

Quality Performance Report (QPR)
For

New York
FFY 2014

Appendix 1
Quality Performance Report

Ensuring the Health and Safety of Children (Component #1)

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30.

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.)

Changes to regulations include: updated competent supervision standards, clarification and additions to administering medication, obesity prevention tactics, health, safety and emergency preparedness additions, required orientation sessions for applicants, and the requirement for providers to be the main caregivers in family-based care.

Goals #1: as described in FY 2014-2015 CCDF Plan:

Adopt and implement revised regulations which contain among other changes: obesity prevention in children, an enhanced supervision directive, formalization of disaster preparedness and sheltering-in-place requirements, and contemporary health and safety directives.

Describe Progress - Include Examples and Numeric Targets where Possible:

On May 1, 2014, OCFS implemented its revised Family Day Care and Group Family Day Care regulations. On November 19, 2014, OCFS adopted its revised day care center, small day care center and school age child care regulations with an effective date of June 1, 2015. Each of these regulatory packages contains the changes proposed: enhanced supervision directive, formalization of disaster preparedness and sheltering-in-place requirements, and contemporary health and safety directives.

Goals #2: as described in FY 2014-2015 CCDF Plan:

Establish consistency across the State in conducting quarterly program visits as a method of providing technical assistance to providers, establishing a visible and essential presence in the field and reducing serious non-compliance violations. OCFS has begun efforts in this area and early reports appear to be promising.

Describe Progress - Include Examples and Numeric Targets where Possible:

OCFS has developed this goal into a Key Performance Indicator that is being monitored. In the 3rd quarter of 2014, the goal was to conduct inspections of 70% of the licensed programs statewide. OCFS did not meet this target, as inspections were conducted at 49% of the licensed programs during this period. High caseloads in several regions contributed to the inability to meet this target. In addition, competing priorities shifted the focus of the regulatory staff during this period, as OCFS is engaged in a Lean Initiative to reduce/improve licensing timeframes. OCFS is currently developing strategies to support staff in meeting this goal.

A1.2 Key Data

A1.2.1 Number of Programs

a) How many licensed center-based programs operated in the State/Territory as of September 30th of the last federal fiscal year? 6,857

N/A

Describe:

The above figure includes both child care centers serving children birth to school-age (N=4,193) and center-based school-age child care programs (N= 2,664). [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 of the last federal fiscal year? 14,123

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 of programs operating in the State/Territory that are legally exempt from licensing? At a minimum, the Lead Agency should provide the number of legally exempt providers serving children receiving CCDF.

Yes

If yes, include the number of programs as of September 30 of the last federal fiscal year:

Number:

Describe (provide the universe of programs on which the number is based):



No

Describe:

New York State does not have data on all programs that are legally exempt from licensing. Information below is on the number of legally exempt providers that were enrolled to provide child care to one or more children receiving CCDF.

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

Legally-exempt Family Child Care: (N=10,971 providers were enrolled to provide care for subsidized children as of 9/30/14)

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=15,724 providers were enrolled to provide care for subsidized children as of 9/30/14)

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=503 programs total were enrolled to provide care for subsidized children as of 9/30/14. The specific kinds of legally-exempt group child care programs are indicated below. There are more programs that do not have children in care receiving child care subsidies, but these programs are not tracked.)

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*: (N=41) 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 (N=128) 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 (N=9)
 2. Upstate New York State (N=119)
3. Federal child care programs (N=4): 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 (N=1) : 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) outside of New York City (N=1) 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. Because registration of nursery school programs outside of New York is voluntary, we do not have a total count of these programs. (Nursery school programs in New York City are required to be licensed; their numbers are included in the count of licensed center-based programs above.)

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. (N=141)

7. Legally-exempt group programs not operating under the auspices of another government agency include the following subtypes of programs:

a. Child care programs operated by a private school or academy providing compulsory education: prekindergarten 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 prekindergarten, nursery school or school-age programs are located on the premises or campus where the elementary or secondary education is provided; (N=185)

b. Nursery School Programs operated by non-profit or private agencies not registered with NYSED, but enrolled as legally-exempt group providers so that they can receive CCDF funding: 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.] (N=9)

c. Unaffiliated School-Age program –no more than six school age children cared for in a non-residence.(N=3)

d. Other. (N=17)

A1.2.2 Number and Frequency of Monitoring Visits

a) How many licensed center-based programs received at least one monitoring visit between October 1 and September 30 of the last federal fiscal year? 10895

a-1) Of those programs visited, how many were unannounced? 0

a-2) Of those programs visited, how many were triggered by a complaint or identified risk? 596

a-3) What percentage of required visits for licensed center-based program were completed? 87.3%

N/A

Describe:

a: 10,895 programs received 1 or more inspections during the year (22,598 inspections conducted total), out of 7,344 programs that were open for any part of the year.

[Note that in New York State, regulated center based, school-age child care programs are classified as "registered," not licensed.]

a-1: N/A - We do not track this information

a-2: 983 complaint inspections conducted total

b) How many licensed family child care programs received at least one monitoring visit between October 1 and September 30 of the last federal fiscal year? 12920

b-1) Of those programs visited, how many were unannounced? 0

b-2) Of those programs visited, how many were triggered by a complaint or identified risk? 1675

b-3) What percentage of required visits for licensed family child care programs were completed? 78.4%

N/A

Describe:

b: 12,920 programs received 1 or more inspections during the year (33,650 inspections conducted total), out of 16,473 programs that were open for any part of the year.

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

b-1: N/A - We do not track this information

b-2: 1,675 programs received 1 or more inspections during the year that were related to a complaint (1,441 complaint inspections conducted total).

b-3: NOTE: The statutory target for registered family child care programs is a single visit for 50% of them: thus, actual practice exceeds statutory requirements.

c) How many legally exempt providers receiving CCDF received at least one monitoring visit between October 1 and September 30 of the last federal fiscal year? 2671

c-1) Of those programs visited, how many were unannounced? 0

c-2) Of those programs visited, how many were triggered by a complaint or identified risk? 0

c-3) What percentage of required visits for legally exempt providers were completed? 24%

N/A

Describe:

c-1: N/A-We do not track this information.

c-2: N/A-We do not track this information.

c-3: 24% of enrolled legally-exempt family child care providers who were not participating in CACFP were inspected. Another way to put this is that 121% of the 20% inspection target numbers were completed.

The annual target for inspections of legally-exempt family child care 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).

