Child Care and Development Fund (CCDF) Plan

For

State/Territory: **New York State**

FFY 2014-2015

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2013 – 9/30/2015. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

For purposes of simplicity and clarity, the specific provisions printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Form ACF-118 Approved OMB Number 0970-0114 expires 05/31/2016

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PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

Name of Lead Agency: *NYS Office of Children and Family Services*
Address of Lead Agency: *52 Washington St., Rensselaer, NY 12144*
Name and Title of the Lead Agency's Chief Executive Officer: *Gladys Carrión, Esq., Commissioner*
Phone Number: *(518) 474-6666*
Fax Number: *(518) 474-9617*
E-Mail Address: *Info@ocfs.ny.gov*
Web Address for Lead Agency (if any): *ocfs.ny.gov*

1.1.2. Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c)(1))

a) **Contact Information for CCDF Administrator:**
Name of CCDF Administrator: *Janice M. Molnar, Ph.D.*
Title of CCDF Administrator: *Deputy Commissioner, Division of Child Care Services*
Address of CCDF Administrator: *52 Washington Street, Room 309S, Rensselaer, NY 12144*

Phone Number: *(518) 474-9454*
Fax Number: *(518) 474-9617*
E-Mail Address: *janice.molnar@ocfs.ny.gov*
Web Address for Lead Agency (if any): *ocfs.ny.gov*
Phone Number for CCDF program information (for the public) (if any): *1-800-345-KIDS*
Web Address for CCDF program (for the public) (if any): *http://www.ocfs.state.ny.us/main/childcare/*
Web address for CCDF program policy manual: (if any): *http://www.ocfs.state.ny.us/main/childcare/stateplan/*
Web address for CCDF program administrative rules: (if any): *http://www.ocfs.state.ny.us/main/policies/external/*

b) Contact Information for CCDF Co-Administrator (if applicable):
Name of CCDF Co-Administrator: _____
Title of CCDF Co-Administrator: _____
Address of CCDF Co-Administrator: _____
Phone Number: _____
Fax Number: _____
E-Mail Address: _____
Description of the role of the Co-Administrator: _____

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2014 – FY 2015 plan period? The Lead Agency estimates that the following amounts will be available for child care services and related activities during the one-year period from October 1, 2013 through September 30, 2014. (§98.13(a)).

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): *$299M*
Federal TANF Transfer to CCDF: *$382M*
Direct Federal TANF Spending on Child Care: *$0*
State CCDF Maintenance-of-Effort Funds: *$102M*
State Matching Funds: *$96M*

Reminder – Lead Agencies are reminded that not more than five percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2.Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark ☐ N/A here.

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

☒ Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

If checked, identify source of funds: *State General Funds and Local District funds*

If known, identify the estimated amount of public funds the Lead Agency will receive: *$228M*

☐ Private donated funds to meet the CCDF Matching Funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

If checked, are those funds:

☐ donated directly to the State?

☐ donated to a separate entity(ies) designated to receive private donated funds?

If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact, and type: _____

If known, identify the estimated amount of private donated funds the Lead Agency will receive: $_____

☐ State expenditures for pre-k programs to meet the CCDF Matching Funds requirement. If checked,

Provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%): _____

If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services: _____

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: $_____

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____

☐ State expenditures for pre-k programs to meet the CCDF Maintenance of Effort (MOE) requirements. If checked,

☐ The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1).

Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%): _____

If percentage is more than 10% of the MOE requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care: _____

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: $_____

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015. Note: Funding estimate is limited to FY 2014. In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Infant/Toddler Targeted Funds *$4,884,454*	*The Infant/toddler initiative provides infant/toddler services throughout New York State. Services provided include: enhanced technical assistance to child care providers on best practices in serving infants and toddlers; supporting providers as they develop new infant/toddler care; obtaining specialized training in serving this population, including the Infant/Toddler certificate; disseminating information on best practices to the provider community; serving as a resource to regional staff in responding to issues related to infant/toddler care.*	*To address the unique and special needs of the infant/toddler population.*	*A child care delivery system that supports very young children's healthy physical, social, and emotional development.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
School-Age/Child Care Resource and Referral Targeted Funds *$824,831*	*Technical assistance to organizations considering the establishment of school-age child care programs; registration and monitoring of these programs; targeted work with family child care providers that elect to take advantage of a special provision in law to expand their capacity by two additional slots if these slots are used exclusively for school-age children.*	*Support programs serving school-age children regardless of modality of care.*	*Better-educated parent consumers.* *A child care delivery system that better aligns supply and demand.* *A child care delivery system that supports children's healthy physical, social, and emotional development.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Expansion Targeted Funds *$8,434,032*	*Low Income Family Information/Referral; Non-subsidy Eligible Family Information/Referral; Basic Technical Assistance to Regulated Providers; Intensive Technical Assistance to Regulated Providers; Health Care Consultancy Services; Intensive Technical Assistance, Support and Incentives for Family-based child care, both regulated and informal.*	*Educating parents who contact the agency regarding early childhood services, technical assistance to child care providers and programs, expanding the number of family child care providers, developing and maintaining provider databases to determine service utilization and unmet needs for additional early childhood services, providing written materials and conducting outreach to the community and employers to encourage support of all child care services.*	*A child care delivery system that supports children's healthy physical, social, and emotional development.* *More responsive program monitoring that more effectively integrates the provision of technical assistance with enforcement of child care regulations.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089*	*Training*	*Ongoing training activities for providers including: health and safety, videoconference training, educational incentive program, management training for child care center directors, medication administration training, training in first aid and CPR. Ongoing training for regulators including: child care subsidy training, regulator institutes, workshops for regulators, distance-learning courses.*	*A child care delivery system that supports children's healthy physical, social, and emotional development.* *More responsive program monitoring that more effectively integrates the provision of technical assistance with enforcement of child care regulations.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*MOUs with State Agencies*	*OCFS funds help enable the NYS Office of Court Administration, to provide access to child care services to individuals involved in court proceedings.*	*A child care subsidy system that promotes access to child care by populations who might otherwise not have access.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*Licensing/Registration of Child Care Programs and Providers (by State staff)*	*OCFS has seven regional offices that oversee the licensing and registration of child care providers and the issuing of licenses. These regional offices function to protect the health and safety of children by verifying that child care providers comply with certain minimum standards established by New York State's regulations (e.g., safety, sanitation, nutrition, prevention of child abuse and maltreatment). They are responsible for the licensing of all group family home providers*	*Child care programs that are in compliance with regulations promulgated to protect the health and safety of children in child care.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*Licensing/Registration of Child Care Programs and Providers (by State staff) (continued)*	*statewide and all child care centers in NYS except those in New York City, and are directly responsible for the registration services for family child care and school-age child care programs in 20 counties. These regional offices also monitor the contracted registration services in the remaining counties for family child care and school-age child care programs.*	

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*Registration of Child Care Providers (sub-contracted out)*	*OCFS has 38 Registration agencies. There are 35 Memoranda of Understanding (MOUs) with local social services districts. Of these 35 MOUs, 33 contain subcontracts to child care resource and referral agencies (CCR&Rs) for performance of the districts' registration functions including verification that registered providers maintain minimum standards established by OCFS' regulations; the remaining two social services districts directly provide the registration services*	*Child care programs that are in compliance with regulations promulgated to protect the health and safety of children in child care.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*Registration of Child Care Providers (sub-contracted out)(continued)*	*themselves. Additionally, OCFS contracts directly with three registrars. OCFS regional office staff monitor these contracted registration services.*	

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*Fingerprinting*	*Digital fingerprints are taken of all child care program staff and volunteers, and of non-provider residents (18 years of age or older) of home-based child care programs, and sent to the NYS Division of Criminal Justice Services (DCJS), which checks the criminal background of the person and sends the relevant information to OCFS for review and determination of the person's suitability to be around children.*	*Prevent adults who might jeopardize children's safety from caring for children.*

Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*Fingerprinting (continued)*	*In addition, OCFS is notified whenever a fingerprinted individual is arrested for any crime after his or her initial background check.*	
Quality Funds (not including Targeted Funds) *$87,378,089 (continued)*	*NYC Legally Exempt Enrollment*	*OCFS contracts with legally-exempt caregiver enrollment agencies to enroll legally-exempt child care providers who care for children receiving a child care subsidy. Legally-Exempt enrollment is the process whereby informal providers of child care services agree to abide by a set of basic regulatory health and safety guidelines.*	*Informal care programs that are in compliance with basic health and safety provisions.*

1.2.4 Will the Lead Agency distribute quality funds to counties or local entities? Note: This question is to obtain information on whether the Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level or if funds are distributed to local entities

Does the State maintain decisions at the State level, or are funds distributed to locals that have some decisions on how funds are spent.

- ☒ No, the Lead Agency will not distribute all quality funds directly to local entities
- ☐ Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities _____
- ☐ Yes, all quality funds will be distributed to local entities
- ☐ Other. Describe.

1.3. CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.
The Office of Children and Family Services meets the fiscal reporting requirements of 45CFR98.67 by the utilization of the New York State Statewide Financial Systems (SFS)(GAAP Compliant) as the system of record for reporting financial transactions. SFS includes unique appropriations, segregations and budgets established under the direction of OCFS in order to identify the CCDF Mandatory, Matching and Discretionary funding sources and expenditures at a major level within the fiscal reporting format for the Child Care funds. Under these major-level accounts in the SFS, program codes have also been established to provide more detailed information that enables reporting of funding and expenditures under the ACF-696 required categories such as direct services, non-direct services, quality improvement, targeted funds and child care administration.

The financial reporting process includes having experienced staff in the OCFS Bureau of Financial Operations and the Bureau of Budget Management who are aware of the periods of obligation and liquidation and the availability of CCDF funds as well as reporting requirements and deadlines, and these staff have clearly defined responsibilities in the reporting of this information. These Bureau staff also review each

other's work before the reports are finalized, and the reports undergo a review by supervisory staff as well.

Each year, the OCFS CCDF program is subject to a Single State Audit performed by an independent auditor reviewing OCFS compliance with the pertinent federal regulations. This review includes an evaluation of internal controls. In addition, OCFS performs its own annual assessment of internal controls as prescribed in the New York State Internal Control Act. The assessment is overseen by the NYS Division of the Budget. The results of these CCDF audits and reviews, as well as audits and reviews of other federal programs, are considered by OCFS managers when assessing the reporting process, which may be updated as necessary.

Extensive segregation of duties exists for the fiscal management of the CCDF program. Various agencies are involved, including the OCFS Division of Child Care Services, OCFS Bureau of Budget Management, OCFS Bureau of Financial Operations, the NYS Office of the State Comptroller, and the NYS Division of the Budget. Federal and State rules, regulations and requirements are shared with program personnel and fiscal staff. Program managers and staff understand and have identified key compliance objectives.

OCFS has established an official written policy outlining:

- *Responsibilities for determining required amounts or limits for matching, level of effort, or earmarking.*
- *Allowable costs that may be claimed for matching, level of effort, or earmarking.*
- *Methods of accounting for and documenting amounts used in order to calculate amounts claimed for matching, level of effort, or earmarking.*

OCFS has established an organizational structure that provides for the identification of risks of noncompliance:

- *Key managers have been given responsibility to identify and communicate changes.*
- *Employees who require close supervision (e.g. inexperienced) are identified.*
- *Management has assessed complex operations, programs, or projects and established procedures to identify and address areas of risk of noncompliance.*
- *Management is aware of the results of monitoring, audits, and reviews and considers related risk of noncompliance.*
- *Processes are established to implement changes in program objectives and procedures.*

Reports are available that will show the expenditures allocable to Federal funds and those allocable to non-Federal funds. These internal reports are then used to create reports that will be submitted to the Federal oversight agency.

Various means of communication exist between OCFS and its sub-recipients, including memos, training sessions, and informal means such as emails and telephone conversations. Management meets regularly with staff, and periodically with sub-recipients. OTDA Bureau of Financial Services personnel provide fiscal training to local districts and maintain a Technical Assistance Help Line, which can be called with any

questions from the local districts. Also, meetings are held with districts, as appropriate, to provide fiscal updates or introduce changes in requirements or system design.

1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements (98.11 (a) (3))

Definition: A sub-recipient (including a sub-contractor and/or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor** (http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

Child Care Subsidy Program

The New York State Child Care Block Grant (NYSCCBG) subsidy program is supervised by the Office of Children and Family Services (OCFS) and is administered primarily by social services districts. In addition, OCFS maintains a Memorandum of Understanding (MOU) with the State University of New York and the City University of New York to subsidize child care services for low-income students enrolled in either of these two higher education systems. Further, through an MOU with the New York State Department of Agriculture and Markets, funds are provided to a network of child care agencies that serve the children of migrant workers and other farm workers. These entities determine eligibility, assist parents in locating care, and make the child care provider payments.

The financial and programmatic requirements of NYSCCBG are specified in Social Services Law and in OCFS regulations and policy issuances. These have been developed and approved by multiple offices within OCFS, including legal counsel, so that they are in compliance with federal and State requirements. Note that a social services district may request a waiver of any non-statutory provision of OCFS requirements. The waiver must be described in the social services district's Child and Family Services Plan and approved by OCFS prior to implementation. Program requirements and updates are sent to the districts and MOU organizations and are available on the OCFS intranet site. OCFS offers regional training on State and federal requirements to staff administering the child care subsidy program. Typically, six training sessions are offered annually throughout the State. Training manuals are provided to attendees and are also available through the Internet.

Social services districts and the organizations that have entered into an MOU with OCFS are responsible for establishing procedures so that requirements under the child care subsidy program are met and funds are expended for appropriate and allowable

activities. Each social services district must submit for approval to OCFS a Child and Family Services Plan that details key requirements on how it will operate its child care subsidy program, in addition to other services and programs. In its Plan, the district must also provide assurances that it will administer its child care subsidy program in compliance with State and federal requirements. The MOU details how funds for the child care subsidy program are to be spent and the types of activities that are allowable. In an effort to keep government operations transparent to the public, each social services district's Child and Family Services Plan is available on the Internet.

The OCFS Office of Audit and Quality Control (AQC) conducts comprehensive on-site program reviews of the child care subsidy programs in social services districts to monitor compliance with appropriate regulations, rules and guidelines. These program reviews often include audit procedures designed to detect fraudulent activity involving parents and/or child care providers. Currently, there are program reviews in process in three districts. AQC uses the 2012 revised "Child Care Subsidy Audits Combined Audit Program/Protocol for Local Social Service Districts (Excluding NYC)" as a standardized guideline for each review conducted of a local district. (Similar audit protocols are used for audits in New York City.) AQC selects a sample of child specific payments made to child care providers during a recent month, using an electronic version of the Benefit and Issuance Control System (BICS) Regular Composite Roll. The audit team reviews the composite data and selects the child-specific sample either randomly or based on one or more risk characteristics. The sample size may vary depending on the specific goals of the audit and the size and variability of the district. A typical sample size has been 25 non-PA (income-eligible) children. In addition, if the local social services district gives the parent a choice of whether to receive payments directly, the sample should include some case files of clients who received payments directly from the local social services district.

Upon completion of the on-site audit, preliminary findings are prepared and are documented by audit workpapers. Proposed findings are forwarded to supervisors of the audit team. After the proposed findings have been shared with supervisory personnel, an exit conference is scheduled with the local social services district. At the exit conference, proposed findings are communicated to the local district. A draft audit report is issued and the local social services district has 30 days to respond with action plans. Thirty days after the local social services district response is received, a final report is issued.

OCFS has established a process for a child care subsidy applicant or recipient who disagrees with a decision taken on his or her case by a social services district to seek a review by an independent agency. An individual may request a Fair Hearing, which provides him or her with an opportunity to tell an Administrative Law Judge from the New York State Office of Temporary and Disability Assistance why he or she thinks that the decision was wrong. The Administrative Law Judge will issue a written decision that will state whether the social services district decision is right or wrong. The written decision may order the social services district to correct the case and/or remedy its procedures. This process provides another mechanism for the State to monitor district compliance with program requirements.

The Welfare Management System (WMS) is an automated system for eligibility and authorization for social services used statewide (with the exception of the Administration for Children Services child care subsidy program in New York City). WMS calculates the family's annual income and determines both the financial eligibility of the family and the family share of the cost of child care services. This automated process eliminates manual arithmetic errors on the part of the social services district. WMS provides edits, so that families whose incomes exceed financial eligibility levels are not authorized to receive child care benefits, and a clearance of individuals so that duplicate benefits are not authorized.

Additionally, OCFS uses the data submitted by a social services district or by an organization with an MOU for the sample cases for the ACF-801 federal reporting as an opportunity to monitor determinations of eligibility and payment. The ACF-801 forms are reviewed by OCFS for accuracy, with special attention given to seeing the whether amounts of income reported, the amounts of family share, and the payments to providers are appropriate. Questionable data is brought to the attention of the responsible entity for resolution and corrective action.

Finally, OCFS has deployed the Child Care Time and Attendance (CCTA) system, an automated time and attendance payment system, in social services districts outside of New York City. The objectives of the system include:

- *improving the timeliness and accuracy of payments*
- *increasing fiscal accountability, including reduction of improper payments and fraud prevention and detection*
- *lessening the burden of manual processes on districts and providers*
- *improving the recruitment and retention of child care providers.*

Currently, there are approximately 4,400 child care providers registered to use CCTA, with approximately $240 million in child care subsidies being paid to child care providers through CCTA. Eighty-six percent of the social services districts are using CCTA to track attendance to calculate payments to child care providers. OCFS expects 100 percent of the social services districts to be using CCTA during FFY 2014 - 2015.

Each social services district submits claims to the State on a monthly basis through the Automated Claim System. The Office of Temporary and Disability Assistance monitors claims against allocations and prepares settlements based on the available funds. The settlements are entered into the Statewide Financial System (SFS) based on program code, fiscal year program service, and project number. The SFS generates payments to the social services districts.

Quality Activities

Child care resource and referral agencies (CCR&Rs) play a major role in enhancing the quality of child care delivered in New York State. CCR&Rs, in partnership with OCFS, remain an integral part of NYS's child care infrastructure and are key to the success of quality improvement activities .OCFS currently contracts with 32 CCR&Rs (which, in New York City, includes one lead CCR&R with four CCR&R subcontracts) that serve 57 counties and the five boroughs of New York City. The CCR&Rs supply vital child care services to parents, providers, employers, and communities across New York State. The CCR&R network also operates seven regional Infant/Toddler Technical Assistance Resource Centers that provide support to improve the quality of services in Infant and Toddler settings. These Centers have developed a pool of trained Infant/Toddler Specialists with experience in conducting program assessments and using them to develop quality improvement plans. The Infant and Toddler services are measured and evaluated through the use of milestones incorporated into the contracts with OCFS. OCFS, in partnership with the CCR&Rs, developed a performance-based contract to achieve greater accountability of the CCR&Rs' publicly-funded functions. The contract includes performance standards for mandated services identified as "milestones." The CCR&R milestones pertain to information and referral services, technical assistance to child care providers and programs, efforts to expand the number of family child care providers, developing and maintaining provider databases to determine service utilization and unmet needs for additional early childhood services, and providing written materials and conducting outreach to the community and employers to encourage support of all child care services. The contract milestones have associated unit costs that are based on a functional cost analysis of CCR&R services. On a quarterly basis, CCR&Rs report the milestone services they have provided. OCFS reviews supporting documentation and pays for services, as appropriate. On-site monitoring reviews also are completed annually.

Professional development is the cornerstone of OCFS' strategy for improving the quality of child care in New York State. An MOU with the State University of New York (SUNY) supports an extensive array of professional development activities geared towards providers and inspectors (both licensors and registrars). Each year, OCFS approves a jointly-developed work plan. There is ongoing monitoring of SUNY's work by OCFS regional managers (who get feedback from licensors and supervisors), home office staff (who sit in on sessions offered by SUNY), and by staff from OCFS' Bureau of Training (which is the OCFS liaison with SUNY). These on-going monitoring efforts help improve the effectiveness of the trainings so that training participants become competent and skilled child care professionals.

In addition, an MOU with the City University of New York (CUNY) supports the development of a comprehensive workforce registry for early childhood and school-age professionals, including program staff as well as trainers and training organizations. An annually developed work plan guides the work, which is carried out by CUNY's Early Childhood Professional Development Institute (PDI). OCFS' Division of Child Care Services and Bureau of Training conduct monthly update meetings with PDI staff, which provide the basis of ongoing monitoring, and is supplemented by occasional site visits to PDI offices.

OTHER: Registration

OCFS has seven regional offices that oversee the regulation of child care providers, including the issuing of licenses and the registration of providers. These regional offices function to protect the health and safety of children by verifying that child care providers comply with certain minimum standards established by OCFS' regulations (e.g., safety, sanitation, nutrition, prevention of child abuse and maltreatment). They are responsible for the licensing of all child care centers and group family home providers statewide (except those in New York City), and are directly responsible for the registration services for family child care and school-age child care programs in 20 counties. The regional offices also monitor the contracted registration services in the remaining counties for family child care and school-age child care programs.

OCFS has 38 Registration agencies. There are 35 MOUs with local social services districts. Of these 35 MOUs, 33 contain subcontracts with CCR&Rs for performance of the districts' registration functions; the remaining two social services districts directly provide the registration services themselves. Additionally, OCFS contracts directly with three registrars: the New York City Department of Health & Mental Hygiene; the Child Care Council, Inc. located in Monroe County; and the Child Care Coalition of the Niagara Frontier, Inc., d.b.a. Child Care Network, located in Erie County. These MOUs and contracts for registration services are performance-based. There are indicators which, taken together, reflect the accepted standards for all of the registration and inspection work. OCFS uses these measures for accountability and oversight. On a quarterly basis, OCFS assesses the performance of registrars on activities that include: conducting all required inspections, investigating and tracking complaints, and performing background checks and safety assessments. Monitoring also includes quarterly on-site visits conducted by the responsible OCFS Division of Child Care Services regional office, to review case files.

OTHER: Legally-exempt Enrollment

OCFS has contracted with 32 legally-exempt caregiver enrollment agencies to enroll legally-exempt child care providers who care for children receiving a child care subsidy. Thirty-one of them are CCR&Rs. The remaining agency is the Women's Housing and Economic Development Corporation (WHEDCo), which provides legally-exempt enrollment services in New York City. The contracts are performance-based. On a quarterly basis, OCFS assesses the performance of the enrollment agencies and whether performance milestones are met. In addition, OCFS conducts site visits on an annual basis to monitor the contracts.

OTHER: Office of Court Administration Children's Centers

OCFS has a contractual agreement with The Unified Court System of the State of New York, in collaboration with the Permanent Judicial Commission on Justice for Children. The funds are used to support start-up and program enhancement costs for the statewide system of Children's Centers. The Children's Centers are "drop-in" settings established to provide a separate, safe, and supervised environment for children who must be in court in connection with matters involving them or their caregivers. OCA submits annual program reports of accomplishments for that year. Subsequently, an amendment with updated program and fiscal plans is submitted for the upcoming term.

OTHER: Facilitated Enrollment
Beginning in 2002, the New York State Legislature targeted some of the State's TANF funding for demonstration projects created to increase access to, and improve the effectiveness of, the child care subsidy program for low-income working families. Funds have been re-appropriated by the Legislature annually. The two major strategies that these subsidy demonstration projects have employed are: streamlining the enrollment process and increasing financial eligibility levels (up to 275 percent of the poverty guidelines).

The child care subsidy facilitated enrollment demonstration projects include:

- *One demonstration project in New York City. The targeted areas are the Bronx, Brooklyn, the Liberty Zone, and Queens. The Consortium for Worker Education is the agency designated to administer the project.*
- *One demonstration project in Monroe County (including the city of Rochester), was administered by The Children's Institute through December 31, 2012. Beginning with SFY 2013-14, the New York AFL-CIO Workforce Development Institute administers the project.*
- *One demonstration project in the Capital Region and Oneida County, which provides facilitated enrollment services to families in the counties of Albany, Oneida, Rensselaer, and Schenectady. The New York State AFL-CIO Workforce Development Institute administers the project.*

The Office of Temporary and Disability Assistance (OTDA) receives claims submitted by social services districts for the facilitated enrollment projects and shares this claims information with OCFS. OCFS compares the claims against allocations developed by the administrator of the projects and authorizes OTDA to make payments based on the available funds. The child care subsidy facilitated enrollment demonstration projects are required to submit program reports and an annual evaluation to both the NYS Legislature and OCFS.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

Type of Activity	**Identify Program Violations**	**Identify Administrative Error**
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid)	☒	☐
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	☐	☐

Type of Activity	Identify Program Violations	Identify Administrative Error
Run system reports that flag errors (include types)	☒	☐
Review of attendance or billing records	☒	☒
Audit provider records	☒	☒
Conduct quality control or quality assurance reviews	☒	☒
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	☒	☒
Conduct supervisory staff reviews	☐	☐
Conduct data mining to identify trends	☒	☐
Train staff on policy and/or audits	☒	☒
Other. Describe: *Child Care Subsidy Fraud Prevention and Detection Incentive Program; Adopted Child Care Subsidy Fraud Regulations*	☒	☒
None	☐	☐

For any option the Lead Agency checked in the chart above other than none, please describe:

- *Local social services districts compare child care billing against the CACFP program inspection forms and review child attendance forms against the parent's work schedule.*
- *Through a competitive bid process, OCFS selected a vendor to develop and deploy an automated child care time and attendance (CCTA) system in social services districts outside of New York City. Between January and September 2011, CCTA was deployed in all of the social services districts outside the City of New York. As of March 2013, approximately 4,400 child care providers are registered to use CCTA, which is designed to improve fiscal accountability, including a reduction in improper payments and the prevention and detection of fraud. CCTA provides local social services districts with "red flag reports," which may indicate potential fraud. These reports inform local social services districts when a child has perfect attendance and when a provider has changed the parent's electronic check-in time or check-out time.*
- *CCTA also runs a check against the Child Care Facility System (CCFS), New York State's regulatory system of record, when eligibility is determined and when payment is made in order to verify that payment is being made to an eligible provider. In 2012, OCFS began a biometric pilot program within the framework of CCTA to verify the identity of a parent or a person the parent authorizes to pick-up or drop-off the child(ren), using a digital scan of his/her finger. With the biometric scan, identification is immediate without the need to type in usernames or passwords. Local social services districts have a front-end detection system to help identify which child care subsidy applications suggest a higher risk for fraudulent or erroneous child care subsidy payment. Local social services districts also take a sample of their caseloads and seek verification of an applicant or recipient's continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.*
- *The OCFS Office of Audit and Quality Control (AQC) conducts comprehensive on-site program reviews of the child care subsidy programs in social services districts to*

monitor compliance with appropriate regulations, rules and guidelines, including review of attendance records.

- *OCFS conducts data mining to identify provider fraud, using the CCTA, CCFS, and Welfare Reporting and Tracking System (a data warehouse that stores case eligibility and payment data) databases. OCFS has been exploring options to use 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, OCFS initiated a process to implement this and it is expected to be operational in early 2014.*
- *In Calendar Year 2012, a two-day child care subsidy training was offered three times regionally. The training covers the application process; programmatic and income requirements; verification, redetermination and payment processing; handling child care overpayments; and parent and provider fraud.*
- *As part of its fraud prevention and detection initiative, OCFS set aside CCDF funds to allocate to local social services districts through a competitive bid in order to provide districts with resources for detecting, prosecuting and preventing child care subsidy fraud. These mini-grants were allocated to 20 districts for a 12-month period with a start date of April 1, 2012.*
- *OCFS revised the child care subsidy regulations to provide local social services districts with more authority to stop payments to child care providers, where appropriate, and to allow them to initiate enforcement actions against child care providers when they are found to be engaging in fraudulent activities.*

If the Lead Agency checked none, please describe what measures the Lead Agency has or plans to put in place to address program integrity:_____

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error? Check and describe in the chart below which strategies, if any, the Lead Agency will use for each of the following areas: Unintentional program violations (UPV), intentional program violations (IPV) and/or fraud, and administrative error as defined in your State/Territory. **The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud (98.60(i)).**

Strategy	**UPV**	**IPV and/or Fraud**	**Administrative Error**
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount	☐	☐	☐
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: *Social services districts may coordinate with law enforcement and local district attorney offices to investigate and/or prosecute cases for fraud.*	☐	☒	☐
Recover through repayment plans.	☒	☒	☒

Describe: *Social services districts may recover overpayment made to the parent by a reduction in the district's payment to the provider and an increase in the parent's family share. When a child care overpayment occurs with a Temporary Assistance (TA) recipient, the overpayment can be recouped by imposing a family share on the TA recipient.*			
Reduce payments in subsequent months. Describe: *Social services districts may recover overpayment made to the parent by a reduction in the district's payment to the provider and an increase in the parent's family share.*	☒	☒	☒
Recover through State/Territory tax intercepts	☐	☐	☐
Recover through other means. Describe: *Social services districts may recover through civil suits.*	☒	☒	☒
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	☐	☐	☐
Other. Describe _____	☐	☐	☐
None	☐	☐	☐

1.3.5. What type of sanction, if any, will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

☐ None

☒ Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified. *Clients have a right to request a fair hearing from an Administrative Law Judge from the New York State Office of Temporary and Disability Assistance.*

☒ Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified. *A provider found in a final administrative review report to have submitted inaccurate claims may request a formal review by the social services district.*

☒ Prosecute criminally

☐ Other. Describe.

