempt enrollment agencies (the Women's Housing and Economic Development Corporation [WHEDco] in New York City and child care resource & referral agencies elsewhere throughout the state). Going forward, however, as the result of the build-out of a legally-exempt module in the State's child care regulatory database of record, inspection data for legally-exempt programs will be aggregated in a single database, which will enhance analytic possibilities.

**A1.2.3 How many programs had their licenses suspended or revoked due to licensing violations as defined in your State/Territory during the last fiscal year (October 1, 2011 through September 30, 2012)?**

**Licensed Centers:**

How many were suspended? 17

N/A

Describe:

All enforcement actions are associated with hearing rights. Enforcement cases are heard by an Administrative Law Judge, who hears the case and renders a decision. If OCFS's action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

How many were revoked? 11

N/A

Describe:

All enforcement actions are associated with hearing rights. Enforcement cases are heard by an Administrative Law Judge, who hears the case and renders a decision. If OCFS's action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

### Licensed Homes:

How many were suspended? 203

N/A

Describe:

All enforcement actions are associated with hearing rights. Enforcement cases are heard by an Administrative Law Judge, who hears the case and renders a decision. If OCFS's action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

How many were revoked? 151

N/A

Describe:

All enforcement actions are associated with hearing rights. Enforcement cases are heard by an Administrative Law Judge, who hears the case and renders a decision. If OCFS's action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

### **A1.2.4 How many programs were terminated from participation in CCDF subsidies due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year (October 1, 2011 through September 30, 2012)?**

Child Care Centers: 15

N/A

Group Child Care Homes: 83

N/A

Family Child Care Homes: 2575

N/A

In-Home Providers: 1385

N/A

Describe:

Child Care Centers: 15 programs: 4 licensed Day Care Centers, 7 registered School Age Child Care Programs, 4 previously enrolled legally-exempt group child care programs

Group Child Care Homes: 83 licensed Group Family Day Care providers

Family Child Care Homes 2,575 providers: 68 registered Family Day Care Providers, 2,507 previously enrolled legally-exempt family child care providers

In-Home Providers 1,385 previously enrolled legally-exempt in-home child care providers

**A1.2.5 How many previously license-exempt providers were brought under the licensing system during the last fiscal year (October 1, 2011 through September 30, 2012)?**

N/A

Describe:

When providers change status (e.g., a legally-exempt provider becomes registered or licensed; or a family child care providers becomes a group family child provider or vice versa) they are assigned new provider ID numbers, so there is no way to track their prior status(es).

**A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year? Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers).**

N/A

Describe:

We do not have a standard definition of what constitutes a child "injury." We do, however, define in policy what is considered a "serious" injury. Serious injuries must be reported to OCFS per regulation, and an unannounced inspection of the program is then scheduled. If the cause of the injury is the fault of the program and non-compliance with regulation, OCFS cites the violation and once substantiated, enforcement actions are considered. Another route by which we are notified of a child's injury is a report of child abuse and maltreatment. The Division of Child Care Services (DCCS) is sent all reports of abuse and maltreatment that occur in child care programs. DCCS staff investigates these reports in collaboration with Child Protective Services staff on the county level. If substantiated, the violation is assessed for enforcement actions.

DCCS has records and counts of enforcement actions and violations but cannot filter out which occur as a result of an injury to a child.

Currently, there is no way to total the number of serious injuries happening at child care programs, because the Child Care Facility System (CCFS), the regulatory database of record for child care, does not capture this detail. We can report the number of child abuse and maltreatment cases we accept and how many are substantiated, but this still would not tell us the number of injuries that were contained in the report. In addition, we enter all reported serious injuries into the CCFS system as complaints for investigation, but there is no data field that records the nature of the complaint as one involving an injury.

The Office will consider adding a field to record this category when we begin to develop the computer-based enforcement module in CCFS later this year.

### **A1.2.7 How many fatalities occurred in child care as of the end of the last year?**

Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers).

N/A

Describe:

OCFS maintains data on child fatalities that occur in child care only if they are associated with a child protective case -- and then, the information is kept in the child welfare database, not in the child care regulatory database. In any event, the data do not include any child fatalities associated with Sudden Infant Death Syndrome, of which we know some occur.

So, for example, between mid-2010 and mid-2012, there were at least 18 child fatalities in a child care setting (either a residential care institutional setting or more likely with a “babysitter” -- one of the drop-down selections in the child protective database), and 12 of them were under age 1 (which we use as an indicator of unsafe sleep fatalities). We cannot distinguish if it was a licensed or informal child care setting. Also, since some of the data entry cells were left blank, there may be more. We do not believe it would be practical to attempt to re-tool the child protective database to allow for categorizations of child care setting. Rather, our emphasis going forward will be to make changes in the Child Care Facility System (CCFS), the database of record for all child care facilities in New York State (both regulated and legally-exempt), except for child care centers in New York City.

The limitations of CCFS presently prevent OCFS from counting child care fatalities occurring in child care programs. While the investigation into the death of a child and any other child protective inquiries are recorded in CCFS, we lack the ability to filter out fatality information in a report because a data field marking the case as a fatality does not exist at this time. We have designated this as an important area for consideration in building the enforcement application in CCFS, which will begin later this year.

## Establishing Early Learning Guidelines (Component #2)

### A2.1 Progress on Overall Goals

**A2.1.1 Did the State/Territory make any changes to its voluntary early learning guidelines (including guidelines for school-age children) as reported in 3.2 during the last fiscal year (October 1, 2011 through September 30, 2012)?**

Yes

No

N/A

Describe:

Refinements were made and, in April 2012, the *New York State Learning Guidelines* were published.

**A2.1.2 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.2.8, please report your progress.** You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELGs, Aligned the ELGs with Head Start Outcomes Framework). If applicable, describe any barriers to implementing your planned goals.