A1.2.3 Number of Licensing Suspensions, Licensing Revocations and Terminations from CCDF

Child Care Centers:

How many were **suspended** due to licensing violations as defined in your State/Territory during the last federal fiscal year? 14

N/A

How many were **revoked** due to licensing violations as defined in your State/Territory during the last federal fiscal year? 9

N/A

How many were **terminated** from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last federal fiscal year? 16

N/A

Describe:

The term Suspended refers to all programs during the year that transitioned into an enforcement status that includes "suspended"—these are the facilities that must stop providing care prior to any hearings. Revoked means that license/registration has been taken away. Terminated from CCDF participation—is the sum of the second column ("revoked" lic/reg) plus the number of legally-exempt providers who were closed/terminated. All enforcement actions are associated with hearing rights, Enforcement cases are heard by an Administrative Law Judge, who renders a decision. If OCFS's action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

Group Child Care Homes:

How many were **suspended** due to licensing violations as defined in your State/Territory during the last federal fiscal year? 47

N/A

How many were **revoked** due to licensing violations as defined in your State/Territory during the last federal fiscal year? 78

N/A

How many were **terminated** from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last federal fiscal year? 78

N/A

Describe:

The term Suspended refers to all programs during the year that transitioned into an enforcement status that includes “suspended”—these are the facilities that must stop providing care prior to any hearings. Revoked means that license/registration has been taken away. Terminated from CCDF participation—is the sum of the second column (“revoked” lic/reg) plus the number of legally-exempt providers who were closed/terminated. All enforcement actions are associated with hearing rights, Enforcement cases are heard by an Administrative Law Judge, who renders a decision. If OCFS’s action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

Family Child Care Homes:

How many were **suspended** due to licensing violations as defined in your State/Territory during the last federal fiscal year? 15

N/A

How many were **revoked** due to licensing violations as defined in your State/Territory during the last federal fiscal year? 52

N/A

How many were **terminated** from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last federal fiscal year? 1551

N/A

Describe:

The term Suspended refers to all programs during the year that transitioned into an enforcement status that includes “suspended”—these are the facilities that must stop providing care prior to any hearings. Revoked means that license/registration has been taken away. Terminated from CCDF participation—is the sum of the second column (“revoked” lic/reg) plus the number of legally-exempt providers who were closed/terminated. All enforcement actions are associated with hearing rights, Enforcement cases are heard by an Administrative Law Judge, who renders a decision. If OCFS’s action is upheld at the hearing, the provider may appeal the decision at the NYS Supreme Court level.

In-Home Providers:

How many were **suspended** due to licensing violations as defined in your State/Territory during the last federal fiscal year?

N/A

How many were **revoked** due to licensing violations as defined in your State/Territory during the last federal fiscal year?

N/A

How many were **terminated** from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last federal fiscal year? 781

N/A

Describe:

All enforcement actions are associated with hearing rights, Enforcement cases are heard by an Administrative Law Judge, who 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 previously license-exempt providers were brought under the licensing system during the last federal fiscal year (October 1 through September 30)?

N/A

Describe:

When providers change status, they are assigned a new provider ID number so there is no way to track their prior status(es).

A1.2.5 How many injuries as defined by the State/Territory occurred in child care during the last federal fiscal year?

Please provide your definition of injuries in the Describe box and 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 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. DCCS has records and counts of enforcement actions and violations but is unable, at this time, to filter out which occur as a result of an injury to a child. OCFS has begun work on its database of record, the Child Care Facility System (CCFS), to collect this data. The expected upgrade is to be completed in 2015.

A1.2.6 How many fatalities occurred in child care or as the result of a child care accident or injury as of the end of the last federal fiscal 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:

As we reported last year, 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.

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. Last year, we designated this as an important area for consideration in building the enforcement application in CCFS, which we had hoped would begin in 2013.

Unfortunately, the enforcement build in CCFS has been delayed due to the need to update the CCFS system with new regulations and requirements of regulation before May 1, 2014. This is the date when new regulations for Family Day Care and Group Family Day Care became effective. In the meantime, the Bureau of Day Care Law has been counting reports of fatalities in an Excel file. In 2014 there have been five fatality cases reported and investigated as enforcement cases. This includes both registered/licensed programs and illegal programs that should have been registered/licensed.

The Division is unable, at this time, to report the conclusions of CPS fatality investigations in illegally operating facilities because the Division has but one role in those investigations and that is to determine if the programs are operating illegally and to serve a Cease and Desist Order to the program if it is illegal. We have no additional authority in those cases. Fatalities that occur in regulated programs are investigated by both the local CPS agencies and the Division as a collaborative effort. In those cases, the Division's investigation serves to substantiate or unsubstantiate violations associated with the fatality and to take appropriate action as a result. OCFS has begun work on its CCFS system to collect fatality reporting. An upgrade to the CCFS system is expected in 2015.

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 federal fiscal year?

Yes

No

N/A

Describe:

No changes were made in the past year. We continued using the Early Learning Guidelines to train staff including unregulated providers and created and circulated a complimentary parent guide.

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 #1:as described in FY 2014-2015 CCDF Plan:

Publish guidance for families about how to use Early Learning Guidelines to discuss their child's progress and needs with classroom teachers or home-based providers.

Describe Progress - Include Examples and Numeric Targets where Possible:

The Early Childhood Advisory Council developed content, and published and distributed *Partners in Early Learning: A Letter to Parents and Teachers*. This publication highlights key strategies from the Early Learning Guidelines and strategies to extend learning in the home environment. Approximately 10,000 copies were printed in both English and Spanish. The City University of New York Early Childhood Professional Development Institute (PDI) has targeted distribution to licensed and licensed exempt programs.

Goals #2:as described in FY 2014-2015 CCDF Plan:

Develop web-based tools to support teachers'/providers' use of the Early Learning Guidelines.

Describe Progress - Include Examples and Numeric Targets where Possible:

The PDI developed a web-based tool for the Core Body of Knowledge (CBK), which is a critical foundation for understanding and implementing the Early Learning Guidelines. The CBK web-based tool is available on the New York Works for Children website. In 2015, the PDI will update the tool to add additional resources.

The PDI also developed a 30-minute online training module to empower trainers and directors to better use the CBK to identify professional development needs and adapt and develop training accordingly.

Goals #3:as described in FY 2014-2015 CCDF Plan:

Continue to provide professional development to center-based and home-based early learning setting via in-person sessions and webinars across the state, at regional conferences, and in small-group settings.

Describe Progress - Include Examples and Numeric Targets where Possible:

OCFS contracts with the PDI to administer the statewide training calendar within Aspire, New York’s workforce registry. While still expanding, Aspire has grown to include over 9,000 individuals in the past year. It does not yet include all trainings offered statewide. During this time, there were 12 course offerings on the Early Learning Guidelines offered statewide. We do not have information on how often courses were offered or attendance.

The PDI presented trainings on the Early Learning Guidelines at the following statewide events: NYSAEYC Annual Conference, NYCAEYC Annual Conference, and UFT Annual Conference. PDI offered targeted trainings to approximately 50 programs statewide.

The PDI has also developed Early Learning Guidelines training to legally exempt providers that reached nearly 50 providers in New York City.

A2.2 Key Data

A2.2.1a How many individuals were trained on early learning guidelines (ELGs) or standards over the last federal fiscal year?

Responses to this question should be consistent with information provided in question 3.2.3 in the CCDF Plan.

<p><u>Center-based Programs:</u> Early Learning Guidelines (ELGs)</p>	<p>How many teachers/practitioners in center-based programs were trained on ELGs over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)</p>	<p>N/A</p>
<p>Birth to Three ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Three-to-Five ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Five and Older ELGs</p>		<p><input checked="" type="checkbox"/></p>

Describe:	OCFS does not keep data on programs' usage of the Early Learning Guidelines (ELGs), although this information will be tracked by Aspire, NYS's emerging workforce registry.	
<u>Family Child Care Programs:</u> Early Learning Guidelines (ELGs)	How many family child care programs providers were trained on ELGs over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	N/A
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:	OCFS does not keep data on programs' usage of the ELG, although this information will be tracked by Aspire, NYS's emerging workforce registry.	
<u>Legally Exempt Providers:</u> Early Learning Guidelines (ELGs)	How many legally exempt providers were trained on ELGs over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	N/A
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:	Aspire does not capture professional development information on legally-exempt providers, although the PDI has developed ELG training for legally exempt providers that reached nearly 50 providers in New York City.	