1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark ☐ N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
1. Missing or insufficient information	*There were ten improper authorizations due to missing or insufficient documentation. In eight of those ten instances, one local district could not locate a case file or could not locate the relevant portion of the file relevant to the period under review.*	*Findings have been discussed with the local district that had the most problems in this area; discussions and ongoing monitoring will continue regarding this issue.*	*Ongoing*
2. Excessive number of days/hours of child care authorized when compared to work schedule	*This type of error was primarily caused by improper determinations of the number of hours of child care needed in two-parent households. In cases with this type of error, eligibility workers did not fully consider the availability of the second parent to provide child care. Another cause of these errors was a lack of emphasis on specific days and hours of qualifying activity in one local district with a significant number of cases in the sample.*	*Letters will be sent to those local districts where this type of error occurred, identifying the findings and instructing them to take the appropriate corrective action.*	*Ongoing*
3. Family share calculation errors	*Three districts each had one family share calculation error, one district had two errors, and one district had three errors. The causes of these errors included the failure to apply a family share fee to a transitional child care case, transposition of information, the use of incorrect household size, incorrect proration of the fee, and failure to apply the fee to the authorization/payment system.*	*Letters will be sent to those local districts where this type of error occurred, identifying the findings and instructing them to take the appropriate corrective action.*	*Ongoing*
		In all cases, an Informational Letter was sent to all districts on March 29, 2013,	*Ongoing*

		identifying the findings of the Improper Authorization for Payment project. Self-assessment instruments will be distributed to districts to identify problems so that they can implement corrective actions. OCFS will continue to sponsor training for OCFS and local district employees who work with the child care subsidy program. *As of March 2013, OCFS has implemented the Child Care Time and Attendance (CCTA) system in all districts other than New York City. CCTA provides family share fee-determination software that should greatly decrease the frequency of fee determination errors caused by calculation errors, misapplication of district standard deductions and the size of child care family unit. The software also provides an excellent audit trail.*	

1.4. Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Definition*: Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments. (§§98.12(b), 98.14(a)(1))

1.4.1. Identify and describe in the table below who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
☒	**Representatives of general purpose local government (required)** This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.	*On February 6, 2013, OCFS issued an Informational Letter (INF) policy, 13-OCFS-INF-02 Child Care and Development Fund Plan Guidelines, in order to give local departments of social services an opportunity to provide input on the New York State CCDF Plan for federal fiscal year 2014-2015 (see* http://ocfs.state.nyenet/policies/external *for this and other OCFS policies). The INF provided access to the September CCDF Plan Pre-Print, and invited feedback. On April 3, 2013, local districts were sent a link to the draft Plan and invited to testify at one of the State's three public hearings (April 23 in Albany, April 26 in New York City, and April 30 in Rochester), and/or to submit written comments directly to OCFS.*
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.		
☐	State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	
☐	State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special	

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	needs	
☐	State/Territory agency responsible for licensing (if separate from the Lead Agency)	
☒	State/Territory agency with the Head Start Collaboration grant	*OCFS has had a long history of working in partnership with the Head Start Collaboration Project which is administered by the Council on Children and Families (the Council). The Deputy Director of the Council, who was formerly the Head Start Collaboration Director, was an active contributor to several sections of this Plan.*
☒	Statewide Advisory Council authorized by the Head Start Act	*The membership of New York State's Early Childhood Advisory Council (ECAC), which is administered by the New York State Council on Children and Families, includes representatives of the State agencies that most directly impact the lives of children and families, including (in addition to the Lead Agency), the State Education Department, the Department of Health, the Office of Mental Health, the Office of Temporary and Disability Assistance; as well as representatives from many important stakeholder groups, including child care resource and referral agencies, the unions representing home-based providers, and others. Several ECAC members were actively involved in writing portions of this Plan (especially Parts 3.2 - 3.4) or otherwise contributing content and/or reviewing draft sections. In addition, at the ECAC meeting of March 7, 2013, members were informed about the status of Plan development and encouraged to review the Plan, attend one of the three public hearings (April 23 in Albany, April 26 in New York City, and April 30 in Rochester), and submit comments.*
☐	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
☐	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
☐	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
☐	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	
☐	State/Territory agency responsible for child welfare	
☐	State/Territory liaison for military child care programs or other military child care representatives	
☐	State/Territory agency responsible for employment services/workforce development	
☒	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	*The lead agency for the TANF program, the New York State Office of Temporary and Disability Assistance, was consulted on strategies that will assist families receiving public assistance, choosing to receive child care in lieu of public assistance, and transitioning from public assistance.*
☒	Indian Tribes/Tribal Organizations ☐ N/A: No such entities exist within the boundaries of the State	*Key elements of the Plan were presented to a delegation of tribal nation representatives at a Tribal Consultation meeting on May 10, 2013. One outcome of that meeting was to commit to deepening communication between the tribal nations and OCFS about child care issues (as described in 1.5.1).*
☒	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	*On April 16, 2013, the Lead Agency presented an overview of the draft Plan to, and invited input from, members of the Steering Committee of the New York State Afterschool Network (NYSAN).*
☒	Provider groups, associations or labor organizations	*Two unions have been elected to represent home-based providers in New York State: the United Federation of Teachers (UFT) in New York City, and the Civil Services Employees Association (CSEA) in the rest of the state. OCFS and the two unions meet on a regular basis. On April 23,*

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
		2013, the Lead Agency presented an overview of the draft Plan, and invited input from participants via a videoconference involving providers in four sites across the State: Rensselaer, Rochester, NYC and Long Island
☐	Parent groups or organizations	
☒	Local community organizations (child care resource and referral, Red Cross)	*Convened by the Early Care and Learning Council, NYS' network of child care resource and referral agencies has monthly meetings. The Lead Agency presented an overview of the Plan to, and invited input from, participants at the May 8, 2013 meeting.*
☐	Other	

1.4.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description should include:

a) Date(s) of notice of public hearing: *March 14-21, 2013* **Reminder** - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing? *Ads were placed in the following newspapers:*
Buffalo News (3/17, 3/18); Albany Times Union (3/17, 3/18); Amsterdam News (NYC) (3/14, 3/21); New York Daily News (3/17, 3/18); Syracuse Post Standard (3/17, 3/19); El Diario (NYC) (3/17, 3/18); Rochester Democrat & Chronicle (3/17, 3/18); New York Nonprofit Press (April 2013 issue & daily e-newsletter 3/15- 4/23);
In addition, information about the hearings was e-mailed to the New York State network of child care resource and referral agencies, the State's 58 local social services districts, and other stakeholder groups. The Plan was posted to the OCFS website on April 1, 2013 (see http://www.ocfs.state.ny.us/main/CCDFStatePlan)

c) Date(s) of public hearing(s): *April 23, 2013; April 26, 2013; and April 30, 2013.* **Reminder** - Must be no earlier than nine months before effective date of Plan (October 1, 2013).

d) Hearing site(s):
April 23, 2013 *Rensselaer, NY*
April 26, 2013 *New York City*
April 30, 2013 *Rochester, NY*

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? *A draft of the Plan was placed on the OCFS website on April 1, 2013* (*see* http://www.ocfs.state.ny.us/main/CCDFStatePlan/).

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? *All comments were carefully*

reviewed. As appropriate and feasible, ideas and suggestions were integrated into New York's Plan.

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules. *The hearing notice was translated into Spanish and placed in El Diario, a Spanish-language New York City daily paper.*

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

> **Definition -** *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1)).

Note: Descriptions of how governments are organized for each State are provided at: http://www2.census.gov/govs/cog/all_ind_st_descr.pdf.

1.5.1. Identify and describe in the table below with whom the Lead Agency coordinates in the delivery of child care and early childhood and school-age services (§98.14(a)(1)).

Agency/Entity (check all that apply)		**Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services**	**Describe results expected from the coordination** Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☒	Representatives of general purpose local government **(required)** This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.	*For the purpose of administration of public assistance and care, including child care services, the State is divided into a single social services district for the five counties comprising the City of New York, and a social services district for each of the other counties in*	*OCFS expects that through coordination, the child care program administered by social services districts is in compliance with federal and State rules and policies; available funds are maximized to best meet local needs; families are provided with the tools to make informed choices of appropriate and quality*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		the State. OCFS regularly consults with the social services districts. For example, in addition to acting as a resource for questions or concerns, OCFS conducts presentations at twice yearly conferences sponsored by the New York Public Welfare Association (NYPWA) whose membership comprises local social services district commissioners and staff. At these sessions, it is not only the intent of OCFS to inform the commissioners of agency activities, federal and state program directives, and best practices in the field, but also to solicit reaction and response. Further, OCFS reaches out to an ad hoc group of commissioners and NYPWA staff in order to address local concerns and test potential new directives and initiatives. OCFS provides regional training sessions annually for social services districts on the child care subsidy program. Similarly to its coordination efforts with local social services departments through NYPWA, OCFS also meets at least annually	*child care; and quality child care programs are developed and maintained.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		with the New York Welfare Fraud Investigators Association (NYWFIA) which is the statewide membership organization for social services fraud investigators. OCFS shares information with local social services departments staff re: agency activities, federal and state program directives, and best practices in the field to solicit input on the various components of the OCFS child care subsidy program integrity initiative.	
☒	State/Territory agency responsible for public education (**required)** This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education;	*OCFS (which administers the Advantage After School Program) and the NY State Education Department (SED) (which administers the 21st Century Community Learning Centers) continue to meet quarterly through the New York State After School Network (NYSAN) to discuss ways to coordinate efforts among the two State agencies related to funding opportunities and federal and State requirements. Our collective goal is to reduce or eliminate duplication of efforts among the school-age child care programs in*	*OCFS expects that increased coordination with SED will streamline the efforts made by both State agencies, resulting in a reduction of duplication of reporting processes by school-age child care programs funded by both agencies. In addition, the meetings convened by NYSAN, which comprises members of both the public and private sector, provide opportunities to share pertinent information related to the field and improve the quality of child care programs.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		New York State. These meetings are facilitated by NYSAN (see below) and include private agencies and other public agencies as well. In fact, the two State agencies (OCFS and SED) now share staff responsibilities for the review and rating process of applications for funding in response to Requests For Proposals (RFP) issued by each respective State agency. For example, in 2011, OCFS staff reviewed SED's applications for the Extended School Day/School Violence Prevention Program RFP and in 2012, SED staff reviewed applications in response to OCFS' Advantage After School Program RFP.	
☒	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (**required**)	*As an active member of the New York State Afterschool Network (NYSAN), a public-private partnership of organizations throughout the state dedicated to increasing the quality and availability of after-school programs, OCFS staff participate on the Steering Committee, Executive Committee, Policy Committee and Capacity Building Committees. NYSAN*	*OCFS adopted the NYSAN Quality Self-Assessment (QSA) Tool, and required that it be used in all of the Advantage After School Programs beginning January 2011. This self-assessment tool provides an opportunity for program leaders and key staff, in collaboration with other stakeholders, to utilize a common set of standards to assess, plan, design, and execute strategies for ongoing program improvement. The NYSAN*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	**Describe results expected from the coordination** Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		facilitates connections among a broad range of state, regional, and local partners representing after-school program providers, youth, parents, public agencies, advocates, funders, evaluators, technical assistance and training providers, policymakers, businesses, researchers, and community leaders. Included in this partnership are both the SED 21st Century Community Learning Centers and the OCFS Advantage After School Program. NYSAN defines "afterschool" broadly to include all programs that provide support for young people's intellectual, social, emotional, and physical development outside the traditional school day, including programs that serve youth in kindergarten through 12th grade; take place in schools and in community-based settings; and occur both before and after school and during weekends, holidays, and summer breaks.	*QSA Tool (in English and four other languages) and the User's Guide can be accessed at http://www.nysan.org/section/document_library, or viewed at the interactive NYSAN QSA Tool User's Guide website at www.nysan.org/usersguide.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☒	State/Territory agency responsible for public health (**required**) This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health	*Obesity prevention measures in child care programs continue to be an important focus for OCFS. OCFS worked in collaboration with the Centers for Disease Control and Prevention, Division of Nutrition, Physical Activity, and Obesity and the NYS Department of Health to research best practices and the practicality of adding obesity prevention measures to its revised child care regulations. As a result of these combined efforts, OCFS was able to craft balanced regulatory requirements for providers that would also allow for parent choice. These proposed regulations include language re: requirements related to 1) types of drinks to be served in all types of care and 2) the meal plan served in center-based child care programs. OCFS would also like to see that children participate in physical activity every day and that television and other screen time activities be limited during the hours of program operation.*	*OCFS expects that should these proposed regulations become adopted, children participating in child care programs will be more physically active and within normal limits of weight resulting in a reduction in obesity and improved health and development.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	State/Territory agency responsible for public health **(required)** *continued.* This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health	*OCFS continues its membership on the Eat Well, Play Hard workgroup hosted by the NYS Department of Health.* *OCFS is a member of an interagency team addressing the social and emotional development needs of children in early care and education programs. One such program is called NY Project LAUNCH (Linking Actions for Unmet Needs in Children's Health), which is a grant program administered by the Substance Abuse and Mental Health Services Administration, within the U.S. Department of Health and Human Services. The program promotes the wellness of young children from birth to eight years of age by addressing the physical, emotional, social, cognitive, and behavioral aspects of their development. The project is a collaborative effort among OCFS, the NYS Council on Children and Families; the NYS Department of Health, the NYS Office of Mental Health, and several partner organizations in Westchester County.*	*The goal of NY Project LAUNCH is to integrate programs that provide a complete range of developmentally supportive services to families with young children in three targeted communities: Ossining, Port Chester, and southwest Yonkers. Health care, home visiting, parenting education, and early care and education programs are being expanded to locations where they were missing, strengthened where they existed, and integrated across disciplines to achieve the vision articulated in two State Plans: the Early Childhood Plan developed by an interagency team with the NYS Council on Children and Families as the lead; and the Children's Plan developed by an interagency team with the NYS Office of Mental Health as the lead.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		New York State has been awarded $4.25 million over five years (2009-2014) to help link health and mental health services for children in Westchester County. *OCFS is a member of the NYS Fetal Alcohol Spectrum Disorders Interagency Workgroup which focuses on four areas: Education and Awareness; Prevention and Prenatal Screening; Screening and Diagnosis; and Treatments and Interventions. Its purpose is to increase awareness and advance the effective prevention and treatment of Fetal Alcohol Spectrum Disorders (FASD) in New York State through interagency collaboration and coordination. In addition to working through interagency committees, each participating agency is empowered to examine its own policies, practices, regulations and laws. The Advisory Council is chaired by the designee of the Commissioner of Health and includes the following members:*	*It is expected that these coordination efforts will help significantly reduce or eliminate alcohol use during pregnancy and improve the lives of New Yorkers affected by prenatal alcohol exposure.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	State/Territory agency responsible for public health **(required)** *continued.* This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health	*Commissioners or their designees of the Office of Temporary and Disability Assistance (OTDA), the Department of Environmental Conservation (DEC), Homes and Community Renewal (HCR), and the Department of Labor (DOL), the Secretary of State, and the Superintendent of Insurance. In addition, the Advisory Council includes 15 public members appointed by the Governor, with at least one public member representative of each of the following: local government, community groups, labor unions, real estate industry, parents, educators, local housing authorities, child health advocates, environmental groups, professional medical organizations, and hospitals.*	
☒	State/Territory agency responsible for employment services / workforce development (**required**)	*OCFS collaborates with the Office of Temporary and Disability Assistance and the Department of Labor to develop child care services and programs that support working families, including the professional development and training of child care providers.*	*OCFS expects through such coordination that policies will be developed to improve the quality, availability, affordability, and accessibility of child care to assist families in the acceptance and retention of employment.*
☒	State/Territory agency responsible for providing Temporary Assistance for Needy	*OCFS continues to meet regularly with the lead*	*OCFS expects through coordination with OTDA that*

Agency/Entity (check all that apply)		**Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services**	**Describe results expected from the coordination** Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	Families (TANF) including local human service agencies(**required**)	*agency for the TANF program, the New York State Office of Temporary and Disability Assistance (OTDA), to discuss strategies that will assist families receiving public assistance with also receiving child care; with choosing to receive child care in lieu of public assistance, and with receiving child care while transitioning from public assistance.*	*local social services districts are provided with appropriate supports to assist low-income families to accept and maintain employment.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☒	Indian Tribes/Tribal Organizations **(required)** ☐ N/A: No such entities exist within the boundaries of the State	*Key elements of the Plan were presented to a delegation of tribal nation representatives at a Tribal Consultation meeting on May 10, 2013. The focus of these meetings, which occur twice/year, is child welfare, but one of the decisions made at the May 19th meeting was to include child care as a standing agenda item in future meetings.* *The OCFS regional offices interact regularly with tribal members – sometimes in a regulatory capacity, sometimes to help problem solve on other related issues and also to provide technical assistance. OCFS regulates two St Regis Mohawk tribal nation child care programs (one child care center serving infants and preschoolers, and one Head Start program serving preschoolers). As a sovereign nation, these programs do not require licensure by NYS OCFS; however, they have chosen to do so voluntarily. Both are located on the St. Regis reservation in Akwesasne in Franklin County.*	*There are several goals to collaboration with tribal nations: encouraging more tribal nations to invest in child care services that are regulated by the State of New York, increasing access to technical assistance and professional development activities, and liaising between the tribal nations and other entities, as appropriate and helpful. Our primary goal is to serve children and families that utilize tribal child care programs by doing all we can to help programs provide safe, high-quality services.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	Indian Tribes/Tribal Organizations **(required)** *(continued)* ☐ N/A: No such entities exist within the boundaries of the State	*OCFS also licenses and provides technical assistance to two child care programs operated by the Seneca Nation of Indians; and has been advising the Shinnecock Indian Nation, which is building a new child care center. As issues arise, OCFS regional office staff work directly with child care center administration and at times seek resources from the Buffalo Regional Office Native American Services liaison.*	
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery			

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☒	State/Territory agency with the Head Start Collaboration grant	*The Council on Children and Families (the Council), which serves to coordinate the state health, education and human services agencies, administers the Head Start Collaboration Project. The Council is housed with the Lead Agency and, as such, works very closely with the Division of Child Care Services. The Lead Agency and the Head Start Collaboration Project will continue their efforts to help Head Start families have access to child care subsidies to meet their need for child care during the non- Head Start portion of the day/year. They will also work together as members of the Early Childhood Advisory Council on the further development and implementation of QUALITYstarsNY and on the dissemination of the Early Learning Guidelines and the Core Body of Knowledge and efforts to develop and implement training on their use.*	*Expected outcomes of this collaboration include:* • *Better alignment of program services for children who are dually eligible for child care subsidies and Head Start* • *More closely integrated program models, as each draws upon the same NYS Early Learning Guidelines and Core Body of Knowledge.* • *More similar indicators of "quality," as increasing numbers of child care and Head Start programs participate in the state's QRIS, QUALITYstarsNY.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	State/Territory agency with the Head Start Collaboration grant *(continued)*	*In addition, the Head Start Collaboration Project is leading an initiative to strengthen transition from early childhood education programs, including child care, to school. The Project is working with the Lead Agency to effectively include child care in these efforts.* *The lead agency and the Head Start Collaboration Project are also working together to support improved nutrition, increased physical activity, reduced screen time, and the promotion of breastfeeding.* *They are also working together on the identification and treatment of children experiencing symptoms of Fetal Alcohol Spectrum Disorder.*	*Improve the health and well-being of children participating in Head Start.* *Identify children with FASD in order to refer them for needed treatments that will improve their health and development and improve their well-being.*
☐	State/Territory agency responsible for Race to the Top – Early Learning Challenge (RTT-ELC) ☒ N/A: State/Territory does not participate in RTT-ELC		
☒	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	*OCFS and the NYS Department of Health (DOH) are building an interface between the CACFP database and OCFS' Child Care Facility System (CCFS) in order to share data about child care providers who are*	*The primary goal of this collaboration is to detect fraud: CACFP benefit fraud as well as child care subsidy fraud. For example, knowing in real time when OCFS has closed a program or revoked or suspended a license gives the CACFP program the information it needs to*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		participants in CACFP. The two agencies, however, already share information. On a nightly basis, OCFS sends DOH an electronic copy of CCFS. DOH, in turn, continues to notify OCFS if, during a CACFP site visit, overcapacity violations are observed and if extremely poor conditions exist in the household. OCFS receives such information as a complaint and conducts an investigation. In addition, OCFS is notified of CACFP terminations/disqualifications, and, if warranted, treats them as a complaint and investigates. *CCR&R networks coordinate efforts with the Child and Adult Care Food program home visits to provide technical assistance for increasing the quality of care for these programs.* *As stated in the health section above, OCFS is proposing new regulations related to 1) types of drinks to be served in all types of care and 2) the meal plan served in child care*	*immediately discontinue benefits, thereby freeing up resources for others. Similarly, a CACFP termination/disqualification may signify a subsidy irregularity as well. In addition, OCFS benefits from information gathered during CACFP program site visits. Thus, a secondary goal is enhanced child care program oversight.* *OCFS expects that should these proposed regulations become adopted, children participating in child care programs will be more physically active and within normal limits of weight resulting in a reduction in obesity and improved health and development.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		centers. In addition, twice in the last two years, the NYS Department of Health and OCFS conducted video-conference training sessions for child care providers focused on children's nutritional and physical activity needs. The two agencies will continue to collaborate on training sessions with the same health focus in the next two years. There are also plans to conduct train-the-trainer sessions for Child Care Resource and Referral agency staff on how to keep physical activity fun and part of the everyday child care program schedule. A pilot of this training was held in December 2012.	
☒	State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	*The Early Intervention Coordinating Council (EICC) assists the New York State Department of Health with the administration of the Early Intervention Program and makes recommendations to the Department regarding appropriate services for infants and toddlers with disabilities and their families. The EICC is a 27-member advisory council established in Section 2553 of the Public Health Law. OCFS is a member of the*	*It is expected that the work of the EICC will improve the quality of child care and in turn improve outcomes for children, especially children with special needs. To accomplish this, it takes the input, energy, time and commitment by many parties from both the public and private sectors. The EICC is an all-inclusive advisory board aimed at coordinating efforts, building foundations, and instituting systems changes in order to improve outcomes for children with special needs.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		EICC along with the following public/private agency representatives: parent members, NYC Department of Health and Mental Hygiene, Legislative Representatives, Niagara County Department of Health, The Children's Health Fund , Applied Research and Policy Analysis, Cerebral Palsy Associations of New York State, Inc., Just Kids Early Childhood Learning Center, Center for Community Health, NYS Department of Health, Astor Services for Children and Families, Office of Mental Health, Bureau of Strategic Direction and Training, InterAgency Council of Mental Retardation and Developmental Disabilities Agencies, Inc., New York State Education Department, Office of Special Education, Just Kids Foundation, Sage Colleges, School of Health Sciences, NYS Office for Persons with Developmental Disabilities, Division of Service Delivery and Integrated Solutions, and the New York State Office of Alcoholism and Substance Abuse Services. The mission of	

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		the EICC is to identify and evaluate as early as possible those infants and toddlers whose healthy development is compromised and provide for appropriate intervention to improve child and family development. Meetings are held quarterly and subcommittee members meet more regularly.	
☒	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	*In collaboration with OCFS, the New York State Department of Health (DOH) has been awarded a federal grant to implement a New York State Maternal Infant and Early Childhood Home Visiting program. OCFS will use the funding to enhance and expand four existing Home Visiting programs. In addition, OCFS has explored the benefits to extending home visits to child care providers. Citing a few recent studies, the OCFS Office of Strategic Planning and Policy Development's Bureau of Research concluded that extending home visits to child care providers has the potential to play an important role in improving child care quality and safety. Therefore, OCFS is in the process of discussing*	*OCFS believes that increased collaboration between home visiting programs and child care programs will improve the quality of care provided by caregivers to children, increase the consistency of care between the parent and the caregiver, and improve communication and relationships between parents and caregivers. This grant will enable OCFS to serve additional families.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		various options available to support the extension of home visits to child care providers. Given the success and proven effectiveness of the home visits found in the Healthy Families New York Home Visiting Program Randomized Controlled Trial, OCFS is well positioned to move ahead in developing state-level collaborations between home visiting programs and child care providers, further supporting New York's commitment to investing in high quality early care and learning opportunities.	
☒	State/Territory agency responsible for child welfare	*The Division of Child Care Services is a partner in the parent-provider partnership entitled Preventing Child Abuse and Neglect (PCAN). PCAN engages the child care community in helping to reduce the risk of child abuse and neglect of infants and toddlers. PCAN supports child care professionals in using their natural relationships with parents to provide support, developmental guidance, and information. The project provides training for trainers, and a training curriculum to use with*	*Coordination with State leaders, PCAN trainers and the ECAC will help reduce duplication of services and also reduce incidents of child abuse and neglect, which in turn will help improve the healthy development and positive outcomes of children.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		early childhood educators, directors, and family child care home providers. OCFS used CCDF funds to support a recent train-the-trainer session that brought together over 40 PCAN trainers, plus trainers from the 2007 PCAN training, and others in New York who have been trained by ZERO TO THREE. These trainers met with the PCAN state leadership team, leaders from the Early Childhood Advisory Council and ZERO TO THREE to learn from each other and explore ways to incorporate these trainers in our future plans for training to support high quality early childhood and parenting support in New York State.	
☒	State/Territory liaison for military child care programs or other military child care representatives	*A Memorandum of Understanding (MOU) was signed between OCFS and the Navy (Mid-Atlantic Region) concerning the oversight of family day care programs that are dual licensed and operating outside the Saratoga, NY military base. The MOU is in effect until 2018.*	*The goal of the MOU is to coordinate services, such as training experiences, technical assistance, monitoring, complaint investigations, and enforcement actions. In addition, it is expected that the coordination between the two agencies will increase the number of family day care sites and child care slots available to Navy families.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☒	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	*Key elements of the Plan were presented to the NYSAN membership at a meeting on April 16, 2013.* *As described above, OCFS is an active member of NYSAN (New York State After School Network) which receives funds from the C. S. Mott Foundation for core network activities. A portion of the Mott Foundation core network grant has been used to fund activities related to the Early Care and Education (ECE) – Afterschool Linkages project which focused on the common impacts and benefits (e.g., academic, social/emotional, economic, support for families) of linking ECE with after-school programs, such that a high-quality continuum of care is created that promotes social, emotional, and cognitive development from birth onward, and supports children and families through developmental and structural transitions. This has involved determining how to coordinate ECE and after-school efforts across statewide initiatives (ranging from policy strategy to professional*	*For OCFS, along with NYSAN, involvement on the ECAC has the goal of increasing the quality of early learning settings, including school-age child care, leading to improved child well-being and readiness for school.* *The goals we expected to accomplish through the ECE – Afterschool Linkages Project include the following: develop a definition for a coordinated continuum of care system, including recommendations to guide work beyond the term of the pilot program; map the shared funding streams, policies, and practices across the ECE and after-school communities in New York State, identifying low- or no-cost efficiencies; plan a course of action for creating a statewide blueprint for a continuum of care system, focusing in particular on a work and sustainability plan that operationalizes and institutionalizes the ECE – after-school partnership; establish a clear, simple, yet systemic communication system to sustain the state team's efforts beyond the term of the pilot program; create an external communications strategy targeting various audiences that highlights the value and impact of linking ECE and after-school efforts; write and disseminate a joint NYSAN-sponsored Policy Brief that focuses on the links*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21 *(continued)*	*development, from quality assurance to diverse funding and delivery systems).* *In New York, the Council on Children and Families serves as the lead agency for both the Early Childhood Advisory Council (ECAC) and the BUILD Initiative. Since 2009 when New York became a BUILD State, BUILD funding and technical assistance has been used to support the ECAC and was the sole source of financial support prior to the receipt of federal funds. Currently, BUILD technical assistance has focused on various aspects of system-building, including developing and implementing strategies to ensure that our programs and initiative, including QUALITYstarsNY, support cultural competency; engaging*	*between ECE and afterschool. These goals were attained during the past year and have set the stage for years to come by sustaining the team's efforts to focus on the delivery of quality early care and education and after-school programs for all children through the communication strategy, development of Policy Briefs, and the creation of a blueprint for a continuum of care system.* *OCSF expects these coordination efforts to help align assessments and guidelines in early care and education programs across several State systems (OCFS, SED, DOH).*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		business and corporate involvement in efforts to increase investment in early childhood education; developing a common metric for a statewide child assessment system; and developing a shared services project to support programs/providers participating in QUALITYstarsNY in reducing costs and increasing administrative efficiencies.	
☒	Local community organizations (child care resource and referral, Red Cross)	*OCFS provides funding and supervision to support and enhance the child care-related services delivered by 36 child care resource and referral (CCR&R) agencies, for children and families throughout NYS. CCR&Rs are experienced in program implementation, community outreach, and are active in community collaborations to improve the quality and availability of early care and learning services. Supported by CCDF funds, the CCR&R network in NY State also operates seven regional Infant/Toddler Technical Assistance Centers that provide support to improve quality in Infant and*	*The goals of OCFS support for CCR&R services include:* • *Information and referral services directed at educating parents regarding early childhood services;* • *Technical assistance to child care providers and programs;* • *Expanding the number of family child care providers;* • *Maintaining provider databases to determine service utilization and unmet needs for additional early childhood services; and* • *Providing written materials and conducting outreach to the community and employers to encourage support of all child care services.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		Toddler settings. These Centers have developed a pool of trained Infant/ Toddler Specialists with experience in conducting program assessments and using them to develop quality improvement plans. Convened by the Early Care and Learning Council, NYS's network of child care resource and referral agencies has monthly meetings. OCFS staff are generally on the agenda at these monthly meetings and, therefore, are available to meet with the ECLC membership on a regular basis. In addition, OCFS presented an overview of the Plan at the May 8, 2013 meeting.	
☒	Provider groups, associations or labor organizations	*The Civil Services Employees Association (CSEA) and the United Federation of Teachers (UFT) represent home-based child care providers. CSEA represents providers in all of the districts outside the City of New York and UFT represents providers in New York City. OCFS continues to implement the provisions in the Memorandum of Agreement signed in October 2009: 1) to provide quality grants to providers through*	*Results include a better understanding of regulations related to both the State regulated care and the legally exempt child care regulations. This increased communication has also helped create consistency among the OCFS regional offices related to interpretation of regulations and policies. It has also increased trust among all pertinent parties – OCFS, the unions and child care providers.*

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		contracts with OCFS; 2) to provide professional development activities through contracts with OCFS; and 3) to provide a mechanism to collect union dues. OCFS meets jointly with CSEA and UFT every six weeks to discuss provider-specific issues when necessary and to implement the contracts described above.	
☐	Parent groups or organizations		
☒	Other: *Children's Issues Task Force in response to Superstorm Sandy on October 29, 2012*	*As described in more detail below in 1.5.4, OCFS established and co-chairs the Children's Issues Task Force with the Administration of Children and Families Region II administrator. The Task Force was created to coordinate a response geared towards meeting the needs of children and families impacted by Superstorm Sandy. Information regarding available services and resources, including financial assistance, has been communicated to the provider community via mass mailings and word of mouth. In addition, cross-agency subcommittees have been created to problem solve solutions to both short-term and more systemic issues facing children, families, and providers.*	*The goal has been and continues to be to identify and address the short-, immediate-, and longer-term needs of child care and Head Start programs and to be a partner with other State and federal agencies in identifying and addressing the long-term needs for housing, physical safety and mental health of the families and providers who were impacted by the storm.*

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan? Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other purposes, including fulfilling requirements of other programs.