**Goals Described in FY 2012-2013 CCDF Plan:**

*During the next biennium, the Early Learning Guidelines (ELG) will be revised subsequent to the review of stakeholders in the field, and professional development activities will be organized to assist programs in understanding the appropriate ways to use them for focused program improvement and as a means to document child progress. Also during the next biennium, the draft standards for QUALITYstarsNY will be revised based on the Field Test that was completed in December, 2010. The ELG are referenced in the current draft standards; the new draft standards will include extra points for programs that implement the ELG and include a curriculum that has been aligned with the ELG.*

**Goal #1:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Revise the Early Learning Guidelines (ELG) subsequent to the review of stakeholders in the field.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

The ELG were refined and were formally released at the annual conference of the New York State Association for the Education of Young Children at its April 2012 conference.

**Goal #2:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Organize professional development activities to assist programs in understanding the appropriate ways to use the ELG for focused program improvement and as a means to document child progress.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

During FFY2012, the following training events were conducted on the Core Body of Knowledge by staff from the Early Childhood Professional Development Institute at the City University of New York (CUNY):-- 10/29/2011 CUNY Early Childhood Faculty Symposium; Number of Attendees: 19-- 11/3/2011 OCFS- for regional licensing representatives and other key OCFS staff; Number of Attendees: 32-- 11/15/2011 Capital District Child Care Coordinating Council on November 15th. Participants included directors of local child care centers. The forum was part of the Council's monthly Directors' Club meeting. Number of Attendees: 16-- 12/7/2011 Binghamton on December 7<sup>th</sup> at the local BOCES. Participants included directors at local child care centers, students at Binghamton Community College, teachers, assistant teachers and aides in child care centers, as well as trainers and coaches. Number of Attendees: 25-- 4/19/2012 New York State AEYC Conference, Buffalo, NY; Number of Attendees: 30-- 4/27/2012 New York State Family Child Care Conference; Number of Attendees: 8-- 9/4/2012 QUALITYstarsNY Quality Improvement Specialists; Number of Attendees: 13

**Goal #3:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Revise the draft standards for QUALITYstarsNY, based on the Field Test that was completed in December, 2010, such that the new draft standards will include extra points for programs that implement the ELG and include a curriculum that has been aligned with the ELG.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

The approved QUALITYstarsNY standards for family-based programs, child care centers, and schools all include the following standard: "Program uses a written curriculum or curriculum framework that aligns with the NYS Early Learning Guidelines and/or the Pre-K Foundation for the Common Core." (4 pts)

**A2.2 Key Data**

A2.2.1 How many programs were trained on early learning guidelines (ELGs) or standards over the last fiscal year (October 1, 2011 through September 30, 2012)?

<b><u>Center-based Programs:</u></b> <b>Early Learning Guidelines (ELGs)</b>	<b>How many center-based programs were trained on ELGs over the past year?</b>	<b>N/A</b>
Birth to Three ELGs		<input checked="" type="checkbox"/>
Three-to-Five ELGs		<input checked="" type="checkbox"/>
Five and Older ELGs		<input checked="" type="checkbox"/>

Describe:	<p>OCFS does not keep data on programs' usage of the ELG, although this information will be tracked by NYS's emerging workforce registry, Aspire. Although still in its infancy, Aspire is being piloted by participants in NYS's QRIS, QUALITYstarsNY.</p> <p>Although OCFS cannot break out family-based versus center-based programs:  2% of NYS child care providers were trained on the ELG for infants and toddlers (birth to 3)  3% of NYC child care provides were trained on the ELG for preschool-aged (3-5) children</p>	
<b><u>Family Child Care Programs:</u></b> <b>Early Learning Guidelines (ELGs)</b>	<b>How many family child care programs were trained on ELGs over the past year?</b>	<b>N/A</b>
Birth to Three ELGs		<input checked="" type="checkbox"/>
Three-to-Five ELGs		<input checked="" type="checkbox"/>
Five and Older ELGs		<input checked="" type="checkbox"/>
Describe:	<p>OCFS does not keep data on programs' usage of the ELG, although this information will be tracked by NYS's emerging workforce registry, Aspire. Although still in its infancy, Aspire is being piloted by participants in NYS's QRIS, QUALITYstarsNY.</p> <p>Although OCFS cannot break out family-based versus center-based programs:  2% of NYS child care providers were trained on the ELG for infants and toddlers (birth to 3)  3% of NYC child care provides were trained on the ELG for preschool-aged (3-5) children</p>	
<b><u>Legally Exempt Providers:</u></b> <b>Early Learning Guidelines (ELGs)</b>	<b>How many legally exempt providers were trained on ELGs over the past year?</b>	<b>N/A</b>
Birth to Three ELGs		<input checked="" type="checkbox"/>
Three-to-Five ELGs		<input checked="" type="checkbox"/>
Five and Older ELGs		<input checked="" type="checkbox"/>
Describe:	Legally-exempt providers are currently not the focus of the outreach and training on the ELG.	