A2.2.1b How many children are served in programs implementing the ELGs?

Refer to question 3.2.4 in the CCDF Plan for examples of how ELGs can be implemented in programs. Program capacity can be used as an estimate of children served.

<u>Center-based Programs:</u> Early Learning Guidelines (ELGs)	How many children are served in center-based programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	N/A
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:	OCFS does not keep data on programs' usage of the ELG at this time. All QUALITYstarsNY programs use the ELGs. (QUALITYstarsNY is the name of New York State's quality rating and improvement system.) Currently, QUALITYstarsNY includes 231 centers with a capacity to serve approximately 15,939 children.	

<p><u>Family Child Care Programs:</u> Early Learning Guidelines (ELGs)</p>	<p>How many children are served in family child care programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)</p>	<p>N/A</p>
<p>Birth to Three ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Three-to-Five ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Five and Older ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Describe:</p>	<p>OCFS does not keep data on programs' usage of the ELG at this time. All QUALITYstarsNY programs use the ELGs. Currently, QUALITYstarsNY includes 115 family child care programs with a capacity to serve approximately 1,380 children.</p>	
<p><u>Legally Exempt Providers:</u> Early Learning Guidelines (ELGs)</p>	<p>How many children are served in legally exempt programs implementing the ELGs? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)</p>	<p>N/A</p>
<p>Birth to Three ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Three-to-Five ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Five and Older ELGs</p>		<p><input checked="" type="checkbox"/></p>
<p>Describe:</p>	<p>OCFS (Aspire) does not capture professional development information on legally-exempt providers.</p>	

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 #1:as described in FY 2014-2015 CCDF Plan:

Element 3. Financial incentives and supports (N=1 goal)

GOAL 6: To diligently explore public and private sources of funding to support current and expanded implementation of QUALITYstarsNY.

Describe Progress - Include Examples and Numeric Targets where Possible:

QUALITYstarsNY is currently supported with a mix of funding from the New York State Education Department, New York City Council and private philanthropy. Additionally, we received approximately \$900,000 in public and private funding to support NY's early childhood professional development registry, Aspire. While this is a separate project, it is relevant because a registry is a fundamental component of successful implementation of QUALITYstarsNY.

The ECAC has made a request to the Governor's office to fund expansion of QUALITYstarsNY in State Fiscal Year 2015-16.

Goals #2:as described in FY 2014-2015 CCDF Plan:

Presently, the Early Childhood Advisory Council, through the Workforce Development Workgroup, is funding a pilot with City College in New York City and Binghamton University in upstate New York, to develop community-based professional development networks with CCR&Rs, such that professional development provided to early learning and development programs by CCR&Rs and local affiliates of the New York State Association for the Education of Young Children (NYSAEYC) and credit-bearing coursework offered by local institutions of higher education, will be aligned to produce quality improvement on the program level.

GOAL3: Expand the pilot (after it concludes in October 2013) to involve more communities and more institutions of higher education.

Describe Progress - Include Examples and Numeric Targets where Possible:

An additional 65 programs were added. Further expansion is contingent upon new state funding.

Goals #3:as described in FY 2014-2015 CCDF Plan:

Element 4. Quality assurance and monitoring (N=3 goals)

GOAL 7: Create a plan for evaluating QUALITYstarsNY implementation

Describe Progress - Include Examples and Numeric Targets where Possible:

The ECAC oversees the implementation of QUALITYstarsNY. Expansion plans would be evaluated and approved by ECAC.

The New York State Education Department provides ongoing direction over QUALITYstarsNY, including quarterly monitoring reports and annual progress reports.

Goals #4:as described in FY 2014-2015 CCDF Plan:

Element 1. Program standards (N=3 goals)

GOAL 1: Assemble feedback and produce a final set of school-age standards for after-school programs.

Describe Progress - Include Examples and Numeric Targets where Possible:

A draft of the School Age Standards was developed in 2012 by members of the Early Childhood Advisory Council (ECAC) Quality Improvement Workgroup. These standards are still being tested before a final version is made available.

Goals #5:as described in FY 2014-2015 CCDF Plan:

Element 2. Supports to programs to improve quality (N=2 goals)

NYS has launched a shared-services initiative in partnership with the CCR&R network and the NYSAEYC that seeks to help organizations reduce costs and improve the strength of management and the quality of services by sharing administrative functions with other organizations that provide the same types of services. As a first step, a web platform is being launched in summer 2013.

GOAL 4: To populate the Shared Services website with vetted tools and resources that can support programs to improve quality, e.g., parent handbook, staff handbook, nutritious menus, physical activities for small spaces, and so on. NYS CCR&R agencies have a central role in the development of the vetted tools.

Describe Progress - Include Examples and Numeric Targets where Possible:

During the upcoming re-rating process, the QUALITYstarsNY Rating Manager and review team will be responsible for gathering new exemplars of documentation from our participating sites and posting new content to the Resource Guide, upon approval.

Goals #6:as described in FY 2014-2015 CCDF Plan:

GOAL 8: Develop an appeals process for ratings disagreements

Describe Progress - Include Examples and Numeric Targets where Possible:

The PDI developed an appeals process.

The process includes the following key steps:

- The QUALITYstarsNY site administrator must speak with his or her Quality Improvement (QI) Specialist to understand the issue and see if it can be resolved informally.
- If the issue cannot be resolved, the site must send a written statement detailing the specific nature of its grievance within 30 days of receiving its rating report.
- A QUALITYstarsNY program officer will reply to each item addressed in the appeal and state whether the rating will be reconsidered or revised.
- If the provider is not satisfied with the response letter from the QUALITYstarsNY office, s/he may again

work with the site's designated Quality Improvement Specialist to convene a "stakeholders" meeting to review the issues and concerns. (Stakeholders meetings will typically include the director/home provider, QI Specialist, Rating Manager, Quality Improvement Manager and Project Coordinator).

- Even if changes do not alter the assigned star rating level, providers will be notified if any revisions were made or mistakes were corrected and will receive an updated Rating Report.

The policy is available on the QUALITYstarsNY website: <http://www.qualitystarsny.org/discover-FAQ.php#appeals>

Goals #7:as described in FY 2014-2015 CCDF Plan:

GOAL 2: Issue guidance to the field that clarifies what documentation is needed to verify when a QUALITYstarsNY standard has been met.

Describe Progress - Include Examples and Numeric Targets where Possible:

An online resource guide with comprehensive information about the standards is currently available to the public on the QUALITYstarsNY website. A standards guidance document was recently issued to all participating programs and will be disseminated to training partners across the state.

Goals #8:as described in FY 2014-2015 CCDF Plan:

GOAL 9: Develop policies and procedures for revising and validating the QUALITYstarsNY standards

Describe Progress - Include Examples and Numeric Targets where Possible:

After completion of the field test in 2010, the Center for Assessment & Policy Development conducted an initial validation of the QUALITYstarsNY program standards. Recommendations were incorporated, based on the validation, and the standards were updated in preparation for expansion and re-rating.

