

# State of New York

Race to the Top-Early Learning Challenge

Application for Initial Funding

## *Appendix*



**New York State**

**Andrew M. Cuomo, Governor**

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## A. Successful State Systems

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

*We need more early education. Every expert will tell you that early education makes a difference and it makes the difference for life. The statistics are overwhelming. Children who receive early education perform 25% better on math by the second grade, 20% better on English, 30% are more likely to graduate from high school, 32% are less likely to be arrested as a juvenile.*

*Governor Andrew M. Cuomo – State of the State Address, January 2013*

New York has a robust record of investing and supporting early childhood learning and development programs. Through our large and long-standing Universal Prekindergarten program, a child care system with strong regulatory requirements and a piloted Quality rating and improvement system, and leading-edge health initiatives, New York boasts an early childhood system with a broad and positive impact on our youngest residents, their families, and communities, with a particular focus on Children with High Needs.

For example, the New York City Department of Education’s analysis on the effect of involvement in its Universal Prekindergarten program, which serves predominantly Children with High Needs, found a correlation between academic success and pre-kindergarten. The Department examined State English and math test results for third through fifth grade students, comparing those who had attended New York City’s Universal Prekindergarten program to those who had not. Third-grade students who had attended Universal Prekindergarten were 28 percent more likely to score as proficient on the State English exam and 54 percent more likely to score as proficient on the State math exam, when compared to their peers who did not attend Universal Prekindergarten. The analysis showed that those performance odds continued for pre-kindergarten students through the fifth grade.

Our early childhood programs stand out in many ways from those in other states. New York’s Universal Prekindergarten is a cross-system program, which requires, with certain exceptions, no less than 10 percent of funding allocated to school districts for prekindergarten programs to be set aside for collaborative efforts with eligible agencies, including child care centers, Head Start programs, nursery schools, and approved preschool special education programs (see §3602-e(5)(e) of the Education Law and 8NYCRR§151-1.2 and 151-1.4). New

York's child care system has rigorous standards for health and safety, ongoing provider professional development, and developmentally appropriate activities that set a much higher baseline for minimum quality of care than exists in many other states. New York is also leading the way with Child Health Plus (CHPlus), serves a higher percentage of children in our Early Intervention (EI) than any other state, and provides comprehensive home visiting services through multiple programs.

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

Over the past 5 years, New York has spent \$12.75 billion on Early Learning and Development Programs (ELDPs) (see Table (A)(1)-4). Our current spending of \$2.25 billion represents a 10 percent increase from our 2009 spending level of \$1.94 billion. Over the last five years \$12.37 billion has been spent directly on Children with High Needs, including \$2.25 billion in the last fiscal year. New York has maintained and increased spending on ELDPs even as many other programs in the state faced budget cuts due to the 2008 economic recession.

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

- 16 percent of children birth to five years of age receive child care subsidies.
- 4 percent of New York's children from birth to five are enrolled in Early Intervention programs.
- 59 percent of all 4-year-olds with High Needs in New York participate in Universal Prekindergarten, Head Start or preschool special education, This percentage may be even higher, considering that while New York's Universal Prekindergarten program serves a broader population of children than Head Start and preschool special education, which explicitly serve Children with High Needs, New York's Universal Prekindergarten system statewide was developed from an initial focus on high-need communities.

Other key highlights of New York's investment in ELDPs include:

- New York's Early Intervention program is one of the largest in the nation, second only to California's. Total annual funding, which includes federal share of Medicaid expenditures, payment from other third party insurers, and a substantial local share, is approximately \$700 million annually. While New York serves approximately 30,000 children at any given time, during the course of a year, the number of Children with High Needs served by Early Intervention is approximately 70,000.
- **Home Visiting:** New York currently supports home visiting services through the Healthy Families New York (HFNY) and Nurse Family Partnership (NFP) programs. The State invested \$29.8 million in combined State funding for these programs in 2013 and has secured new funding through the federal Maternal, Infant and Early Childhood Home Visiting (MIECHV) program for program expansion. These programs served 7,954 Children with High Needs in 2013.
- **QUALITYstarsNY:** As part of its successful 2010 Race to the Top (2010 RTTT) application, the New York State Education Department (SED) is using \$4 million of its funding to support the expansion of QUALITYstarsNY, New York State's tiered Quality Rating and Improvement System. QUALITYstarsNY is clearly organized into five tiers (Stars 1 to 5, with 5 being the highest Star rating), in the neighborhoods of the State's 67 Persistently Lowest Achieving (PLA) schools, in accordance with the then-existing accountability designations. As a result of this investment 333 programs serving nearly 20,000 Children with High Needs are benefiting from participation in QUALITYstarsNY. New York's successful 2010 RTTT application also included \$4.7 million to create linkages to the P-20 Longitudinal Data System, including linkages with early learning data systems. These linkages include connectors between the State and New York City university systems, the Department of Labor, the Department of Tax and Finance, and with child data from the Early Intervention Program and from Child Welfares.
- **Public/Private Partnerships:** New York State has a vibrant and engaged philanthropic community with a long historical record of supporting early childhood innovation. In 2013, New York launched a pilot Public/Private Partnership Program designed to increase services for Children with High Needs and at-risk youth, to prevent their

involvement with the child welfare or juvenile justice systems and/or to expedite their return home. Applicants were required to leverage private matching funds to support the \$1.6 million in State funding that was committed to this initiative. Ten projects were funded in a number of program areas, including the Healthy Families New York home-visiting program, child care resource and referral, and trauma-informed programs in child care and school-based settings. Over the past ten years, private grants have inspired the launch of QUALITYstarsNY, *New York Works for Children* (New York's early childhood education professional development system), and many other initiatives that have provided essential momentum to New York's system-building efforts.