☐ Yes. If yes,

a) Provide the name of the entity responsible for the coordination plan(s):

b) Describe the age groups addressed by the plan(s):

c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):

☐ Yes

☐ No

d) Provide a web address for the plan(s), if available: _____

☒ No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs? (658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

☐ State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

If yes, describe entity, age groups and the role of the Lead Agency _____

☒ State Advisory Council (as described under the Head Start Act of 2007).

If yes, describe entity, age groups and the role of the Lead Agency

The membership of New York State's Early Childhood Advisory Council (ECAC) includes representatives of the State agencies that most directly impact the lives of children and families, including OCFS (the Lead Agency), the State Education Department, the Department of Health, the Office of Mental Health, the Office of Temporary and Disability Assistance; as well as representatives from many important stakeholder groups, including child care resource and referral agencies, the unions representing home-based providers, and others. ECAC working groups have primary oversight responsibility for several of NYS's core quality initiatives, including the State's QRIS, development of a statewide workforce registry, and creation of an early learning training credential. In addition, ECAC members developed the framework for alignment of early learning guidelines across early childhood systems, and took the lead on the creation of the Core Body of Knowledge; and have disseminated both to the field.

☐ Local Coordination/Council

If yes, describe entity, age groups and the role of the Lead Agency _____

☐ Other.

Describe _____

☐None

1.5.4. Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

☒ Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership
As stated earlier, OCFS is very involved in several public-private partnerships: The Early Childhood Advisory Council (several workgroups), New York State Afterschool Network (several committees), Early Intervention Coordinating Council, NYS Lead Poisoning Prevention Advisory Council, Children's Issues Task Force in response to Superstorm Sandy, among others.

- *The 2012-13 NYS enacted budget included $2 million to support a pilot program for new or expanded preventive, early childhood development, and other services for at-risk children, youth and families. Through a competitive bid, this Public/Private Partnership pilot program is designed to increase services for at-risk children to prevent involvement with the child welfare or juvenile justice systems and/or to expedite their return home. Too many high risk children and families enter the child welfare and juvenile justice systems and stay too long when less costly and less intrusive services may prevent placements and improve stability. These funds are available to not-for-profit agencies that focus on early intervention and early childhood education programs aimed at the educational, mental health, and physical well-being of children at the highest risks for child abuse/maltreatment .*

- *The New York State Afterschool Network (NYSAN) took the lead to work with its public and private partners to revise the QUALITYstarsNY assessment tools, which are currently designed to assess child care programs serving children ages 0 – 5 years, to be appropriate for school age child care programs that serve children ages 6 – 12. In addition, NYSAN members compared the QUALITYstarsNY assessment tool designed for children ages 0 – 5 with the NYSAN quality framework and also the NYS Afterschool Accreditation model.*

- *OCFS established and co-chairs the Children's Issues Task Force with the US Department of Health and Human Services Administration of Children and Families Region II in response to Super Storm Sandy that hit parts of New York State on October 29, 2012. Meetings were held weekly for the first few months, moved to bi-weekly, and then later held monthly, so that the provision of child care and Head Start services could be continued with minimal interruption to the children and families being served. This public-private partnership included agencies such as the Federal Emergency Management Agency, other federal partners responsible for housing and mental health services,*

the Small Business Administration, Local Departments of Social Services, Child Care Resource and Referral Agencies, unions representing child care providers, the Family Child Care Association of NYS, Children's Health Fund, Save the Children, among others to allow services and resources to be made available for eligible recipients. Information regarding available services and resources, including financial assistance was communicated to the provider community via mass mailings and word of mouth. Many programs that were impacted by the Storm were able to temporarily relocate to other sites via the issuance of waivers with approval from OCFS. The work to help support child care programs that were damaged as a result of the storm is continuing, aimed, both at helping programs to secure resources for replacing supplies and materials, as well as addressing the mental health and behavioral issues facing children and families.

- *New York State consistently ranks high on key risk factors associated with lead poisoning, such as young children living in poverty, a large immigrant population, and an older, deteriorated housing stock. As the licensing and registration agency for family-based child care homes and day care facilities, OCFS has a unique and critical role in keeping children safe from lead in the programs it licenses and registers. As such, OCFS became and remains a member of the NYS Advisory Council on Lead Poisoning Prevention. The Advisory Council on Lead Poisoning Prevention is led by the NYS Department of Health (DOH) and has as its members representatives from both public and private sectors. One key risk factor, older housing stock, has become the primary preventive focus for OCFS. Preventive initiatives include an OCFS lead poisoning informational campaign, and a collegial approach with DOH to conduct on-site inspections of child care facilities and homes. The OCFS informational campaign offers training to its child care providers through an on-line training course, for which training credits are granted (see Prevention of Lead Poisoning and Other Dangers to Children: https://ecetp.pdp.albany.edu/elearn_catalog.shtm); a video conference on the topic was held; several "Dear Provider" letters announced lead prevention training opportunities (see http://www.ocfs.state.ny.us/main/childcare/letterstoproviders); and we informed the field about new legislation (2010) mandating that contractors who disrupt areas of pre-1978 homes or day care centers be EPA lead-safe certified. In addition, DOH and OCFS worked together to enhance and coordinate procedures so that child care environments are visually checked for the presence of lead either by OCFS fire and safety representatives or DOH inspectors. In all cases where lead is suspected, DOH remains available to OCFS to work with child care providers, offering technical assistance on correcting hazards. OCFS also provided family-based child care*

addresses to DOH Primary Prevention Initiative grantees, who went door-to-door offering lead inspections, technical assistance and referrals. (For more information on New York State's Primary Prevention Initiative on childhood Lead poisoning, see: http://www.health.ny.gov/environmental/lead/exposure/childhood/primary_prevention/pilot_program/early_lessons/2009-02-27_final_year_one_report.pdf).

- *The Early Childhood Advisory Council (ECAC) actively seeks opportunities to develop private sector partnerships to support its efforts to build a high quality early childhood education services system. This has led the ECAC to seek and obtain funding from the Rauch Foundation and the Western New York Women's Foundation to support increased participation of child care programs that are located in high-need communities in QUALITYstarsNY. The ECAC is also supported as a member of the BUILD Initiative. As noted in Table 1.5.1, BUILD funding is being used to develop a Shared Services Initiative that would enhance the quality and business practices of early childhood education programs throughout the state.*

☐ No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-XX) located on the Office of Child Care website at:
http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm

1.6.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

☐ **Planning**. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

☐ **Developed.** A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available: _____

☒ **Other. Describe:** *The NYS OCFS DCCS plan is being developed incrementally to facilitate implementation. This allows us to focus on specific aspects of emergency preparedness and response while working towards making emergency preparedness a more comprehensive and accepted practice. Present efforts include collaboration with the NYS Division of Homeland Security and Emergency Services, NYS Office of Emergency Management, American Red Cross, Save the Children, FEMA and seven NYS County Emergency Management Offices.*

Phase 1: Outreach- Provider Training and Updating Planning Requirements (Implemented- ongoing)

OCFS is a member of the NYS Disaster Preparedness Commission (DPC). Responsibilities of the DPC include the preparation of state disaster plans; the coordination of state disaster operations with local government operations and the coordination of federal, state and private recovery efforts. OCFS serves on the Human Services Branch of the Commission and is active in NYS recovery initiatives.

OCFS continues to introduce new planning requirements for child care providers which require enhanced emergency planning for child care programs. This includes updating emergency plan forms based on new minimum standards. This requires providers to identify primary and secondary relocation sites, a plan for sheltering in place, and a plan for notification of parents in the case of evacuation from the child care site that requires relocation. OCFS is in the process of revising the child care regulations and will be enhancing areas related to emergency preparedness. The national child advocacy group, Save the Children, on behalf of the National Commission on Children and Disasters, released a U.S. Programs Report Card grading New York State 100 percent on meeting all four criteria for protecting children during disasters. The standards include requiring all licensed child care facilities to have the following: a written evacuation plan; a written plan for notification and reunification with parents; a written plan that accounts for children with special needs; and an evacuation plan for child care facilities located in schools, that accounts for multiple hazards.

OCFS has partnered with the New York State Office of Emergency Management to expand education and planning opportunities for child care providers. Videoconference trainings continue to be provided in the areas of emergency preparedness, as well as providing training on all hazards planning. In addition, OCFS-DCCS regional managers and fire safety representatives conduct provider-based trainings in the areas of emergency preparedness and safety.

Other regionally-focused initiatives have included collaboration with Emergency Management Agencies in the seven NYS counties with nuclear power plants. A pilot program was conducted in Westchester and Putnam Counties to educate providers regarding radiological preparedness, evacuation, and relocation planning and administration of potassium iodide and this program will be modified for delivery in additional counties. In addition, OCFS has partnered with the Office of Emergency Management (OEM), Department of Health (DOH) and the State Education Department (SED) to hold educational sessions for school administrators/personnel and child care providers located in emergency planning zones, specifically on administering potassium iodide (KI) to children in the event of a radioactive release. The information sessions provide an overview of NYS's KI Program and address-questions and concerns on procedures and protocols.

OCFS has also developed a protocol to facilitate the temporary relocation of child care programs following an emergency or disaster. This includes assessment of the existing program to determine the level of impact, the on-site assessment and approval of a proposed relocation site, the issuance of a waiver to expedite the temporary relocation to the new site, and a plan to return to the licensed/registered location following an acceptable evaluation. This protocol will allow children and families to continue to receive child care services with minimal interruption, while the issues at the licensed/registered site are being remediated. If return to the original location is not feasible, DCCS policy statement #03-1 (http://www.ocfs.state.ny.us/main/childcare/policies/03-01%20Streamlining%20family%20based%20moves.pdf) was designed to streamline the licensing/registration process for family-based programs when they move to a different site.

OCFS also partners with its contracted Child Care Resource & Referral Agencies for emergency preparedness-related activities as needed.

Phase 2: Establishing Systems to support child care programming (Implemented- ongoing)

Enhancements continue to be made to the Child Care Facility System (CCFS), which is the automated system of record used to document the licensing/ registration process and track the compliance history of all regulated providers as well as the enrollment activities of legally-exempt providers. Capabilities have been added to allow for portability of provider records between programs. Automating this process is critical to being able to re-establish child care following a local or regional disaster. This is the first step in planning for continuation of services to CCDF families, provision of temporary child care services after a disaster, and long-term re-establishment of child care programs within communities. In addition, the establishment of an on-line clearance system to determine if an individual has an indicated report of child abuse and maltreatment, as well as conversion to a digital imaging fingerprinting system for criminal history background checks has substantially reduced the time needed to conduct these processes. This allows OCFS to screen staff more quickly, which is critical to the establishment of temporary child care or rapid restoration of facilities.

OCFS has deployed handheld computer technology for its licensing and registration staff. This allows staff to have greater portability when conducting field activities and allows for access into the CCFS database for real time updates and access to program data. In the event of an emergency, this technology allows for quicker access to data and faster response to the field.

OCFS has also implemented the use of a Geographic Information Center (GIC) which uses geocoding technology to plot child care programs in New York State on a map in real time, showing their exact location by address. Use of this technology is instrumental in assessing the proximity of an incident in relation to the location of child care programs and this allows OCFS to triage outreach to programs if an incident occurs in a specific location. This system has the ability to do customized, demographic queries to allow for precise identification and location of child care programs and also has the ability to be overlaid against other data maps for relational comparison.

OCFS is in the process of piloting a new, agency-wide emergency notification system known as OCFS-NYAlert. This system was created to enable the agency to communicate with employees in emergency situations either during or outside of office hours via preferred contact information provided by the employee: email, text message, home or cell phone.

In response to Superstorm Sandy, OCFS immediately developed an assessment instrument that was designed for licensing/registration staff to use to assess, via phone contact or on-site inspections, the level of impact that the storm may have had on programs. OCFS was also able to utilize the GIC to overlay the locations of programs against FEMA maps of flood and surge zones. This allowed us to triage our outreach to programs that had the greatest potential of being impacted by the storm and provide targeted follow-up to these programs. OCFS has also partnered with various organizations post Superstorm Sandy, such as FEMA, the Small Business Administration, Local Departments of Social Services, Child Care Resource and Referral Agencies, unions representing home-based child care providers, and Save the Children to allow for services and resources to be made available for eligible recipients. Information regarding available services and resources, including financial assistance was communicated to the provider community via a mass mailing. Many programs that were impacted by the storm were able to be temporarily relocated to other sites via the issuance of a waiver, once a relocation site was approved by OCFS, so that the provision of child care services could be continued with minimal interruption to the children and families being served. OCFS-DCCS staff members were also responsible for staffing and providing on-site management at the seven FEMA Disaster Recovery Centers in Nassau and Suffolk counties and were able to serve as local resources to those in need of services.

1.6.2. Indicate which of the core elements identified in the Information Memorandum are or will be covered in the Lead Agency child care emergency preparedness and response plan. Check which elements, if any, the Lead Agency includes in the plan.

- ☒ Planning for continuation of services to CCDF families
- ☒ Coordination with other State/Territory agencies and key partners
- ☒ Emergency preparedness regulatory requirements for child care providers
- ☒ Provision of temporary child care services after a disaster
- ☐ Restoring or Rebuilding child care facilities and infrastructure after a disaster
- ☐ None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, sliding fee scale, payment rate policies and procedures, and how Lead Agencies ensure continuity of care and parental choice of high quality settings for families.

2.1. Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

☒ Eligibility rules and policies (e.g., income limits) are set by the:
- ☒ State/Territory
- ☐ Local entity. If checked, identify the type of policies the local entity(ies) can set _____
- ☐ Other. Describe: _____

☒ Sliding fee scale is set by the:
- ☒ State/Territory
- ☐ Local entity. If checked, identify the type of policies the local entity(ies) can set _____
- ☐ Other. Describe: _____

☒ Payment rates are set by the:
- ☒ State/Territory
- ☐ Local entity. If checked, identify the type of policies the local entity(ies) can set _____
- ☐ Other. Describe: _____

2.1.2. How is the CCDF program operated in your State/Territory? In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility? **Note:** If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:	☐ CCDF Lead Agency ☐ TANF agency ☒ Other State/Territory agency. Describe. *OCFS maintains a Memorandum of Understanding (MOU) with the State University of New York and the City*

Implementation of CCDF Services/Activities	Agency (Check all that apply)
The basis of eligibility for a child care subsidy for a recipient of TANF is solely the status of that individual for the TANF program. An individual who has applied for TANF benefits is determined financially and programmatically eligible for the TANF program under the federally-mandated requirements of that program. An additional application for child care subsidy and further financial determination are not required for the child care subsidy program. The TANF parent must meet the work and training requirements under the TANF program and provide documentation to the social services district concerning qualifying care, provider arrangement, provider requirements, and payment amount.	*University of New York to subsidize child care services for low-income students enrolled in either of these two higher education systems. Further, through an MOU with the New York State Department of Agriculture and Markets, funds are provided to a network of child care agencies that serve the children of migrant workers and other farm workers. These entities determine eligibility, assist parents in locating care, and make the provider payment.* ☒ Local government agencies such as county welfare or social services departments ☐ Child care resource and referral agencies ☐ Community-based organizations ☐ Other. Describe. _____
Who assists parents in locating child care (consumer education)?	☒ CCDF Lead Agency ☐ TANF agency ☐ Other State/Territory agency. Describe. _____ ☒ Local government agencies such as county welfare or social services departments ☒ Child care resource and referral agencies ☐ Community-based organizations ☒ Other. Describe. *OCFS maintains a Memorandum of Understanding (MOU) with the State University of New York and the City University of New York to subsidize child care services for low-income students enrolled in either of these two higher education systems. Further, through an MOU with the New York State Department of Agriculture and Markets, funds are provided to a network of child care agencies that serve the children of migrant workers and other farm workers. These entities assist parents in locating care. In addition, New York State's network of 33 CCR&Rs play an extensive role in providing information and referrals on a daily basis to parents.*
Who issues payments?	☐ CCDF Lead Agency ☐ TANF agency ☐ Other State/Territory agency. Describe. _____ ☒ Local government agencies such as county welfare or social services departments

Implementation of CCDF Services/Activities	Agency (Check all that apply)
	☐ Child care resource and referral agencies ☐ Community-based organizations ☒ Other. Describe. *OCFS maintains a Memorandum of Understanding (MOU) with the State University of New York and the City University of New York to subsidize child care services for low-income students enrolled in either of these two higher education systems. Further, through an MOU with the New York State Department of Agriculture and Markets, funds are provided to a network of child care agencies that serve the children of migrant workers and other farm workers. These entities issue payment to the provider.*
Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc) .	*Payments can be made either to the parent or provider. The local social services district determines to whom the payment is made. Providers receive payment by check. Some local social services districts make payments through direct deposit.*
Other. List and describe: _____	

2.2. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e). **Note -** For any information in questions 2.2.1 through 2.2.10 that differs or will differ for families receiving TANF, please describe in 2.2.11.

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

☒ CCDF Lead Agency
☒ TANF offices
☒ Other government offices
☒ Child care resource and referral agencies
☐ Contractors
☐ Community-based organizations
☐ Public schools

☒ Internet (provide website):
http://www.ocfs.state.ny.us/main/childcare/paying.asp
☒ Promotional materials
☐ Community outreach meetings, workshops or other in-person meetings
☐ Radio and/or television
☐ Print media
☐ Other. Describe: ___

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

☒ In person interview or orientation
☒ By mail
☐ By Phone/Fax
☐ Through the Internet (provide website) ___
☐ By Email
☐ Through a State/Territory Agency
☐ Through an organization contracted by the State/Territory
☐ Other. Describe: ___

2.2.3. Describe how the Lead Agency provides consumer education to parents applying for CCDF assistance to promote informed choices. about the quality of care provided by various providers in their communities.

Lead Agencies must certify that the State/Territory will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices(658E (c)(2)(G), §98.33).

For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or informational brochures that address importance of quality and different care options available.

OCFS currently contracts with 35 CCR&Rs that serve 57 counties and the five boroughs of New York City. The CCR&Rs supply vital child care services to parents, providers, employers, and communities across New York State. CCR&Rs provide information and referral services and technical assistance to child care providers and programs to promote quality; conduct outreach to the community and employers to encourage support of all child care services; recruit and retain family child care providers; and, develop and maintain provider data bases to determine service utilization and unmet needs for additional early childhood services.

NYS has issued and distributed, brochures as part of its "Think About Child Care" family education campaign, brochures to help all parents, not just those who are receiving a child care subsidy, in selecting quality child care to meet the needs of their children. Parents are provided with information on all types of child care settings, including legally-exempt child care. This publication is available on-line at the OCFS website (http://www.ocfs.state.ny.us/main/publications/Pub1115A.pdf), at child care resource

and referral agencies, and at social services districts. "Think About Child Care" is also available as a video on-line at the OCFS website (http://www.ocfs.state.ny.us/main/childcare/infoforparents.asp). As an adjunct to these materials, OCFS plans to create a video, to be available through the OCFS website, that will provide parents with further information about when a particular care setting needs to be regulated, what the regulatory process entails, how child care facilities are monitored, and how parents can be more informed consumers of child care services.

The parent is provided at the time of application with the LDSS-4148A, "What You Should Know about Your Rights and Responsibilities," which advises the parent of his/her rights and responsibilities regarding child care. These include the following: the right to receive information about how to locate a child care provider; and the right to choose the child care provider who may be licensed or registered or legally-exempt from OCFS licensing and registration requirements such as a relative, friend, or neighbor. The parent is also informed that it is his/her responsibility to look for and choose a child care provider and that he or she must pay any family share of the cost of child care services.

The OCFS website at http://www.ocfs.state.ny.us/main/childcare/looking.asp provides a search window that allows parents to search the entire database of regulated child care providers in New York State (a link is provided to access day care centers in New York City). This search engine allows individuals to look up a specific provider by name, or all the providers in a particular county or even zip code. It also allows a search by different types of care, such as family child care or child care centers. Additionally, it allows a search for providers operating during non-traditional hours or authorized to administer medication. Information is provided on the program including contact information, address, capacity, when it first opened and the current status of its license or registration. Additionally, information on uncorrected violations, enforcement actions, and a summary of compliance actions can be seen.

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory. For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.

A social services district may establish in its Child and Family Services Plan, subject to approval by OCFS, differential payment rates for child care services provided by a regulated child care provider that has been accredited by a nationally-recognized child care organization and/or for child care services provided during the weekend, the night, or evening hours. The rate of payment established must not exceed 15 percent of the applicable child care market rate. A district may request approval from OCFS for a differential greater than 15 percent of the appropriate child care market rate for non-traditional hours and/or accredited programs upon a demonstration that the 15 percent differential is not sufficient to provide access to such programs.

The market rate structure for providers of legally-exempt family child care and legally-exempt in-home child care reflects a standard market rate and an enhanced market rate. The standard market rate is set at 65 percent of the market rate established for registered family child care providers. This differential reflects the higher costs associated with meeting the higher regulatory standards to become a registered family child care provider. The enhanced market rate is set at 70 percent of the maximum reimbursement rate given to registered family child care providers. Social services districts, which so choose in their Child and Family Services Plans, have the flexibility to increase the enhanced market rate to up to 75 percent of the applicable registered family child care market rate. To receive the enhanced market rates, legally-exempt family child care providers and legally-exempt in-home child care providers must complete ten or more hours of training annually in the subject areas specified for licensed and registered providers, which are set forth in Section 390-a(3)(b) of the Social Services Law.

In addition, 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.

The CCR&R Network in New York State is committed to moving enrolled legally- exempt providers into the registered system when feasible. There are legally-exempt providers interested in attending trainings and express a desire to pursue child care as a viable small business. CCR&Rs provide professional development opportunities that nurture the process along for legally- exempt enrolled providers.

Further, over the past eight years, a group of early childhood experts from across New York State has been working cooperatively with various New York State government agencies, including OCFS, to design and begin implementation of QUALITYstarsNY, a quality rating and improvement system for child care and early learning programs. The system is designed to recognize programs that demonstrate quality above and beyond meeting New York's comprehensive regulatory standards. QUALITYstarsNY also provides program quality supports, such as technical assistance and professional development, to participating programs. Additionally, QUALITYstarsNY has a consumer-education focus for helping child care subsidy recipients, as well as the general public, to identify those factors that constitute quality child care and to access those quality programs that will meet the individual needs of their children. American Recovery and Reinvestment Act funds supported the implementation of a field test, which was conducted in 2010. Presently, program implementation is being supported by the NY State Education Department, which has committed funds from its 2010 Race to the Top grant; these funds are enhanced by private philanthropic dollars. Funding and other resources have yet to be identified, however, in order to implement QUALITYstarsNY on a statewide basis.

2.2.5. Describe how the Lead Agency promotes access to the CCDF subsidy program? Check the strategies implemented by your State/Territory.

☒ Provide access to program office/workers such as by:
- ☐ Providing extended office hours
- ☐ Accepting applications at multiple office locations
- ☐ Providing a toll-free number for clients
- ☐ Email/online communication
- ☒ Other. Describe: *Social services districts must permit applicants to submit applications by mail. Additionally, districts develop strategies to increase access according to local needs that may include extending office hours and accepting applications at other locations.*

☒ Using a simplified eligibility determination process such as by:
- ☒ Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
- ☒ Developing a single application for multiple programs
- ☐ Developing web-based and/or phone-based application procedures
- ☐ Coordinating eligibility policies across programs. List the program names _____
- ☐ Streamlining verification procedures, such as linking to other program data systems
- ☒ Providing information multi-lingually
- ☒ Including temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment). Length of time *A social services district must provide NYSCCBG services to families receiving public assistance, during breaks in activities, for a period of up to two weeks when the parent or caretaker relative is: engaged in work; participating in work activities or performing community service; a teen parent attending high school or other equivalent training; physically or mentally incapacitated; or absent from the home due to family duties. Such child care services may be authorized for up to one month if child care arrangements would be lost if the services were not continued, and the program or employment is scheduled to begin within that one-month period. Additionally, a district may opt to serve low-income families actively seeking employment for a period of up to six months.* (Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).
- ☐ Other. Describe: ___

☐ Other. Describe: ___

☐ None

2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

☒ Provide CCDF assistance during periods of job search. Length of time *A social services district may opt to serve low-income families actively seeking employment for a period of up to six months.*

☐ Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

☐ Synchronize review date across programs. List programs: ___

☒ Longer eligibility re-determination periods (e.g., one year). Describe *Eligibility for low-income families must be re-determined periodically but not less frequently than every 12 months for child care services. A social services district selects the eligibility determination period to be applied in its district.*

☒ Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe
OCFS has approved a waiver for a social services district to allow income eligibility for families with a child enrolled in a Head Start collaboration program to be continuous as long as the child remains enrolled in the collaboration program for up to two years. Additionally, a waiver was approved to allow income eligibility for families with a child dually enrolled in a State pre-kindergarten program until the subsequent school year.

☒ Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe
Children that turn 13 during the school year can receive child care assistance using Title XX funds until the end of the school year. The provider must be registered or licensed and have a contract or a letter of intent with the local social services district.

☐ Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment

☐ Individualized case management to help families find and keep stable child care arrangements. Describe _____

☐ Targeted case management to help families find and keep stable child care arrangements. Describe ___

☐ Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year

☒ Other. Describe
OCFS is proposing additional regulatory standards concerning the continuity of care concept. OCFS will define continuity of care as: A model of care that includes the center establishing and maintaining a primary caregiving relationship between assigned staff and children and their respective families over a period of years. This model allows infants and their primary caregivers to stay together until all children in the group are at least 36 months of age. A primary caregiver is defined as a practice that assigns a child to one caregiver who becomes responsible for the child and for communication with the child's parents. It is a core concept in the continuity of care model. A primary caregiver must be assigned to children placed in continuity of care classrooms. In addition, OCFS will set standards for group size, staff ratios, and classroom equipment requirements for this model.

☐ None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

☒ Application in other languages (application document, brochures, provider notices)
☒ Informational materials in non-English languages
☐ Training and technical assistance in non-English languages
☒ Website in non-English languages
☐ Lead Agency accepts applications at local community-based locations
☐ Bilingual caseworkers or translators available
☐ Outreach Worker
☒ Other: *Social services districts use a variety of approaches to assist families with limited English proficiency. The following are examples of such approaches:*

- *using a language poster and language cards to allow an individual to point to the language that they speak*
- *contracting with an organization for interpreter services*
- *employing bilingual caseworkers*

Many community organizations throughout the state offer translation and interpreter services and are often located near or within the same building as the social services district offices. Additionally, several of the CCR&Rs offer translation services to families applying for services. Finally, family members and friends often serve as the applicant/recipient's most-trusted translator/interpreter.
☐ None

(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered _____

2.2.8. How will the Lead Agency overcome language barriers with providers? Check the strategies, if any, that your State/Territory has chosen to implement.