**2.2.1(b) How many children are served in programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)**

<b><u>Center-based Programs:</u></b> <b>Early Learning Guidelines (ELGs)</b>	<b>How many children are served in programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)</b>	<b>N/A</b>
<b>Infants and toddlers in programs implementing the Birth to Three ELGs</b>		<input checked="" type="checkbox"/>

<b>Preschoolers</b> in programs implementing the Three-to-Five ELGs		<input checked="" type="checkbox"/>
School-age children in programs implementing the Five and Older ELGs		<input checked="" type="checkbox"/>
Describe:	<a href="#">OCFS does not keep data on programs' usage of the ELG.</a>	
<b>Family Child Care Programs:</b> <b>Early Learning Guidelines (ELGs)</b>	<b>How many children are served in programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)</b>	<b>N/A</b>
<b>Infants and toddlers</b> in programs implementing the Birth to Three ELGs		<input checked="" type="checkbox"/>
<b>Preschoolers</b> in programs implementing the Three-to-Five ELGs		<input checked="" type="checkbox"/>
School-age children in programs implementing the Five and Older ELGs		<input checked="" type="checkbox"/>
Describe:	<a href="#">OCFS does not keep data on programs' usage of the ELG.</a>	
<b>Legally Exempt Providers:</b> <b>Early Learning Guidelines (ELGs)</b>	<b>How many children are served in programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)</b>	<b>N/A</b>
<b>Infants and toddlers</b> in programs implementing the Birth to Three ELGs		<input checked="" type="checkbox"/>
<b>Preschoolers</b> in programs implementing the Three-to-Five ELGs		<input checked="" type="checkbox"/>
School-age children in programs implementing the Five and Older ELGs		<input checked="" type="checkbox"/>
Describe:	<a href="#">OCFS does not keep data on programs' usage of the ELG.</a>	

## Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

### A3.1 Progress on Overall Goals

**A3.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.3.9, please report your progress.** You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs included in the QRIS, Aligned the QRIS standards with Head Start performance standards, or expanded the number of programs with access to an on-site quality consultant). If applicable, describe any barriers to implementing your planned goals.

#### **Goals Described in FY 2012-2013 CCDF Plan:**

*During the next biennium, the QUALITYstarsNY standards will be revised and a system of professional development will be developed to assist programs, regardless of the success of efforts to fully fund this quality rating and improvement system. Work will continue to align the technical assistance (consultation) support offered to programs via multiple sources and auspices.*

#### **Goal #1:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Revise QUALITYstarsNY standards.

#### **Describe Progress - Include Examples and Numeric Targets where Possible:**

Standards for Centers (including schools), and Family-based programs were amended in May, 2012. (The School-age Standards were approved in draft form in FFY 2013 - November, 2012.) See <http://qualitystarsny.org/standards.php> for copies of the standards for QUALITYstarsNY.

#### **Goal #2:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Develop a system of professional development to assist programs; and continue to align the technical assistance (consultation) support offered to programs via multiple sources and auspices.

#### **Describe Progress - Include Examples and Numeric Targets where Possible:**

Programs that participate in QUALITYstarsNY are eligible for targeted technical assistance (on topics such as conducting self-assessments, participating in an Environmental Rating Scale [ERS], developing quality improvement plans, and so forth) as well as professional development opportunities for program staff.

Technical assistance and professional development opportunities are coordinated by Quality Improvement Specialists (QI Specialists). The QI Specialists support participants through the standards completion process and work with programs to develop a Quality Improvement Plan. QI Specialists link programs and providers to professional development and quality improvement resources in the community and hold programs accountable to allocated resources. They maintain frequent

communication with Technical Assistance Specialists and other partners working with the participants regarding needs; maintaining electronic records to manage communications with participants, keep track of awarded quality grant amounts, and quality improvement plans.

## **A3.2 Key Data**

### **A3.2.1 How many programs received targeted technical assistance in the following areas during the last fiscal year (October 1, 2011 through September 30, 2012)?**

Health and safety:

1462

Infant and toddler care:

749

School-age care:

100

Inclusion:

0

Teaching dual language learners:

0

Understanding developmental screenings and/or observational assessment tools for program improvement purposes:

420

Mental health:

0

Business management practices:

571

N/A

Describe:

The above numbers refer ONLY to targeted technical assistance provided by the Civil Service Employees Association and the United Federation of Teachers to regulated family child care and group family child care providers.

They do not include 4,357 inspections performed by OCFS licensing staff, registrars, or fire/safety representatives, that had "technical assistance" listed as a primary or secondary reason for the inspection since that information cannot be disaggregated to determine number of unduplicated programs that received technical assistance. Nor is the information categorized by content area except in a narrative field in the State's regulatory database.

In addition, the above figures do not include technical assistance provided by local child care resource and referral (CCR&R) agencies, who provide technical assistance to regulated providers (all modalities) within their catchment areas. Technical assistance provided by CCR&Rs can take the form of "basic technical assistance," which includes short, question-specific information primarily through phone and e-mail; or "intensive technical assistance," which is provided primarily on the provider's site and is more in-depth and typically includes the development of a quality improvement plan. The tracking of technical assistance is done according to "service unit" rather than by program and/or content area. New York State's contracts with CCR&Rs are performance-based. Payment is based on the meeting of specific

milestones; the pricing of which has been determined by a functional cost analysis conducted by an outside consultant. In State Fiscal Year 2011-12 (4/1/11-3/31/12), for example, CCR&Rs provided 32,162 units of basic technical assistance (for which they were paid, in aggregate \$1,632,211); and 6,430 units of intensive technical assistance (for which they were paid \$553,627).

Finally, the above figures do not include technical assistance provided to programs that are participating in QUALITYstarsNY, which is NYS's QRIS, because the relevant database uses different categorizations for technical assistance activities. The database will be expanded over the course of the coming year to allow for reporting against these categories in the FFY 2013 QPR.

### **A3.2.2 How many programs received financial support to achieve and sustain quality during the last fiscal year (October 1, 2011 through September 30, 2012)?**

a) One-time, grants, awards or bonuses:

Child Care Centers:

0

Family Child Care Homes:

9745

N/A

Describe:

The quality grants for family-based providers were awarded by the two unions elected to represent home-based providers in NYS: United Federation of Teachers in New York City (5,100 family child care and group family child care received quality "kits" worth \$250 each) and the Civil Service Employees Association in the rest of the state (4,645 providers each received quality grants worth up to \$500).

b) On-going or Periodic quality stipends:

Child Care Centers:

Family Child Care Homes:

N/A

Describe:

Local child care resource and referral (CCR&R) agencies provide quality grants to family and group family child care providers, but that data is not available in the aggregate by program. (Going forward, as of 10/1/12, CCR&Rs may use CCDF funds to provide grants up to \$1,000 for centers if they so choose..)