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

New York's sustained, in some cases increasing, investment in ELDPs has enabled the State to serve nearly 50,000 additional Children with High Needs over the past 7 years, even as the State faced difficult budgetary conditions. The following programs expanded the numbers of children served during this period (see Tables (A)(1)-3 and (A)(1)-5):

- **Child Care Subsidies:** The number of Children with High Needs ages birth through age 5 served with child care subsidies has shown steady and sustained growth every year between Federal Fiscal Years 2009 through 2012. During that time frame, the total number of young children served rose from 58,591 in 2009 to 79,759 in 2013. Total funding for child care subsidies for Children with High Needs of all ages has increased slightly from \$736 million to \$739 million over the last five years.
- **Universal Prekindergarten:** From the 2008-2009 to the 2012-2013 school year, the number of Children with High Needs served by Universal Prekindergarten programs increased by approximately 3,000 children from 79,899 to 83,219 children annually. Total funding for Universal Prekindergarten for Children with High Needs has increased from \$374.1 million to \$384.6 million over the last five years. In addition, the 2013-14 budget includes Governor Cuomo's \$25 million Priority Full-day Prekindergarten and Expanded Half-day Prekindergarten Grant Program for High Need Students, an investment with an emphasis on high quality, full-day prekindergarten. Funding is targeted toward higher need students in lower wealth school districts via a

competitive process, which will increase the number of children services in high quality prekindergarten settings.

- **Preschool Special Education:** Enrollment in preschool special education programs steadily increased from 2009 through 2012, with point-in-time enrollment increasing from 39,474 to 40,319 Children with High Needs during this period. Funding for Preschool Special Education for Children with High Needs has increased from \$703 million to \$984 million over the last five years.
- **Home Visiting:** The Nurse Family Partnership program and Healthy Families New York serve approximately 8,000 young Children with High Needs annually. State funding for home visiting for Children with High Needs has more than doubled—increasing from \$11.2 million to \$23.3 million over the last five years to maintain funding for the program given a decrease in available TANF for home visiting programs.
- **Early Intervention:** New York’s Early Intervention program enrollment has remained steady serving approximately 30,000 Children with High Needs from 2009 through 2012 (the last year for which there are available data). Annual state funding for Early Intervention is \$164 million with total, state, federal, insurance and local expenditures reaching over \$700 million.
- **Head Start and Early Head Start:** Enrollment in Head Start and Early Head Start increased by 8.5 percent from 2009 to 2013. In 2009, 48,334 of New York’s children were served by Head Start and Early Head Start programs, and in 2013, nearly 58,000 Children with High Needs are in programs.

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

Key elements of our statutory and policy framework supporting quality ELDPs include:

**Setting High Standards**

There are 4,178 licensed centers and 8,150 licensed group family child care homes, and 6,576 registered family child care homes in New York that serve 452,588 children overall many of whom are Children with High Needs. New York is proud of our history of setting high-quality standards for child care licensure, which form a solid base from which to build the QUALITYstarsNY system, New York’s TQRIS. New York’s licensure standards set a

much higher baseline for minimum quality of care than exists in many other states. New York's child care regulatory requirements (which include all modalities of child care in New York State except child care centers in New York City, as per Social Services Law, Section 390(13)), include rigorous standards for health and safety; ongoing provider professional development, requiring a provider to participate in 30 hours of professional development every two years; and developmentally appropriate activities (18 NYCRR 416, 18 NYCRR 417, 18 NYCRR 418-1, 18 NYCRR 418-2). New York's child care regulators are highly trained and attend courses in developmental milestones, age-appropriate programming, and meaningful learning experiences that have been specifically developed to support the regulatory framework and enable regulators to provide on-going technical assistance to child care providers on how to foster a healthy learning environment and school readiness. Our child care center licensure requirements (18 NYCRR 418-1, 18 NYCRR 418-2) and robust oversight place New York second nationally after the Department of Defense (known for its rigorous standards) in Child Care Aware's bi-annual ranking of state licensure standards and oversight requirements. New York's family child care licensure requirements and oversight rank 16<sup>th</sup> nationally, up from 23<sup>rd</sup> when the last rankings were conducted.<sup>4</sup>

To support providers in reaching higher standards of quality, and to help families receiving child care subsidies have access to a diverse supply of quality providers, New York has, since 1999, set reimbursement rates for subsidized child care up to the 75<sup>th</sup> percentile of market rates. In 2012, New York was the only state to set reimbursement rates up to the 75<sup>th</sup> percentile. In Federal Fiscal Year 2012, New York provided child care subsidies to 233,958 Children with High Needs from birth through age 12, and administered subsidy payments to 4,444 licensed centers, 4,499 family child care homes, and 7,104 group family child care homes, as well as 46,965 license-exempt providers.

The Office of Children and Family Services is close to completion of a major review and revision of child care program regulations to raise standards and improve quality in State-regulated child care, including new regulatory standards designed to support and encourage continuity of care models that allow a group of infants and their primary caregiver in a child care center to remain together until children reach 36 months of age. We expect adoption of revised regulations for group family day care and family day care (18

NYCRR 416 and 18 NYCRR 417, respectively) by early November 2013 with an effective date 180 days later; and to release for public comment the notice of proposed regulations for day care centers and small day care centers (18 NYCRR 418-1 and 18 NYCRR 418-2, respectively) by late November 2013, with adoption by late spring 2014. Implementation of new regulatory standards is well-timed in that they will enable the Office of Children and Family Services to more fully support the work of this Race to the Top-Early Learning Challenge grant.

New York's commitment to supporting and improving quality in child care is not limited to regulated (that is, licensed and registered) child care providers. New York has done extensive work to encourage improvement in the quality of legally-exempt child care, typically care provided by friends, neighbors, and relatives to two or fewer children in their homes. Legally-exempt providers may enroll to provide subsidized child care only if they meet basic health and safety standards (18 NYCRR 415.4(f)(7)(v)).

New York also has created incentives that encourage legally-exempt child care providers to improve the quality of the care they provide. Legally-exempt providers who successfully complete 10 hours of training annually in one or more of the nine State-defined mandated training areas (Social Services Law Section 390-a(3)(b)) are eligible to receive an enhanced rate of reimbursement (18 NYCRR 415.9 (j)). A 10-Hour Legally-Exempt Provider Training curriculum, which is an introduction to basic child development and fundamental health and safety practices in legally-exempt child care settings, includes all of the training topics referenced in State regulations and provides targeted training for legally-exempt providers who previously had very few options for professional development. OCFS has developed professional development contracts with two unions – the Civil Service Employees Association (CSEA) in the counties outside New York City (NYC) and the United Federation of Teachers (UFT) in NYC – to provide professional development activities for legally-exempt child care providers, family child care, and group family child care providers.