☒ Informational materials in non-English languages
☒ Training and technical assistance in non-English languages
☒ CCDF health and safety requirements in non-English languages
☐ Provider contracts or agreements in non-English languages
☒ Website in non-English languages
☒ Bilingual caseworkers or translators available
☐ Collect information to evaluate on-going need, recruit, or train a culturally or linguistically diverse workforce
☐ Other: ___
☐ None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered *Spanish*

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a)) Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available.

Please see LDSS 2921 Statewide Common Application at http://otda.ny.gov/programs/applications/. Some social services districts have been approved to use a child care only application when the applicant is only applying for child care assistance. The model child care only application can be viewed at: http://www.ocfs.state.ny.us/main/policies/external/OCFS_2013/default.asp refer to 03 OCFS INF-07.

Reminder – Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes. (ACYF-PI-CC-98-08) States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing *in loco parentis*, or other household members have not provided information regarding their immigration status.

The Lead Agency requires documentation of:	**Describe how the Lead Agency documents and verifies applicant information:**
☒ Applicant identity	*Social services districts establish their own procedures to document and verify identity. These may include driver's license, passport, naturalization certificate, photo ID, hospital/doctor's records, and/or social security records.*
☒ Household composition	*Social services districts establish their own procedures to document and verify household composition. These may include marriage/death certificates, separation agreements, divorce decree, social security records, VA records, statement from landlord, school records, birth certificates, and/or adoption records.*
☒ Applicant's relationship to the child	*Social services districts establish their own procedures to document and verify relationships. These may include school records, birth certificates, adoption records, and/or hospital records.*
☒ Child's information for determining eligibility (e.g., identity, age, etc.)	*Social services districts establish their own procedures to document and verify identity. These may include school records, birth certificates, adoption records, and/or hospital records.*
☒ Work, Job Training or Educational Program	*Social services districts establish their own procedures to document and verify identity. These may include pay stubs; business records; income tax records; correspondence from employers, the Social Security Administration, Veterans Administration, State employment agencies, State welfare agencies and/or providers of pensions; school records; and/or statement from school or institution.*

☒ Income	*Adequate documentation of gross income can include pay stubs, business records, income tax records, and/or correspondence from employers, the Social Security Administration, Veterans Administration, State employment agencies, State welfare agencies and/or providers of pensions.*
☐ Other. Describe _____	

2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

☒ Time limit for making eligibility determinations. Describe length of time *OCFS regulations require that social services districts determine eligibility within 30 days of the date of application.*
☐ Track and monitor the eligibility determination process
☐ Other. Describe ___
☐ None

2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

☒ Yes. If yes, describe: *The basis of eligibility for a child care subsidy for a recipient of TANF is solely the status of that individual for the TANF program. An individual who has applied for TANF benefits is determined financially and programmatically eligible for the TANF program under the federally mandated requirements of that program. An additional application for child care subsidy and further financial determination are not required for the child care subsidy program. The TANF parent must meet the work and training requirements under the TANF program and provide documentation to the social services district concerning qualifying care, provider arrangement, provider requirements, and payment amount.*
☐ No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under six years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE**: The TANF agency, not the CCDF Lead Agency, is responsible for

establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

a) Identify the TANF agency that established these criteria or definitions:
State/Territory TANF Agency *The criteria below were developed in consultation with the New York State Office of Temporary and Disability Assistance (OTDA), are promulgated in regulation by the New York State Office of Children and Family Services, and implemented by OTDA.*

b) Provide the following definitions established by the TANF agency.

- "appropriate child care": *Appropriate means the child care provider is open for the hours and days the parent or caretaker relative would need child care in order to comply with the applicable work requirements and the provider is able and willing to provide child care services to the applicable child(ren) including addressing any special needs of the applicable child(ren).*
- "reasonable distance": *Reasonable distance means the child care provider is located within a reasonable distance from the parent or caretaker relative's home and work activity, based on locally accepted community standards as defined by the social services district in the child care portion of the district's Child and Family Services Plan.*
- "unsuitability of informal child care": *Unsuitability of informal care means the physical condition of the home or the physical or mental condition of the informal provider would be detrimental to the health, welfare and/or safety of the applicable child(ren).*
- "affordable child care arrangements": *Affordable means the parent or caretaker relative would have sufficient income to pay the family share for the child care services, if required according to State regulations, and/or to pay the cost of care above the market rate, if applicable. If the potential provider is a caregiver of informal child care who would be providing care in the child(ren)'s home, affordable also means that the parent or caretaker relative would have sufficient income to provide the caregiver with all the required federal and State employment benefits.*

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

☒ In writing
☐ Verbally
☐ Other: ___

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

- *residing with -For purposes of provision of child care services under the Child Care and Development Fund, a child must live with a parent, legal guardian, caretaker relative, or person standing in loco parentis.*
- *in loco parentis – A person standing in loco parentis means a guardian, caretaker relative or any other person with whom a child is living who has assumed responsibility for the day-to-day care and custody of the child.*

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 0 weeks *to less than 13* years (may not equal or exceed age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

☒ Yes, and the upper age is *under 18 years or is under 19 years of age if the child is a full-time student in a secondary school or in an equivalent level of vocational or technical training*. (may not equal or exceed age 19) . Provide the Lead Agency definition of *physical or mental incapacity – Physical or mental incapacity of a child exists when the child has special needs. A child with special needs means a child who is incapable of caring for himself or herself and who has been diagnosed as having one or more of the following conditions to such a degree that it adversely affects the child's ability to function normally: visual impairment; deafness or other hearing impairment; orthopedic impairment; emotional disturbance; mental retardation; learning disability; speech impairment; health impairment; autism; or multiple handicaps. Any such diagnosis must be made by a physician, licensed or certified psychologist or other professional with the appropriate credentials to make such diagnosis.*

☐ No.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E©(3)(B), §98.20(a)(1)(ii))

☒ Yes, and the upper age is *under 18 years or is under 19 years of age if the child is a full-time student in a secondary school or in an equivalent level of vocational or technical training*. (may not equal or exceed age 19)

☐ No.

2.3.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

a) How does the Lead Agency define "working" for the purposes of eligibility? Provide a narrative description below, including allowable activities and if a minimum number of hours is required.

Reminder – Lead Agencies have the flexibility to include any work-related activities in its definition of working including periods of job search and travel time. (§§98.16(f)(3), 98.20(b))

- *working -- An individual is considered working when, in accordance with the regulations of OCFS or the New York State Office of Temporary and Disability Assistance (OTDA) as applicable, he or she is engaged in work. For an individual receiving public assistance, engaged in work is defined by the district in its employment plan submitted to and approved by OTDA.*

  For an individual who is not receiving public assistance, engaged in work means that the individual is:
  - *earning wages at a level equal to or greater than the minimum amount required under federal and State labor law for the type of employment; or*
  - *self-employed and is able to demonstrate that such self-employment produces personal income equal to or greater than the minimum wage or has the potential for growth in earnings to produce such an income within a reasonable period of time.*

  For an individual who is not receiving public assistance and who is seeking employment engaged in work means that individual is:
  - *making in-person job applications, going on job interviews, registering with a New York State Department of Labor's Division of Employment Services Office to obtain job listings; and*
  - *participating in such other job seeking activities as are approved by the social services district.*

  For an individual who is participating in job training and/or an education program, engaged in work means:
  - *the program is reasonably expected to improve the earning capacity of the caretaker;*
  - *the caretaker is and continues to participate in non-subsidized employment whereby the caretaker works at least 17 ½ hours per week; and*
  - *earns wages at a level equal to or greater than the minimum amount required under Federal and State Labor Law while pursuing the course of study; and*
  - *the caretaker can demonstrate his or her ability to successfully complete the course of study.*

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

☒ Yes. If yes, how does the Lead Agency define "attending job training or educational program" for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

- *attending job training or educational program –*

Job training includes job search activities; job skills training; job development and placement; vocational education training and job readiness activities when authorized for the particular client under the regulations of OCFS or OTDA.

Educational activities include but are not limited to secondary and other education when authorized for the particular client under the regulations of OCFS or OTDA. Secondary education and post-secondary education are defined as including:

a) An approved program of vocational training or rehabilitation, which, for purposes of this section, includes enrollment in a two-year undergraduate college program with a specific vocational objective. Under this requirement, child care services shall be authorized only for the following programs:

i) those which have a specific occupational goal and are conducted by an institution licensed or approved by the State Education Department other than a college or university. Enrollment in more than two such consecutive training programs is not allowable;

ii) those undergraduate or community college programs with a specific vocational sequence leading to an associate's degree or certificate of completion within a determined time frame which shall not exceed 30 consecutive calendar months;

iii) those pre-vocational skill training programs such as basic education and literacy training;

iv) those demonstration projects designed for vocational training or others as approved by the State Department of Labor;

v) those programs leading to a high-school diploma or high-school equivalency diploma;

vi) notwithstanding the potential of some vocational training programs, as detailed above, to allow for the eventual attainment of a bachelor's degree or like certificate of completion for a four-year college program, this regulation does not permit the renewal of such vocational training program enrollment for any additional period.

b) A two-year program other than one with a specific vocational sequence leading to an associate's degree or certificate of completion, or a four-year college or university program leading to a bachelor's degree provided:

i) the program is reasonably expected to improve the earning capacity of the caretaker;

ii) the caretaker is, and continues to, participate in non-subsidized employment whereby the caretaker works at least 17 ½ hours per week and earns wages at a level equal to or greater than the minimum amount required under federal and State labor law while pursuing the course of study; and

iii) the caretaker can demonstrate his or her ability to successfully complete the course of study.

c) A program to train workers in an employment field that currently is or is likely to be in demand in the near future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program. For the purposes of this provision, a dislocated worker is any person who: has been terminated or laid off from employment; has received a notice of termination or layoff from employment that will occur within six months of such notice; or was self-employed but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters.

☐ No.

2.3.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

☒ Yes. If yes, how does the Lead Agency define "protective services" for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. Lead Agencies may elect to include homeless children and other vulnerable populations in the definition of protective services.

Note – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities for CCDF purposes these children are considered to be in protective services and should be included in this definition.

- *protective services – The child care services that a local social services district may provide to families who need child care in order for their children to be protected include the following:*

a) A family, including a foster family, with a child in a case with a child protective services component when it is determined on a case-by-case basis that such child care is needed to protect the child. Note that social services districts may select in their Child and Family Services Plans to use the New York State Child Care Block Grant funds to provide child care services for these families.

b) A family receiving public assistance when child care services are needed for the child to be protected because the child's parent(s) or caretaker relative(s) is physically or mentally incapacitated or has family duties away from home necessitating his or her absence.

c) A family receiving temporary assistance or with income up to 200 percent of the State income standard when child care services are needed for the child to be protected because the child's caretaker is:

- *participating in an approved substance abuse treatment program, or in screening for or an assessment of the need for substance abuse treatment;*
- *homeless or receiving services for victims of domestic violence and needs child care in order to participate in an approved activity, or in screening for or an assessment of the need for services for victims of domestic violence; or*
- *in an emergency situation of short duration including, but not limited to, cases where the caretaker's absence from the home for a substantial part of the day is necessary because of extenuating circumstances such as a fire, being dispossessed from the home, seeking living quarters, or providing chore/housekeeper services for an elderly or disabled relative.*

☐ No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☒ Yes.

☐ No.

2.3.5. Income Eligibility Criteria

a) How does the Lead Agency define "income" for the purposes of eligibility? Provide the Lead Agency's definition of "income" for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

- income – *Income includes the sum of gross income received from the following sources:*
  - *Monthly wages or salary, i.e., total money earnings received for work performed as an employee, including wages, salary, Armed Forces pay, commissions, tips, piece-rate payments, and cash bonuses earned before deductions are made for taxes, bonds, pensions, union dues and similar purposes;*
  - *Net income for non-farm self-employment, i.e., gross receipts minus expenses from one's own business, professional enterprise, or partnership. Gross receipts include the value of all goods sold and services rendered. Expenses include costs of goods purchased, rent, heat, light, power, depreciation charges, wages and salaries paid, business taxes (not personal income taxes) and similar costs. The value of salable merchandise consumed by the proprietors of retail stores is not included as part of net income;*

- *Net income from farm self-employment, i.e., gross receipts minus operating expenses from the operation of a farm by a person on his own account, as owner, renter or sharecropper. Gross receipts include the value of all products sold, government crop loans, money received from the rental of farm equipment to others, the incidental receipts from the sale of wood, sand, gravel, and similar items. Operating expenses include cost of feed, fertilizer, seed and other farming supplies, cash wages paid to farm hands, depreciation charges, cash rent, interest on farm building repairs, farm taxes (not State and Federal income taxes) and similar expenses. The value of fuel, food or other farm products used for family living is not included as part of net income;*
- *Social security benefits include social security pensions and survivor benefits, and permanent disability insurance payments made by the Social Security Administration prior to deductions for medical insurance and railroad retirement checks from the U.S. government;*
- *Dividends, interest (on savings or bonds) income from estates or trusts, net rental income or royalties, including dividends from stockholdings or membership in associations, interest on savings or bonds, periodic receipts from estates or trust funds, net income from rental of a house, store or other property to others, receipts from boarders or lodgers and net royalties;*
- *Public assistance or welfare payments include public assistance payments such as family assistance, SSI (including State supplemental payments), and safety net assistance;*
- *Pensions and annuities include pensions or retirement benefits paid to a retired person or his /her survivors by a former employer or by a union, either directly or through an insurance company, and periodic receipts from annuities or insurance;*
- *Unemployment compensation means compensation received from government unemployment insurance agencies or private companies during periods of unemployment and any strike benefits received from union funds;*
- *Workers' compensation means compensation received periodically from private or public insurance companies for injuries incurred at work. The cost of this insurance must have been paid by the employer and not by the individual;*
- *Alimony;*
- *Child support; and*
- *Veterans' pensions means money paid periodically by the Veterans' Administration to disabled members of the Armed Forces or to survivors of deceased veterans, subsistence allowances paid to veterans for education and on-the-job training, as well as so-called "refunds" paid to ex-servicemen as GI insurance premiums.*

b) Which of the following sources of income, if any, will the Lead Agency exclude or deduct from calculations of total family income for the purposes of eligibility determination? Check any income the Lead Agency chooses to exclude or deduct, if any.

☒ Adoption subsidies
☒ Foster care payments
☐ Alimony received or paid

☐ Child support received
☐ Child support paid
☒ Federal nutrition programs
☒ Federal tax credits
☒ State/Territory tax credits
☒ Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
☐ Medical expenses or health insurance related expenses
☒ Military housing or other allotment/bonuses
☒ Scholarships, education loans, grants, income from work study
☐ Social Security Income
☐ Supplemental Security Income (SSI)
☐ Veteran's benefits
☐ Unemployment Insurance
☐ Temporary Assistance for Needy Families (TANF)
☐ Worker Compensation
☒ Other types of income not listed above

• Veterans Administration (VA) payments provided under Public Law 104-204 to Vietnam veterans' natural adult or minor children for any disability resulting from spina bifida suffered by such children and VA payments to covered birth defects to or on behalf of the adult or minor biological children of female Vietnam veterans.
• per capita payments to or funds held in trust for any individual in satisfaction of a judgment of the Indian Claims Commission or the Court of Claims;
• money received from sale of property, such as stocks, bonds, a house, or a car (unless the person was engaged in the business of selling such property in which case the net proceeds would be counted as income from self-employment);
• withdrawals of bank deposits;
• money borrowed;
• tax refunds;
• gifts;
• lump sum inheritances or insurance payments;
• capital gains;
• the value of coupon allotments under the Food Stamp Act of 1964, as amended, in excess of the amount paid for the coupons;
• the value of USDA donated foods;
• the value of supplemental food assistance under the Child Nutrition Act of 1966 and the special food service program for children under the National School Lunch Act;
• any payment received under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970;
• earnings of a child under 14 years of age (no inquiry shall be made);
• loans and grants such as scholarships obtained and used under conditions that preclude their use for current living costs;
• any grant or loan to any undergraduate student for educational purposes made or insured under the Higher Education Act;

• home produce utilized for household consumption;
• one-time $250 payments made under the American Recovery and Reinvestment Act of 2009 to Social Security, Supplemental Security Income (SSI), Railroad Retirement Benefits, and Veterans Disability Compensation or Pension Benefits recipients for 10 months from the date the payment was received, including the month payment was received.
☐ None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

☐ Children under age 18
☐ Children age 18 and over – still attending school
☐ Teen parents living with parents
☒ Unrelated members of household
☐ All members of household except for parents/legal guardians
☒ *Other A social services district has the option to include 18-, 19-, or 20-year-old individuals in the same child care services unit as their parents by indicating such option in its Child and Family Services Plan. The incomes of all members in the child care services unit are included in the determination of financial eligibility.*

Note that a teen parent living with his or her parent is considered to be in a separate child care services unit and therefore, the teen parent's income is not included in the parent's financial eligibility determination and vice versa.

Additionally, the earnings of a child under age 14 are excluded in the determination of financial eligibility.

☐ None

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85 percent of the SMI.

Chart 1 *indicates the income level for the New York State child care subsidy program, which is set at 200 percent of the State Income Standard, which is based on the federal poverty level. As indicated in column (d), the financial eligibility level for family size one through five is less than 85 percent of the state median income. The income level stated in column (c) is based on the poverty guidelines published in the Federal Register, Volume 78, 78FR 5182 dated January 24, 2013.*

			IF APPLICABLE	
Family Size	(a) 100% of State Median Income (SMI) ($/month)	(b) 85% of State Median Income (SMI) ($/month) [Multiply (a) by 0.85]	Income Level if lower than 85% SMI	
			(c) $/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	$3,563	$3,029	$1,915	54%
2	$4,659	$3,960	$2,585	55%
3	$5,756	$4,892	$3,255	57%
4	$6,852	$5,824	$3,925	57%
5	$7,948	$6,756	$4,595	58%

Some social services districts are supporting facilitated enrollment demonstration projects that increase financial eligibility levels up to 275 percent of the State Income Standard, which is based on the federal poverty level. This is being done in the following sites: the Bronx, Brooklyn, Queens, and Liberty Zone in New York City; and Albany, Monroe, Oneida, Rensselaer and Schenectady Counties.

Chart 2 *indicates the income level for the New York State facilitated enrollment demonstration projects is set at 275 percent of the State Income Standard, which is based on the federal poverty level. As indicated in column (d), the financial eligibility level for family size one through five is less than 85 percent of the state median income. The income level stated in column (c) are based on the poverty guidelines published in the Federal Register, Volume 78, 78FR 5182 dated January 24, 2013.*

			IF APPLICABLE	
Family Size	(a) 100% of State Median Income (SMI) ($/month)	(b) 85% of State Median Income (SMI) ($/month) [Multiply (a) by 0.85]	Income Level if lower than 85% SMI	
			(c) $/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	$3,563	$3,029	$2,633	74%
2	$4,659	$3,960	$3,554	76%
3	$5,756	$4,892	$4,476	78%
4	$6,852	$5,824	$5,397	79%
5	$7,948	$6,756	$6,318	79%

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2013 poverty guidelines are available at http://aspe.hhs.gov/poverty/11poverty.shtml.

e) Will the Lead Agency have "tiered eligibility" (i.e., a separate income limit at re-determination to remain eligible for the CCDF program)?

☐ Yes. If yes, **provide** the requested information from the table in 2.3.5d and **describe** _____.

Note: This information can be included in a separate table, or by placing a "/" between the entry and exit levels in the above table.

☒ No.

f) SMI Year *FFY2013* and SMI Source *Federal Register, Volume 77, 77FR 15376, dated March 15, 2012.*

g) These eligibility limits in column (c) became or will become effective on: *June 1, 2013.*

2.3.6. Eligibility Re-determination

a) Does the State/Territory follow OCC's 12 month re-determination recommendation? (See Program Instruction on Continuity of Care http://www.acf.hhs.gov/programs/ccb/law/guidance/current/im2011-06/im2011-06.htm)

☐ Yes

☒ No. If no, what is the re-determination period in place for most families?

☐ 6 months

☐ 24 months

☐ Other. Describe _____

☒ Length of eligibility varies by county or other jurisdiction. Describe *Eligibility for low-income families must be re-determined periodically but not less frequently than every 12 months for child care services. A social services district selects the eligibility determination period to be applied in its district.*

b) **Does the Lead Agency coordinate or align re-determination periods with other programs?**

☐ Yes. If yes, check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.

☐ Head Start and/or Early Head Start Programs. Re-determination period

☐ Pre-kindergarten programs. Re-determination period

☐ TANF. Re-determination period

☐ SNAP. Re-determination period

☐ Medicaid. Re-determination period

☐ SCHIP. Re-determination period

☐ Other. Describe

☒ No.

c) Describe under what circumstances, if any, a family's eligibility would be reviewed prior to re-determination. For example, regularly scheduled interim assessments, or requirement for families to report changes. *When an individual reports a change in financial circumstances, living arrangements, child care arrangements, employment, household composition or other circumstances that affect the family's need or eligibility for child care services to their social services district, the family's eligibility must be reviewed.*

d) Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination *Redetermination of both financial and/or programmatic eligibility shall be made within 30 days of an indication of a change in an individual's circumstances which may render the individual ineligible or may change the degree of need for services. Written notice of determination of eligibility or ineligibility must be sent to recipient within 15 calendar days after the determination has been made.*

If an individual is re-determined to be eligible for child care services, the local social services district must send written notice to the individual of the determination of eligibility for child care services; the family share payment procedures which must be followed; and the individual's right to a fair hearing.

If an individual is determined to no longer be eligible for child care services, the social services district must send written notice to the individual of the determination of ineligibility and of the individual's right to a fair hearing.

e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples http://www.acf.hhs.gov/programs/occ/resource/im2011-06).

- *Eligibility Period: Social services districts may select an eligibility period of up to a 12-month period. New York City has been granted a waiver to extend eligibility up to two years for those families that have a child enrolled in a Head Start program.*
- *Allow Retention of Eligibility during Temporary Changes:*
    - *Social services districts may pay for child care services for up to six months for caretakers seeking employment.*
    - *Social services districts may pay for child care services when a child's caretaker is physically or mentally incapacitated or has family duties away from home.*
    - *Social Services districts may pay for child care services for up to a month for low-income families who have a break in an activity when child care arrangements would otherwise be lost and the subsequent activity is expected to begin within a month.*
- *Coverage of Child Sick Days: Social Services districts may pay for child care services for up to 40 days during a six month period when a child is absent from a child care program.*

- *Coverage of Program Closures: Social Services districts may pay up to five program closure days.*
- *Seamless Transition from Temporary Assistance to Low-Income Child Care Assistance: Social services districts may not require the submission of a new application merely because the applicant is no longer eligible for public assistance or no longer eligible for a child care guarantee. The social services district must establish procedures to enable families to keep their child care benefits without interruption as long as the families remain eligible for such services including procedures to transfer families from one unit of the district to another when necessary.*
- *Family Income: Income is based on the average monthly income for a period of not less than one month nor in excess of three months prior to application, adjusted for any changes in income known or expected to occur during the period of authorization. If income fluctuates significantly, the average monthly amount shall be computed based on income received during a period of not less than three months or more than six months.*
- *Information Collection Option: Social Services districts must allow families to apply for child care assistance through the mail.*

f) Does the Lead Agency use a simplified process at re-determination?

☐ Yes. If yes, describe _____
☒ No.

2.3.7. Waiting Lists

Describe the Lead Agency's waiting list status. Select **ONE** of these options.

☐ Lead Agency currently does not have a waiting list and:
  ☐ All eligible families *who apply* will be served under State/Territory eligibility rules
  ☐ Not all eligible families *who apply* will be served under State/Territory eligibility rules
☐ Lead Agency has an active waiting list for:
  ☐ Any eligible family who applies when they cannot be served at the time of application
  ☐ Only certain eligible families. Describe those families: _____
☒ Waiting lists are a county/local decision. Describe *Local social services indicate in their Child and Family Services Plan whether or not they will maintain a waiting list. If a local social services district maintains a waiting list they must describe how they will open cases when funding becomes available.*

☐ Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

A child care subsidy applicant or recipient who disagrees with a decision taken on his or her case by a social services district has the right to seek a review by an independent agency. An individual may request a Fair Hearing which provides an opportunity to tell an Administrative Law Judge from the New York State Office of Temporary and Disability Assistance why he or she thinks that the decision was wrong. The Administrative Law Judge will issue a written decision that will state whether the social services district decision is right or wrong. The written decision may order the social services district to correct the case and/or remedy its procedures.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. Will the attached sliding fee scale be used in all parts of the State/Territory?

☒ Yes. Effective Date *June 1, 2013*

☐ No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

2.4.2. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option.

☐ State Median Income, Year: _____

☒ Federal Poverty Level, Year: *2013*

☐ Income source and year varies by geographic region. Describe income source and year: _____

☐ Other. Describe income source and year:_____

2.4.3. How will the family's contribution be calculated and to whom will it be applied? Check all that the Lead Agency has chosen to use. (§98.42(b))

☒ Fee as dollar amount and

- ☐ Fee is per child with the same fee for each child
- ☐ Fee is per child and discounted fee for two or more children
- ☐ Fee is per child up to a maximum per family
- ☐ No additional fee charged after certain number of children
- ☒ Fee per family

☐ Fee as percent of income and

- ☐ Fee is per child with the same percentage applied for each child
- ☐ Fee is per child and discounted percentage applied for two or more children
- ☐ No additional percentage applied charged after certain number of children
- ☐ Fee per family
- ☐ Contribution schedule varies by geographic area. Describe: _____
- ☐ Other. Describe _____

If the Lead Agency checked more than one of the options above, describe

_____

2.4.4. Will the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

☐ Yes, and describe those additional factors:
☒ No.

2.4.5. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select **ONE** of these options.

Reminder – Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 2.3.4.a).

☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

☐ NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: $_____

☒ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: *OCFS, with the agreement of the New York State Office of Temporary and Disability Assistance (OTDA), categorically waives the family fee for recipients of temporary assistance. The federal Welfare Reform Act imposed a Poverty Level Income Test for eligibility for the Temporary Assistance to Needy Families (TANF) program that requires a household's total gross earned and unearned income to be at or below the federally established poverty level by family size. This provision applies only to recipients living in housing for which a shelter allowance is provided to people renting an apartment, living in their own home, living in Section 8 Housing, living in public housing and certain types of room and board arrangements. In relation to the poverty level test, circumstances may occur in which a temporary assistance recipient is placed in specialized housing, such as a domestic violence shelter or AIDS housing, and the cost of that housing may exceed the normal shelter allowance, and, in combination with the temporary assistance cash benefit and earned or unearned income, may put that family above the poverty level. In this specialized circumstance, the family remains eligible for TANF. Note that this process for TANF eligibility determination is detailed by the OTDA in its State Plan for TANF and has been approved by the federal Department of Health and Human Services.*

2.5. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance to children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	**Eligibility Priority (Check only one)**	**Is there a time limit on the eligibility priority or guarantee?**	**Other Priority Rules**
Children with special needs **Provide the Lead Agency definition of** Children with Special Needs *Children with Special Needs: A child with special needs means a child who is incapable of caring for himself or herself and who has been diagnosed as having one or more of the following conditions to such a degree that it adversely affects the child's ability to function normally: visual impairment; deafness or other hearing impairment; orthopedic impairment; emotional disturbance; mental retardation; learning disability; speech impairment; health impairment; autism; or multiple handicaps. Any such diagnosis must be made by a physician, licensed or certified psychologist or other professional with the appropriate credentials to make such diagnosis.*	☒ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other. Describe _____	☐ Yes. The time limit is: _____ ☒ No	☐ Different eligibility thresholds. Describe _____ ☒ Higher rates for providers caring for children with special needs requiring additional care ☐ Prioritizes quality funds for providers serving these children ☐ Other. Describe _____

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children in families with very low incomes **Provide the Lead Agency definition of** *Children in Families with Very Low Incomes* *Social service districts define the income level, which constitutes-"very low income" in their districts. Very low income must be established at or below 200 percent of the State Income Standard. Currently, levels at which local districts have established -"very low income" range from 100 percent to 200 percent of the State Income Standard.*	☒ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other. Describe _____	☐ Yes. The time limit is: _____ ☒ No	☐ Different eligibility thresholds. Describe _____ ☒ Waiving co-payments for families with incomes at or below the Federal Poverty Level ☐ Other. Describe _____

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

☒ Use priority rules to meet the needs of TANF families (describe in 2.5.1 or 2.5.3.)
☒ Waive fees (co-payments) for some or all TANF families who are below poverty level
☒ Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
☐ Other: _____

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)
Seeking employment	*For an individual who is not receiving public assistance, seeking employment means making in-person job applications, going on job interviews, registering with the New York State Department of Labor's Division of Employment Services Office to obtain job listings, and participating in such other job seeking activities that are approved by the district. Districts can opt to pay for child care for low-income families who are seeking employment by including such families in their Child and Family Services Plans.*

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a)).