In 2015, PDI will rate 64 new programs and re-rate 310 programs using updated standards. Following the rating, the Evaluation, Data and Assessment subgroup of the ECAC's Quality Improvement Workgroup will validate the current standards based on data gathered from the re-rating process. All re-ratings, as well as initial ratings for the new cohort of participating programs, will be completed in the Spring of 2015.

Goals #9:as described in FY 2014-2015 CCDF Plan:

GOAL 5: Continue to support professional development aimed at program improvement through the funding of the Educational Incentive Program, which includes specially targeted resources for participants in QUALITYstarsNY.

Describe Progress - Include Examples and Numeric Targets where Possible:

The Educational Incentive Program (EIP) is a scholarship program for income-eligible teachers/caregivers in regulated programs throughout New York State. EIP is sponsored by NYS OCFS, funded by the federal Child Care and Development Block Grant, and administered by the Professional Development Program (PDP), Rockefeller College, University at Albany

The Educational Incentive Program has issued:

College Credit

- 1,725 Scholarships
- \$1,660,946

Coursework leading toward a credential

- 1,714 Scholarships
- \$1,781,533

Credential Fee

- 788 Scholarships
- \$321,228

Funds used to meet training requirements for regulated programs

- 3,422 Scholarships
- \$934,059

QUALITYstarsNY uses the Quality Scholars program to fund professional development opportunities. Quality Scholars is sponsored by NYS OCFS, funded by the federal Child Care and Development Block Grant, and jointly administered by the Professional Development Program (PDP), Rockefeller College, University at Albany, and PDI.

To date, we know that Quality Scholars has been used in the following ways:

College credit:

- 144 staff targeted
- \$166,362

TA support for Professional Development:

- 255 staff targeted
- \$34,608

Coursework Leading towards a credential

- 107 targeted
- \$126,161

Credential fee

- 44 staff targeted
- \$15,800

Funds used for qualifications

- 1,943 staff targeted
- \$66,070

Goals #10: as described in FY 2014-2015 CCDF Plan:

Element 5. Outreach and consumer education (N=1 goal)

GOAL 10: Pending the availability of resources for the continuation of QUALITYstarsNY, publicly post star ratings, starting in August, 2014. Local NYS CCR&R agencies have begun to disseminate information about quality indicators even prior to the publishing of stars. The CCR&R agencies are also expanding their parent support activities through workshops and other forums to promote new attention to quality.

Element 5. Outreach and consumer education (N=1 goal)

GOAL 10: Pending the availability of resources for the continuation of QUALITYstarsNY, publicly post star ratings, starting in August, 2014. Local NYS CCR&R agencies have begun to disseminate information about quality indicators even prior to the publishing of stars. The CCR&R agencies are also expanding their parent support activities through workshops and other forums to promote new attention to quality.

Element 5. Outreach and consumer education (N=1 goal)

GOAL 10: Pending the availability of resources for the continuation of QUALITYstarsNY, publicly post star ratings, starting in August, 2014. Local NYS CCR&R agencies have begun to disseminate information about quality indicators even prior to the publishing of stars. The CCR&R agencies are also expanding their parent support activities through workshops and other forums to promote new attention to quality.

Describe Progress - Include Examples and Numeric Targets where Possible:

Star ratings of QUALITYstarsNY participating sites are not yet posted, given that there are only approximately 400 programs participating statewide. Once we have a critical mass of participating programs, QUALITYstarsNY will publicize star ratings and leverage relationships with child care resource and referral (CCR&R) agencies to disseminate information and make referrals using this information (including a search engine that will help parents locate high quality programs). Individual participating sites are welcome to and encouraged to publicize their ratings.

Last year, the PDI produced and widely disseminated a publication for Parents and Families titled, "Choosing a quality early care and education program." This publication details what quality looks like in early childhood programs, based on the QUALITYstarsNY framework, and provides guidance for families about how to partner with their children's teachers to support their child's needs. Each CCR&R agency in the state received copies of this publication.

A3.2 Key Data

A3.2.1 Number of Program Receiving Targeted Technical Assistance

Targeted technical assistance is technical assistance (coaching, mentoring and consultation) that is designed to address a particular domain/area of quality. Responses in this section should be consistent with responses provided in question 3.3.2 in the CCDF Plan which focuses on targeted technical assistance to programs (rather than practitioners) that is intended for moving programs to higher levels of quality.

a) How many programs received targeted technical assistance during the last federal fiscal year (October 1 through September 30)? 24342

N/A

Describe:

See description below.

b) If possible, report the number of programs who received targeted technical assistance in the following areas:

Health and safety: 3067

Infant and toddler care: 1497

School-age care: 597

Inclusion: 306

Teaching dual language learners: 104

Understanding developmental screenings and/or observational assessment tools for program improvement purposes: 1146

Mental health: 207

Business management practices: 3731

N/A

Describe:

The above numbers refer ONLY to targeted technical assistance provided by the Civil Service Employees Association (CSEA) and the United Federation of Teachers (UFT) to regulated family child care and group family child care providers, and targeted technical assistance provided by the Early Care and Learning Council (ECLC), which is New York State's CCR&R state network, to regulated family child care, group family child care and day care center providers. They do not include 4,089 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 the 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 CCR&R agencies that 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 email; 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 FFY 2014, CCR&Rs provided 34,996 units of basic technical assistance (for which they were paid, in aggregate \$1,510,915) and 11,465 units of intensive technical assistance (for which they were paid \$1,804,914).

In FFY 2014, QUALITYstarsNY updated its tools to capture more details about the purpose for targeted technical assistance supported by QUALITY Scholars.

In FFY 2014, QUALITYstarsNY provided 654 hours of technical assistance (totaling \$51,449) to drive progress on program Quality Improvement Plans. QUALITYstarsNY currently captures Technical Assistance data according to the following categories:

- Accreditation (3 hours, \$375)
- Child Observation & Assessment (117 hours, \$ 8,240)
- Consultation (95 hours, \$ 9,480)
- Curriculum Planning and Implementation (340 hour, \$ 23,781)
- Learning Environment (ERS) (88 hours, \$ 9,013)

- Governance Development (0 hours)
- Business Management Practices (7 hours, \$ 600)
- Family Engagement Resources (0 hours)

Note: This is not an unduplicated count.

A3.2.2 Number of Programs Receiving Financial Supports

Responses to this question should be consistent with responses provided in question 3.3.3 of the CCDF Plan. **Financial supports** must be intended to reward, improve, or sustain quality. They can include grants, cash, reimbursements, gift cards, or purchases made to benefit a program. This includes tiered reimbursements for CCDF subsidies. **One-time grants, awards, or bonuses** include any kind of financial support that a program can receive only once. **On-going or periodic quality stipends** include any kind of financial support intended to reward, improve, or sustain quality that a program can receive more than once.

a) How many programs received one-time, grants, awards or bonuses?

Child Care Centers: 133

N/A

Describe:

CCR&Rs were able to use CCDF funds to provide grants of up to \$1,000 for centers if they so choose. This resulted in 133 grants

Family Child Care Homes: 5439

N/A

Describe:

Of the 5439 family child care programs receiving one-time grants, awards or bonuses in FY 2014, 4584 quality grants (each worth up to \$500) were provided by CSEA, one of the unions elected to represent home-based providers in NYS.

b) How many programs received on-going or Periodic quality stipends?