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

New York has a long-standing commitment to expanding access to high-quality prekindergarten. In 1997, New York enacted legislation (Section 3602-e of the Education Law) with the goal of providing high-quality prekindergarten to all 4-year olds, becoming the third state in the nation to do so. New York has made significant progress towards the realization of

this goal by increasing the number of children attending State-funded prekindergarten, beginning with high-needs communities. In 2007, the investment increased by more than \$146 million. Today, some 32 percent of all 4-year-olds in New York (98,616), including more than 83,219 Children with High-Needs, participate in Universal Prekindergarten programs. The State of New York invests \$386 million annually in Universal Prekindergarten from State funding. New York serves more children in prekindergarten than any state except Florida, Texas, and California, and ranks 8<sup>th</sup> among all states in the percentage of children accessing state prekindergarten programs. Although funding for Universal Prekindergarten flows through school districts, districts are required, with certain exceptions, to set aside at least 10 percent of Universal Prekindergarten funds for collaborative efforts with eligible agencies (Section 3602-e(5)(e) of the Education Law, 8 NYCRR 151-1.4), including child care centers, Head Start programs, nursery schools, and approved preschool special education programs. However, recognizing the needs of children and families for full-day high quality services, school districts have contracted with community-based organizations well beyond the no less than 10 percent requirement stipulated. In fact, slightly less than 59 percent of Universal Prekindergarten classrooms are operated by community-based organizations. This has provided new sources of revenue for child care and Head Start programs serving Children with High Needs, allowing them to raise the quality of their services, expand the length of day and year of services, and provide a more comprehensive service package for the children and families in their program.

In addition, the 2013-14 budget includes Governor Cuomo's \$25 million Priority Full-day Prekindergarten and Expanded Half-day Prekindergarten Grant Program for High Need Students, an investment with an emphasis on high quality, full-day prekindergarten. Funding is targeted toward higher need students in lower wealth school districts via a competitive process, which will increase the number of children services in high quality prekindergarten settings.

In October 2012, the New York City Administration for Children's Services launched the EarlyLearn NYC initiative, which merges child care, Head Start and Universal Prekindergarten into a single, seamless system. Services are targeted to high-needs communities; all programs serve Children with High Needs; there is developmental screening within 45 days of each child's enrollment and ongoing child assessments to measure children's progress throughout the year; and family support services that include nutrition, social, and mental health. The Administration for Children's Services collaborated with the New York

City Department of Education to develop an evidence-based, culturally-appropriate school-readiness curriculum. EarlyLearn NYC serves over 37,000 Children with High Needs from birth to age 5 in both center and home-based settings,

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

In 1977, the New York State Council on Children and Families, an independent State entity charged with coordinating cross-agency collaboration and streamlining decision-making between the State health, education, and human services agencies, was created. In 2003, the Council on Children and Families was transferred for administrative purposes within the Office of Children and Family Services (OCFS), where it continues to operate (Social Services Law, Section 483(1)).

New York's Early Childhood Advisory Council (ECAC) was established in May 2009 to support New York's efforts to build a high-quality early learning and development system, and is New York's State Advisory Council on Early Childhood Education and Care, meeting the requirements described in Section 642B(b) of the Head Start Act (42 U.S.C. 9837(b)). The ECAC is administered by the Council on Children and Families, which also administers three other federal early childhood initiatives - New York State Head Start Collaboration Project, the Early Childhood Comprehensive Services Initiative, and Project LAUNCH. The ECAC includes as members the State's Child Care and Development Fund (CCDF) administrator, State agency coordinators from both Part B of Section 619 and Part C of the Individuals with Disabilities Education Act (IDEA), State agency representatives responsible for health and mental health, and other key early childhood stakeholders throughout the state of New York (42 U.S.C. 9837(b)). In addition to State agency representatives, the membership includes representatives of the broad stakeholder body that comprises the field of early childhood services including representatives of local government, private nonprofits, advocacy organizations, foundations, higher education, and unions. These members have a wide range of expertise in early childhood issues including early learning and development, health care, child welfare, family support and engagement, and mental health.

Since 2009, the ECAC has embarked on an ambitious strategic plan that envisions all young children are healthy, learning and thriving in families that are supported by a full complement of services and resources essential for successful development. To that end, the ECAC has six workgroups that focus on Quality

Improvement, Workforce Development, Strong Families, Promoting Healthy Development, Finance, and Data. The ECAC has successfully, over its first three years, designed and implemented components of an early childhood system for the State of New York. It has overseen the design and field test for QUALITYstarsNY; developed the framework for the New York Early Learning Data System; established a cost-estimation model to support efforts to finance the early learning and development system; created *New York Works for Children*, which includes a workforce registry; developed New York State's early learning guidelines and revised its Core Body of Knowledge framework; and developed plans for establishing statewide systems of developmental screening and mental health consultation among other accomplishments. The ECAC was funded through \$5.6 million in federal American Recovery and Reinvestment Act (ARRA) funding and a \$100,000 annual grant from the BUILD Initiative. The continuation of the ECAC is essential to New York's momentum and is integrated throughout the State's High-Quality Plan.

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

State policymakers recognize that high-quality ELDPs help children enter school prepared to succeed and are a critical foundation for improving educational achievement and narrowing achievement gaps so that all of our state's students are prepared to succeed in college and careers. This perspective is reflected in the Board of Regents' 2005 early childhood policy statement, *Early Education for Students in a Global Community*, which emphasizes the need for an integrated system to support the healthy development and learning of children from birth through Grade 3. The State's and the Board of Regents' deep commitment to early learning and development as part of a broader education reform agenda is also evident in New York's successful 2010 RTTT application. New York addressed the Early Learning Invitational Priority in its successful application, which committed resources to improve early learning and strengthen alignment between ELDPs and the first years of elementary school. Specifically, the State Education Department is using \$4 million of its 2010 RTTT grant award to support the expansion of QUALITYstarsNY in the neighborhoods of the 67 schools that were designated at the time as Persistently Lowest Achieving schools. In addition to that significant commitment in its 2010 RTTT application, the State Education Department also proposed to:

- Address school readiness and transitions between preschool and kindergarten by

building on current initiatives and policies;

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

### **Healthy Children**

New York's Medicaid program provides expanded income eligibility levels for children. Infants under age one are eligible up to 200 percent of the federal poverty level, and children ages 1 through 5 are eligible up to 133 percent of the federal poverty level. Nearly 1.4 million Children with High Needs age 0-5 years have no-cost or low-cost health insurance through Medicaid or Child Health Plus, representing over 57 percent of all New York State children in that age group.