2.6.1. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- ☒ Before parent has selected a provider
- ☐ After parent has selected a provider
- ☐ Other. Describe ___

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- ☒ Certificate form provides information about choice of providers
- ☒ Certificate is not linked to a specific provider so parents can choose provider of choice
- ☒ Consumer education materials (flyers, forms, brochures)
- ☒ Referral to child care resource and referral agencies
- ☒ Verbal communication at the time of application
- ☐ Public Services Announcement
- ☐ Agency Website: ___

☐ Community outreach meetings, workshops, other in person activities
☒ Multiple points of communication throughout the eligibility and renew process
☐ Other. Describe ___

c) What information is included on the child care certificate? **Attach a copy of the child care certificate as Attachment 2.6.1.** (658E(c)(2)(A)(iii))

☐ Authorized provider(s)
☐ Authorized payment rate(s)
☐ Authorized hours
☐ Co-payment amount
☐ Authorization period
☒ Other. Describe: *The child care certificate takes the form of a voucher or letter at the option of the social services district. OCFS developed two similar voucher types of a child care certificate for district use: one generated through the Welfare Management System and the Benefits Issuance Control System and one generated through the Child Care Time and Attendance (CCTA) system. Both provide child care market rate information. The CCTA certificate provides child specific information such as child age and period authorized. Examples of both are provided as Attachment 2.6.1.*

d) What is the estimated proportion of services that will be available for child care services through certificates? *The proportion of children served through certificates and/or cash is dependent on a variety of factors within each locality. The proportion estimated on the Child Care and Development Fund Annual Report (ACF-800) submitted by New York State for Federal Fiscal Year 2012 was 75 percent.*

2.6.2. Child Care Services Available through Grants or Contracts

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note**: Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

☒ Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: *Social services districts have the flexibility to enter into contracts with child care providers to meet their needs to access child care for families receiving a child care subsidy under CCDF. Districts typically enter into contracts with licensed day care centers and group family day care homes, registered family day care homes and school-age child care programs, and summer day camps operated under the auspices of the New York State Department of Health (or in the City of New York, the New York City Department of Health and Mental Hygiene). Entering into a contract cannot be made a condition for a provider to care for a child receiving a child care subsidy.*

☐ No. If no, skip to 2.6.3.

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following? Check the strategies, if any, that your State/Territory chooses to implement.

☐ Increase the supply of specific types of care
- ☐ Programs to serve children with special needs
- ☐ Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
- ☐ Programs to serve infant/toddler
- ☐ School-age programs
- ☐ Center-based providers
- ☐ Family child care providers
- ☐ Group-home providers
- ☐ Programs that serve specific geographic areas
  - ☐ Urban
  - ☐ Rural
- ☐ Other. Describe ___

☐ Support programs in providing higher quality services
☐ Support programs in providing comprehensive services
☐ Serve underserved families. Specify: _____
☒ Other. Describe *Social services districts have the flexibility to enter into contracts with child care providers to meet the needs, including those listed above, in their local communities.*

c) Are child care services provided through grants or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

☒ Yes.
☐ No, and **identify** the localities (political subdivisions) and services that are not offered: ___

d) How are payment rates for child care services provided through grants/contracts determined? *Social services districts and child care providers negotiate a contract rate for child care services provided up to the child care market rate.*

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts? *The proportion of children served through contracts is dependent on a variety of factors within each locality. The proportion estimated on the Child Care and Development Fund Annual Report (ACF-800) submitted by New York State for Federal Fiscal Year 2012, was 25 percent.*

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)) Check the strategies that will be implemented by your State/Territory.

☐ Signed declaration
☐ Parent Application
☐ Parent Orientation
☐ Provider Agreement
☐ Provider Orientation
☒ Other. Describe: *Allowing parents unlimited access to their children is a regulatory requirement for licensed and registered providers and is included as part of provider training. Unlimited access is also a regulatory requirement for providers of legally-exempt child care for children receiving a child care subsidy. As part of the enrollment process, legally-exempt providers and parents attest that unlimited access is provided. In addition, the requirements for providers to allow parents unlimited access to their children is included in newly developed orientation materials for prospective providers.*

2.6.4. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

☐ No
☒ Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.
☐ Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
☐ Restricted based on provider meeting a minimum age requirement
☐ Restricted based on hours of care (certain number of hours, non-traditional work hours)

☐ Restricted to care by relatives
☐ Restricted to care for children with special needs or medical condition
☒ Restricted to in-home providers that meet some basic health and safety requirements
☒ Other. Describe: *The child care provider must be at least 18 years of age or, if less than 18 years of age, must meet the requirements for the employment of minors as set forth in Article 4 of the New York State Labor Law; provided, however, that the child's parent/caretaker must provide the child care provider with all employment benefits required by State and/or Federal law, and must pay the caregiver at least the minimum wage, if required.*

2.6.5. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32)
OCFS maintains a toll free telephone number: (800) 732-5207, which parents and other individuals may use to file complaints about child care providers. Calls are routed automatically to the appropriate Regional Office that has responsibility for licensing and registration in the area from which the call is being placed. The complaint line is staffed by OCFS personnel.
Whenever a complaint is taken, it is immediately registered in the Child Care Facility System (CCFS) complaint tracking system. As the complaint is investigated and a determination is made, this system is updated, thus providing a record of the status of all complaints that have been filed.
Parents and others can obtain information regarding substantiated violations in one of two ways. First, they may contact an OCFS Regional Office, their local social services district, and/or a child care resource and referral agency, that have access to CCFS and are authorized to inform parents about the compliance history of any child care provider. Information about complaints, as well as other investigations, is available to parents upon request. In most cases, such requests are verbal. It is OCFS's policy to respond verbally to verbal requests for information as clearly and completely as possible while maintaining appropriate confidentiality. If parents are requesting hard copy documents of complaint investigations, they are asked to request them in writing. Second, the OCFS website, http://www.ocfs.state.ny.us/main/childcare/looking.asp, provides a search window that will allow parents to search the entire database of regulated child care providers in New York State (except for day care centers in New York City). Information on substantiated, corrected or uncorrected violations and, enforcement actions, and a summary of compliance actions can be seen for providers.

2.7. Payment Rates for Child Care Services

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish adequate payment rates for child care services that ensure eligible children equal access to comparable care.

2.7.1 Attach a copy of your payment rates as Attachment 2.7.1. Will the attached payment rates be used in all parts of the State/Territory?

☒ Yes. Effective Date: *April 1, 2014*.

☐ No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

2.7.2. Which strategies, if any, will the Lead Agency use to ensure the timeliness of payments?

☐ Policy on length of time for making payments. Describe length of time _____
☐ Track and monitor the payment process
☒ Other. Describe *Parents and providers can contact OCFS to address complaints concerning the timeliness of payments from their local social services district. OCFS, as appropriate, will reach out to the district to determine the cause and any necessary action to resolve the issue.*
☐ None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02 for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): *July 2013*

b) Provide a **summary of the results** of the survey. Attachment 2.7.3. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

2.7.4. Describe the payment rate ceilings in relation to the current MRS using the tables below.

Because of the flexibility that Lead Agencies have in setting payment rate ceilings, the following tables have been developed to simplify Lead Agency reporting on how their payment rate ceilings compare to their most recent MRS. These tables are not meant to collect comprehensive payment rate ceilings within a State/Territory and ACF recognizes that Lead Agencies are not required to set their payment rate ceilings at the 75th percentile. These tables allow Lead Agencies to use a common metric – the 75th percentile – as a reference point against which the Lead Agency can report their percentiles for three selected age groups in two geographic areas for licensed child care centers and licensed family child care homes.

In table 2.7.4a and 2.7.4b, *highest rate area* refers to the State or Territory's area or geographic region with the highest maximum payment rate ceiling for child care centers (2.7.4a) and the lowest maximum payment rate ceiling for child care centers (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time

monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the "base" maximum reimbursement rate ceiling, not including any rate add-ons or tiered reimbursements. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower "base" rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, Lead Agencies can use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4a – Highest Rate Area (Centers)	**(a) Monthly Payment Rate at the 75th percentile from the most recent MRS**	**(b) Monthly Maximum Payment Rate Ceiling**	**(c) Percentile if lower than 75th percentile of most recent survey**
Full-Time Licensed Center Infants (11 months)	$1,524.16	$1,472.20	69th
Full-Time Licensed Center Preschool (59 months)	$1,277.35	$1,234.05	69th
Full-Time Licensed Center School-Age (84 months)	$1,234.05	$1,225.36	69th

Note: *Rates are calculated based on the 2011 market rate survey and the 2011 maximum payment rate ceilings. OCFS conducted a survey of licensed and registered providers from February to May, 2013. Adjustments to the child care market rates will be effective October 1, 2013 and provided as part of the State Plan once they are available.*

2.7.4b – Lowest Rate Area (Centers)	**(a) Monthly Payment Rate at the 75th percentile of the**	**(b) Monthly Maximum Payment Rate Ceiling**	**(c) Percentile if lower than 75th percentile of most recent survey**

	most recent MRS		
Full-Time Licensed Center Infants (11 months)	$844.35	$822.70	69th
Full-Time Licensed Center Preschool (59 months)	$744.76	$736.10	69th
Full-Time Licensed Center School-Age (84 months)	$718.78	$692.80	69th

In table 2.7.4c and 2.7.4d, *highest rate area* refers to the State or Territory's area or geographic region with the highest maximum payment rate ceiling for family child care homes (2.7.4c) and the lowest maximum payment rate ceiling for family child care homes (2.7.4d). Identify the lowest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the "base" maximum reimbursement rate ceilings, not including any rate add-ons or tiered reimbursement. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower "base" rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, Lead Agencies can use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	$1,190.75	$1,190.75	69th
Full-Time Licensed FCC Preschool (59 months)	$1,082.50	$1,082.50	69th
Full-Time Licensed FCC School-Age (84 months)	$1,082.50	$1,082.50	69th

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	$649.50	$649.50	69th
Full-Time Licensed FCC Preschool (59 months)	$627.85	$606.20	69th
Full-Time Licensed FCC School-Age (84 months)	$606.20	$606.20	69th

2.7.5. How are payment rate ceilings for license-exempt providers set?

a) Describe how license-exempt center payment rates are set: *The license-exempt center payment rate ceilings are the same as the payment rate ceilings for licensed day care centers, which are set at the 69th percentile for the county group, age group, and rate period (weekly, daily, hourly).*

b) Describe how license-exempt family child care home payment rates are set: *The standard license-exempt family child care home payment rate ceilings are calculated as 65 percent of the payment rate ceilings for family child care homes, which are set at the 69th percentile for the county group, age group, and rate period (weekly, daily, hourly). In addition, an enhanced rate is offered for license-exempt family child care providers who complete 10 or more hours of training annually. The enhanced license-exempt family child care home payment rate ceilings are calculated as 70 percent of the payment rate ceilings for family child care homes, which are set at the 69th percentile for the county group, age group, and rate period (weekly, daily, hourly). In addition, districts may request, in their Child and Family Services Plan, to pay above the*

enhanced market rate up to 75 percent of the market rate established for registered family day care.

c) Describe how license-exempt group family child care home payment rates are set: *Not applicable. There are no group family child care homes that are exempt from licensing in NYS.*

d) Describe how in-home care payment rates are set: *The standard in-home payment rate ceilings are calculated as 65 percent of the payment rate ceilings for family child care homes, which are set at the 69th percentile for the county group, age group, and rate period (weekly, daily, hourly).*

2.7.6 Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the amount (percentage or actual amount) of the tiered rate or add-on.

☒ Differential rate for nontraditional hours. Describe. *Districts may establish in their Child and Family Services Plans, subject to approval by OCFS, differential payment rates for child care services provided during the weekend, the night, or evening hours. The rate of payment established must not exceed 15 percent of the appropriate market rate. A district may request approval from OCFS for a differential greater than 15 percent for programs operating during non-traditional hours upon demonstrating that the 15 percent differential is not sufficient to provide access.*
☒ Differential rate for children with special needs as defined by the State/Territory. Describe. *The rate of payment for child care services provided to a child determined to have special needs is the actual cost of care up to the statewide limit of the highest weekly, daily, part-day or hourly market rate for child care services in the State, as applicable, based on the amount of time the child care services are provided per week regardless of the type of child care provider used or the age of the child.*
☐ Differential rate for infants and toddlers. Describe _____
☐ Differential rate for school-age programs. Describe _____
☒ Differential rate for higher quality as defined by the State/Territory. Describe. *Districts may establish in their Child and Family Services Plans, subject to approval by OCFS, differential payment rates for child care services provided by a regulated child care provider that has been accredited by a nationally recognized child care organization. A district may request approval from OCFS for a differential greater than 15 percent for accredited programs upon demonstrating that the 15 percent differential is not sufficient to provide access.*
☒ Other differential rate. Describe *Legally-exempt in-home and legally-exempt family child care providers are eligible for an enhanced subsidy rate by participating in 10 hours of approved professional development a year.*
☐ None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families' provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples http://www.acf.hhs.gov/programs/occ/resource/im2011-06), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

2.7.7. What policies does the Lead Agency have regarding any additional fees that providers may charge CCDF parents? The Lead Agency…

☒ Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate

☒ Pays for provider fees (e.g., registration, meals, and supplies). Describe *If a provider charges additional fees to private paying families for registration, supplies and/or meals they may charge subsidized families the same fee.*

☐ Policies vary across region, counties and or geographic areas. Describe _____

☒ Other. Describe *If the provider enters into a contract with the district and the negotiated rate is lower than the provider's private pay rate, then the provider cannot ask the parent for the amount of the private rate over the negotiated rate.*

2.7.8 What specific policies and practices does the Lead Agency have regarding the following:

a) Number of absent days allowed. Describe: *Districts may establish in their Child and Family Services Plans, subject to approval by OCFS, to pay for child care services when the child is temporarily absent. Temporary absences may total no more than 12 days in any one calendar month; provided further, that such absences may total no more than 12 days in any three-month period for determining maximum temporary absences, or 24 days in any six-month period.*

Where it is determined that an extenuating circumstance or circumstances exists, reimbursement for temporary absences due to such circumstance(s) will be permitted for an additional three days in any one calendar month; further, that all absences may total no more than 20 days in any three-month period, or 40 days in any six-month period.

Districts may establish in their Child and Family Services Plans, subject to approval by OCFS, to pay for up to five days due to program closures. Additionally, social services districts must provide NYSCCBG services to families receiving public assistance, during breaks in activities, for a period of up to two weeks when the parent or caretaker relative is: engaged in work; participating in work activities or performing community service; a teen parent attending high school or other equivalent training; physically or mentally incapacitated; or

absent from the home due to family duties. Such child care services may be authorized for up to one month if child care arrangements would be lost if the services were not continued, and the program or employment is scheduled to begin within that one-month period. Social services districts may pay for the same breaks in service to low income families if they select this option in their Child and Family Services Plan.

Districts may also reimburse child care providers for an annual registration fee.

b) Paying based on enrollment. Describe _____

c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe: *NYS does not proscribe a specific schedule for how providers charge. However, regulatory requirements do not allow a provider to charge more for subsidized child care than for non-subsidized care.*

d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe *An automated billing system referred to as the Child Care Time and Attendance System (CCTA) has been implemented in all districts outside of New York City. CCTA tracks the child's attendance and based on the attendance calculates the payments based on the market rates. Attendance is recorded by having the parent log into CCTA and check their child in and out (the check in and out process takes no longer than 10 seconds). Attendance can also be recorded by the provider checking the child in and out of the program.*

2.7.9. Describe how payment rates are adequate to ensure equal access to the full range of providers based on the Market Rate Survey.

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) *NYS has issued and distributed, as part of its "Think About Child Care" family education campaign, brochures to help all parents, not just those who are receiving a child care subsidy, in selecting quality child care to meet the needs of their children. Parents are provided with information on all types of child care settings, including legally-exempt child care. This publication is available on-line at the OCFS website (www.ocfs.state.ny.us/main/publications/Pub1115A.pdf), at child care resource and referral agencies, and at social services districts. "Think About Child Care" is also available as a video on OCFS website* at *http://www.ocfs.state.ny.us/main/childcare/infoforparents.asp* .

The parent is provided at the time of application with the LDSS-4148A, "What You Should Know About Your Rights and Responsibilities," which advises the parent of

his/her rights and responsibilities regarding child care. These include the following: the right to receive information about how to locate a child care provider, and the right to choose the child care provider, who may be licensed or registered or legally-exempt from OCFS licensing and registration requirements such as a relative, friend or neighbor. The parent is also informed that it is his/her responsibility to look for and choose a child care provider.

Additionally, OCFS maintains a website, www.ocfs.state.ny.us/main/childcare, which provides information for parent/caretakers about financial assistance, including links to local social services districts and child care resource and referral agencies for more assistance. Also, families can conduct a search for licensed and registered providers by county and zip code.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)) *The maximum child care subsidy payment rates that became effective April 1, 2014 reflect the most recent market rate survey, which was conducted as a telephone survey by a contractor on behalf of OCFS from February to July, 2013. A stratified, random sample of licensed and registered child care providers was drawn so that there was an adequate representation of the full range of providers from geographic areas across the state. For each combination of four licensed and registered modalities of care and five county groups, the sample size of completed surveys was calculated at a 95% confidence level with a 5% margin of error. The contractor was provided written materials and conducted the telephone survey in English and Spanish, and had resources available to assist providers in other languages as needed.*

The survey collected child care rate data by type of provider, age of the children in care, and time period of the care. Data from the survey was analyzed and maximum subsidy payment rates were calculated at the 69th percentile of the survey data, becoming effective April 1, 2014. The results of the survey are attached as Attachment 2.7.3. NYS strives to provide equal access to care for parents of children receiving subsidies by basing payment rates on the most recent child care rate survey conducted; establishing maximum payment rates for different kinds of care, different locations around the state, and different ages of children; and establishing payment rates that are as close as possible to the 75th percentile of the market rate survey data. At the 69th percentile, parents of children receiving a child care subsidy are able to use their child care subsidy to purchase care from approximately 7 out of 10 providers in each modality of care.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) The child care subsidy program is a State- supervised and local social services district- administered system. OCFS believes that social services districts are in the best position to determine the needs of their communities and how best to meet those needs. As such, OCFS developed a sliding fee scale methodology that allows districts some flexibility in establishing the family share of child care costs. Each social services district selects, in its Child and Family Services Plan, a family fee percentage between 10 percent and 35 percent that will be used in the calculation of the family share. The family share is calculated by

applying the family fee percentage against the amount of the family's annual gross income that is in excess of 100 percent of the State Income Standard. The family fee percentage must be applied for all families receiving child care subsidies in the district.

The following chart illustrates the distribution of family fee percentage used by districts as of February 05, 2013 and the percent of the average monthly number of subsidized children (not receiving temporary assistance) served by those districts within each fee percentage grouping during the period October 2011 through September 2012.

Family Fee Percentage	**Number of Districts**	**Percent of Subsidized Children**
10%-14%	4	2.4%
15%-19%	1	0.3%
20%-24%	11	9.0%
25%-29%	14	13.3%
30%-34%	3	6.2%
35%	25	68.9%
Total	58	100%

The chart below provides examples of the percent of family income that goes toward meeting the family share when calculated at several income amounts. Since each district establishes its own fee percentage, the chart illustrates the percentage of income at the lowest and the highest allowable fee percentage standards for a family of three. The chart shows that the family share as a percentage of family income increases as the family income increases. Those districts that select the highest allowable fee percentage to meet their local needs require parents to pay the highest family share.

Annual Family Income	Family Share as Percentage of Family Income* at:		
	10% (Lowest allowable fee percentage)	25% fee percentage	35% (Highest allowable fee percentage)
$19,530	Less than 1 %	Less than 1 %	Less than 1 %
$24,000	1.9%	4.7%	6.5%
$29,000	3.3%	8.2%	11.4%
$34,000	4.3%	10.6%	14.9%
$39,060	5.0%	12.5%	17.5%

**The Annual Family Income values in the chart range from 100 percent to 200 percent (the maximum financial eligibility level) of the State Income Standard. The State Income Standard effective June 1, 2013 for a family of three is $19,530. The State Income Standard is based on the poverty guidelines published in the Federal Register, Volume 78, 78FR 5182 dated January 24, 2013.*

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates _____

2.7.10 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices).

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 – ***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.*
Goal 2 - ***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.*
Goal 3 – ***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.*
Goal 4 -
Goal 5 -

Part 3

Health and Safety and Quality Improvement Activities

In this section, Lead Agencies are asked to describe their goals and plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through the State/Territory's child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both programs and the staff who work in them are a core element of CCDF. Lead Agencies have been reporting on their efforts to support program quality improvement and professional development since their initial Plans in 1999. This section allows Lead Agencies to continue to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options across settings for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency has the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

Part 3 is organized around a template of four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies over the past decade:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care programs through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

Based on information reported in past plans, it is expected that the Lead Agency will describe in these first two steps how they will continue to make systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully implemented and integrated. Each State/Territory is expected to fall on a continuum of progress as a result of these first two steps. Lead Agency's individual progress will reported using the Quality Performance Report.

3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements. The CCDBG statute and the CCDF regulations address health and safety primarily in two ways.

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4.

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.
The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to

exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) (658E(c)(2)(F), §98.41).

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

☒ Yes.
☐ No. Please identify the State or local (if applicable) entity/agency responsible for licensing _____

b.) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory. *OCFS follows the CCDF health and safety requirements. OCFS does not have a separate set of health and safety standards to report.*

c) Do the State/Territory's licensing requirements serve as the CCDF health and safety requirements?

	Center-Based Child Care	Group Home Child Care ☐ N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care ☒ N/A. Check if in-home care is not subject to licensing in your State/Territory
Yes, for all providers in this category	☐	☒	☐	☐
Yes, for some providers in this category	Describe *Yes for licensed/registered care. Legally-exempt providers meet other State standards.*	Describe_____	Describe *Yes for licensed/registered care. Legally-exempt providers meet other State standards.*	Describe_____
No	☐	☐	☐	☐
Other	Describe_____	Describe_____	Describe_____	Describe_____

d) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. For each CCDF category of care, please identify which types of providers are subject to licensing and which providers are exempt from licensing in your State/Territory in the chart below**.**
Note: OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care but consistent with your reported 801 data.

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory *Child day care means care for a child on a regular basis provided away from the child's residence for less than 24 hours per day by someone other than the parent, step-parent, guardian or relative within the third degree of consanguinity of the parents or step-parents of such child. Child day care center means a program or facility which is not a residence in which child day care, as described above, is provided on a regular basis to more than six children for more than three hours per day per child for compensation or otherw*ise	Describe which types of center-based settings are exempt from licensing in your State/ Territory *Child day care centers not required to obtain a license include:* *(A) a day camp with a permit from the NYS Department of Health,* *(B) an after-school program operated for the purpose of religious education, sports, or recreation;* *(C) a facility:* *(1) providing day services under an operating certificate issued by OCFS;* *(2) providing day treatment under an operating certificate issued by the NYS Office of Mental Health or NYS Office for Persons with Developmental Disabilities; or* *(D) a kindergarten, pre-kindergarten, or nursery school for children three years of age or older, or after-school program for children operated by a public school district or by a private school or academy which is providing elementary or secondary education or both, in accordance with the compulsory education requirements of the education law, provided that the kindergarten, pre-kindergarten, nursery school, or after-school program is located on the premises or campus where the elementary or secondary education is provided.* (*For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer*

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
			camps, or Head Start programs).
Group Home Child Care ☐ N/A. Check if your State/Territory does not have group home child care.	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes are subject to licensing *Child day care means care for a child on a regular basis provided away from the child's residence for less than 24 hours per day by someone other than the parent, step-parent, guardian or relative within the third degree of consanguinity of the parents or step-parents of such child. Group family day care home means a residence in which child day care, as described above, is provided on a regular basis for more than three hours per day per child for seven to 16 children for compensation or otherwise. Such a home must be operated by a provider and have at least one assistant present during the hours that care is provided.*	Describe which types of group homes are exempt from licensing *Group child care providers who are exempt from licensure include:* *(A) Providers caring for children who are all related to the provider within the third degree of consanguinity of the parents or step parents of the children.* *(B) Providers who are caring for children less than three hours a day, per child.*
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. **Reminder** - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are subject to licensing *Child day care means care for a child on a regular basis provided away from the child's residence for less than 24 hours per day by someone other than the parent, step-parent, guardian or relative within the third degree of consanguinity of the parents or step-parents of such child. Family day care home means a residence in which child day care, as described above, is provided on a regular basis for more than three hours per day per child for three to eight children for compensation or otherwise.*	Describe which types of family child care home providers are exempt from licensing : *Child care providers who are exempt from licensure include:* *(A) Providers caring for children who are all related to the provider within the third degree of consanguinity of the parents or step parents of the children.* *(B) Child care providers who are caring for less than three non-relative children.* *(C) Providers who are caring for children less than three hours a day, per child.*

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. **Reminder** - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	☒ N/A. Check if in-home care is not subject to licensing in your State/Territory. Describe which in-home providers are subject to licensing	Describe which types of in-home child care providers are exempt from licensing

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at http://nrckids.org/ to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's**. ☒

e) **Indicate** whether your State/Territory licensing requirements include any of the following four indicators for each category of care*.

* American Academy of Pediatrics, American Public Health Association, National Resource Center for Health and Safety in Child Care and Early Education. (2011) *Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and Education Programs. 3rd Edition.* Elk Grove Village, IL: American Academy of Pediatrics; Washington, DC: American Public Health Association. Available online: http://nrckids.org/CFOC3

Indicator	For each indicator, check all requirements for **licensing** that apply, if any.			
	Center-Based Child Care	**Group Home Child Care** ☐ N/A. Check if your State/Territory does not have group home child care.	**Family Child Care**	**In-Home Care** ☒ N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements include **child: staff ratios and group sizes**? If yes, provide the ratio for age specified.	☒ Yes, Child: staff ratio requirement Infant ratio (11 months): *6wks. To 18 mo.=1:4* Toddler ratio (35 months): *18 mo. To 36 mo. =1:5* Preschool ratio (59 months): *3Yrs =1:7* *4 yrs. = 1:8* *5 yrs. = 1:9* ☐ No ratio requirements. ☒ Yes, Group size requirement Infant group size (11 months): *8* Toddler group size (35 months): *12* Preschool group size (59 months): *3 yrs. =18* *4 yrs. = 21* *5 yrs. =24* ☐ No group size requirements.	☒ Yes, Child: staff ratio requirement Infant ratio (11 months): *under 2 yrs.= 1:2* Toddler ratio (35 months): *1:8* Preschool ratio (59 months): *1:8* ☐ No ratio requirements. ☒ Yes, Group size requirement Infant group size (11 months): *16* Toddler group size (35 months): *16* Preschool group size (59 months): *16* ☐ No group size requirements.	☒ Yes, Child: staff ratio requirement. List ratio requirement by age group: *Under 2 = 1:2* *Toddler 1:8* *Preschool 1:8* ☐ No ratio requirements. ☒ Yes, Group size requirement. List ratio requirement by age group *8* ☐ No group size requirements.	☐ Yes, Child: staff ratio requirement. List ratio requirement by age group: ☐ No ratio requirements. ☐ Yes, Group size requirement. List ratio requirement by age group ☐ No group size requirements.

Indicator	For each indicator, check all requirements for **licensing** that apply, if any.			
	Center-Based Child Care	**Group Home Child Care** ☐ N/A. Check if your State/Territory does not have group home child care.	**Family Child Care**	**In-Home Care** ☒ N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements identify specific educational **credentials for child care directors**?	☒ High school/GED ☒ Child Development Associate (CDA) ☒ State/ Territory Credential ☐ Associate's degree ☒ Bachelor's degree ☐ No credential required for licensing ☒ Other: *Each category checked above includes the requirement for experience in the child care field. In addition, individuals with an Associate's degree or a state credential (CDA) must have a plan of study leading to a bachelor's degree or a Children's Program Administrator's Credential.*	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☒ No credential required for licensing ☒ Other: *A minimum of either two years of experience caring for children under six years of age, or one year of experience caring for children under six years of age plus six hours of training or education in early childhood development.*	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☒ No credential required for licensing ☒ Other: *A minimum of either two years of experience caring for children under six years of age, plus six hours of training or education in early childhood development.*	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:
Do the licensing requirements identify specific educational **credentials for child care teachers**?	☒ High school/GED ☒ Child Development Associate (CDA) ☐ State/ Territory Credential ☒ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☒ Other: *All individuals with a CDA must also have two years' experience related to caring for children.*	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☒ No credential required for licensing ☒ Other: *A minimum of either two years of experience caring for children under six years of age, or one year of experience caring for children under*	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☒ No credential required for licensing ☒ Other: *A minimum of either two years of experience caring for children under six years of age, or one year of experience caring for children under six years of age*	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:

Indicator	For each indicator, check all requirements for **licensing** that apply, if any.			
	Center-Based Child Care	**Group Home Child Care** ☐ N/A. Check if your State/Territory does not have group home child care.	**Family Child Care**	**In-Home Care** ☒ N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
		six years of age plus six hours of training or education in early childhood development.	*plus six hours of training or education in early childhood development.*	
Do the licensing requirements specify that directors and caregivers must attain a specific number of **training hours per year**?	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☒ Other: *Thirty hours of training is required every two years. Fifteen of the 30 required hours of training must be completed in the first six months of employment.*	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☒ Other: *Thirty hours of training is required every two years. Fifteen of the 30 required hours of training must be completed in the first six months of employment. Group family day care providers must complete health and safety training prior to receiving a license to provide care.*	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☒ Other: *Thirty hours of training is required every two years. Fifteen of the 30 required hours of training must be completed in the first six months of employment. Family day care providers must complete health and safety training prior to receiving a license to provide care.*	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:

f) Do you expect the licensing requirements for child care providers to change in FY2014-2015?