In addition, participants in QUALITYstarsNY, NYS's QRIS, are eligible for awards for the following quality-enhancement activities (in FFY 2012, these awards, which are awarded per site, not individual, totaled \$226,559):

1.Noncredit/Conference/Workshop

- 2. Credential/Accreditation Fee
- 3. College Credit
- 4. Consultation/Technical Assistance
- 5. Coursework leading to a Credential

**A3.2.3 What is the participation rate (number and percentage) in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year (October 1, 2011 through September 30, 2012)?** When reporting the percentages, please indicate the universe of programs on which the percentage is based (e.g., licensed providers, CCDF providers, or all providers).

Child Care Centers QRIS:

Number:

232

Percentage: 5.6 %

or Other Quality Improvement System:

Number:

290

Percentage: 6.8 %

N/A

Describe:

The denominator for the above: Total N of regulated child care centers: 4,178

The "other" quality improvement system: NAEYC accreditation

Family Child Care Homes QRIS:

Number:

186

Percentage: 1.3 %

or Other Quality Improvement System:

Number:

20

Percentage: 0.1 %

N/A

Describe:

The denominator for the above: Total N of regulated family child care and group family child care homes: 14,726

The "other" quality improvement system: NAFCC accreditation

License-Exempt Providers QRIS:

Number:

Percentage: %

or Other Quality Improvement System:

Number:

Percentage: %

N/A

Describe:

License-exempt providers are not eligible to participate in New York State's QRIS.

**A3.2.4 How many programs moved up or down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year (October 1, 2011 through September 30, 2012)?** If the quality threshold is something other than QRIS, describe the metric used, such as accreditation.

Child Care Centers:

How many moved up within the QRIS:

How many moved down within the QRIS:

N/A

Describe:

FFY 2012 activities included completion of analysis of data from the field test of New York State's QRIS, QUALITYstarsNY. That led to refinement of the standards (including the inclusion of some additional standards) as well as refinement of the scoring metric. Therefore, initial scores are not being posted, nor

can they be used as baseline in terms of movement either up or down within the system.

Other FFY 2012 activities included the recruitment of additional programs (with funding from New York State's 2010 Race to the Top grant). These sites (as well as continuing field study sites) are being assessed now. Their scores will serve as baseline for future assessments which will occur in calendar year 2014.

### Family Child Care Homes:

How many moved up within the QRIS:

How many moved down within the QRIS:

N/A

Describe:

FFY 2012 activities included completion of analysis of data from the field test of New York State's QRIS, QUALITYstarsNY. That led to refinement of the standards (including the inclusion of some additional standards) as well as refinement of the scoring metric. Therefore, initial scores are not being posted, nor can they be used as baseline in terms of movement either up or down within the system.

Other FFY 2012 activities included the recruitment of additional programs (with funding from New York State's 2010 Race to the Top grant). These sites (as well as continuing field study sites) are being assessed now. Their scores will serve as baseline for future assessments which will occur in calendar year 2014.

### License-Exempt Providers:

How many moved up within the QRIS:

How many moved down within the QRIS:

N/A

Describe:

License-exempt providers are not eligible to participate in New York State's QRIS.

**A3.2.5 How many programs are at each level of quality?** Describe metric if other than QRIS, such as accreditation.

### Child Care Centers:

Please provide the total number of Child Care Center quality levels (if available):

N/A

Quality Level	Number of Programs at this level

Describe:

FFY 2012 activities included completion of analysis of data from the field test of New York State's QRIS, QUALITYstarsNY. That led to refinement of the standards (including the inclusion of some additional standards) as well as refinement of the scoring metric. Therefore, initial scores are not being posted, nor can they be used as baseline in terms of movement either up or down within the system.

Family Child Care Homes:

Please provide the total number of Family Child Care Home quality levels (if available):

N/A

Quality Level	Number of Programs at this level

Describe:

FFY 2012 activities included completion of analysis of data from the field test of New York State's QRIS, QUALITYstarsNY. That led to refinement of the standards (including the inclusion of some additional standards) as well as refinement of the scoring metric. Therefore, initial scores are not being posted, nor can they be used as baseline in terms of movement either up or down within the system.

License-Exempt Providers:

Please provide the total number of License-Exempt Provider quality levels (if available):

N/A

Quality Level	Number of Programs at this level

Describe:

License-exempt programs are not eligible to participate in New York State's QRIS.

**A3.2.6 What percentage of CCDF subsidized children were served in a program participating in the State or Territory's quality improvement system during the last fiscal year (October 1, 2011 through September 30, 2012)?** What percentage are in high quality care as defined by the State/Territory?

**Note.** If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

Percentage of CCDF children served in participating programs:

%

Percentage of CCDF children served in high quality care:

%

(May define with assessment scores, accreditation, or other metric, if no QRIS.)

N/A

Describe:

The percentage of CCDF children served in participating programs: 6.3%

Total N of children who received a child care subsidy in FFY 2012 as per NYS's ACF-800 report:  
233,958

Percentage of CCDF-subsidized children participating in NYS's QRIS:

- Centers: 60% of enrolled children or 14,165 children
- Homes: 26% of enrolled children or 508 children

The percentage of CCDF children served in high-quality care is unknown; hence, the reason for the "N/A" response. The quality is "unknown" because the post-field test stage of QUALITYstarsNY has only just begun; and since the standards and scoring metric were adjusted following analysis of field test data, the scores from the field test are not truly representative of the scores as they would be now.

## **Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)**

### **A4.1 Progress on Overall Goals**

**A4.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.4.7, please report your progress.** You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements). If applicable, describe any barriers to implementing your planned goals.