Through Child Health Plus, New York provides comprehensive health insurance coverage to children under age 19 with family incomes up to 400 percent of the federal poverty level who are not eligible for Medicaid and have no health insurance coverage (Title I-A of Article 25 of the Public Health Law). New York is the only state to offer subsidized public health insurance to children with family incomes up to 400 percent of the federal poverty level. Currently, over 411,000 children are enrolled in Child Health Plus, including approximately 67,600 Children with High Needs between the ages of 0 to 5.<sup>1</sup>

As a result, the percentage of Children with High Needs without health insurance declined from 9.2 percent in 2007 to 6.6 percent in 2012, compared to 9.4 percent nationally. An

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<sup>1</sup> Through enactment of revisions to Public Health Law (PHL) section 2510 (9)(c), New York expanded, on a time-limited basis, Child Health Plus coverage to children with family incomes up to 400 percent of the federal poverty level (FPL). The Legislature extended such expansion of coverage several times. Although the State statutory expansion of Child Health Plus coverage to children with family incomes up to 400 percent of the FPL is set to expire in July, 2014, under the federal Affordable Care Act's (ACA) maintenance of effort requirements, the State is required to maintain such expanded coverage until 2019, assuming that Congress reauthorizes Child Health Plus. Therefore, it is expected that the Legislature will continue to extend the income expansion set forth in PHL 2510 section (9)(c) until at least 2019 in order for the State to be in compliance with the ACA.

analysis conducted for New York State by the Urban Institute projected that, as a result of the implementation of Affordable Care Act provisions for expanded eligibility and health insurance exchanges, which New York has opted to implement through a State-operated exchange, an additional 165,000 children age 0-18 will become insured through Medicaid, Child Health Plus, or commercial coverage.

In addition to expanding health insurance, New York has strategically invested significant public resources to support healthy early childhood development through family home visiting programs, including the Healthy Families New York program, operated by the Office of Children and Family Services, and the Nurse Family Partnership, operated by the Department of Health. These programs serve 8,000 Children with High Needs annually and are funded with \$23.4 million in state and \$7.3 million in federal funding. New York State has invested its federal Maternal Infant and Early Childhood Home Visiting (MIECHV) funds in expanding these two program models in targeted high-need communities across the state because of their unique evidence base in improving maternal and child health and child maltreatment outcomes. The Department of Health has also led major cross-agency efforts to prevent and mitigate the impacts of childhood lead poisoning, including new investments to support intensive primary prevention strategies in targeted high-incidence communities.

### **Mental Health Services for Children Birth Through Age 5**

New York has also been particularly committed to children's mental health needs. As part of that effort, in 2008 the New York State Office of Mental Health spearheaded the development of the Children's Mental Health Plan. This Plan, developed collaboratively across multiple agencies, articulates a blueprint to move New York towards an integrated system of early intervention, collaboration with parents, and improved outcomes for our most vulnerable children. To implement the plan, the Office of Mental Health has implemented four initiatives:

- **Early Recognition, Coordination and Screening Initiative** cultivates cooperative relationships between mental health providers and local primary care practices, as well as other community-based programs, to promote early identification and treatment of children with social emotional developmental issues through screening and linkages to services. Thirty-seven providers across the state receive funds to support a full time early recognition specialist.

- **Co-location in Primary Care Initiative** integrates behavioral health services within a primary care setting. This initiative builds and strengthens existing natural supports and fosters collaborative partnerships. Twenty-six clinics from all regions of the state received start-up funds to establish satellite clinics in primary care practices. This initiative is an opportunity to lessen stigma and increase access to care.
- **Project TEACH** (Training and Education for the Advancement of Children's Health) has provided child and adolescent psychiatry consultation, education and training to primary care providers throughout the state for the past two years. Project TEACH provides access to immediate consultation from child and adolescent psychiatrists, education and training, and referral and linkage services for their child and adolescent patients. One long-term goal of the project is to have more children with behavioral health disorders treated in primary care.
- **ParentCorps** is a culturally-informed, family-centered preventive intervention designed to foster healthy development and school success among young children (ages 3 – 6) living in low-income communities. ParentCorps was designed to be engaging and relevant for ethnically diverse families of young children living in urban poverty. Currently, six targeted UPK programs have been trained through the ParentCorps Academy with implementation of the program to begin this Fall.

**(d) Current status in key areas that form the building blocks for a high quality early learning and development system.**

New York has made significant progress in putting together the key foundations for a high-quality early learning and development system, informed by thoughtful and deliberate stakeholder feedback, buy-in, evaluation, and validation by external experts.

**Early Learning and Development Standards:** In January 2011, the Board of Regents adopted the original version of the Prekindergarten Learning Standards for statewide implementation. The Prekindergarten Learning Standards were developed to improve the quality and consistency of early childhood instruction for all prekindergarten children across all settings and fully align to the State P-12 Common Core Learning Standards in English Language Arts and Mathematics. In an effort to provide a clear, comprehensive, consolidated

resource for early childhood professionals, the Prekindergarten Learning Standards were revised to show the absolute inclusion of and connection to the P-12 Common Core Standards and renamed *The Prekindergarten Foundation to the Common Core* in October, 2011. To date, New York is one of only two states across the nation to create and add Prekindergarten Learning Standards to the Common Core Learning Standards before adopting them. In addition, the *Early Learning Guidelines*, developed by the ECAC, describe what children should know and be able to do as they develop from birth through kindergarten entry. Both documents, *The Prekindergarten Foundation to the Common Core*, and *The Early Learning Guidelines*, are based on the five developmental domains first established in the Prekindergarten Learning Standards. Together they comprise New York State's Early Learning and Development Standards.