Child Care Centers: 137

N/A

Describe:

Of the 137 center-based programs receiving stipends, 97 programs (including Head Start, nursery schools, child care, and public schools) received \$140,000 in material support for quality improvement in FY 2014. All supports were provided to programs to make progress toward goals outlined in their Quality Improvement Plans.

Family Child Care Homes: 121

N/A

Describe:

Of the 121 family child care programs receiving stipends, 48 programs received \$53,000 in materials for quality improvement in FY 2014. All supports were provided to programs to make progress toward goals outlined in their Quality Improvement Plans.

In addition, participants in QUALITYstarsNY are eligible for awards for the following quality-enhancement activities (in FY 2014, these awards, which are awarded per site, not individual, totaled \$500,000):

1. Noncredit/Conference/Workshop
2. Credential/Accreditation Fee
3. College Credit
4. Consultation/Technical Assistance
5. Coursework leading to a Credential

A3.2.3 Number of Eligible Programs for State/Territory QRIS or Other Quality Improvement System

a) What is the total number of eligible child care centers:

QRIS: 3419

Or

Other Quality Improvement System: 4206

N/A

Describe:

There are 6,857 licensed or registered, center-based child care programs in New York, of which 3,419 are in zip codes eligible for QUALITYstarsNY. Due to funding limitations, 231 child care centers are currently participating in QUALITYstarsNY.

For other quality improvement system: All licensed child day care centers that have been in operation for a minimum of one year are eligible to submit for candidacy for NAEYC accreditation.

b) What is the total number of eligible family child care homes:

QRIS: 115

Or

Other Quality Improvement System: 12234

N/A

Describe:

There are 14,123 family- based day care homes in New York, of which 8,429 are in zip codes eligible for QUALITYstarsNY. Due to funding limitations, 115 family-based day care homes participate in QUALITYstarsNY

c) What is the total number of eligible license-exempt providers:

QRIS:

Or

Other Quality Improvement System:

N/A

Describe:

QUALITYstarsNY does not serve license-exempt providers

License-exempt providers are not eligible for national accreditation.

A3.2.4 Number and Percentage of Programs Participating in State/Territory QRIS or Other Quality Improvement System

a) Of total number eligible as reported in A3.2.3, what is the total number and percentage of child care center programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last federal fiscal year?

Child Care Centers:

QRIS:

Number: 231

Percentage: 7

Or

Other Quality Improvement System:

Number: 279

Percentage: 3

N/A

Describe:

Currently, 231 child care centers participate in QUALITYstarsNY across the state, which represents 7% of potentially eligible child care centers statewide (of the 3,419 programs that are located in eligible zip codes).

The "other" quality improvement system: NAEYC accreditation.

b) Of total number eligible as reported in A3.2.3, what is the total number and percentage of family child care programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last federal fiscal year?

Family Child Care Homes:

QRIS:

Number: 115

Percentage: 1.4

Or

Other Quality Improvement System:

Number: 37

Percentage: .3

N/A

Describe:

115 child care programs participate in QUALITYstarsNY across the state, which represents 1.4% of potentially eligible family child care homes statewide (of the 8,429 that are located in eligible zip codes).

The "other" quality improvement system: National Association for Family Child Care accreditation.

c) Of total number eligible as reported in A3.2.3, what is the total number and percentage of license-exempt programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last federal fiscal year?

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 QUALITYstarsNY or our Other Quality Improvement System.](#)

A3.2.5 Number of programs at Each Level of Quality?

For each type of care, provide the total number of quality levels and the number of programs at that level of the total number of participating as reported in A3.2.4. 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
One Star	23
Two Stars	50
Three Stars	22
Four Stars	81
Five Stars	4

Describe:

The majority of our sites have been Actively Rated, meaning that their ratings reflect the result of their Provisional Rating (the rating based on their Self-study) and the result of their applicable Environmental Rating Scale (ERS) observations.

A program/provider's star rating is determined using a point system. There are a total of 360 possible points associated with the standards for centers, family/home providers and school-based programs. Participants receive points for meeting standards in each of four categories: Learning Environment, Family Engagement, Qualifications and Experience, and Management and Leadership. At least 10% of the total possible points must be earned in each category.

The maximum percentages of points that can be earned in each category are:

Learning Environment	30%
Family Engagement	20%
Qualifications and Experience	25%
Management and Leadership	25%
Total	100%

All sites can earn up to 290 possible points before receiving points for the on-site ERS observations for programs with provisional ratings of 3, 4, or 5 stars; up to 50 points based on the ERS observation scores; and up to 20 possible points depending on which of the standards that apply only under certain conditions are applicable to the site, if any. These conditions include:

- Serving infants
- Serving toddlers/preschoolers
- Serving children with special needs
- Serving children whose home language is not English

To calculate a program's star rating, the number of points earned in the independent ERS observation is added to the points earned in the Provisional Rating, and then divided by the total possible points, now including total possible ERS points, and multiplied by 100, to yield the following:

Regulated program - One Star "meeting regulatory requirements"
 10% - 39% points - Two Stars "satisfactory quality"
 40% - 59% points - Three Stars "good quality"
 60% - 84% points – Fours Stars “very good quality”
 85% - 100% points – Five Stars “excellent quality”

Full overview available here: <http://qualitystarsny.org/foundations-points.php>

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
Star One	63
Star Two	29
Star Three	12
Star Four	4
Star Five	1

Describe:

The majority of our sites have been Actively Rated, meaning that their ratings reflect the result of their Provisional Rating (the rating based on their Self-study) and the result of their ERS observations.

A program/provider's star rating is determined using a point system. There are a total of 360 possible points associated with the standards for centers, family/home providers and school-based programs. Participants receive points for meeting standards in each of four categories: Learning Environment, Family Engagement, Qualifications and Experience, and Management and Leadership. At least 10% of the total possible points must be earned in each category.

The maximum percentages of points that can be earned in each category are:

Learning Environment	30%
Family Engagement	20%
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Management and Leadership	25%
Total	100%

All sites can earn up to 290 possible points before receiving points for the on-site ERS observations for programs with provisional ratings of 3, 4, or 5 stars; up to 50 points based on the ERS observation scores: and up to 20 possible points depending on which of the standards that apply only under certain conditions are applicable to the site, if any. These conditions include:

- Serving infants
- Serving toddlers/preschoolers
- Serving children with special needs
- Serving children whose home language is not English

To calculate a program's star rating, the number of points earned in the independent ERS observation is added to the points earned in the Provisional Rating, and then divided by the total possible points, now including total possible ERS points, and multiplied by 100, to yield the following:

Regulated program - One Star "meeting regulatory requirements"

10% - 39% points - Two Stars "satisfactory quality"

40% - 59% points - Three Stars "good quality"

60% - 84% points – Fours Stars “very good quality”

85% - 100% points – Five Stars “excellent quality”

Full overview available here: <http://qualitystarsny.org/foundations-points.php>

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 QUALITYstarsNY.

A3.2.6 Number of Programs Who Moved Up or Down within QRIS

If the quality threshold is something other than QRIS, describe the metric used, such as accreditation. These numbers ARE NOT expected to total the number of participating programs in the QRIS as reported in A3.2.4.

Child Care Centers:

How many moved up within the QRIS:

How many moved down within the QRIS:

N/A

Describe:

Results from the re-rating will be available in spring 2015, at which point we would be able to provide this data.