#### **Goals Described in FY 2012-2013 CCDF Plan:**

##### ***Core Knowledge and Competencies***

*During the next biennium, the most significant progress in the establishment of a professional development system will most likely be seen in the first element described above. The “Core Body of Knowledge” review process has been ongoing since early 2010. Once the document is complete, the skills, competencies, and attitudes will become a foundation for professional development across settings. Individuals working with young children will be able to chart their progress in the acquisition of these essential features of effective teaching.*

##### ***Career Pathways***

*During the next biennium, the Career Lattice will be completed; the Pathways work will be reviewed; and both will be disseminated to the field. The Early Childhood Advisory Council Workforce Development Work Group is overseeing the development of a workforce staff registry, that will verify and track the education, employment history, and professional development of directors, staff, and trainers. We anticipate that the Staff Registry will continue to be in development-without ample resources to develop its capacity as a statewide instrument, possible approaches may include limited pilot studies with targeted populations.*

##### ***Professional Development Capacity***

*Included in the goals for the next biennium, the Early Learning Trainer Credential, now in its infancy, should become increasingly familiar to trainers and professional development specialists. By the end of the next biennium, our goal is to have a critical mass of experts registered and approved in the system, so as to set the stage for requiring that the training hours needed by providers to meet their regulatory training requirement (30 hours over two years) be obtained only from credentialed trainers or approved trainings. In addition, in support of the quality-improvement activities of the two unions that were elected to represent family-based child care providers – the United Federation of Teachers (UFT) for New York City-based providers and the Civil Service Employees Association (CSEA) for providers throughout the rest of the state – State general funds have been authorized to support a Professional Development Child Care Grant Program, a key component of which will be a Train-the-Trainer Program to develop a training base of providers that will work regionally to offer on-going child care workshops for legally-exempt providers to facilitate the completion of 10 hours or more of training annually. To expand availability and access to training, CSEA will utilize CSEA WORK Institute’s online learning center to expand course content to include child care provider business record maintenance and management modules. The online courses will provide a supportive learning environment that promotes access to training by offering access 24/7. UFT will customize its professional development program by including the management of a training voucher program and the design, development, and presentation of video training sessions, web-based training, classroom training, and a coaching mentoring model that will serve to support the implementation of a research-based early childhood curriculum.*

*New York State's quality rating and improvement system will continue to grow, even if slowly. While gradually expanding, it will reinforce the elements of an effective professional development system. As the standards are revised in the next biennium, possible incentives that can't be incorporated into the system will be considered. Extensive training and orientation activities are being planned for child care and early education staff to become more knowledgeable about the observation tools and self-assessment opportunities that exist. We are hopeful that an increase in the awareness of the critical elements of what constitutes a quality early learning experience for young children on the part of providers will itself help child care providers to improve their practice.*

**Goal #1:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Complete the "Core Body of Knowledge" and begin to make it the foundation for professional development across settings.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

New York State's revised "Core Body of Knowledge" is complete. It was released, along with the New York State Early Learning Guidelines, in April 2012. A copy of the document was sent with a cover letter to all licensed programs, to the early childhood/ education departments at NYS institutions of higher education, regional licensing offices, Head Start Technical Assistance offices, and key offices at the State Education Department who distributed the document to Universal Pre -Kindergarten programs. See <http://www.earlychildhood.org/pdfs/CoreBody.pdf>.

The competencies cover 7 Competency areas (Child Growth and Development, Family and Community Relationships, Observation and Assessment, Environment and Curriculum, Health Safety and Nutrition, Professionalism and Leadership, and Administration and Management), which are then broken down into Core Competencies. Each Core Competency is then further described by related behaviors and skills. The core competencies have been aligned with the existing CDA areas, OCFS training Priority Areas, as well as the State Education Department Teaching Standards. Included within the Core Competency document is an assessment tool that can be used by directors for performance appraisals, by staff as a self-assessment of skills, and by trainer and coaches to help guide their work with providers. Immediately following the assessment tool is a Professional Development Planning Tool that guides users to focus on select professional development goals and create a plan toward meeting those goals.

Work has recently begun to implement the Core Body of Knowledge Competency Areas with our state workforce registry, Aspire. All relevant components of the workforce registry align with Aspire. Each registry participant's credit-bearing coursework and non-credit-bearing training is categorized by Core Body of Knowledge Competency Area as well as NYS OCFS Training Priority Area. All training submitted for review for inclusion in a Statewide Training Calendar, which is linked to Aspire, is also categorized by Core Competency area.

**Goal #2:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Complete the Career Lattice (now called the Career *Ladder*); review the Pathways work; and disseminate to the field.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

The Career Ladder is complete. It has 10 levels, mostly based on formal education level. Providers move up the "steps" of the Career Ladder as they progress in formal education, earn credentials, and accumulate years of experience. The Career Ladder levels have been integrated into Aspire, the workforce registry. Each registry participant with a complete profile is placed at a level on the Career Ladder. The Career Ladder is being shared with registry participants upon completing the join process. The registry will soon be able to report on the number of participants at each Career Ladder Level.

Aspire, the statewide workforce registry, has been developed and is currently in the pilot phase. The approximately 420 programs participating in QUALITYstarsNY are also participating in the Aspire pilot. Data about staff qualifications and classrooms is transferred nightly from the registry to the QUALITYstarsNY data system. Data verified by the registry is used to calculate a program's QUALITYstarsNY rating. As of September 30, 2012, there were approximately 2000 providers in Aspire and approximately 325 active programs. Registry developers are currently working to construct reports for users, licensors, and State and local agency staff.

### Goal #3:

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Roll out the Early Learning Trainer Credential, such that by the end of the next biennium, NYS will have a critical mass of experts registered and approved in the system, so as to set the stage for requiring that the training hours needed by providers to meet their regulatory training requirement (30 hours over two years) be obtained only from credentialed trainers or approved trainings.