**Comprehensive Assessment Systems:** There has been innovation at the local level, particularly in the New York City Department of Education, which has partnered with New York University Child and Family Policy Center, the ECAC and others to develop a common metric that utilizes item response theory to align assessment measures in NYC's three major authentic assessment systems (Work Sampling System®, Child Observation Record and Creative Curriculum GOLD®) and will align results to State standards.

The ECAC has focused its attention on comprehensive assessment for children from birth to age 5, advocating for a child development approach and authentic measures. The Office of Early Learning within the State Education Department has shared assessment guidance designed for administrators and teachers that also endorses a developmental authentic approach. Up until now, programs have had great autonomy in selecting assessment tools but an analysis of commonly used tools reveals that most programs are using the Pearson Work Sampling System®, HighScope Child Observation Record®, or Teaching Strategies Gold®.

Policy-makers in New York are committed to empowering early childhood educators to use curriculum and assessment tools that meet the needs of Children with High Needs. We also see the opportunity to identify trends in children's learning across sites and in relation to developmental frameworks and standards as well as to provide targeted professional development and support to educators. A statewide team of public agencies, the ECAC, and the Head Start Collaborative have joined with New York University (NYU) to build a Common Metric for four-year old child assessments. The primary goal of the Common Metric Project is

to improve the skill that teachers have to assess the children in their classrooms so they can make effective decisions about curriculum design and implementation, while making it possible to compare findings across these most commonly-used online preschool authentic assessment tools. Connecting the three tools in a statistically meaningful way will enable stakeholders, including preschool educators and directors, as well as public agencies and higher education to strategically inform curriculum and instruction for young children, especially those with High Need, and will serve to inform the professional development of educators.

**Health Promotion Practices:** QUALITYstarsNY includes standards addressing screening and health promotion practices (see Section (C)(3)). New York has developed a network of approximately 1,100 child care health consultants that support licensed and registered center-based and family child care programs across the state in meeting health and safety standards. For child care centers offering care to infants and toddlers, care to mildly or moderately ill children, or administering medications, the health care plan must be approved by the program's health care consultant (18 NYCRR 418-1.11(a)). For small day care centers, family child care, and group family child care homes, the health care plan must be followed by the caregivers and, for programs offering the administration of medications, must be approved by the program's health care consultant (18 NYCRR 418-2.11(a), 18 NYCRR 416.11(a), 18 NYCRR 417.11(a)).

Child care health consultants must be licensed medical professionals (18 NYCRR 413.2(ak)). There are 50 child care health consultants that work for Child Care Resource and Referral (CCR&R) programs; the remainder are independent consultants. In Section (C)(3), plans are provided that would expand the role of child care health consultants that work for CCR&Rs to support programs in meeting the enhanced health promotion standards included in QUALITYstarsNY. Section (C)(3) also includes strategies for training child care health consultants so that they are more able to meet ELDP programs' needs for addressing the health and safety of children in their programs.

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

- **Universal Prekindergarten:** State Education Department regulations (8 NYCRR §100.3(a)(4), 8 NYCRR 151-1.3(h)) require each school operating Universal Prekindergarten to develop procedures to ensure active engagement of parents in the

education of their children.

- **Early Intervention:** A statewide annual family survey is conducted to evaluate the impact of early intervention services on their child and family. Significant attention is placed on gauging the satisfaction of parents with the supports and services provided to their child and family. This information is used to identify and correct problems in the service delivery system. The Early Intervention Program's Partners Training Project conducts training sessions to provide information, resources, and skill-building activities designed to increase parent advocacy and leadership skills. Section 2553 of the Public Health Law enacted the Early Intervention Coordinating Council, which is an advisory council appointed by the Governor to provide advice and assistance about the Early Intervention program to the Department of Health. The Early Intervention Coordinating Council includes five parents for a total membership of 27. Each county in the state also has a Local Early Intervention Coordinating Council made up of parents and professionals.

Fostering an environment that has resulted in flourishing public/private parent engagement practices, the New York State Parenting Education Partnership (NYSPEP) was established in 2007 as an initiative among the Council on Children and Families, the New York State Office of Mental Health, Prevent Child Abuse New York, and the New York State Children and Family Trust Fund. NYSPEP involves over 400 parent educators from across New York and awards small grants to address barriers to participation in parenting education. NYSPEP also works to support parenting educators in developing evidence-based parenting education services and make parenting education more readily available through program expansion and the provision of web-based parent education program databases.

NYSPEP's Community Café is a parent leadership and community engagement initiative that partners with ELDPs, neighborhood centers, community-based family resource centers, schools, immigrant and refugee agencies, faith-based organizations, and health clinics, to engage parents and other participants in meaningful discussion to uncover commonalities and themes that serve as the foundation of community action. During 2013, 17 communities sponsored cafes for 536 parents and activities were provided for 236 Children with High Needs.

**Development of Early Childhood Educators:** *New York's Core Body of Knowledge,*

created in 1997 and revised in 2012, describes the skills and knowledge teachers need to know in their work with young children birth through age five. The *Core Body of Knowledge* is now a competency-based tool with several applications, such as:

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

Following the dissemination of the *Core Body of Knowledge* to every licensed center throughout the State and to every early childhood faculty member, a wide range of professional development has occurred for faculty, directors and teachers. Through *New York Works for Children*, the Professional Development Institute at the City University of New York has delivered training on how to conduct a self-assessment, how to use the *Core Body of Knowledge* to plan for one's professional development, and how to conduct a performance assessment on classroom staff members. Higher education faculty have had training sessions on how to integrate the *Core Body of Knowledge* into course design, student assessment, and field experiences throughout teacher education programs. Further, an e-learning interactive module has been developed to enable providers of professional development to learn how to use the *Core Body of Knowledge* to design professional development.