FFY 2014 activities included recruitment of 49 additional centers to QUALITYstarsNY. Recruited centers completed an orientation process and were assigned a Quality Improvement (QI) Specialist . With the support of the QI Specialist, program directors created organization accounts in Aspire and staff from each site created individual profiles. Then, staff submitted documentation to Aspire to substantiate their professional qualifications and experiences. These sites are now working on the self-tudy process, submitting a portfolio of documentation through the online portal to indicate that they meet the QUALITYstarsNY Program Standards.

Previously rated centers have been working on an abbreviated self-study process, submitting documentation only for those standards that they did not meet in the initial rating period. The abbreviated self-study for center-based programs was due in December. In preparation, program directors were actively engaging with their QI Specialists to make sure that their documentation was ready for submission by their deadlines and that their new documentation reflected the strides they have made towards higher quality. Presently and over the course of the past two years, increasing numbers of providers have participated in Learning Communities, forums established by QI Specialists where participating program directors come together to discuss challenging standards and learn with and from another (often with the help of an expert in addition to the QI Specialist), to improve their practice.

A team of Rating Reviewers will soon analyze the documentation of the newly recruited programs as well as the outstanding documentation from previously rated sites and determine the number of points to be awarded. This rating will also take account of the most recent data from Aspire on staff qualifications and experience. Sites will then be issued (or re-issued) a Provisional Rating based on the analysis of the submitted documentation. Meanwhile, an independent team of ERS observers will assess programs on the quality of their learning environments, either for the first time or for the purpose of re-assessment. As done previously, at least 50% of classrooms in a given participating center will be observed. After ERS results are issued, the rating team will incorporate ERS results into the Provisional Rating along with the most recent Aspire data to generate an Active Rating.

Family Child Care Homes:

How many moved up within the QRIS:

How many moved down within the QRIS:

N/A

Describe:

An additional 14 family child care homes joined QUALITYstarsNY in FFY2014. See above for key activities.

License-Exempt Providers:

How many moved up within the QRIS:

How many moved down within the QRIS:

N/A

Describe:

QUALITYstarsNY does not serve license exempt providers.

A3.2.7 Number of CCDF Subsidized Children Served in Programs Participating in the State/Territory Quality Improvement System

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

a) What percentage of CCDF children were served in participating programs during the last federal fiscal year? 2.7 %

b) What percentage of CCDF children were served in high quality care as defined by the State/Territory? .5 %

Provide the definition of high quality care in the Describe box. This may include assessment scores, accreditation, or other metric, if no QRIS.

N/A

Describe:

a) 2.7% of CCDF subsidized children were served in programs with QUALITYstarsNY ratings, based on ACF-801 reports data for FFY 2013-14.

QUALITYstarsNY prioritized programs that serve a high percentage of low-income children using CCDF subsidy.

b) QUALITYstarsNY defines high quality care as sites rated at the Star 4 and Star 5 levels.

0.5% of CCDF subsidized children were served in highquality programs, based on a QUALITYstarsNY rating of 4 or 5 stars, based on ACF-801 report data for FFY 2013-14.

Among CCDF subsidized children who were in rated programs (2.7%), 19.3% had a rating of 4 or 5 stars.

Despite what looks like disappointing data, it is important to note that QUALITYstarsNY standards are above and beyond our state's regulations, which have been rated "very high" according to the February, 2013 Child Care Aware America report, *We Can Do Better: 2013 Update*.

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 #1:as described in FY 2014-2015 CCDF Plan:

Align training and technical assistance opportunities for professionals who work in programs regulated by the Lead Agency with the Core Knowledge and Competencies, in addition to the nine OCFS Training Priority Areas.

Describe Progress - Include Examples and Numeric Targets where Possible:

The PDI and NYSAEYC developed and implemented a six-part Trainer Institute open to all current and aspiring NYS credentialed trainers statewide. The primary objective is to examine the beliefs, content, and organization of the Core Body of Knowledge (CBK) developed by New York Works for Children. Here is a brief description of the Trainer Institute:

- Parts 1 & 2: Participants explore how the CBK is to be used as the foundation for professional preparation and development of New York's early childhood workforce and how it fits into the broader scope of training protocols. The workshop includes a review of materials, small group discussions, and hands-on, interactive activities to help trainers develop meaningful professional development opportunities.
- Parts 3 & 4: Participants identify areas of expertise to develop trainings, work dynamically within a small group to implement all the aspects of the training development process, and have an opportunity to engage in peer review of the trainings that were developed and presented.
- Parts 5 & 6: Participants dig deeper into the actual intentionality of planning a high-quality professional development session that is responsive to participant needs and aligned to the NYS CBK. Part 5 involves unpacking and debriefing the choices, methods, priorities, and modifications that were used by the facilitators in the presentation of Parts 1 - 4. Part 6 provides participants the opportunity to engage in facilitator supported peer review of participants' own previously developed and presented professional development session.

In the past year, the PDI and NYSAEYC reached approximately 174 trainers from November 2013 – August 2014.

Aspire, New York's workforce registry, requires all trainings to align with CBK in addition to the nine OCFS Training Priority Areas. Individuals can look up trainings in Aspire based on CBK and OCFS Training Priority Areas.

Goals #2:as described in FY 2014-2015 CCDF Plan:

Increase the number of professionals who have been placed on the NYS Early Childhood Career Ladder as a result of having their qualifications verified through the state workforce registry.

Describe Progress - Include Examples and Numeric Targets where Possible:

During FFY 2014, a total of 5,989 individuals placed on the Early Childhood Career Ladder in Aspire. Here is a breakdown by level:

Level Name Number of Individuals

Career Ladder Level 1 379
Career Ladder Level 1A 81
Career Ladder Level 1B 132
Career Ladder Level 1C 118
Career Ladder Level 2 269
Career Ladder Level 2A 225
Career Ladder Level 2B 312
Career Ladder Level 3 55
Career Ladder Level 3A 64
Career Ladder Level 3B 113
Career Ladder Level 3C 176
Career Ladder Level 4 569
Career Ladder Level 4A 51
Career Ladder Level 4B 25
Career Ladder Level 4C 17
Career Ladder Level 5 37
Career Ladder Level 5A 228
Career Ladder Level 5C 3
Career Ladder Level 6 566
Career Ladder Level 6A 14
Career Ladder Level 6B 10
Career Ladder Level 6C 18
Career Ladder Level 7 124
Career Ladder Level 7A 43
Career Ladder Level 7B 290
Career Ladder Level 7C 82
Career Ladder Level 8 227
Career Ladder Level 8A 146
Career Ladder Level 8B 69
Career Ladder Level 8C 457
Career Ladder Level 9 8
Career Ladder Level 9A 3
Career Ladder Level 9B 6
Career Ladder Level 9C 34
Career Ladder Level 10 2
Career Ladder Level 10A 2
Career Ladder Level 10B 2
Career Ladder Level 10C

Goals #3:as described in FY 2014-2015 CCDF Plan:

Conduct outreach to two-year, four-year, and graduate early childhood programs throughout the state as an introduction to future Core Competency alignment and articulation work involving course design, field experience, and student assessment.

Describe Progress - Include Examples and Numeric Targets where Possible:

The CBK and ELG were mailed to every full-time faculty member at all higher education institutions with early childhood departments in New York State.