☒ Yes. Describe: *OCFS is currently working on proposed regulatory revisions that would include mandating an orientation session for all applicants for licensure or registration. The orientation script has been written and portions have already been filmed. The orientation will be an on-line session.*

Also proposed in new regulation is a requirement for owners who operate multiple family-based programs to complete a training on administering and managing multiple day care programs.

Adopted in Social Services Law 390 in 2010 was the requirement to have at least one caregiver trained in CPR and first aid, on site, during program hours. This requirement will be added to the proposed regulations.

In addition, OCFS is in the midst of a certification process for all those who train regulated child care providers. This will include certifying the trainer and approving the topic area for credit. This "Registry" will track all training data.

☐ No

3.1.2 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.2a through 3.1.2e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

a) Does your State/Territory include **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the licensing requirements?

☒ Yes. If "Yes" please refer to the chart below and check all that apply.
☐ No

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
☒ Center-Based Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☒ Other. Describe *Although inspections must be performed every two years at a minimum, in fact, inspections are performed more often than required, by multiple agencies and for many reasons.* *Agency visits that may be announced (are not required to be unannounced) are: Department of Health inspections, fire and safety inspections by local code inspectors, OCFS licensing staff*	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☒ Other. Describe *Unannounced visits include visits for the purpose of investigating complaints and to monitor for regulatory compliance.* *In addition, OCFS announced to the field, in 2012, the goal of conducting quarterly program inspections. For the most part these inspections are unannounced, unless the program is set to renew its*

	inspections, fire alarm/detection inspection, fire suppression inspection, and Department of Labor heating contractor inspection.	*program license or registration.*
☒ Group Home Child Care ☐ N/A. Check if your State/Territory does not have group home child care.	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☒ Other. Describe *Although inspections must be performed every two years at a minimum, inspections are performed more often than required. Purposes of announced visits: required renewal inspections, technical assistance, pool inspections, change in child capacity requests, and safety assessment interviews associated with criminal history reviews.*	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☒ Other. Describe *Unannounced visits include visits for the purpose of investigating complaints and to monitor for regulatory compliance.* *In addition, OCFS announced to the field, in 2012, the goal of conducting quarterly program inspections. For the most part these inspections are unannounced, unless the program is set to renew its program license.*
☒ Family Child Care Home	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☒ Other. Describe *Although inspections must be performed every two years at a minimum, inspections are performed more often than required. Purposes of announced visits: required 50% complete inspections, technical assistance, pool inspections, change in child capacity requests and safety assessment interviews associated with criminal history reviews.*	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☒ Other. Describe: *Unannounced visits include visits for the purpose of investigating complaints and to monitor for regulatory compliance.* *In addition, OCFS announced to the field, in 2012, the goal of conducting quarterly program inspections. For the most part these inspections are unannounced, unless the program is required to have a 50% complete inspection.*
☐ In-Home Child Care ☒ N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____

b) Does your State/Territory have any of the following procedures in place for effective enforcement of the licensing requirements? If procedures differ based on the category of care, please indicate how in the "Describe" box.

☒ Yes. If "Yes" please refer to the chart below and check all that apply.
☐ No

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	☐ Yes. Describe _____
	☒ No.
	☒ Other. Describe: *OCFS is presently pursuing approval to require an orientation training for all applicants seeking a license or registration. OCFS is committed to offering orientation and is in the process of producing an on-line orientation session.*
The State/Territory has procedures in place for licensing staff to inspect centers and family child care home prior to issuing a license.	☒ An on-site inspection is conducted.
	☐ Programs self-certify. Describe _____
	☐ No procedures in place.
	☐ Other. Describe _____
Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	☐ Provisional or probationary license
	☒ License revocation or non-renewal
	☒ Injunctions through court
	☒ Emergency or immediate closure not through court action
	☒ Fines for regulatory violations
	☐ No procedures in place.
	☐ Other. Describe _____
The State/Territory has procedures in place to respond to illegally operating child care facilities.	☒ Cease and desist action
	☒ Injunction
	☒ Emergency or immediate closure not through court action
	☒ Fines
	☐ No procedures in place.
	☐ Other. Describe _____
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	☒ Yes. Describe All enforcement action are associated with hearing rights. *Enforcement cases are scheduled at the provider's request and heard by an Administrative Law Judge, who oversees the hearing 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.*
	☐ No.
	☐ Other. Describe _____

c) Does your State/Territory use **background checks as a way to effectively enforce the licensing requirements?**

☒ Yes. If "Yes" please refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency.

☐ No

CCDF Categories of Care	**Types of Background Check**	**Frequency**	**Who is Subject to Background Checks?**
☒ **Center-Based Child Care**	☒ Child Abuse Registry	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *The State Central Register of Child Abuse and Maltreatment notifies OCFS of reports involving child care programs. OCFS conducts collaborative investigations with Child Protective on these cases.*	☒Director ☒ Teaching staff ☒ Non-teaching staff ☒ Volunteers ☒ Other: *All persons who have regular and substantial contact with children in care.*
	☒ State/Territory Criminal Background ☒ Check if State/Territory background check includes fingerprints	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *OCFS no longer uses fingerprint* ***cards****. Fingerprinting is conducted through "Live Scan," a digital, more accurate method of fingerprinting. Live Scan takes an actual image of a person's fingerprints and sends them digitally to the NYS Division of Criminal Justice (DCJS). The process is more accurate, and much faster than" ink and roll." DCJS checks the criminal background of the person with the Live Scan prints and sends this information to OCFS for a review of the person's qualifications to be a*	☒Director ☒ Teaching staff ☒ Non-teaching staff ☒ Volunteers ☒ Other: *All persons who have regular and substantial contact with children in care.*

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
		caretaker of children. In addition, OCFS maintains a "search and retain" contract with DCJS. Search and retain means that the OCFS is notified whenever a child care provider or staff member is arrested for any crime after his or her initial background check.	
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____	☐ Director ☐ Teaching staff ☐ Non-teaching staff ☐ Volunteers ☐ Other _____
	☒ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *The Lead Agency is reviewing the feasibility of checking the sex offender registry for all day care applications and periodic checks thereafter.*	☒ Director ☒ Teaching staff ☒ Non-teaching staff ☒ Volunteers ☒ Other *All persons who have regular and substantial contact with children in care.*
☒ **Group Child Care Homes**	☒ Child Abuse Registry	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *The State Central Register of Child Abuse and Maltreatment notifies OCFS of reports involving day care programs. OCFS conducts collaborative investigations with Child Protective on these cases.*	☒Provider ☒Non-provider residents of the home *age 18 and older*
	☒ State/Territory Criminal Background ☒ Check if the State/Territory background	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *"Live Scan" digital imaging is used. A "search and retain"*	☒Provider ☒Non-provider residents of the home *age 18 and older*

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	check includes fingerprints	*system is in place. (See above under Center-Based Child Care for further details.)*	
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe	☐ Provider ☐Non-provider residents of the home
	☒ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *The Lead Agency is reviewing the feasibility of checking the sex offender registry for all day care applications and periodic checks thereafter.*	☒ Provider ☒Non-provider residents of the home *All persons who have regular and substantial contact with children in care.*
☒ **Family Child Care Homes** Who is subject to background checks for family child care homes? ☒ Provider ☒Non-provider residents of the home	☒ Child Abuse Registry	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *The State Central Register of Child Abuse and Maltreatment notifies OCFS of reports involving day care programs. OCFS conducts collaborative investigations with Child Protective on these cases.*	☒Provider ☒Non-provider residents of the home *age 18 and older*
	☒ State/Territory Criminal Background ☒ Check if the State/Territory background check includes fingerprints	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe: *"Live Scan" digital imaging is used. A "search and retain" system is in place. (See above under Center-Based Child Care for further details.)*	☒Provider ☒Non-provider residents of the home *age 18 and older*

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____	☐ Provider ☐Non-provider residents of the home _____
	☒ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe *The Lead Agency is reviewing the feasibility of checking the sex offender registry for all day care applications and periodic checks thereafter.*	☒ Provider ☒ Non-provider residents of the home *All persons who have regular and substantial contact with children in care.*
☐ **In-Home Child Care Providers** ☒ N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____	☐ Provider ☐Non-provider residents of the home _____
	☐ State/Territory Criminal Background ☐Check if the State/Territory background check includes fingerprints	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____	☐Provider ☐Non-provider residents of the home
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____	☐ Provider ☐Non-provider residents of the home _____
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____	☐ Provider ☐Non-provider residents of the home _____

d) Please **provide a brief overview** of the State/Territory's process for conducting background checks for child care. In this brief overview, include the following:

d -1) The cost associated with each background check conducted is *the cost of imaging a fingerprint is $85.75 per fingerprint image for criminal history background checks. Child abuse background checks are completed by OCFS and a fee of $25.00 is charged to the provider per background check for child care employees, which is a portion of the expense.*

d-2) Who pays for background checks *OCFS pays for all fingerprint images with CCDF funds. Both OCFS (with CCDF funds) and the employees or providers pay for child abuse background checks.*

d-3) What types of violations would make providers ineligible for CCDF? Describe *Where the criminal history record of an applicant to be an operator of a child day care center, group family day care home, family day care home, or any person over the age of eighteen residing in such a home, reveals a felony conviction at any time for a sex offense, crime against a child, or a crime involving violence, or a felony conviction within the past five years for a drug-related offense, OCFS will deny the application unless the Office determines, in its discretion, that approval of the application will not in any way jeopardize the health, safety or welfare of the children in the center, program or home.*

d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe *Unless the OCFS decision impacts the continued operation of the program, there is no appeal process. If the decision is to deny, suspend, revoke, or otherwise limit the program's operation, the program is entitled to a hearing. Hearings are overseen by an Administrative Law Judge, who tries 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.*

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? _____ (658E(c)(2)(E), §98.40(a)(2))

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other "search tools," about child care program licensing status and compliance records?

☒ Yes. Describe: *OCFS maintains a child care facility search webpage at: http://it.ocfs.ny.gov/ccfs_facilitysearch/. Parents may search by license/registration number, facility name, type, county, zip code, and/or school district. This web search also allows parents to filter the results by those facilities authorized to administer medications, and those facilities offering non-traditional hours of care. Once a particular child care program is selected, a parent may view the program's contact information, years in operations, child enrollment capacity, compliance history, the status of violations (corrected or not corrected), and whether the program is currently in enforcement due to violations of regulation.*

This same information is available to parents who call a licensing or registration office or a Child Care Resource and Referral agency.

☐ No

3.1.3. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and which also may be covered by the licensing requirements. (658E(c)(2)(F), §98.41)

☒ Check if the Lead Agency certifies that there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

a) **Describe** the Lead Agency's health and safety requirements for prevention and control of infectious disease in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(i), §98.41(a)(1))

The Lead Agency requires:	**For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.**			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☒ Physical exam or health statement for providers	☒	☒	☒	☐
☒ Physical exam or health statement for children	☒	☒	☒	☐
☒ Tuberculosis check for providers	☒	☒	☒	☐
☐ Tuberculosis check for children **TB Tests are at the physician's discretion.**	☐	☐	☐	☐
☐ Provider immunizations	☐	☐	☐	☐
☒ Child immunizations	☒	☒	☒	☐
☒ Hand-washing policy for providers and children	☒	☒	☒	☐
☒ Diapering policy and procedures	☒	☒	☒	☐
☐ Providers to submit a self-	☐	☐	☐	☐

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
certification or complete health and safety checklist				
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☒ Other. Describe *Some licensed exempt center-based providers meet the requirements of another oversight entirety that fulfills the CCDF health and safety requirements. They must also submit a self-certification. License-exempt family, in-home and center-based providers not operating under the auspices of another oversight entity, must:* *-- submit a self-certification,* *--submit a complete health and safety checklist,* *--obtain proof of child immunizations (or alternative)* *--receive instructions for hand-washing and diapering practices*	☒	☒	☐	☒

b) **Describe** the Lead Agency's health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	**Family child care home providers**	**Group home child care providers**	**In-home child care providers**
☒ Fire inspection	☒	☒	☒	☐
☒ Building inspection	☒	☐	☐	☐
☒ Health inspection	☒	☐	☐	☐

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
☒ Inaccessibility of toxic substances policy	☒	☒	☒	☐
☒ Safe sleep policy	☒	☒	☒	☐
☒ Tobacco exposure reduction	☒	☒	☒	☐
☒ Transportation policy	☒	☒	☒	☐
☐ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☐
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☒ Other. Describe *Some licensed-exempt, center-based providers meet the requirements of another oversight entirety that fulfills the CCDF health and safety requirements. License-exempt family, in-home and center-based providers not operating under the auspices of another oversight entity, must submit a complete health and safety checklist.*	☒	☒	☐	☒

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc.). "On-going" would be some type of routine occurrence (e.g., maintain qualifications each year).

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	*All child day care programs must have at least one caregiver, who holds a valid certificate in cardiopulmonary resuscitation (CPR)*	*Certification in CPR and first aid must be kept current.*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		and first aid, on the premise of the child care program during the program's operating hours	
	CPR	*All child day care programs must have at least one caregiver, who holds a valid certificate in cardiopulmonary resuscitation (CPR) and first aid, on the premise of the child care program during the program's operating hours.*	*Certification in CPR and first aid must be kept current.*
	Medication Administration Policies and Practices	*N/A*	*All caregivers who have agreed to administer medication must complete an approved medication administration training or an OCFS-approved equivalent before administering medications to children in day care. The certification of training in the administration of medications to children in day care shall be effective for a period of three years from the date of issuance. The caregiver must complete an approved recertification training in order to extend the certification for each additional three-year-period. (Where a certification lapses, the caregiver may not be recertified unless the caregiver completes the initial medication administration training or the recertification training, as required by OCFS.)*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Poison Prevention and Safety	*N/A*	*All program staff must complete a total of thirty (30) hours of training every two years. Such training must address nine topics specified in state statute. Poison prevention and safety would be addressed within "Nutrition and health needs of infants and children."*
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Shaken Baby Syndrome and abusive head trauma prevention	*N/A*	*This is one of NYS' statutorily mandated training topic areas: "Education and information on the identification, diagnosis and prevention of shaken baby syndrome"*
	Age appropriate nutrition, feeding, including support for breastfeeding	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Physical Activities	*N/A*	*Addressed within "Principles of childhood development"*
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Recognition and mandatory reporting of suspected child abuse and neglect	*N/A*	*Two statutorily mandated topic areas focus on child abuse and neglect: "Child abuse and maltreatment identification and prevention" and "Statutes and regulations pertaining to child abuse and maltreatment." Traini ng hours in both topic area are required.*
	Emergency preparedness and planning	*N/A*	*Addressed within*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	response procedures		*"Safety and security procedures"*
	Management of common childhood illnesses, including food intolerances and allergies	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Transportation and child passenger safety (if applicable)	*N/A*	*Addressed within "Safety and security procedures"*
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	*N/A*	*Addressed within "Child day care program development"*
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	*N/A*	*Addressed within "Principles of childhood development"*
	Supervision of children	*N/A*	*Addressed within "Child day care program development"*
	Behavior management	*N/A*	*Addressed within "Principles of childhood development"*
	Other. Describe: *Although not focused on health and safety per se, there are two other statutorily required training topic areas: "Business record maintenance and management" and "Statutes and regulations pertaining to child day care."*	*N/A*	*There are two other statutorily required training topic areas: "Business record maintenance and management" and "Statutes and regulations pertaining to child day care."*
Group Home Child Care	First Aid	*All child day care programs must have at least one caregiver, who holds a valid certificate in cardiopulmonary resuscitation (CPR) and first aid, on the premise of the child care program during the program's operating hours.*	*Certification in CPR and first aid must be kept current.*
	CPR	*All child day care programs must have at least one caregiver, who holds a valid certificate in*	*Certification in CPR and first aid must be kept current.*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		cardiopulmonary resuscitation (CPR) and first aid, on the premise of the child care program during the program's operating hours	
	Medication Administration Policies and Practices	*N/A*	*All caregivers who have agreed to administer medication must complete an approved medication administration training or an OCFS-approved equivalent before administering medications to children in day care. The certification of training in the administration of medications to children in day care shall be effective for a period of three years from the date of issuance. The caregiver must complete an approved recertification training in order to extend the certification for each additional three-year-period. (Where a certification lapses, the caregiver may not be recertified unless the caregiver completes the initial medication administration training or the recertification training, as required by OCFS.)*
	Poison Prevention and Safety	*N/A*	*Each provider and assistant must complete a total of thirty (30) hours of training every two years. Such training must address nine topics specified in state statute. Poison prevention and safety*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			would be addressed within "Nutrition and health needs of infants and children."
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Shaken Baby Syndrome and abusive head trauma prevention	*N/A*	*This is one of NYS' statutorily mandated training topic areas: "Education and information on the identification, diagnosis and prevention of shaken baby syndrome"*
	Age appropriate nutrition, feeding, including support for breastfeeding	*N/A*	Addressed within "Nutrition and health needs of infants and children."
	Physical Activities	*N/A*	Addressed within "Principles of childhood development"
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	*N/A*	Addressed within "Nutrition and health needs of infants and children."
	Recognition and mandatory reporting of suspected child abuse and neglect	*N/A*	*Two statutorily mandated topic areas focus on child abuse and neglect: "Child abuse and maltreatment identification and prevention" and "Statutes and regulations pertaining to child abuse and maltreatment." Traini ng hours in both topic area are required.*
	Emergency preparedness and planning response procedures	*N/A*	*Addressed within "Safety and security procedures"*
	Management of common childhood illnesses, including food intolerances and allergies	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Transportation and child passenger safety (if applicable)	*N/A*	*Addressed within "Safety and security procedures"*
	Caring for children with special health	*N/A*	*Addressed within*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		*"Child day care program development"*
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	*N/A*	*Addressed within "Principles of childhood development"*
	Supervision of children	*N/A*	*Addressed within "Child day care program development"*
	Behavior management	*N/A*	*Addressed within "Principles of childhood development"*
	Other. *Describe Family-based providers must complete a 15-hour OCFS-approved course in Health and Safety prior to receiving a license or registration. All assistants hired after the initial licensure of the home must complete a minimum of fifteen hours of training during the first six months after becoming an assistant. In addition, although not focused on health and safety per se, there are two other statutorily required training topic areas: "Business record maintenance and management" and "Statutes and regulations pertaining to child day care."*	*Family-based providers must complete a 15-hour OCFS-approved course in Health and Safety prior to receiving a license or registration. All assistants hired after the initial licensure of the home must complete a minimum of fifteen hours of training during the first six months after becoming an assistant.*	*There are two other statutorily required training topic areas: "Business record maintenance and management" and "Statutes and regulations pertaining to child day care."*
Family Child Care Providers	First Aid	*All child day care programs must have at least one caregiver, who holds a valid certificate in cardiopulmonary resuscitation (CPR) and first aid, on the premise of the child care program during the program's operating hours*	*Certification in CPR and first aid must be kept current.*
	CPR	*All child day care programs must have at least one caregiver, who holds a valid certificate in cardiopulmonary resuscitation (CPR)*	*Certification in CPR and first aid must be kept current.*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		and first aid, on the premise of the child care program during the program's operating hours	
	Medication Administration Policies and Practices	*N/A*	*All caregivers who have agreed to administer medication must complete an approved medication administration training or an OCFS-approved equivalent before administering medications to children in day care. The certification of training in the administration of medications to children in day care shall be effective for a period of three years from the date of issuance. The caregiver must complete an approved recertification training in order to extend the certification for each additional three-year-period. (Where a certification lapses, the caregiver may not be recertified unless the caregiver completes the initial medication administration training or the recertification training, as required by OCFS.)*
	Poison Prevention and Safety	*N/A*	*Each provider and assistant must complete a total of thirty (30) hours of training every two years. Such training must address nine topics specified in state statute. Poison prevention and safety would be addressed within "Nutrition and*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			health needs of infants and children."
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Shaken Baby Syndrome and abusive head trauma prevention	*N/A*	*This is one of NYS' statutorily mandated training topic areas: "Education and information on the identification, diagnosis and prevention of shaken baby syndrome"*
	Age appropriate nutrition, feeding, including support for breastfeeding	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Physical Activities	*N/A*	*Addressed within "Principles of childhood development"*
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	*N/A*	*Addressed within "Nutrition and health needs of infants and children.*
	Recognition and mandatory reporting of suspected child abuse and neglect	*N/A*	*Two statutorily mandated topic areas focus on child abuse and neglect: "Child abuse and maltreatment identification and prevention" and "Statutes and regulations pertaining to child abuse and maltreatment." Traini ng hours in both topic area are required.*
	Emergency preparedness and planning response procedures	*N/A*	*Addressed within "Safety and security procedures"*
	Management of common childhood illnesses, including food intolerances and allergies	*N/A*	*Addressed within "Nutrition and health needs of infants and children."*
	Transportation and child passenger safety (if applicable)	*N/A*	*Addressed within "Safety and security procedures"*
	Caring for children with special health care needs, mental health needs, and	*N/A*	*Addressed within "Child day care*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		*program development"*
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	*N/A*	*Addressed within "Principles of childhood development"*
	Supervision of children	*N/A*	*Addressed within "Child day care program development"*
	Behavior management	*N/A*	*Addressed within "Principles of childhood development"*
	Other. Describe - Describe *Family-based providers must complete a 15-hour OCFS-approved course in Health and Safety prior to receiving a license or registration.* *License-exempt family child care providers (i.e. license-exempt provider caring for children outside the child's home) are not required to participate in training. However, in order to promote the quality of care, OCFS established an enhanced rate of subsidy reimbursement for those license-exempt providers who complete ten (10) hours of child care training/year in the areas above. A one day course in medication administration is also available for license-exempt providers.*	*Family-based providers must complete a 15-hour OCFS-approved course in Health and Safety prior to receiving a license or registration. All assistants hired after the initial licensure of the home must complete a minimum of fifteen hours of training during the first six months after becoming an assistant.*	*There are two other statutorily required training topic areas: "Business record maintenance and management" and "Statutes and regulations pertaining to child day care."*
In-Home Child Care Providers	First Aid	*N/A*	*N/A*
	CPR	*N/A*	*N/A*
	Medication Administration Policies and Practices		
	Poison Prevention and Safety	*N/A*	*N/A*
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	*N/A*	*N/A*
	Shaken Baby Syndrome and abusive head trauma prevention	*N/A*	*N/A*
	Age appropriate nutrition, feeding, including support for breastfeeding	*N/A*	*N/A*
	Physical Activities	*N/A*	*N/A*
	Procedures for preventing the spread	*N/A*	*N/A*

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect	*N/A*	*N/A*
	Emergency preparedness and planning response procedures	*N/A*	*N/A*
	Management of common childhood illnesses, including food intolerances and allergies	*N/A*	*N/A*
	Transportation and child passenger safety (if applicable)	*N/A*	*N/A*
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	*N/A*	*N/A*
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	*N/A*	*N/A*
	Supervision of children	*N/A*	*N/A*
	Behavior management	*N/A*	*N/A*
	Other. Describe-- *License-exempt In-Home child care providers are not required to participate in training. However, in order to promote the quality of care, OCFS established an enhanced rate of subsidy reimbursement for those license-exempt providers who complete ten (ten) hours of child care training/year in the areas above. A one day course in medication administration is also available for license-exempt providers.*	*N/A*	*N/A*

d) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii))(A))

☒ All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
☐ Relative providers are NOT required to meet <u>any</u> health and safety requirements as described in 3.1.2a-c, as appropriate.

☐ Relative providers are subject to certain requirements. Describe the different requirements _____

e) Provide a web address for the State/Territory's health and safety requirements, if available: *Enrolled legally-exempt child care providers: http://www.ocfs.state.ny.us/main/childcare/regs/415%20Child%20Care%20ServicesA.pdf*

3.1.4 Describe the State/Territory's policies for effective enforcement of the health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described above for licensed providers, please describe how the State/Territory enforces the CCDF health and safety enforcement requirements. _____

a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced)
Enrolled Legally-Exempt Child Care Providers: Per OCFS regulations, legally-exempt caregiver enrollment agencies (LECEA) conduct on-site inspections, announced or unannounced, on an annual basis of at least 20 percent of the currently enrolled legally-exempt family child care providers that are not participating in the Child and Adult Food Care Program (CACFP). Providers participating in CACFP receive three visits per year from the New York State Department of Health. In addition, OCFS is working with local social services districts to implement, at local district option, on-site visits of in-home child care providers. Non-compliance with health and safety requirements is tracked in the Child Care Facility System. Based on guidance from OCFS, the LECEA will either work with the provider to bring a non-compliant provider into compliance within 30 days and/or take action to terminate the provider's enrollment. The local social services district is notified when changes occur which impact the provider's eligibility to provide subsidized child care.

The LECEA is required to investigate any complaints of regulatory non-compliance for all modalities of legally-exempt child care. Site visits may be announced or unannounced.

b) Describe whether the Lead Agency uses background checks
Enrolled Legally-Exempt Child Care Providers are subject to the following background checks:
- *New York State Sex Offender Registry- Legally-exempt family and in-home child care providers undergo a sex offender registry check at initial enrollment and annually thereafter. Additionally, any persons helping a family or in-home child care provider to care for the children (employees or volunteers) are also required to undergo the sex offender registry check. Household members of family child care providers are also subject to the check of the sex offender registry.*

- *For family and In-home child care providers, a check of the local district child welfare database is required to verify whether the provider has had his or her parental rights terminated or had a child removed under Family Court Act (FCA) Article 10. The results of this check include only those records belonging to the county which conducts the check. Policy states that when the provider has had his/her parental rights terminated or has had a child removed from his/her care by court order in a Child Protective proceeding (FCA Article 10), the enrollment is presumptively denied. The provider may then request a review of extenuating circumstances be conducted.*
- *For family and in-home child care providers, a check of the child care licensing database is required, to verify whether the provider has ever been denied a child care license or registration or had a child care license or registration suspended or revoked.*
- *A local social services district may obtain approval from OCFS to conduct an additional local standard for enrollment of legally-exempt providers which may include a local criminal background check of the provider and others who help to care for the children.*
- *A local social services district may obtain approval from OCFS to conduct an additional local standard for enrollment of legally-exempt providers to verify the provider has told the parent true and accurate information regarding any indicated reports of child abuse or maltreatment. The provider must identify all individuals who may be helping to care for the children. If any of the individuals have been the subject on an indicated report of child abuse or maltreatment, the person must give the parent true and accurate written information regarding the child abuse or maltreatment.*

c) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements
On an ongoing basis, the following monitoring and enforcement activities occur in regards to license-exempt caregivers enrolled to provide subsidized child care:

a. *Per OCFS regulation, LECEA conduct on-site inspections, announced or unannounced, on an annual basis, of at least 20 percent of the currently enrolled legally-exempt family child care providers that do not participate in the Child and Adult Care Food Program (CACFP). Providers who are participating in CACFP receive routine visits from the New York State Department of Health.*
b. *LECEA must investigate allegations of non-compliance with enrollment regulations by enrolled providers.*
c. *Policies are in place to guide decision-making when non-compliance is found. Based on guidance from OCFS, the LECEA will either work with the provider, using a Corrective Action Plan to bring a non-compliant provider into compliance within 30 days and/or take action to terminate the provider's enrollment.*
d. *Non-compliance is tracked in the Child Care Facility System.*

e. *The LECEA may terminate the enrollment of a License-exempt caregiver based on non-compliance, and the local district may suspend issuance of subsidy payments.*
f. *The local district may disqualify a provider for five years or longer when fraud is established.*
g. *OCFS has developed three training courses for LECEA staff addressing enrollment procedures, non-compliance issues and critical decision-making.*
h. *OCFS has developed training for legally-exempt providers and provided funds for unions to provide training to legally-exempt providers.*

d) Does the Lead Agency permit providers to self-certify compliance with applicable health and safety standards?

☒ Yes. If Yes, what documentation, if any, is required? Describe
License-exempt (Legally-exempt) caregivers do self-certify to compliance with health and safety standards. No documentation is required by State regulations. However, some local districts have established OCFS-approved additional standards for enrollment which verify the provider's attestation to applicable health and safety standards.
☐ No

☒ Check if the Lead Agency certifies that procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

3.1.5. Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs? Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities.