Recognizing the importance of specialized training for teachers working with children in the birth to five and early elementary years, the Board of Regents adopted a regulation establishing the Early Childhood Education Birth through Grade 2 Certification (8 NYCRR §80-3.2(e)(1)(i)). All higher education curricula leading to the Birth through Grade 2 Certification must be registered by the Commissioner of Education and must include coursework focused on the unique developmental needs of young children (*see e.g.*, 8 NYCRR sections 52.1(b)(1) and (2), (l), (m); 52.21(b)(3)(i)).

New York has also built an Early Learning Workforce Registry (Aspire) to track all providers in regulated settings and capture information on their education,

experience, and professional development. Aspire currently collects data on all staff working in sites that are participating in QUALITYstarsNY, as well as trainers that have earned the Trainer Credential. Approximately 5,000 individuals are now using Aspire successfully.

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

**Effective Data Practices:** The State Education Department has undertaken significant efforts, through its successful 2010 RTTT application, to develop and implement a P-20 Longitudinal Data System, a system into which Universal Prekindergarten and preschool special education programs are already built. In addition, the State Education Department committed resources in the 2010 RTTT application to create linkages with child data from the Early Intervention Program and from Child Welfare. The Memoranda of Understanding needed to link those two programs are being reviewed and are expected to be signed soon, with linkages to those two systems expected to be completed by the end of 2013. In addition, the ECAC's Data Development Work Group has developed an iterative plan to link the 12 existing State and New York City early childhood education data systems into a single early childhood education data system that would in turn be linked to the State Education Department's P-20 Longitudinal Data System. The development of the early childhood education data system will require the development of a new data system to collect child data for children in licensed and registered child care programs that are not publicly funded. To implement the plan, the Data Development Work Group is working with staff of the New York State Office of Information and Technology Services to identify the resources needed to develop the system. In the meantime, the Work Group is working with the agencies that would provide data to the system to develop a governance structure, establish data sharing agreements, and other actions that will need to be completed before

the data system can be developed.

**Table (A)(1)-1: Children from Low-Income<sup>2</sup> families, by age**

	<b>Number of children from Low-Income families in the State</b>	<b>Children from Low-Income families as a percentage of all children in the State</b>
<b>Infants under age 1</b>	98,532	2.3%
<b>Toddlers ages 1 through 2</b>	209,253	4.9%
<b>Preschoolers ages 3 to kindergarten entry</b>	310,822	7.3%
<b>Total number of children, birth to kindergarten entry, from low-income families</b>	618,607	14.5%

Data Source: 2011 American Community Survey, Public Use Microdata Sample (PUMS).

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

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

<b>Special populations: Children who . . .</b>	<b>Number of children (from birth to kindergarten entry) in the State who...</b>	<b>Percentage of children (from birth to kindergarten entry) in the State who...</b>
<b>Have disabilities or developmental delays<sup>3</sup> (a)</b>	69,568	4.6%
<b>Are English learners<sup>4</sup> (b)</b>	146,041	10.6%
<b>Reside on "Indian Lands"(c)</b>	1,838	0.12%
<b>Are migrant<sup>5</sup> (d)</b>	973	0.1%

<sup>2</sup> Low-Income is defined as having an income of up to 200% of the Federal poverty rate.

<sup>3</sup> For purposes of this application, children with disabilities or developmental delays are defined as children birth through kindergarten entry that have an Individualized Family Service Plan (IFSP) or an Individualized Education Program,(IEP).

<sup>4</sup> For purposes of this application, children who are English learners are children birth through kindergarten entry who have home languages other than English.

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

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

<b>Special populations: Children who . . .</b>	<b>Number of children (from birth to kindergarten entry) in the State who...</b>	<b>Percentage of children (from birth to kindergarten entry) in the State who...</b>
<b>Are homeless<sup>6</sup> (e)</b>	66,549	4.4%
<b>Are in foster care (f)</b>	7,298	0.5%
<b>Other as identified by the State</b> <b>Describe:</b> Children in low income families	618,607	44.8%

(a)Includes children in Department of Health Early Intervention programs (IDEA Part C) and children in State Education Department special education (IDEA Part B) programs.  
Data Source: Kids Integrated Data System (KIDS) completed on October 1, 2012; VR-1 Report from Student Information Repository System October 1, 2012; US Census 2012 Population Estimates.

(b)Refers to children in households with linguistic isolation—households in which no one over the age of 14 speaks English at least very well.  
Data Source: 2011 American Community Survey, Public Use Microdata Sample (PUMS).

(c) Data Source: US Census Bureau American Community Survey, 2007-2011

(d)Includes children ages 0-5 enrolled in the Statewide Support Services Program  
Data Source: 2012-1013 Migrant Student Support Service Program Data System

(e)This is an estimate derived from methodology used by National Center on Family Homelessness.  
Data Source: New York State Technical and Education Assistance Center for Homeless Students (2010-2012)

(f)This represents children 0-5 in foster care on 12/31/12.  
Data Source: New York State Office of Child and Family Services, 2012.

(g) Data Source: 2011 American Community Survey, Public Use Microdata Sample (PUMS).

<sup>5</sup> For purposes of this application, children who are migrant are children birth through kindergarten entry who meet the definition of “migratory child” in ESEA section 1309(2).

<sup>6</sup> The term “homeless children” has the meaning given the term “homeless children and youths” in section 725(2) of the McKinney-Vento Homeless Assistance Act (425 U.S.C. 11434a(2)).

<b>Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age</b>				
<i>Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.</i>				
<b>Type of Early Learning and Development Program</b>	<b>Number of Children with High Needs participating in each type of Early Learning and Development Program, by age</b>			
	<b>Infants under age 1</b>	<b>Toddlers ages 1 through 2</b>	<b>Preschoolers ages 3 until kindergarten entry</b>	<b>Total</b>
<b>State-funded preschool</b> <i>Specify: Universal Prekindergarten</i> <i>Data Source and Year: annual census count; 2012-13</i>	N/A	N/A	83,219	83,219
<b>Early Head Start and Head Start<sup>7</sup></b> <i>Data Source and Year: Performance Information Report; 2013</i>	2,247	7029	53,633	62,909(a)
<b>Programs and services funded by IDEA Part C and Part B, section 619</b> <i>Part C Data Source and Year: Kids Integrated Data System (KIDS) completed on October 1, 2012</i> <i>Part B: Data Source and Year: VR-1 Report from Student Information Repository System October 1, 2012</i>	2,597 (Part C)	26,160 (Part C)	40,781 (462 Part C) (40,319 Part B)	69,538
<b>Programs funded under Title I of ESEA</b> <i>Data Source and Year: Data collected through surveys completed by local school districts for year 2012-13.</i>	34	31	3,974	4,039
<b>Programs receiving funds from the State's CCDF program</b> <i>Data Source and Year: ACF801 2012</i>	4,884	25,857	48,323	79,064