### Describe Progress - Include Examples and Numeric Targets where Possible:

The goal of the Early Learning Training Credential is to improve the quality of trainers who provide professional development opportunities statewide. The credential establishes a standard by which to assure quality, and it recognizes a level of professional achievement for trainers so that child care providers are trained by someone with a specified knowledge of content and instructional design, and proven presentation skills and professionalism. As of 9/30/12, there were 105 credentialed trainers in NYS.

Recognizing the importance of training-of-trainer programs -- whether the training is in the delivery of standardized curricula (e.g., the Program for Infant Toddler Care [PITC]) or assessment tools (e.g., the Environmental Rating Scales) or regulatory protocols (e.g, administration of medication in child care programs in NYS) -- another category of quality assured, or "endorsed," trainer was created, called Verified Trainer. As of 9/30/12, there were 401 Verified Trainers in NYS.

### Goal #4:

Is Goal from 2012-2013 CCDF Plan?  Yes  No

In support of the quality-improvement activities of the two unions that were elected to represent family-based child care providers – the United Federation of Teachers (UFT) for New York City-based providers and the Civil Service Employees Association (CSEA) for providers throughout the rest of the state – State general funds have been authorized to support a Professional Development Child Care Grant Program, a key component of which is a Train-the-Trainer Program to develop a training base of providers that will work regionally to offer on-going child care workshops for legally-exempt providers to facilitate the completion of 10 hours or more of training annually.

## **Describe Progress - Include Examples and Numeric Targets where Possible:**

A 2-day Training-of-Trainers (TOT) course was conducted in Albany on September 21 and 22 for 24 trainers selected by CSEA. (A second session was held in FFY 2013, on October 19 and 20, 2012 for 12 trainers selected by UFT.) Each participant was a registered Family Day Care Provider, a licensed Group Family Day Care Provider, or union staff person.

The TOT concentrated on who legally-exempt providers are, what enrollment requirements they must meet to become enrolled, as well as a highlight of major adult learning principles and learning styles. A walk-through of the *10-Hour Legally-Exempt Provider Training* curriculum, developed especially for this training by the State University of New York (SUNY) Professional Development Program, included brief presentations by each participant to engage them during the walk-through and provide them with time for review of objectives, learning activities and questions and answers about the curriculum and how to apply adult learning principles throughout the training program. Seventeen of twenty-one content-driven video clips were viewed during the walk-through for content and follow up activity transitioning.

Each participant received a TOT binder of materials, an updated copy of the *10 Hour Legally-Exempt Provider Training* curriculum, and a copy of a DVD of the video clips. All provider handouts were packaged separately for ease of duplication.

### **Goal #5:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

To expand availability and access to training, the Civil Service Employees Association (CSEA) will utilize CSEA WORK Institute's online learning center to expand course content to include child care provider business record maintenance and management modules. The online courses will provide a supportive learning environment that promotes access to training by offering access 24/7. The United Federation of Teachers (UFT) will customize its professional development program by including the management of a training voucher program and the design, development, and presentation of video training sessions, web-based training, classroom training, and a coaching mentoring model that will serve to support the implementation of a research-based early childhood curriculum.

## **Describe Progress - Include Examples and Numeric Targets where Possible:**

CSEA developed the capacity to deliver free online Business Management Training, developed by national expert Tom Copeland. The online classes offered by CSEA Work Institute (24/7) will help address current barriers to access: cost, location, transportation, and time. The six modules cover the following content areas: An Introduction to the Business of Family Child Care; The Basics of Record Keeping and Taxes; Family Child Care Contracts and Policies; Marketing Your Business; Reducing Your Risks: Legal and Insurance Issues; Money Management and Retirement Planning. Upcoming in FFY 2013: The training will be up and running in January, 2013. CSEA will conduct outreach by phone and mail to all registered family and licensed group family providers. In addition, CSEA will provide technical assistance about how to access the web based courses to those providers who request it.

UFT's energy was heavily focused on the train-the-trainers training for legally-exempt providers and has received a no-cost extension from OCFS for much of its other professional development work.

**Goal #6:**

Is Goal from 2012-2013 CCDF Plan?  Yes  No

Provide extensive training and orientation activities to child care and early education staff so that they become more knowledgeable about the observation tools and self-assessment opportunities that exist in conjunction with QUALITYstarsNY, NYS's QRIS.

**Describe Progress - Include Examples and Numeric Targets where Possible:**

QUALITYstarsNY created three readiness training workshops designed to help programs become more familiar with the standards and using the Environment Rating Scales for self-assessment and program improvement. The workshops are entitled:

- Introduction to QUALITYstarsNY
- Self-Assessment: Preparing for Program Improvement (using the Environment Rating Scales)
- First Steps for Quality Improvement

In early January 2012, 24 trainers were trained to facilitate the three workshops and they delivered 90 sessions across the state in all 10 regions between February - May 2012. This work was coordinated by the Early Care and Learning Council.

**A4.2 Key Data****A4.2.1 How many teachers/caregivers had the following qualifications as of the end of the last fiscal year (as of September 30, 2012)?****Child Care Center Teachers:**

How many had a Child Development Associate (CDA)?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had State/Territory Credentials?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what credentials an individual has, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver credentials along with other qualifications.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had an Associate's degree?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had a Bachelor's degree?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had a Graduate/Advanced degree?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

### **Family Child Care Providers:**

How many had a Child Development Associate (CDA)?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had State/Territory Credentials?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what credentials an individual has, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire

registry will include data on individual teacher/caregiver credentials along with other qualifications.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had an Associate's degree?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had a Bachelor's degree?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

How many had a Graduate/Advanced degree?