☐ Yes. Describe _____

a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

☐ Yes. Describe _____
☐ No
☐ Other Describe _____

b) If yes, are resources and supports provided to programs to help them understand how families are referred to indicated services and how to work with the health, mental health, and developmental disabilities agencies to support children when follow-up to screening is needed?

☐ Yes. Describe _____

☐ No
☐ Other Describe:

c) Does the State/Territory use a single developmental screening and referral tool?

☐ Yes. If Yes, provide the name of the tool _____
☐ No
☐ Other. Describe _____

3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance – What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) Data on licensing and health and safety. Indicate if the Lead Agency or another agency has access to data on:

☒ Number of licensed programs. Describe (optional) _____
☒ Numbers of programs operating that are legally exempt from licensing. Describe (optional) *only those legally-exempt programs that are receiving CCDF subsidies.*
☒ Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) _____
☐ Number of injuries in child care as defined by the State/Territory. Describe (optional) *OCFS does not have a standard definition of what constitutes a child "injury." However, "serious" injury is defined in OCFS policy. Serious injuries must be reported to the Office per regulation, and an unannounced inspection of the program is then made. Another route by which the office is notified of a child's injury is through a report of child abuse and maltreatment. OCFS investigates these reports in collaboration with child protective services staff. OCFS has records and counts of enforcement actions and violations but cannot at this time 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 occurring at child care programs, because the Child Care Facility System (CCFS), the regulatory database of record for child care, does not capture this detail. OCFS will consider adding a field to record this category when we begin to develop the enforcement module in CCFS later this year.*
☐ Number of fatalities in child care as defined by the State/Territory. Describe (optional) *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 Abuse and Maltreatment Register, not in the child care regulatory database. Moreover, the data do not include any child fatalities associated with Sudden Infant Death Syndrome, of which we know some occur. We do not believe it would be practical to attempt to re-tool the child protective database. Rather, our emphasis going forward will be to make changes in CCFS. We have designated this an important area for consideration in building the enforcement application in CCFS, which will begin later this year.

☐ Number of injuries and fatalities in child care as defined by the State/Territory. Describe (optional)

☒ Number of monitoring visits received by programs. Describe (optional) _____

☒ Caseload of licensing staff. Describe (optional) _____

☒ Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional) _____

☐ Other. Describe _____

☐ None

b) **Performance measurement**. What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements? *As noted above, the Child Care Facility System (CCFS), a statewide automated database, includes data on the number and variety of regulatory violations, the enforcement status of every regulated child care program in the state, and other variables relevant to compliance with health and safety requirements. OCFS uses this information primarily as a management tool. It is also used to inform the development of CCDF-funded professional development for both providers and regulatory staff. In addition, OCFS can evaluate performance measures on licensing and health and safety requirements such as: the timeliness of initial licensing; renewal licensing; complaint investigations; safety assessments; and the number, type, and timeliness of completed inspections. Regional Office managers can assess this info against the caseloads of the staff in their offices. Home Office can also evaluate Regional Office operations, targets, and overall compliance with statutory and policy guidelines. OCFS's contracted registration offices, which operate by way of performance-based contracts, are also assessed using these standards, and can be fiscally penalized for not meeting contractually agreed-upon standards. Besides data from CCFS, OCFS also has the benefit of information shared by the NY Department of Health (DOH) Child and Adult Care Food Program (CACFP). For example, DOH frequently notifies OCFS if, during a CACFP site visit, overcapacity violations are observed; also if extremely poor conditions exist in the household. In essence, this provides OCFS with an "extra pair of eyes."*

c) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. *In addition to what is described in b) above, OCFS is currently developing a series of monthly management reports that will pull data from its Child Care Facility System (CCFS) to identify trends, workloads, timeliness, adherence to regulatory requirements, inspection reasons, and follow-up monitoring data. These reports will be used as tools for*

regional managers to assess their office workloads, identify problem areas and institute changes to better serve children in child care settings. OCFS is also taking first steps in a plan to require approval of both trainers and training topics that will meet the 30-hour training requirement for all caretakers in regulated child care programs. This plan will include an electronic system that will store all information concerning approved training programs, approved trainers, individual training records, and associated work sites, topic areas and hours completed. OCFS will begin to monitor all programs for compliance with recent changes in law that require that a staff person trained in CPR and First Aid be on-site at all times the program is in operation.

3.1.7 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 – *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.*
Goal 2 – *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.*
Goal 3 -
Goal 4 -
Goal 5 -

CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link http://www.acf.hhs.gov/programs/occ/ccdf/gpra/measures.htm to see the CCDF performance measures. A number of these performance measures rely on information

reported in the State and Territorial Plans as a data source. We have added a ruler icon in Section 3.2 through 3.4 order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary because States/Territories are not required to develop such guidelines or implement them in a specified manner.

3.2.1 Has the State/Territory developed voluntary early learning guidelines for children? Check any early learning guidelines the State/Territory has developed.

☒ Birth-to-three
☒ Three-to-five
☒ Five years and older
☐ None. **Skip to 3.2.6.**

If yes, insert web addresses, where possible:
http://www.ccf.ny.gov/ECAC/ECACResources/ELG.pdf

Which State/Territory agency is the lead for the early learning guidelines? *The Council on Children and Families, through the Early Childhood Advisory Council (ECAC), has developed early learning guidelines for children ages birth through five; the New York State Education Department (SED) has developed early learning standards for what children should be able to know and do by the end of their pre-school experience, upon entering kindergarten. SED also has standards for children age five (kindergarten) and older. The early learning guidelines developed by the ECAC's Workforce Development Work Group were formally released to the field in April, 2012. They have been aligned with both the State Education Department's Pre-Kindergarten Standards (*http://www.p12.nysed.gov/upk*) and the Head Start Child Outcomes Framework (*http://www.hsnrc.org/cdi/pdfs/UGCOF.pdf*).*

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and	☒	☒	☒

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
health			
Social and emotional development	☒	☒	☒
Approaches to learning	☒	☒	☒
Logic and reasoning (e.g., problem-solving)	☒	☒	☒
Language development	☒	☒	☒
Literacy knowledge and skills	☒	☒	☒
Mathematics knowledge and skills	☒	☒	☒
Science knowledge and skills	☒	☒	☒
Creative arts expression (e.g., music, art, drama)	☒	☒	☒
Social studies knowledge and skills	☒	☒	☒
English language development (for dual language learners)	☒	☒	☐
List any domains not covered in the above _____	☐	☐	☐
Other. Describe ____ ____	☐	☐	☐

3.2.3 To whom are the early learning guidelines disseminated and in what manner? Check all audiences and methods that your State/Territory has chosen to use in the chart below.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	☒	☐	☐
Parents using child care more broadly	☒	☐	☐
Practitioners in child care centers	☒	☒	☐
Providers in family child care homes	☒	☒	☐
Practitioners in Head Start	☒	☒	☐
Practitioners in Early Head Start	☒	☒	☐
Practitioners in public Pre-K program	☒	☒	☐
Practitioners in elementary schools	☐	☐	☐
Other. List *Early childhood teacher education faculty*	☒	☒	☐

3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

☐ To define the content of training required to meet licensing requirements
☒ To define the content of training required for program quality improvement standards (e.g., QRIS standards)
☒ To define the content of training required for the career lattice or professional credential
☐ To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
☒ To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
☐ To develop State-/Territory –approved curricula
☒ Other. List *Although required training topics exist in statute, and so cannot be modified without a statutory change, all new contracted training will require that contractors incorporate the Early Learning Guidelines and the Core Body of Knowledge into the design of their work.*
☐ None.

3.2.5 Are voluntary early learning guidelines and development standards aligned with into other parts of the child care system? Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

☒ Cross-walked to align with Head Start Outcomes Framework
☒ Cross-walked to align with K-12 content standards
☒ Cross-walked to align with State/Territory pre-k standards
☒ Cross-walked with accreditation standards
☒ Other. List: *Family Child Care Accreditation Standards*
☐ None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In this section, assessment is framed with two distinct purposes/tools – 1) ongoing assessment of children's progress within the classroom to improve and individualize instruction (this corresponds to 3.2.6a) and 2) assessments conducted within pre-kindergarten and/or at kindergarten entry to inform policymakers about the school readiness of children across the State on a broad range of domains, used to guide program initiatives (this corresponds to 3.2.6b).

In the description for each Yes response, please include a) who administers, and b) how often assessments are conducted, and c) what assessment tools are used.

a) Are programs required to conduct ongoing assessments of children's progress of children using valid, reliable and age-appropriate tools aligned with the early learning guidelines or other child standards?

☐ Yes. Describe _____

a-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

a-2) If yes, is information on child's progress reported to parents?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

☒ No
☐ Other. Describe _____

b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children as they enter kindergarten?

☐ Yes. Describe _____

b-1) If yes, do the tools cover the developmental domains identified in 3.2.2?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

b-2) If yes, are the tools used on all children or samples of children?

☐ All children. Describe _____
☐ Samples of children. Describe _____
☐ Other. Describe _____

b-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

☒ No
☐ Other. Describe _____

c) Is school readiness information linked to the statewide longitudinal data system (SLDS, program of the Department of Education)?

☐ Yes. Describe _____
☐ No
☒ Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines – What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children's attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for dissemination and implementation of the early learning guidelines? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to

require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) **Data on voluntary early learning guidelines**. Indicate if the Lead Agency or another agency has access to data on:

☒ Number/percentage of child care providers trained on ELG's for preschool aged children. Describe (optional) *1320/3 percent*
☒ Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional) *880/2 percent*
☒ Number of programs using ELG's in planning for their work. Describe (optional) *4400*
☐ Number of parents trained on or served in family support programs that use ELG's. Describe (optional) _____
☐ Other. Describe _____
☐ None

b) **Performance measurement**. What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines? *Currently, approximately 10,000 copies of the Early Learning Guidelines have been disseminated. Another 10,000 are being printed for dissemination in the coming year. These copies will be disseminated at conferences, meetings and on a by request basis. In addition, a revolving fund has been established for purchases of multiple copies of the Early Learning Guidelines by college professors and college bookstores to support early childhood education courses in colleges and universities across the state. Finally, the Early Learning Guidelines are available to download on several websites. The Lead Agency will work with the Council on Children and Families, which administers the Early Childhood Advisory Council, to track dissemination of the Early Learning Guidelines by request, purchase, and download.*

c) **Evaluation**. What are the State/Territory's plans, if any, for evaluation related to early learning guidelines and the progress of children in child care? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. *Efforts to evaluate the use of the Early Learning Guidelines and the impact of children in child care will be conducted as part of implementation of QUALITYstarsNY. Several program standards have been established to measure the extent to which the program is implementing a developmentally appropriate curriculum and assessing children across developmental domains. In addition, one standard specifically addresses use of the Early Learning Guidelines: CPI 4: 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.

3.2.8 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for using voluntary early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make related to early learning guidelines?
GOAL 1*: 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.*
GOAL2*: Develop web-based tools to support teachers'/providers' use of the Early Learning Guidelines.*
GOAL3*: 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.*

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

Many States have chosen to use targeted quality funds and other resources to develop a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs (i.e. QRIS). States and Territories will provide a self-assessment on current program quality improvement activities by responding to questions in this section and then describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to a Quality Rating and Improvement System (QRIS) framework. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate

support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities. *Building on their experience in providing professional development, partnering with higher education, and supporting programs in meeting national accreditation, among other efforts. New York's CCR&R agencies took the lead eight years ago in developing the foundation for what became QUALITYstarsNY, New York State's quality rating and improvement system. The Quality Improvement Work Group (QIWG) of the Early Childhood Advisory Council (ECAC) is the group that now has primary oversight for the development and implementation of QUALITYstarsNY. Membership in the QIWG includes advocates, child care resource and referral agencies, private sector child care providers, foundations committed to supporting the field of early care and education, professional development partners, the Head Start Collaboration Project, staff from the Civil Service Employees Association (CSEA), the CCDF Child Care Administrator along with several other staff from OCFS, and representatives from the State Education Department (SED) and other state agencies whose mission includes improving quality in early learning and development programs. The field test of QUALITYstarsNY was funded by American Recovery and Reinvestment Act (ARRA) resources and administered by the City University of New York's Early Childhood Professional Development Institute (CUNY PDI). Third-party evaluation results from the field test were released and reported to the QIWG, which made revisions to the program standards and overall design of the system, based on the evaluation findings. During 2012, revised standards for center-based and family-based programs were issued, as were standards for school-based early learning programs, and initial draft standards for after-school programs for school-aged children. Implementation of QUALITYstarsNY was made possible by the financial support of SED, which committed funds from its 2010 Race to the Top award. CUNY PDI has continued to administer QUALITYstarsNY and coordinate all related activities.*

3.3.1 Element 1 – Program Standards

Definition – For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. Minimum licensing standards and health and safety requirements provided in section 3.1 are also program standards but in this section, we focus on those standards that build upon and go beyond those minimum requirements.

a) Does your State/Territory have quality improvement standards that include indicators covering the following areas beyond what is required for licensing? Check any indicators, if any, that your State/Territory has chosen to establish.

☐ Ratios and group size
☒ Health, nutrition and safety
☒ Learning environment and curriculum
☒ Staff/Provider qualifications and professional development

☒ Teacher/providers-child relationships
☒ Teacher/provider instructional practices
☒ Family partnerships and family strengthening
☒ Community relationships
☒ Administration and management
☒ Developmental screenings
☒ Child assessment for the purposes of individualizing instruction and/or targeting program improvement
☒ Cultural competence
☐ Other. Describe_____
☐ None. If checked, skip to 3.3.2.

b) Does your State/Territory have quality improvement standards with provisions about the care of any of these groups of children? Check any provisions your State/Territory has chosen to establish.

☒ Children with special needs as defined by your State/Territory
☒ Infants and toddlers
☒ School-age children
☒ Children who are dual language learners
☐ None

c) How do your State/Territory's quality standards link to State/Territory licensing requirements? Check any links between your State/Territory's quality standards and licensing requirements.

☒ Licensing is a pre-requisite for participation
☒ Licensing is the first tier of the quality levels
☐ State/Territory license is a "rated" license.
☐ Other. Describe _____
☐ Not linked.

d) Do your State/Territory's quality improvement standards align with or have reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory's quality standards and other standards.

☐ Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
☒ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
☒ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
☐ Other. Describe _____
☐ None

3.3.2 Element 2 –Supports to Programs to Improve Quality

Definition – For purposes of this section, supports to programs to improve quality refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

a) Check which types of and for what purposes the State/Territory uses supports to child care programs, if any, in the following chart. If none, skip to 3.3.3.

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
☒ Attaining and maintaining licensing compliance	☒	☐	☐
☒ Attaining and maintaining quality improvement standards beyond licensing	☒	☐	☐
☐ Attaining and maintaining accreditation	☐	☐	☐
☒Providing targeted technical assistance in specialized content areas:			
Health and safety	☒	☒	☒
Infant/toddler care	☒	☒	☒
School-age care	☐	☐	☐
Inclusion	☒	☒	☒
Teaching dual language learners	☒	☒	☒
Mental health	☒	☒	☒
Business management practices	☒	☒	☒
Other. Describe_____	☐	☐	☐
☐ None. Skip to 3.3.3.			

b) Methods used to customize quality improvement supports to the needs of individual programs include:

☒ Program improvement plans
☒ Technical assistance on the use of program assessment tools
☐ Other. Describe _____

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

☒ Yes. Describe *Based on the program's scores on the applicable Environmental Rating Scale and a program's self-assessment using the applicable set of program quality standards, a Quality Improvement Plan is developed by the program with the help of a*

Quality Improvement Specialist. Professional development has been available with the use of targeted CCDF-funded scholarship funds, administered by the Professional Development Program (PDP) at the State University of New York at Albany, and selected intensive technical assistance support from local child care resource and referral agencies.

☐ No
☐ Other. Describe _____

3.3.3 Element 3 – Financial Incentives and Supports

Definition – For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory chooses to offer. If none, skip to 3.3.4.

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
☒ Grants to programs to meet or maintain licensing	☐	☒	☐
☒ Grants to programs to meet QRIS or similar quality level	☒	☒	☐
☐ One-time awards or bonuses on completion of quality standard attainment	☐	☐	☐
☐ Tiered reimbursement tied to quality for children receiving subsidy	☐	☐	☐
☐ On-going, periodic grants or stipends tied to maintaining quality	☐	☐	☐
☐ Tax credits tied to meeting program quality standards	☐	☐	☐
☐ Other. Describe _____	☐	☐	☐
☐None. Skip to 3.3.4.	☐	☐	☐

3.3.4 – Element 4 - Quality Assurance and Monitoring

Definition – For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

Types of Program Quality Assessment Tools	**Child Care Centers**	**Child Care Homes**	**License-Exempt Providers**
☒Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. *The ECERS-R, ITERS-R and FCCERS are the main independent assessment tools, to be administered every three years.*	☒ Infant/Toddler ☒Preschool ☒School-Age	☒	☐
☒ Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. *The CLASS will be administered once every three years.*	☒	N/A	☐
☐ Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments._____	☐	☐	☐
☒ Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21stCenturyLearningCenter programs Describe, including frequency of assessments. *Regardless of program setting, QUALITYstarsNY has four categories of standards: Learning Environment; Family Engagement; Qualifications and Experience; and Leadership and Management. Each standard specifies one or more documents for meeting the standard. The whole package is customized for NYS and is designed to be administered once every three years.*	☒	☒	☐
☒ Other. Describe. *For a pilot assessment phase associated with implementation of NY's QRIS and refinement of standards for school-age child care programs, school-age programs are using, in addition to the SACERS, the Quality Self-Assessment (QSA) tool developed by the New York After School Network (NYSAN). PDFs of the NYSAN QSA Tool (in English and four other languages) and the User's Guide can be accessed at http://www.nysan.org/section/document_library or viewed at the interactive NYSAN QSA Tool*	☒	☐	☐

User's Guide website at www.nysan.org/usersguide			
☐ None. Skip to 3.3.5.	☐	☐	☐

b) What steps, if any, has the State/Territory taken to align quality assurance and monitoring across funding streams and sectors in order to minimize duplication?

☐ Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
☐ Include QRIS or other quality reviews as part of licensing enforcement
☐ Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
☐ Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
☒Other. Describe *Performance monitoring for meeting national accreditation standards (NAEYC and NAFCC), Head Start Performance Standards, and NYS Universal Prekindergarten standards (in New York City ONLY) serve as partial validation for compliance with those QUALITYstarsNY standards. Further review is necessary to assess those elements that are unique to QUALITYstarsNY.*
☐None

3.3.5 – Element 5 - Outreach and Consumer Education

Definition – For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may communicated to parents about licensing status and licensing compliance as reported in 3.1.3? (e.g. stars, or gold/silver/bronze levels).

☒ Yes. If yes, how is it used?
☐ Resource and referral/consumer education services use with parents seeking care
☐ Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
☐ Searchable database on the web
☐ Voluntarily, visibly posted in programs
☐ Mandatory to post visibly in programs
☐ Used in marketing and public awareness campaigns
☒ Other. Describe *It will not be until late 2014/early 2015 that star ratings will be made public. At that point, it is expected that there will be a searchable database on the web; star ratings will be voluntarily, visibly posted in programs; and star ratings will be used*

in marketing and public awareness campaigns. Until then, and happening now, programs that are participating in QUALITYstarsNY are using the QUALITYstarsNY logo to distinguish themselves from non-participating programs, and to communicate to parents that they are committed to quality through their participation in QUALITYstarsNY.
In addition, CCR&Rs will include rating information, when it is available in their database and online search platforms and will further assist all parents seeking help in understanding quality indicators. Until the ratings are released, CCR&R agencies will continue to introduce parents to quality indicators that are aligned with the QUALITYstarsNY system and to discuss the importance of regulation and standards with them. Information will initially be available, at a minimum, in English and Spanish. CCR&Rs have a history of providing community-based consumer education in multiple languages to families of all income levels throughout the state. The CCR&R agencies will participate in the development of parent education materials in the QRIS for New York State.

☐ No. If no, skip to 3.3.6.

b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

☒ Print
☐ Radio
☐ Television
☒ Web
☐ Telephone
☐ Social Marketing
☐ Other. Describe _____
☐ None

c) Describe any targeted outreach for culturally and linguistically diverse families.
The section of the QUALITYstarsNY website targeted to parents is in both English and Spanish (for Spanish, see http://www.qualitystarsny.org/index.php?lang=spa). In addition, Spanish-speaking providers are targeted in recruitment for participation in QUALITYstarsNY as a key strategy for reaching Hispanic families.

3.3.6. Quality Rating and Improvement System (QRIS)

a) **Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5,** does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?

☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.

☐ Participation is voluntary for _____

☐ Participation is mandatory for _____

☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.

☐ No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

☐ State/Territory is in the development phase

☐ State/Territory has no plans for development

☒ Other. Describe *QUALITYstarsNY is presently being implemented in programs (both school-based and community-based) in neighborhoods surrounding the state's 67 persistently lowest achieving schools.*

b) If yes to 3.3.6a, **CHECK** the types of providers eligible to participate in the QRIS:

☒ Child care centers

☒ Group child care homes

☒ Family child care homes

☐ In-home child care

☐ License exempt providers

☒ Early Head Start programs

☒ Head Start programs

☒ Pre-kindergarten programs

☐ School-age programs

☒ Other. Describe *Two types of legally-exempt group programs are eligible to participate in QUALITYstarsNY: 1) SED-registered nursery schools, and 2) programs contracted by a local school district to provide Universal Pre-k services, but that are not licensed programs.*

3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above, please describe *Legally-exempt in-home and legally-exempt family child care providers are eligible for an enhanced subsidy rate by participating in 10 hours of approved professional development a year.*

3.3.8 Data & Performance Measures on Program Quality – What data elements, if any, does the State/Territory currently have access to related to the quality of programs? What, if any, does the State/Territory use for performance measures on program quality improvement? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF

subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) **Data on program quality**. Indicate if the Lead Agency or another agency has access to data on:

- ☒ Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional) *This information is not yet publicly available; presently, it is available only to the program administrator (CUNY PDI) and funder (SED). CCR&R agencies are currently providing this level of data on targeted work, particularly in support of programs serving infants and toddlers. In New York City there have been ECERS assessments conducted for all PreK-funded programs in all community based settings that they fund. Similar data and assessment has been done in Rochester, NY as well.*
- ☐ Number of programs that move program quality levels annually (up or down). Describe (optional) _____
- ☒ Program scores on program assessment instruments. List instruments: *Each standard in each assessed domain (Learning Environment, Family Engagement, Qualifications and Experience, and Leadership and Management) specifies one or more documents for meeting the standard. The whole package is customized for NYS.* Describe (optional) *This information is not yet publicly available; presently, it is available only to the program administrator (CUNY PDI) and funder (SED).*
- ☒ Classroom scores on program assessment instruments. List instruments: *ECERS-R, ITERS-R, FCCERS, CLASS (school- or center-based programs only)* Describe (optional) *This information is not yet publicly available; presently, it is available only to the program administrator (CUNY PDI) and funder (SED).*
- ☒ Qualifications for teachers or caregivers within each program. Describe (optional) *This information is not yet publicly available; presently, it is available only to the program administrator (CUNY PDI) and funder (SED). As described in Section 3.4.6, CUNY PDI is developing a workforce registry, which will include the experience and qualifications of teachers/caregivers in QUALITYstarsNY programs and other programs as well, with the ultimate goal of it being a universal database.*
- ☒ Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) *This information is not yet publicly available; presently, it is available only to the program administrator (CUNY PDI), funder (SED), and OCFS as the CCDF grantee.*
- ☐ Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- ☒ Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional) *Every site receives $500 for its participation in QUALITYstarsNY. In addition, a program may be eligible for additional financial support to help it meet the goals in its quality improvement plan.*

☐ Other. Describe _____
☐ None

b) **Performance measurement**. What, if any, are the Lead Agency's performance measures on program quality? *None*

c) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. *The ECAC Quality Improvement Work Group is creating a Data Monitoring, Accountability, and Evaluation sub-group that will, among other tasks, create a plan for evaluating the implementation of QUALITYstarsNY.*

3.3.9 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?

1. Program standards

- *Presently, feedback is being collected on the standards for after-school programs for school-aged children, and a small pilot is underway in the Capital District.* ***GOAL 1:*** *Assemble feedback and produce a final set of school-age standards for after-school programs.*
- *No changes are projected to be made to the standards for center-based and family-based programs. Revisions, however, are being made to clarify what documentation is needed to verify that a program meets the standards.* ***GOAL 2:*** *Issue guidance to the field that clarifies what documentation is needed to verify when a QUALITYstarsNY standard has been met.*
- *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.*

2. Supports to programs to improve quality – Our ultimate goal is that programs steadily improve their quality, such that they achieve and maintain a 4- or 5-star rating. Within the next two years, our goals are more modest:

- *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.*
- ***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.*

3. Financial incentives and supports – In the absence of a dedicated funding stream to support continued implementation of QUALITYstarsNY, we have but one critical goal in this section:

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

4. Quality assurance and monitoring –The ECAC Quality Improvement Work Group is creating a Data Monitoring, Accountability, and Evaluation sub-group, that will do the following:

- *Inform further development of the QUALITYstarsNY data system*
- ***GOAL 7:*** *Create a plan for evaluating QUALITYstarsNY implementation*
- *Develop recommendations for the use of the CLASS*
- ***GOAL 8****: Develop an appeals process for ratings disagreements*
- ***GOAL 9****: Develop policies and procedures for revising and validating the QUALITYstarsNY standards*

5. Outreach and consumer education – Although difficult to verify, NY has the overarching GOAL that parents, practitioners, and early learning and development programs recognize the value of a star rating. To help get us there:

- ***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.*

3.4 Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. adult educators such as consultants, technical assistance providers, trainers, and higher

education faculty). In this section, States and Territories provide a self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

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For purposes of this section, States and Territories will respond according to five key elements for workforce systems:

1) Core Knowledge and Competencies
2) Career Pathways (or Career Lattice)
3) Professional Development Capacity
4) Access to Professional Development
5) Compensation, Benefits and Workforce Conditions
a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities. *The Workforce Development Work Group of the Early Childhood Advisory Council (ECAC) is dedicating efforts to many of the elements of the workforce system listed above.*

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition – For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

a) Has the State/Territory developed core knowledge and competencies (CKCs) for practitioners working with and/or on behalf of children?

☒ Yes
☐ No, the State/Territory has not developed core knowledge and competencies. Skip to question 3.4.2.
☐ Other. Describe _____

If yes, insert web addresses, where possible:
http://www.earlychildhood.org/pdfs/CoreBody.pdf

b) Check which of the following teaching and learning topics, if any, are covered in the CKCs.

☒Child growth, development and learning
☒Health, nutrition, and safety
☒Learning environment and curriculum
☒Interactions with children
☒Family and community relationships
☒Professionalism and leadership
☒Observation and assessment
☒Program planning and management
☒Diversity
☐Other. Describe _____
☐ None

c) Are the CKCs incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its CKCs into other parts of the child care system.

☐ To define the content of training required to meet licensing requirements
☒ To define the content of training required for program quality improvement standards (as reported in section 3.3)
☐ To define the content of training required for the career lattice or credential
☐ To correspond to the early learning guidelines
☐ To define curriculum and degree requirements at institutions of higher education
☐ Other. Describe:
☐ None

d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

☒ Cross-walked with the Child Development Associate (CDA) competencies
☒ Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
☐ Cross-walked with apprenticeship competencies
☒ Other. Describe *Division for Early Childhood recommended practices, New York State Teaching Standards, and OCFS training topic areas.*

e) Check for which roles, if any, the State/Territory developed supplemental or specialized competencies.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____

☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____
☐ Administrators in centers (including educational coordinators, directors). Describe _____
☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____
☒ Other. Describe: *There are competencies for school-age care providers. The State has developed competencies for each of its credentials: the Children's Program Administrator Credential, Infant-Toddler Credential, School Age Care Credential, Family Child Care Credential and the New York State Early Learning Trainer Credential. These competencies were developed prior to the most recent revision of the Core Body of Knowledge. Work is currently underway to align the credential-related competencies with the Core Body of Knowledge.*
☐ *None*

f) Check if the State/Territory has developed any supplemental or specialized competencies for practitioners/providers working with the following ages.

☒ Birth-to-three
☐ Three-to-five
☐ Five and older
☒ Other. Describe: *New York State has competencies for School Age Care Providers.*
☐ None

3.4.2 Workforce Element 2 - Career Pathways

Definition – For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

a) Does the State/Territory have a career pathway which defines the sequence of qualifications related to professional development (education, training and technical assistance) and experience required to work with children?

☒ Yes. Describe *New York has developed a ten-level Career Ladder and a companion document titled, "Positions at a Glance." The career ladder levels are based on formal education. Within each level are three steps (a-c). Professionals advance levels as they acquire more formal education and/or credentials. They advance in steps as they acquire more experience or additional credits in early childhood, or other credentials. The "Positions at a Glance" document is meant to serve as a companion to the Career Ladder. It outlines the positions for which a professional qualifies at each level of the*

Career Ladder. This document is based on the qualification requirements across programs (child care, Head Start, Universal Pre-K, etc.) in New York State. It is meant to serve as a support in helping professionals think about the roles for which they qualify and consider next steps for career development/advancement. The Career Ladder has been fully integrated into the workforce registry. All participants that complete the application process for the registry receive a level on the Career Ladder. Additional Career Pathways-related work that is currently underway includes the development of a new website for the state Professional Development System, "New York Works for Children." The website will continue to include information about options for a career in early childhood (those working directly with children and families and those working with adults), an online self-reflection tool that informs and guides professionals and prospective ECE professionals in their career choices, as well as information about how to access the education and professional development required to move toward meeting career goals.