<sup>7</sup> Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

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

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

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<b>Other: Nurse Family Partnership (b)</b> <i>Data Source and Year: Efforts to Outcomes (NFP Management Information System), Served 1/1/12-12/31/12.</i>	2,030	643	0	2,673
<b>Other: Healthy Families New York</b> <i>Data Source and Year: HFNY Management Information System 4/1/12-3/31/13</i>	2,769 (c)	2,000	1,125	5,894

(a) Data represents actual students served by age, not funded enrollment as reported in (A)(1)-5

(b) Nurse Family Partnership enrolls first time mothers prenatally and retains them thru child's 2<sup>nd</sup> year. Age as of 1/1/12, children born during the year counted as infants.

(c) Data includes the number of prenatal women enrolled in the program.

**Table (A)(1)-3b: Participation of Children in Early Learning and Development Programs in the State, by Race/Ethnicity**

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

Type of Early Learning and Development Program in the State	Number of Hispanic children	Number of Non-Hispanic American Indian or Alaska Native Children	Number of Non-Hispanic Asian Children	Number of Non-Hispanic Black or African American Children	Number of Non-Hispanic Native Hawaiian or Other Pacific Islander Children	Number of Non-Hispanic Children of Two or more races	Number of Non-Hispanic White Children
State-funded preschool <i>Specify: Universal Prekindergarten (a)</i>	29,706	638	10,231	18,687	N/A (b)	2,250	37,104
Early Head Start and Head Start <sup>8</sup> (c)	23,541	989	2,524	17,010	80	6,245	23,063
Early Learning and Development Programs funded by IDEA, Part C (d)	7,123	56	1,586	3,794	46	334	16,280
Early Learning and Development Programs funded by IDEA, Part B, section 619 (e)	5,494	104	971	3,194	33	12,754	17,769
Early Learning and Development Programs funded under Title I of ESEA (f)	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Early Learning and Development Programs receiving funds from the State's CCDF program (g)	23,530	230	2,356	33,010	316	1,925	17,697
Other: Nurse Family Partnership (h)	1,151	14	80	1,106	4	75	91
Other: Healthy Families New York	127	3	5	130	N/A	57	181

<sup>8</sup> Including Migrant and Tribal Head Start located in the State.

**Table (A)(1)-3b: Participation of Children in Early Learning and Development Programs in the State, by Race/Ethnicity**

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

Type of Early Learning and Development Program in the State	Number of Hispanic children	Number of Non-Hispanic American Indian or Alaska Native Children	Number of Non-Hispanic Asian Children	Number of Non-Hispanic Black or African American Children	Number of Non-Hispanic Native Hawaiian or Other Pacific Islander Children	Number of Non-Hispanic Children of Two or more races	Number of Non-Hispanic White Children
(i)							

(a) Data Source: Student Information Repository System 2012-13

(b) Hawaiian and Other Pacific Islander children are included with the Asian count of children.

(c) Data reflect actual number of children not funded enrollment as reported in (A)(1)-5  
Data Source: Performance Information Report, 2013.

(d) Data includes all children served by Part C, including those over 2 years old.  
Data Source: Kids Integrated Data System (KIDS) completed on October 1, 2012.

(e) Data Source: VR-1 Report from the Student Information Repository System: October 1<sup>st</sup> 2012

(f) Race and ethnicity data on Children with High Needs served by Title I is not collected at the state level.

(g) Data Source: ACF801 for calendar year 2012

(h) Mother's race/ethnicity used when child's information is missing. Data missing for 152 clients/children.  
Data Source: Efforts to Outcomes (Nurse Family Partnership Management Information System) for the 2012 calendar year

(i) Data is missing for 4927 children and 8 are other. Data was not collected on race of child until 1/1/13.  
Hawaiian of Other Pacific Islander is not a category used when collecting information.  
Data Source: Healthy Family New York Management Information System; 4/1/12-3/31/13

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years (a)</b>					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Supplemental State spending on Early Head Start and Head Start<sup>9</sup></b>	\$0M	\$0M	\$0M	\$0M	\$0M	\$0M
<b>State-funded preschool: Universal Prekindergarten Program (b)</b>	\$374.1M	\$378.1M	\$382.2M	\$382.0M	\$375.7M	\$386.3M
<p>Source Documentation: State Education Department's (SED) statutorily required report (Education Law 305(21)) of State support for elementary and secondary education, September 2013.</p> <p>Funding Source(s): State only; Targeted age group: age 4</p>						
<b>Other: Priority Full-day Prekindergarten and Expanded Half-day Prekindergarten Grant Program for High Need Students (New for 2013-14 School Year)</b>	\$0M	\$0M	\$0M	\$0M	\$0M	\$25.0M
<p>Source Documentation: Chapter 53 of the Laws of 2013, at pages 232-241 (2013-14 State Budget, Education Department, Aid to Localities – Reappropriations).</p> <p>Funding Source(s): State only; Targeted age group: age 4</p>						
<b>State contributions to IDEA Part C (Early Intervention)</b>	\$231.0M	\$218.0M	\$299.3M	\$166.6	\$143.8	\$163.7

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

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years (a)</b>					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
Source Documentation for Early Intervention: State appropriations: The Office of the New York State Comptroller, Chapter 53 of the Laws of 2013, at page 544 (2013-14 State Budget, Department of Health, Aid to Localities – Appropriations); Medicaid expenditures.						
<b>State contributions for special education and related services for children with disabilities, ages 3 through kindergarten entry (c)</b>	\$703.5M	\$589.6M	\$619.9M	\$869.9M	\$936.7M	\$983.6M
Source Documentation: Office of the New York State Comptroller; Accounting data current as of September 2013. Funding Source(s): State only; Targeted age group: age 3 through age 5.						
<b>Total State contributions to CCDF<sup>10</sup></b>	\$211.0M	\$206.6M	\$202.5M	\$211.2M	\$284.6M	\$229.4M
<b>State match to CCDF</b> Exceeded by in all years	\$9.2M	\$5.5M	\$0.9M	\$11.5M	\$86.2M	\$40.0M
<b>TANF spending on Early Learning and Development Programs<sup>11</sup> (d)</b>	\$489.6M	\$413.9M	\$466.0M	\$428.3M	\$295.3M	\$373.5M

<sup>10</sup> Total State contributions to CCDF must include Maintenance of Effort (MOE), State Match, and any State contributions exceeding State MOE or Match.