N/A

Describe:

The NYS regulatory database of record (for all child care programs except for child care centers in New York City) only includes whether or not the State's regulatory requirement has been met for a particular role in a specific care setting. Thus, there is no record of what an individual's qualifications are, only whether or not they meet the regulatory requirement.

Going forward, however, a workforce registry is being developed by the Professional Development Institute at the City University of New York. Partially supported by CCDF quality funds, the Aspire registry will include data on individual teacher/caregiver qualifications (CDA, Credential, Associate's Degree, Bachelor's Degree and Graduate degree) by modality of care.

Presently, all participants in NYS's QRIS are required to enter their qualifications, work, and training experience into Aspire.

**A4.2.2 How many teachers/caregivers were included in the State/Territory's professional development registry during the last fiscal year (October 1, 2011 through September 30, 2012)?**

Staff in child care centers:

Family child care home providers:

License-exempt practitioners:

N/A

Describe:

Approximately 2,000 teachers/caregivers in regulated programs were included in the State's workforce & professional development registry in FFY 2012. The primary focus to date has been customizing the database for NYS and data entry by individuals participating in the State's QRIS. Still to come: creation of the kinds of reports that will enable the generation of data such as that requested here.

**A4.2.3 How many teachers/caregivers received credit-based training and/or education as defined by the State/Territory during the last fiscal year (October 1, 2011 through September 30, 2012)?**

Staff in child care centers:

Family child care home providers:

License-exempt practitioners:

N/A

Describe:

CCDF quality funds support a scholarship program, called the Educational Incentive Program (EIP) for income-eligible teachers/caregivers in regulated programs throughout New York State. Over the past couple of years, credit-bearing and credential (CDA) training, observation, and advisement has been incentivized, such that in FFY 2012, almost three-quarters of EIP funds went to credit-bearing or credentialing activities. Specifically, 1,520 awards worth \$1.3M (or 20% of the total) went to college-level, credit-bearing courses. During the course of a year, individuals could receive more than one award.

**A4.2.4 How many credentials and degrees were awarded during the last fiscal year (October 1, 2011 through September 30, 2012)? If possible, list the type of credential or degree and in what type of setting the practitioner worked.**

**Type of Credential:**

How many credentials were awarded to staff in child care centers?

Please list and provide number:

Child Development Associate (CDA):

State/Territory Credentials:

Other:

N/A

Describe:

When Aspire, New York State's workforce and professional development registry, is fully built out and used universally across the state by regulated providers, it should be possible to produce data such as that requested here. That point in time is likely to be several years away, however.

How many credentials were awarded to family child care home providers?

Please list and provide number:

Child Development Associate (CDA):

State/Territory Credentials:

Other:

N/A

Describe:

When Aspire, New York State's workforce and professional development registry, is fully built out and used universally across the state for regulated providers, it should be possible to produce data such as that requested here. That point in time is likely to be several years away, however.

How many credentials were awarded to license-exempt practitioners?

Please list and provide number:

Child Development Associate (CDA):

State/Territory Credentials:

Other:

N/A

Describe:

At this point in time, NYS cannot project whether and if such data could become available.

**Type of Degree:**

How many degrees were awarded to staff in child care centers?

Please list and provide number:

Associates:

Bachelors:

Graduate/Advanced Degree:

Other:

N/A

Describe:

When Aspire, New York State's workforce and professional development registry, is fully built out and used universally across the state, it should be possible to produce data such as that requested here. That point in time is likely to be several years away, however.

How many degrees were awarded to family child care home providers?

Please list and provide number:

Associates:

Bachelors:

Graduate/Advanced Degree:

Other:

N/A

Describe:

When Aspire, New York State's workforce and professional development registry, is fully built out and used universally across the state, it should be possible to produce data such as that requested here. That point in time is likely to be several years away, however.

How many degrees were awarded to license-exempt practitioners?

Please list and provide number:

Associates:

Bachelors:

Graduate/Advanced Degree:

Other:

N/A

Describe:

At this point in time, NYS cannot project whether and if such data could become available.

**A4.2.5 How many teachers or other professionals received technical assistance such as coaching, mentoring or consultation during the last fiscal year (October 1, 2011 through September 30, 2012)?** Describe any data you track on coaching, mentoring, or specialist consultation. If possible, include in what type of setting the practitioner worked.

**Type of Technical Assistance:**

How many teachers or other professional staff in child care centers received technical assistance?

N/A

Please list type of technical assistance and provide number:

As noted in A3.2.1, 4,357 inspections were performed by OCFS licensing staff, registrars, or fire/safety representatives that had "technical assistance" listed as a primary or secondary reason for the inspection since that information cannot be disaggregated to determine number of unduplicated programs that received technical assistance. Because of that, the number of teachers or other professional staff who received technical assistance cannot be determined.

Also noted in A3.2.1, local child care resource and referral (CCR&R) agencies provide technical assistance to regulated providers (all modalities) within their catchment areas. Technical assistance provided by CCR&Rs can take the form of "basic technical assistance," which includes short, question-specific information primarily through phone and e-mail; or "intensive technical assistance," which is provided primarily on the provider's site and is more in-depth and typically includes the development of a quality improvement plan. The tracking of technical assistance is done according to "service unit" rather than by program, which means that the number of teachers or other professional staff who received technical assistance cannot be determined. New York State's contracts with CCR&Rs are performance-based. Payment is based on the meeting of specific milestones; the pricing of which has been determined by a functional cost analysis conducted by an outside consultant. In State Fiscal Year 2011-12 (4/1/11-3/31/12), for example, CCR&Rs provided 32,162 units of basic technical assistance (for which they were paid, in aggregate \$1,632,211); and 6,430 units of intensive technical assistance (for which they were paid \$553,627).

Finally, the technical assistance that is provided to programs that are participating in NYS's QRIS is provided by program site, not individual.