More than 400 early childhood faculty representing 2-year, 4-year, and graduate programs received the materials to inform course design, field experience, and student assessment. A statewide study is underway to determine the extent of regular use and reference of the materials.

Goals #4:as described in FY 2014-2015 CCDF Plan:

Develop a training module that includes a coaching component and can be used to train administrative staff, including education coordinators, at child day care programs regulated by the Lead Agency on how to use the Core Knowledge and Competencies to build Individual Professional Development Plans and access training aligned with Core Knowledge and Competencies to meet professional development goals.

Describe Progress - Include Examples and Numeric Targets where Possible:

The PDI also developed a 30-minute online training module to empower trainers and directors to better use the CBK to identify professional development needs and adapt and develop training accordingly.

Additional sessions were held at NYSAEYC and NYCAEYC annual conferences that targeted directors of programs to build professional development plans and align trainings.

Goals #5:as described in FY 2014-2015 CCDF Plan:

Develop competencies specific to Technical Assistance Providers (coaches, consultants, mentors, and professional development advisors).

Describe Progress - Include Examples and Numeric Targets where Possible:

The ECAC convened the Workforce Development Work Group to develop specific competencies for all technical assistance providers. The Workforce Development Work Group developed Coaching Competencies, which will be finalized in 2015.

Finally, the Trainer Competencies were updated to reflect feedback received at the trainer institutes held throughout the year statewide.

A4.2 Key Data

A4.2.1a Number of Teachers/Caregivers and Qualification Levels

a) What is the total number of child care center teachers in the State/Territory as September 30 of the last federal fiscal year?

186289

N/A

Describe:

This total includes teachers, assistants, aides and directors at center-based programs in New York State.

A4.2.1b Number of Teachers/Caregivers and Qualification Levels

b) What is the total number of family child care providers in the State/Territory as September 30 of the last federal fiscal year?

14123

N/A

Describe:

On September 30, 2014, there were 14,123 licensed and registered family child care and group family child care facilities with an on-site provider, plus there were an additional 19,630 assistants and other employees.

c) What is the number of center teachers and family child care providers by qualification level as of the end of the last fiscal year? Count only the highest level of education attained.

A4.2.1c Number of Teachers/Caregivers and Qualification Levels

Child Care Center Teachers:

How many had a Child Development Associate (CDA)? 308

N/A

Describe:

Data included is from Aspire, the state's workforce registry. Presently, 8,323 individuals are included in the Aspire database.

Child Care Center Teachers

Describe: Directors/administrators, assistant directors/administrators, and non-teaching staff were excluded. Currently, there are 1,226 child care centers with active organization accounts.

How many had State/Territory Credentials? 1095

N/A

Describe:

Child Care Center Teachers

NYS Teaching Certification: 1088

NYC Children's Program Administrator Credential: 6

NYS Family Child Care Credential: 0

NYS Infant-Toddler Credential: 1

NYS School Age Care Credential: 0

How many had an Associate's degree? 350

N/A

Describe:

Highest Level of Education Associates Degree

Assistant Director/Administrator 10

Assistant Teacher 159

Director/Administrator 6

Early Intervention Provider 1

Education Coordinator 3

Mental Health Consultant 0

Non-Teaching Staff 13

School Age Care/Afterschool Provider 1

Special Education Itinerant Teacher 0

Special Education Paraprofessional 0

Special Education Teacher 0

Student Teacher 0

Teacher 137

Teacher's Aide 20

UPK Teacher 0

UPK Teacher Aide 0

How many had a Bachelor's degree? 665

N/A

Describe:

Highest Level of Education Bachelor's Degree

Assistant Director/Administrator 21

Assistant Teacher 196

Director/Administrator 66

Early Intervention Provider 1

Education Coordinator 12

Mental Health Consultant 1

Non-Teaching Staff 30

School Age Care/Afterschool Provider 7

Special Education Itinerant Teacher 1

Special Education Paraprofessional 0

Special Education Teacher 2

Student Teacher 0

Teacher 341

Teacher's Aide 37

UPK Teacher 41

UPK Teacher Aide 3

UPK Teaching Assistant 23

How many had a Graduate/Advanced degree? 762

N/A

Describe:

Highest Level of Education Graduate/Advanced Degree

Assistant Director/Administrator 39

Assistant Teacher 55

Director/Administrator 241

Early Intervention Provider 4

Education Coordinator 46

Mental Health Consultant 6

Non-Teaching Staff 26

School Age Care/Afterschool Provider 1

Special Education Itinerant Teacher 4

Special Education Paraprofessional 4

Special Education Teacher 71

Student Teacher 1

Teacher 424

Teacher's Aide 11

UPK Teacher 131

UPK Teacher Aide 0

Family Child Care Providers:

How many had a Child Development Associate (CDA)? 25

N/A

Describe:

Data included is from Aspire, the state's workforce registry. Presently, 8,323 individuals are included in the Aspire database.

Family Child Care Providers

Describe: New York has included the following positions with the Family Child Care Provider data: Family Child Care Provider and Assistant Family Child Care Provider. Presently, 181 family child care and group family child care programs have active organization accounts in Aspire.

How many had State/Territory Credentials? 7

N/A

Describe:

Family Child Care Providers

NYS Teaching Certification: 4
NYC Children's Program Administrator Credential: 0
NYS Family Child Care Credential: 2
NYS Infant-Toddler Credential: 1
NYS School Age Care Credential: 0

How many had an Associate's degree? 16

N/A

Describe:

Family Child Care Provider 13
Assistant Provider (Family Child Care) 3

How many had a Bachelor's degree? 25

N/A

Describe:

Family Child Care Provider 23
Assistant Provider (Family Child Care) 2

How many had a Graduate/Advanced degree? 9

N/A

Describe:

Family Child Care Provider 6
Assistant Provider (Family Child Care) 3

A4.2.2 Number of Individuals Included in State/Territory's Professional Development Registry during Last Federal Fiscal Year (October 1 through September 30)

Teachers in child care centers: 8323

Family child care home providers: 261

License-exempt providers: 0

N/A

Describe:

Aspire does not collect data on License Exempt Providers at this time.

A4.2.3 Number of Individuals Receiving credit-based training and/or education as defined by the State/Territory during the last federal fiscal year (October 1 through September 30)?

Teachers in child care centers: 167

Family child care home providers: 22

License-exempt providers: 0

N/A

Describe:

Teachers in child care centers
Director/Administrator 5
Assistant Director/Administrator 3
Education Coordinator 9
Teacher 58
Assistant Teacher 25
Special Education Teacher 2
Teacher's Aide 14
Family Child Care Provider 0
School Age Care/Afterschool Provider 1
UPK Teacher 45
UPK Teaching Assistant 5
Total 167

Family child care home providers
Director/Administrator 8
Assistant Director/Administrator 0
Education Coordinator 0
Teacher 0
Assistant Teacher 6
Special Education Teacher 0
Teacher's Aide 0
Family Child Care Provider 8
School Age Care/Afterschool Provider 0
UPK Teacher 0
UPK Teaching Assistant 0
Total 22

License-exempt providers 0

Data listed is from Aspire, New York's workforce registry. Credit-based training was defined as credit bearing coursework completed at an accredited institution of higher education. Aspire currently includes 8323 individuals of the over 22,000 licensed programs in the state. Aspire does not collect data on License Exempt Providers at this time.