☐ No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible:
https://www.nyworksforchildren.org/WaystoGrow/CareerLadder.aspx

b) Check for which roles, if any, the career pathways include qualifications, specializations or credentials.

☒ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe: *New York has qualification requirements for the following roles in centers (Child Day Care Centers, except in New York City): Head of Group for Preschoolers, Head of Group for School-Aged Children, Head of Group for Infants and Toddlers and Assistant to Head of Group-All Ages). Centers in New York City (Child Care Service) have qualification requirements for the following roles: Group Teacher for Children two-six years, Group Teacher for Children with Special Needs, Assistant Teacher, Infant/Toddler Teacher, and Assistant Teacher: Night Care Services. New York State has developed voluntary, specialized credentials for: school-age child care staff and infant-toddler staff.*

☒ Providers working directly with children in family child care homes, including aides and assistants. Describe: *New York has qualification requirements for the following positions in Family Day Care: Provider, Assistant, and Substitute. New York has qualification requirements for the following positions in Group Family Day Care: Provider, Assistant, and Substitute. New York has developed a voluntary, specialized credential for family child care providers.*

☒ Administrators in centers (including educational coordinators, directors). Describe: *New York has qualification requirements for the following*

administrative positions in Child Day Care Centers, (except in New York City): Director. In New York City, the following Child Care Services administrative positions have qualification requirements: Educational Director: Children 2-6 Years Old, Educational Director: Infant-Toddler Child Care Services, Educational Director: Night Child Care Services. School Age Child Care has qualification requirements for the following positions: Director. New York State has developed both a credit-bearing and non-credit bearing optional credential for administrative staff, the Children's Program Administrator Credential. Possessing the Children's Program Administrator Credential is one of the options for meeting the qualification requirements for the role of "Director" in Child Day Care Centers.

☒ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe: *New York does not have specific qualification requirements for technical assistance providers. However, technical assistance providers can also earn the New York State Early Learning Trainer Credential, for which there are qualification requirements.*

☒ Education and training staff (such as trainers, CCR&R staff, faculty). Describe: *New York has developed the New York State Early Learning Trainer Credential. The credential has three levels and there are qualification requirements related to education and professional experience for each. In addition to the Early Learner Trainer Credential, there are two other designated types of trainers whose qualification and experience are verified: Verified Trainers, individuals who have received an endorsement for specific curricula/assessment tools in which they have completed approved "Training of Trainer" courses; and Content Specialists, trainer individuals whose education and professional experience is in a field other than early childhood education, child development or a defined related field but offer non-credit bearing group trainings within their area of expertise (e.g., health care professionals, accountants, etc.).*

☐ Other

☐ None

c) Does the career pathways (or lattice) include specializations or credentials, if any, for working with any of the following children?

☒ Infants and toddlers

☒ Preschoolers

☒ School-age children

☒ Dual language learners

☒ Children with disabilities, children with developmental delays, and children with other special needs

☐ Other. Describe_____

☐ None

d) In what ways, if any, is the career pathway (or lattice) used?

☒ Voluntary guide and planning resource

☐ Required placement for all practitioners and providers working in

programs that are licensed or regulated in the State/Territory to serve children birth to 13
☐ Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
☐ Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
☐ Required placement for participation in scholarship and/or other incentive and support programs
☒ Required placement for participation in the QRIS or other quality improvement system
☒ Other. Describe *The system is in the process of being built. Effective 1/1/14, trainers who seek to participate in New York State's Educational Incentive Program, a CCDF-funded scholarship program for income-eligible providers, will need to be a credentialed trainer or have one of two other designated training endorsements. Thus, they will be required to be part of the workforce registry and earn a career ladder level.*
☐ None

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice?)?

☒ Yes. If yes, describe: *The voluntary workforce registry verifies all education and credentials that are required to determine a Career Ladder level. Experience working with children and families is self-reported by professionals and used to calculate the Career Ladder level. Some of the current and past employment records are verified by directors, however.*
☐ No

3.4.3 Workforce Element 3 – Professional Development Capacity

Definition – For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Early childhood includes infants, toddlers and preschoolers.

a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

☒ Yes. If yes, describe: *New York's Early Childhood Advisory Council is supporting a research project, to be led by the Center for the Study of Child Care Employment that will assess the availability of early childhood higher education programs as well as look at the content of those programs and determine faculty capacity.*

☐ No

b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

☐ Yes. If yes, describe _____
☒ No.

c) What quality assurance mechanisms, if any, are in place for the degree programs and courses offered by the State/Territory institutions?

☐ Standards set by the institution
☒ Standards set by the State/Territory higher education board
☐ Standards set by State/Territory departments of education
☐ Standards set by national teacher preparation accrediting agencies
☐ Standards set by program accreditors
☐ Other. Describe _____
☐ None

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

☒ Training approval process. Describe: *The State has almost completed the revision of its distance learning training approval process.*
☒ Trainer approval process. Describe: *The New York City Early Childhood Professional Development Institute and the New York State Association for the Education of Young Children (NYSAEYC) have developed three trainer designations: the NYS Early Learning Training Credential (Levels 1, 2, and 3), Verified Trainers, and Content Specialist Trainers. Trainers who which to pursue any of the three designations must have all of their qualifications verified through the registry and must earn a Career Ladder Level. The three designations are as follows: 1) Credentialed Trainer* (Level 1, 2, 3) *– Individuals whose education and professional experience is specific to early childhood education, child development or a defined related field; and have successfully completed and been awarded the NYSELTC through NYSAEYC; 2) Verified Trainer – Individuals who have received an endorsement for specific curricula/assessment tools in which they have completed approved "Training of Trainer" courses and have been verified through the workforce registry; and 3) Content Specialist – Trainer individuals whose education and professional experience is in a field other than early childhood education, child development or a defined related field but offer non-credit bearing group trainings within their area of expertise (e.g., health care professionals, accountants, etc.) and has been verified by NYSAEYC. Effective January 1, 2014, only trainers with one of the three trainer designations will be eligible to receive payment under the CCDF-funded Educational Incentive Program (EIP), a scholarship program that helps income-eligible, regulated child care providers pay for training and educational activities. For more information about trainer designations,*

see
https://www.nyworksforchildren.org/ForTrainersandCoaches/ApprovedTrainerTypes.aspx
☒ Training and/or technical assistance evaluations. Describe*: These are reviewed as part of the Trainer Credential application process. We are considering ways to use training evaluations in the trainer approval renewal processes, as well.*
☐ Other. Describe_____
☐ None

e) Does the State/Territory have articulation agreements in place across and within institutions of higher education?

☒ Yes. If yes, describe *Publicly-funded higher education requires articulations agreements for two- and four-year programs.*
☐ No

f) Does the State/Territory have articulation agreements that translate training and/or technical assistance into higher education credit?

☐ Yes. If yes, describe _____
☒ No

3.4.4 Workforce Element 4 – Access to Professional Development

Definition – For purposes of this section, access to professional development (training, education and technical assistance) refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

a) Does the State/Territory have professional development opportunities accessible for professionals in various or all sectors of the early childhood and school-age field?

☒Yes. If yes, for which sectors?
- ☒Child care
- ☒Head Start/Early Head Start
- ☒Pre-Kindergarten
- ☒Public schools
- ☒Early intervention/special education
- ☐Other. Describe_____

☐ No

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about professional development opportunities available to all members of the early childhood and school-age workforce? Lead Agencies are not required to have a professional development

system, but States/Territories may develop such clearinghouses to promote access to professional development opportunities.

☒ Yes. If yes, describe: *The State has developed a Statewide Training Calendar. The calendar is an integrated component of the workforce registry. The training calendar was initially tested in December 2012. Outreach to training and training organizations began spring 2013. As part of the professional development system, New York Works for Children, the training calendar and registry are administered by the CUNY Professional Development Institute. Additionally, the State is developing a Trainer Search where early care and learning professionals can find trainers whose qualifications have been verified. The State also has a website, administered by the Professional Development Program (PDP), State University of New York at Albany, for locating approved distance-learning courses.*

☐ No

Insert web addresses, where possible:
https://nyworksforchildren.org/aspire/go/default.aspx
http://www.nyworksforchildren.org/FindPD.aspx

c) What supports, if any , does the State/Territory provide to promote access to training and education activities?

☒ Scholarships. Describe *The Education Incentive Program is a flexible scholarship program available to child care providers who meet income guidelines. Priority is given to training and/or professional development activities that offer credit or lead to an appropriate early childhood credential. Funds are allocated twice a year and are available on a first-come, first-served basis to qualifying individuals.*

☒ Free training and education. Describe *Free evening videoconference trainings are available to all NYS regulated child care providers. They are broadcast live, via webcast, from 6:45 PM to 9:15 PM, to 80 training sites located throughout the state. Typically, about 2,000 providers attend each videoconference. Six of these trainings are offered per year; they address the state's required training topic areas, as well as the Child Development Associate (CDA) National Credentialing Program's and Core Body of Knowledge trainings requirements. At each site, there are trained co-trainers to lead guided activities related to the program content. Attendees must participate in the activities to receive credit for the training and they are given a 10-question test at the end of the training that they must pass to receive a certificate for the training. In 2012, over 6,500 trainees attended videoconferences.*

☐ Reimbursement for training and education expenses. Describe _____

☐ Grants. Describe _____

☐ Loans. Describe _____
☐ Loan forgiveness programs. Describe _____
☐ Substitute pools. Describe _____
☐ Release time. Describe _____
☐ Other. Describe _____
☐ None

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

☒ Yes. If yes, describe *The New York Early Childhood Professional Development Institute operates a Career Development Services Center that makes career advisors available to providers in New York City, and is piloting an expansion in a second region in the state within the coming year.*
☐ No

e) Does the State/Territory have mentors, coaches, consultants, and/or other specialists available to provide technical assistance to the workforce?

☒ Yes. If yes, describe *One of the core functions of New York State's network of child care resource and referral agencies (CCR&Rs) is to provide intensive technical assistance to local programs and providers. With CCDF support, all NYS CCR&R agencies are encouraged to pursue meeting national quality assurance standards for CCR&R practice developed by Child Care Aware (formerly the National Association of Child Care Resource and Referral Agencies [NACCRRA]). One of the positive benefits of this will be a more consistent approach to intensive technical assistance across the state and more detailed and consistent collection of data on that work. In addition, seven CCR&Rs operate regional Infant and Toddler Resource Centers that provide support to programs caring for babies and toddlers. These centers have developed a pool of trained Infant Toddler Specialists who work closely with programs to improve quality in infant and toddler settings. In addition, CCR&R specialists are a core component of the QUALITYstars NY system being developed, which links them to the systemic support for quality improvement.*
☐ No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

Definition – For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

a) Does the State/Territory have a salary or wage scale for various professional roles?

☐ Yes. If yes, describe _____

☒ No

b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

☐ Yes. If yes, describe _____
☒ No

c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

☐ Yes. If yes, describe _____
☒No

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

☐ Yes. If yes, describe _____
☒No

3.4.6 Data & Performance Measures on the Child Care Workforce – What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) **Data on the child care workforce**. Indicate if the Lead Agency or another agency has access to data on:

☒ Data on the size of the child care workforce. Describe (optional) *totals by staff role by modality (excluding child care centers in NYC, which are not subject to NYS regulation)*
☒Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) *Only for staff working in programs that participate in QUALITYstarsNY, the State's QRIS.*
☒Records of individual teachers or caregivers and their qualifications. Describe (optional) *Only for staff working in programs that participate in QUALITYstarsNY, the State's QRIS.*
☒Retention rates. Describe (optional): *Only for staff working in programs*

that participate in QUALITYstarsNY, the State's QRIS.
☒Records of individual professional development specialists and their qualifications. Describe (optional): *The State has records for all trainers who have earned the New York State Early Learning Trainer Credential. As of January 1, 2014, all trainers who wish to receive training reimbursement through the Educational Incentive Program scholarship program must have earned one of the three trainer designations (Credentialed Trainer, Content Specialist Trainer, or Verified Trainer), and in the process, must have joined the workforce registry. Going forward, the State will have individual professional records for these professional development specialists.*
☒ Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional): *OCFS reviews the qualifications of child care center teachers, and family-based providers based on the minimum requirements in regulation. Many providers hold degrees that exceed the regulatory standards. OCFS does not keep records concerning standards above and beyond the basic qualifications needed to fill a position.*
☒Number of scholarships awarded. Describe (optional) *Educational Incentive Program data are available from the Lead Agency contractor, the Professional Development Program (PDP) at the State University of New York at Albany.*
☐ Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) _____
☐ Number of credentials and degrees conferred annually. Describe (optional)_____
☐Data on T/TA completion or attrition rates. Describe (optional) _____
☐Data on degree completion or attrition rates. Describe (optional)_____
☐Other. Describe_____
☐ None

b) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks workforce demographics, compensation, and qualifications and ongoing professional development for practitioners working with children birth to age 13?

Definition– For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

☒ Yes.

b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

☒ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe: *Voluntary. Mandatory for staff working in programs participating in the QRIS.*
☒ Providers working directly with children in family child care homes, including aides and assistants. Describe: *Voluntary. Mandatory for staff working in programs participating in the QRIS.*
☒ Administrators in centers (including educational coordinators, directors). Describe *Voluntary. Mandatory for staff working in programs participating in the QRIS.*
☒ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe: *Voluntary, but required for participation in the trainer approval system.*
☒ Education and training staff (such as trainers, CCR&R staff, faculty). Describe *Voluntary, but required for participation in the trainer approval system.*
☐ Other. Describe _____
☐ None

b-2) Does the workforce data system apply to:
☒ all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?
☐ all practitioners working in programs that receive public funds to serve children birth to age 13?

☐ No

c) **Performance measurement**. What, if any, performance measures does the State/Territory use related to its workforce and professional development systems?

The State's workforce registry is still in its earliest phases. Thus, the following performance measures for the workforce are aspirational rather than representative of current measurement capabilities, but they represent what we seek to eventually want to see accomplished in the field:

- *Teachers/caregivers, administrators, and professional development specialists are included in the workforce registry.*
- *Teachers/caregivers and administrators working in programs regulated by the Lead Agency meet the qualification requirements for their role.*
- *Teachers/caregivers and administrators complete specialized credential programs.*
- *Teachers/caregivers and administrators participate in professional development opportunities that are aligned with the Core Knowledge and Competencies, and are delivered by trainers with verified qualifications.*
- *Teachers/caregivers and administrators receive training on the Early Learning Guidelines.*
- *Teachers/caregivers and administrators receive training on the Core*

Knowledge and Competencies.

- *Teachers/Caregivers and administrators participate in professional development that is based on an Individual Professional Development Plan.*
- *Qualifications of professional development providers will be verified.*

For the approximately 3,000 teachers/caregivers who are participating in New York's QRIS, as well as others who have voluntarily joined the registry, the State can report on the following for professionals included in the registry:

- *How many teachers/ caregivers, administrators, and professional development specialists are included in the registry.*
- *How many teachers/caregivers, administrators, and professional development specialists have the following qualifications: CDA Credential, Associates Degree, Bachelor's Degree, Graduate Degree.*
- *How many teachers/caregivers, administrators, and professional development specialists have degrees that are in early childhood and how many have degrees in a related field.*
- *How many college or university credits professionals have in each of the following categories: early childhood, elementary education and general education, special education, bilingual/ELL, adult education, administration and management, school-age/youth development.*
- *How many teachers/caregivers received credit-based professional development in the last year.*
- *How many teachers/caregivers received credentials and degrees in the last year.*
- *How many teachers/caregivers received training in the following:*
    - *Core Competency Areas, including specific training in Observation and Assessment, Curriculum, Nutrition and Obesity Prevention, and Cultural Competency/Diversity, Infant-Toddler Care, Health and Safety, School-Age Care, Teaching Dual Language Learners, and Administration and Management.*
- *Number of trainers who hold each of the three designations; Credentialed Trainer (Level 1, 2, and 3), Verified Trainer, Content Specialist Trainer.*
- *Number of hours of professional development provided by trainers with one of the three trainer designations.*
- *Institutions incorporating Core Knowledge and Competencies and Early Learning Guidelines into their curriculum and degree requirements.*

d) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. *The State is looking to reduce the incidence of teachers/caregivers repeatedly participating in the same training event year after year, in order to meet regulatory training requirements. Data from the workforce registry should help us evaluate the current rate of "repeat training" and reduce that rate over time. The interface between the workforce registry and the QRIS system will help us to evaluate improvements made in*

individuals' practice and in program quality. The registry is built to track professional development history and current level of qualifications. The QRIS evaluates classroom quality. At least for participants in NY's QRIS, the State will have information regarding staff qualifications and initial program rating, and so, eventually, will be able to evaluate progress on individual improvement plans and subsequent classroom ratings. Data from the new workforce registry will also provide baseline data for tracking workforce progress along career pathways.

3.4.7 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section in 3.4. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 – *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.*
Goal 2 – *Develop competencies specific to Technical Assistance Providers (coaches, consultants, mentors, and professional development advisors).*
Goal 3 – *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.*
Goal 4 - *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.*
Goal 5 - *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.*

AMENDMENTS LOG

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: _____
FOR THE PERIOD:

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a "substantial" change in the Lead Agency's approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-01/pi2009-01.htm

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

APPENDIX 1
QUALITY PERFORMANCE REPORT

This annual report will be submitted to ACF no later than December 31, 2014 and will reflect the period October 1, 2013 through September 30, 2014. Lead Agencies will leave this report blank when the Plan is initially submitted.

In this report, Lead Agencies are asked about the State/Territory's progress in meetings its goals as reported in the FY 2014-2015 CCDF Plan, and provide available data on the results of those activities. At a minimum, Lead Agencies are expected to respond to the first question in each section of the Quality Performance Report (QPR) which asks for their progress toward meeting their goal(s) articulated in Part 2 and Part 3 of the CCDF Plan for this Biennium.

Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. A Describe box is provided for each question for Lead Agencies to provide descriptive context for data reported and narrative updates in each data section, including any plans for reporting data in the future, if actual data is not currently available or if specific questions are not applicable. Lead Agencies may use data collected by other agencies and entities (e.g., CCR&R agencies or other contractors) as appropriate. The term Lead Agency is used in questions when the data relate to a CCDF-specific activity, otherwise the term State/Territory is used when another entity may be responsible or involved with an activity (e.g., licensing).

The purpose of this annual report is to capture State/Territory progress on improving the quality of child care. Specifically, this report will:

- Provide a national assessment of State's and Territory's progress toward improving the quality of child care, including a focus on program quality and child care workforce quality;
- Track State's and Territory's annual progress toward meeting high quality indicators and benchmarks, including those that they set for themselves in their CCDF Plans and those that are of interest to the U.S. Department of Health and Human Services in measuring CCDF program performance;
- Assist national and State/Territory technical assistance efforts to help States/Territories make strategic use of quality funds; and
  Assist with program accountability

This report collects progress on the five goals identified in Part 2 and Part 3 of the Child Care and Development Fund (CCDF) Plan for FY2014-2015 along with key data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2014-2015:

1. Ensuring health and safety of children through licensing and health and safety standards

2. Establishing early learning guidelines
3. Creating pathways to excellence for child care programs through program quality improvement activities
4. Creating pathways to an effective, well-supported child care workforce through professional development systems and workforce initiatives.

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, 2014.

1 A1.1 Progress on Overall Goals

2 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.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

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. _____

3 A1.2 Key Data

OCC is collecting this information as one part of our overall effort to better understand States/Territories' activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here and that some data requested may be collected by another agency or entity other than the Lead Agency. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. For example, the number of programs with licensing violations will be affected by how stringent the licensing standards are. States with more stringent standards may be more likely to report more violations than those with less stringent licensing standards. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to

fully understand the context of these data for any reporting activities involving this information.

4 A1.2.1 Number of Programs

a) How many licensed center-based programs operated in the State/Territory as of September 30, 2014? _____
☐ N/A
Describe: _____

b) How many licensed home-based programs operated in the State/Territory as of September 30, 2014? _____
☐ N/A
Describe: _____

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, 2014 and describe _____ (Use the Describe Box to provide the universe of programs on which the number is based)
☐ No. Describe: _____

5 A1.2.2 Number and Frequency of Monitoring Visits

For licensed programs, a monitoring visit is an onsite visit by department personnel to a licensed child care program with the goal of ensuring compliance with licensing regulations. This may include initial licensing determination visits, licensing renewal visits, periodic announced or unannounced visits, and visits made after a complaint is lodged. For legally exempt providers, a monitoring visit is an onsite visit to a child care program with the goal of ensuring compliance with health and safety standards as defined by CCDF and required for receipt of CCDF funds. Use the Describe box to provide your State/Territory monitoring visit requirement.

a) How many licensed center-based programs received at least one monitoring visit between October 1, 2013 and September 30, 2014? _____
a-1) Of those programs visited, how many were unannounced? _____
a-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____
a-3) What percentage of required visits for licensed center-based program were completed? _____
☐ N/A
Describe: _____

b) How many licensed family child care programs received at least one monitoring visit between October 1, 2013 and September 30, 2014? _____
b-1) Of those programs visited, how many were unannounced? _____

b-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____
b-3) What percentage of required visits for licensed family child care programs were completed?_____
☐ N/A
Describe: _____

c) How many legally exempt providers receiving CCDF received at least one monitoring visit between October 1, 2013 and September 30, 2014? Of those,
c-1) Of those programs visited, how many were unannounced? _____
c-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____
c-3) What percentage of required visits for legally exempt providers were completed?_____
☐ N/A
Describe: _____

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

Suspension of license includes any enforcement action that requires the temporary suspension of child care services because of licensing violations. Revocation of license includes termination or non-renewal of licensure and any other enforcement action that requires the closure of a program because of licensing violations.

	How many programs had their licenses suspended due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs had their licenses revoked due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs were terminated from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?	**N/A**	**Describe**
Child Care Centers	_____	_____	_____	☐	_____
Group Child Care Homes	_____	_____	_____	☐	_____
Family Child Care Homes	_____	_____	_____	☐	_____
In-Home Providers	_____	_____	_____	☐	_____

7 A1.2.5 How many previously license-exempt providers were brought under the licensing system during the last fiscal year? _____

☐ N/A
Describe: _____

8 A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last 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: _____

9 A1.2.7 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 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: _____

Establishing Early Learning Guidelines (Component #2)

10 A2.1 Progress on Overall Goals

11 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?

☐ Yes. Describe _____
☐ No

12 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 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 ELG's, Aligned the ELG's with Head Start Child Development and Early Learning Framework). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

13 A2.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many

factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

14A2.2.1a How many individuals were trained on early learning guidelines (ELG's) or standards over the last fiscal year?
Responses to this question should be consistent with information provided in question 3.2.3 in the CCDF Plan.

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many teachers/practitioners in center-based programs were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	☐	_____
How many family child care providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	☐	_____
How many legally exempt providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	☐	_____

15A2.2.1b How many children are served in programs implementing the ELG's?
Refer to question 3.2.4 in the CCDF Plan for examples of how ELG's can be implemented in programs. Program capacity can be used as an estimate of children served.

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many children are served in center-based programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	☐	_____
How many children are served in	_____	_____	_____	☐	_____

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
family child care program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____		
How many children are served in legally exempt programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____ _____	_____ _____	_____ _____	☐	_____

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

16 A3.1 Progress on Overall Goals

17 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 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 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

18 A3.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any

additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

19A3.2.1 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 fiscal year (October 1, 2013 through September 30, 2014)? _____
☐ N/A
Describe: _____

b) If possible, report the number of programs who received targeted technical assistance in the following areas:
Health and safety _____
Infant and toddler care _____
School-age care _____
Inclusion _____
Teaching dual language learners _____
Understanding developmental screenings and/or observational assessment tools for program improvement purposes _____
Mental health _____
Business management practices _____
☐ N/A
Describe: _____

20 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 _____
☐ N/A
Describe: _____
Family Child Care Homes _____
☐ N/A
Describe: _____

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

Child Care Centers _____
☐ N/A
Describe: _____
Family Child Care Homes _____
☐ N/A
Describe: _____

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 for QRIS _____ OR Other Quality Improvement System? _____
☐ N/A
Describe: _____

b) What is the total number of eligible family child care homes for QRIS _____ OR Other Quality Improvement System? _____
☐ N/A
Describe: _____

c) What is the total number of eligible license-exempt providers for QRIS _____ OR Other Quality Improvement System? _____
☐ N/A
Describe: _____

21A3.2.4 Number and Percentage of Programs Participating in State/Territory QRIS or Other Quality Improvement System

a) Of the 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 fiscal year?

Number of Child Care Centers Participating in QRIS _____ OR Other Quality Improvement System _____

Percentage of Child Care Centers Participating in QRIS _____ OR Other Quality Improvement System _____
☐ N/A
Describe: _____

b) Of the 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 fiscal year?

Number of Family Child Care Homes QRIS _____ OR Other Quality Improvement System _____

Percentage of Family Child Care Homes QRIS _____ OR Other Quality Improvement System _____
☐ N/A
Describe: _____

c) Of the 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 fiscal year?

Number of License-Exempt Providers QRIS _____ OR Other Quality Improvement System _____

Percentage of License-Exempt Providers QRIS _____ OR Other Quality Improvement System _____
☐ N/A
Describe: _____

22 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.

	Number of levels of quality	Number of programs at each level	N/A	Describe
Child Care Centers	_____	_____	☐	_____
Family Child Care Homes	_____	_____	☐	_____
License-Exempt Providers	_____	_____	☐	_____

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

If 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.

	How many programs moved up within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	How many programs moved down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	N/A	Describe
Child Care Centers	_____	_____	☐	_____
Family Child Care Homes	_____	_____	☐	_____
License-Exempt Providers	_____	_____	☐	_____

24 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 fiscal year? _____

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

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

25 A4.1 Progress on Overall Goals

26 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 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 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

27 A4.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

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

a) What is the total number of child care center teachers in the State/Territory as of September 30, 2014? _____
   ☐ N/A
   Describe: _____

b) What is the total number of family child care providers in the State/Territory as of September 30, 2014? _____
   ☐ N/A
   Describe: _____

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.

	Child Care Center Teachers	Family Child Care Providers	N/A	Describe
Child Development Associate (CDA)	_____	_____	☐	_____
State/Territory Credential	_____	_____	☐	_____
Associate's degree	_____	_____	☐	_____
Bachelor's degree	_____	_____	☐	_____
Graduate/Advanced degree	_____	_____	☐	_____

29 A4.2.2 Number of Individuals Included in State/Territory's Professional Development Registry during Last Fiscal Year (October 1, 2013 through September 30, 2014)

Teachers in child care centers _____
Family child care home providers _____
License-exempt providers _____
☐ N/A
Describe: _____

30 A4.2.3 Number of Individuals Receiving Credit-Based Training and/or Education as defined by State/Territory during the last fiscal year

Teachers in child care centers _____
Family child care home providers _____
License-exempt providers _____
☐ N/A
Describe: _____

31A4.2.4 Number of Credentials and Degrees Awarded during Last Fiscal Year

If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	List Type of Credential and Provide Number Awarded	List Type of Degree and Provide Number Awarded	N/A	Describe
Teachers in child care centers	_____	_____	☐	_____
Family child care home providers	_____	_____	☐	_____
License-exempt providers	_____	_____	☐	_____

32 A4.2.5 Number of Individuals Receiving Technical Assistance during Last Fiscal Year

Describe any data you track on coaching, mentoring, or other 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.

Setting	List Type of Technical Assistance and Provide Number	N/A	Describe
Teachers in child care centers	_____	☐	_____
Family child care home providers	_____	☐	_____

Setting	List Type of Technical Assistance and Provide Number	N/A	Describe
License-exempt providers	_____	☐	_____

33 A4.2.6 Type of Financial Supports Provided and Number of Teachers/Providers Receiving as of End of Last Fiscal Year?

☐ Scholarships. How many teachers/providers received? _____

☐ Reimbursement for Training Expenses. How many teachers/providers received? _____

☐ Loans. How many teachers/providers received? _____

☐ Wage supplements. How many teachers/providers received? _____

☐ Other. Describe _____

☐ 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, 2014.

34 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 Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

35 APPENDIX 2
CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

(1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))

(2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))

(3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))

(4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))

(5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))

(6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))

(7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

(1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

(2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))

(3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))

(4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))

(5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

(6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

(7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

1. **Assurance of compliance with Title VI of the Civil Rights Act of 1964**
2. **Certification regarding debarment**
3. **Definitions for use with certification of debarment**
4. **HHS certification regarding drug-free workplace requirements**
5. **Certification of Compliance with the Pro-Children Act of 1994**
6. **Certification regarding lobbying**

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.