How many family child care home providers received technical assistance?

N/A

Please list type of technical assistance and provide number:

As noted in A3.2.1, 4,357 inspections of regulated facilities were performed by OCFS licensing staff, registrars, or fire/safety representatives that had "technical assistance" listed as a primary or secondary reason for the inspection since that information cannot be disaggregated to determine number of unduplicated programs that received technical assistance. Because of that, the number of family child care or group family child care providers who received technical assistance cannot be determined.

Also noted in A3.2.1, local child care resource and referral (CCR&R) agencies provide technical assistance to regulated providers (all modalities) within their catchment areas. Technical assistance provided by CCR&Rs can take the form of "basic technical assistance," which includes short, question-specific information primarily through phone and e-mail; or "intensive technical assistance," which is provided primarily on the provider's site and is more in-depth and typically includes the development of a quality improvement plan. The tracking of technical assistance is done according to "service unit" rather than by program, which means that the number of family child care or group family child care providers who received technical assistance cannot be determined. New York State's contracts with CCR&Rs are performance-based. Payment is based on the meeting of specific milestones; the pricing of which has been determined by a functional cost analysis conducted by an outside consultant. In State Fiscal Year 2011-12 (4/1/11-3/31/12), for example, CCR&Rs provided 32,162 units of basic technical assistance (for which they were paid, in aggregate \$1,632,211); and 6,430 units of intensive technical

assistance (for which they were paid \$553,627).

The Civil Services Employees Association (CSEA) staff provides coaching, mentoring, and consulting to the registered family, licensed group family, and legally-exempt providers through two modalities: in-person and the CSEA call center. The CSEA Call Center averages 1,300 calls (in-coming and out-going) per month. CSEA estimates that, at a minimum, 85% of these calls with providers include information, coaching, mentoring, and assistance with OCFS regulations; CACFP, local zoning and fee issues, professional development, QUALITYstarsNY, parent eligibility for child care subsidy, payment procedures, and Child Care Time and Attendance. About 10% of the calls are from legally-exempt providers requesting information and assistance with LDSS eligibility and payment procedures, CACFP, OCFS Health and Safety standards, referrals for special needs assessments and assistance to register. In addition, CSEA staff provide on-going coaching, mentoring and technical assistance to providers at local Chapter meetings and conference calls. It is difficult to quantify, but CSEA estimates that its staff coach, mentor, and assist close to 1,000 registered family and licensed group family child care providers and 110 legally-exempt providers each month.

The United Federation of Teachers (UFT) provided 15 regulated home-based providers with training in an early childhood development literacy curriculum, and 40 regulated home-based providers with training in CRP and first aid.

Finally, the technical assistance that is provided to programs that are participating in NYS's QRIS is provided by program site, not individual.

At this point in time, we cannot project when NYS's emerging workforce registry, Aspire, will have complete data on the state's regulated workforce.

How many license-exempt practitioners received technical assistance?

N/A

Please list type of technical assistance and provide number:

The Civil Services Employees Association (CSEA) staff provides coaching, mentoring, and consulting to the registered family, licensed group family, and legally-exempt providers through two modalities: in-person and the CSEA call center. The CSEA Call Center averages 1,300 calls (in-coming and out-going) per month. CSEA estimates that, at a minimum, 85% of these calls with providers include information, coaching, mentoring, and assistance with OCFS regulations; CACFP, local zoning and fee issues, professional development, QUALITYstarsNY, parent eligibility for child care subsidy, payment procedures, and Child Care Time and Attendance. About 10% of the calls are from legally-exempt providers requesting information and assistance with LDSS eligibility and payment procedures, CACFP, OCFS Health and Safety standards, referrals for special needs assessments and assistance to register. In addition, CSEA staff provide on-going coaching, mentoring and technical assistance to providers at local Chapter meetings and conference calls. It is difficult to quantify, but CSEA estimates that its staff coach, mentor, and assist close to 1,000 registered family and licensed group family child care providers and 110 legally-exempt providers each month.

The United Federation of Teachers (UFT) provided 3 legally-exempt home-based providers with training in CRP and first aid.

**A4.2.6 What financial supports were funded over the past fiscal year to support teachers and caregivers in meeting and maintaining standards and qualifications**

as of the end of the last fiscal year (October 1, 2011 through September 30, 2012)?

Scholarships.

How many teachers received?

Reimbursement for Training Expenses.

How many teachers received?

Loans.

How many teachers received?

Wage supplements.

How many teachers received?

Other.

N/A

Describe:

As noted in A4.2.3, CCDF quality funds support a scholarship program, called the Educational Incentive Program (EIP), for income-eligible teachers/caregivers in regulated programs throughout New York State. These funds reimburse teachers and caregivers for training expenses as well as pay for credit-bearing and credential (CDA) training, observation, and advisement. During the course of a year, individuals can receive more than one award. In calendar year 2012, funds were distributed as follows:

	<b>N of Awards (N= 12,240)</b>	<b>%</b>	<b>Award Amt Issued (\$6,566,707)</b>	<b>%</b>
CDA Advisement	227	1.9%	74,644\$	1.1%
CDA Assessment	900	7.4%	267,257\$	4.1%
CDA Observation	229	1.9%	18,581\$	0.3%
CDA Training	2371	19.4%	3,162,774\$	48.2%
College Credit	1520	12.4%	1,327,994\$	20.2%
Credential Fee	68	0.6%	45,609\$	0.7%
Individualized Training Program	68	0.6%	19,478\$	0.3%
Non Credit Bearing	6011	49.1%	1,446,332\$	22.0%
Non Credit Distance Learning	578	4.7%	28,381\$	0.4%
Non Credit for Credential	212	1.7%	\$161,681	2.5%
Non Credit for Credential Distance Learning	56	0.5%	13,976\$	0.2