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 few years, credit-bearing and credential (CDA) training have been incentivized, such that in FFY 2014, 80% percent of EIP funds went to credit-bearing or credentialing activities. Specifically, 1,725 awards worth \$1.7M (or 35% of the total awarded) went to college-level, credit-bearing courses. During the course of a year, individuals could receive more than one award.

A4.2.4 Number of credentials and degrees awarded during the last federal fiscal year 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 teachers in child care centers?

Please list and provide number:

Child Development Associate (CDA): 0

State/Territory Credentials: 38

Other: 0

N/A

Describe:

Data listed is from Aspire, New York's workforce registry. Aspire currently includes 8,323 individuals from the over 22,000 licensed programs in the state.

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

Please list and provide number:

Child Development Associate (CDA): 0

State/Territory Credentials: 38

Other: 0

N/A

Describe:

Data listed is from Aspire, New York's workforce registry. Aspire currently includes 8,323 individuals from the over 22,000 licensed programs in the state.

How many credentials were awarded to license-exempt providers?

Please list and provide number:

Child Development Associate (CDA):

State/Territory Credentials:

Other:

N/A

Describe:

Aspire, the workforce registry, does not collect data on License Exempt Providers at this time.

Type of Degree:

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

Please list and provide number:

Associates: 3

Bachelors: 6

Graduate/Advanced Degree: 7

Other: 0

N/A

Describe:

Data listed is from Aspire, New York's workforce registry. Aspire currently includes 8,323 individuals from the over 22,000 licensed programs in the state.

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

Please list and provide number:

Associates: 0

Bachelors: 0

Graduate/Advanced Degree: 1

Other: 0

N/A

Describe:

Data listed is from Aspire, New York's workforce registry. Aspire currently includes 8,323 individuals from the over 22,000 licensed programs in the state.

How many degrees were awarded to license-exempt providers?

Please list and provide number:

Associates:

Bachelors:

Graduate/Advanced Degree:

Other:

N/A

Describe:

Aspire, the workforce registry, does not collect data on License Exempt Providers at this time.

A4.2.5 Number of Individuals receiving technical assistance during the last federal fiscal year Describe any data you track on coaching, mentoring, or specialist consultation. If possible, include in what type of setting the practitioner worked. Responses to this question should be consistent with information provided in question 3.4.4e of the CCDF Plan.

Type of Technical Assistance:

How many teachers in child care centers received technical assistance?

N/A

Please list type of technical assistance and provide number:

2956

The above number is the number of individuals receiving Technical Assistance during the last fiscal year.

Type of Technical Assistance:

Intensive Technical Assistance(ITA), Quality, Behavior Management, Health & Safety, Observation, Early Childhood Environmental Rating Scale, coaching, mentoring, learning environment, accreditation, QUALITYstarsNY.

How many family child care home providers received technical assistance?

N/A

Please list type of technical assistance and provide number:

14462

General information, getting a license, licensing issues, meeting information, membership, network issues, payment problems, professional development/CPR, union, health insurance, regulation training, business training, emergency preparedness training, e-training, business practices and operations. ITA, coaching, mentoring, assessment, consultation, accreditation, program development, business management, quality improvement, Family Child Care Rating Scale: on site at Family Child Care provider homes

How many license-exempt providers received technical assistance?

N/A Please list type of technical assistance and provide number:

2405

Type of Technical Assistance:

Legally-exempt training of trainers, legally-exempt training modules. ITA, modeling, inspections, coaching, mentoring, consultation, health & safety, equipment
In Legally Exempt Home

A4.2.6 Type of Financial Supports Provided and Number of Teachers/Providers

Receiving as of End of Last Federal Fiscal Year?

- Scholarships. How many teachers/providers received? 7649
- Reimbursement for Training Expenses. How many teachers/providers received?
- Loans. How many teachers/providers received?
- Wage supplements. How many teachers/providers received?
- Other.

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 2014, funds were distributed as follows:

N of Awards		Award Amt Issued	
(N=7,649)	%	(\$4,697,766)	%

CDA Assessment	729	10%	\$278,453	6%
CDA Training	1,433	19%	\$1,487,861	32%
College Credit	1,725	22%	\$1,660,946	35%
Credential Fee	59	.8%	\$42,775	1%
Individualized Training Program	9	.2%	\$973	0.2%
Non Credit Bearing	2,872	37%	\$911,330	19%
Non Credit Distance Learning	541	7%	\$21,756	.4%
Non Credit for Credential	205	3%	\$286,938	6%
Non Credit for Credential Distance Learning	76	1%	\$6,734	.4%

N/A

Describe:

Building Subsidy Systems that Increase Access to High Quality Care

In this section, Lead Agencies provide progress on their subsidy administration goals over the past year as of September 30.

A5.1 Progress on Overall Goals

Based on the goals described in the Lead Agency's CCDF Plan at Section 2.8, 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., established copayment policies that sustain income and sustain quality, or established eligibility policies that promote continuity of care). If applicable, describe any barriers to implementing your planned goals.

Goals #1:as described in FY 2014-2015 CCDF Plan:

Services to Children with Special Needs

Review policies and local directives related to services to children with special needs and to revise the existing administrative directive; this had been a goal in FFY 2012-13; however, due to competing priorities, OCFS was unable to meet this goal. Recognizing the need for early identification of children with special needs and the importance of providing appropriate care to meet the needs of children who are identified as having special needs, OCFS will review its policies and local directives related to this aspect of New York's subsidy program, with a goal of revising the existing administrative directive on prioritizing child care services to children with special needs.

Describe Progress - Include Examples and Numeric Targets where Possible:

OCFS has formed a workgroup to discuss what changes need to be made to the existing Special Needs policy. The work group consists of: legal advocates, child care councils, unions (CSEA & UFT), advocates for early childhood education, staff from not -for -profit child care centers, and pediatricians. Following an initial meeting, some research work has begun on the Special needs policy and a follow-up meeting has been scheduled for early January 2015.

Goals #2:as described in FY 2014-2015 CCDF Plan:

Subsidy Regulations and Policies

Complete an in-depth review of the state's child care subsidy regulations and policies, with the goal of finalizing the revisions by the end of 2013.

Describe Progress - Include Examples and Numeric Targets where Possible:

A review of the child care subsidy regulations has been completed and proposed changes to the child care subsidy regulations have been made. However, due to the new requirements included in the federal law that reauthorized the Child Care and Development Block Grant, the State has put on hold finalizing the proposed child care subsidy regulations until such time that the federal Office of Child Care issues guidance on implementation of the new requirements. At that point, we will cross walk our proposed regulations with the federal requirements to determine where changes need to be made to come into compliance with the new federal requirements.

Goals #3:as described in FY 2014-2015 CCDF Plan:

Program Integrity

Implement a technical solution to identify and rank risk indicators for potentially fraudulent activities by child care providers and/or recipients of child care assistance. In 2012, a Request for Information process was conducted and in the spring of 2013, the Information Technology (IT) vendor is expected to be selected to design and develop this technical solution with a goal that it will be operational in early 2014.

Describe Progress - Include Examples and Numeric Targets where Possible:

Development of this technical solution has been completed and the project is in the final stages of testing and integration. Piloting of the technical solution began in late 2014; statewide deployment is slated to begin in early 2015.