<sup>11</sup> Include TANF transfers to CCDF as well as direct TANF spending on Early Learning and Development Programs.

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years (a)</b>					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Other: Healthy Families NY Home Visiting (e)</b>	\$11.2M	\$23.4M	\$15.4M	\$23.3M	\$20.4M	\$23.3M
<b>Other: Nurse Family Partnership (f)</b>	\$0M	\$0M	\$0M	\$0M	\$0.5M	\$0M
<b>Other: Public Private Partnership (g)</b>	\$0M	\$0M	\$0M	\$0M	\$0M	\$1.6M
<p>CCDF, TANF, Healthy Families NY, and Nurse Family Partnership Source Documentation: The Office of the New York State Comptroller, Internal Number Report, September 2013.</p> <p>Public Private Partnership Source Documentation: Chapter 53 of the laws of 2012 and 2013</p> <p>Funding Source(s): CCDF - State and Local Funds; TANF - Federal funds; Healthy Families NY Home Visiting, Nurse Family Partnership, Public Private Partnership - State only.</p> <p>Targeted Age Group: CCDF and TANF transfer to CCDF - children ages birth to age 13; Healthy Families NY Home Visiting, Nurse Family Partnership and Public Private Partnership - children ages birth to age 5.</p>						
<b>Other: Full-Day Kindergarten Conversion Aid (h)</b>	\$5.5M	\$8.5M	\$1.3M	\$6.8M	\$7.3M	\$18.7M
<p>Source Documentation: State Education Department's (SED) statutorily required report of State support for elementary and secondary education, September 2013.</p> <p>Funding Source(s): State only; Targeted age group: age 5.</p>						
<b>Total State contributions:</b>	<b>\$2.04B</b>	<b>\$1.84B</b>	<b>\$1.99B</b>	<b>\$2.10B</b>	<b>\$2.15B</b>	<b>\$2.25B</b>
<p>(a) Data reflect State fiscal year unless otherwise noted. The State fiscal year runs April through March; ex: 2009 is State Fiscal year 2008-09, which runs from April 1, 2008 through March 31, 2009.</p> <p>(b) Data for the Universal Prekindergarten (UPK) program represents State funding for the UPK and Targeted Prekindergarten programs, and is reflective of school year values.</p>						

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 5 Fiscal Years (a)</b>					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
(c)	For the 2010 and 2011 state fiscal years, the State used \$132.8 million and \$194.0 million in ARRA State Fiscal Stabilization Funds (SFSF) Other Government Services (OGS), respectively, to support this program. The amounts included in the data tables do not include SFSF funding. These funds were provided to states to help stabilize state and local government budgets in order to minimize and avoid reductions in education and other essential public services. New York State chose to use a total of \$326 million in SFSF OGS funds for this purpose. Data for Preschool Special Education funding is reflective of Enacted Budget appropriation levels.					
(d)	TANF spending on Early Learning and Development Programs: includes transfers to CCDF and direct spending on early education programs including funding for the Healthy Families NY Home Visiting Program and the Nurse Family Partnership Program.					
(e)	Other State Contributions: Healthy Families NY Home Visiting: funding specified is State General Fund; additional funding from the TANF block grant was also used for this program.					
(f)	Other State Contributions: Nurse Family Partnership funding specified is State General Fund; additional funding from the TANF block grant was also used for this program.					
(g)	Other State Contributions: Public Private Partnership Program - New program implemented to fund programs that have 35 percent private funding match. Data reflects portion of the program used for early learning programs including child care professional development and home visiting programs such as Healthy Families and Parent-Child Home program.					
(h)	New York State provides school districts with one-time Aid to convert from half-day kindergarten to full-day. This Aid is provided in the first year of the program, to cover start-up costs, as the school districts will not receive State Aid for these students until the second year of the program when the full-day enrollment counts are included in State Aid formulas. This Aid is based on a statutory formula (New York Education Law Section 3602(9)); total annual funding amounts are based on the number of school districts that apply for such aid and the number of students being converted from half- to full-day programs. There is no cap on how much a school district can receive.					

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

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

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>12</sup>				
	2009	2010	2011 <sup>13</sup>	2012	2013
<b>State-funded preschool</b> <i>(annual census count; e.g., October 1 count)</i> <b>Specify: Universal Prekindergarten</b> (a)	79,899	81,386	83,023	83,219	N/A
<b>Early Head Start and Head Start<sup>14</sup></b> <i>(funded enrollment)</i> (b)	48,334	55,330	56,771	56,760	57,948(c)
<b>Programs and services funded by IDEA Part C (d) and Part B, section 619 (e)</b>	72,771 (33,297 Part C) (39,474 Part B)	72,286 (31,439 Part C)	70,908 (29,064 Part C )	69,538 (29,219 Part C)	N/A
<b>Programs funded under Title I of ESEA (f)</b> <i>(total number of children who receive Title I services annually, as reported in the Consolidated State Performance Report )</i>	N/A	N/A	N/A	4,039	N/A
<b>Programs receiving CCDF funds (g)</b> <i>(average monthly served)</i>	58,591	71,577	72,137	79,064	N/A
<b>Other: Nurse Family Partnership (h)</b>	2,745	3,192	2,575	2,673	N/A
<b>Other: Healthy Families New York (i)</b>	5,548	5,424	4,206	4,670	5,894
(a) Data Source: Universal Prekindergarten applications for school years 2008-2209 through 2012-2013					
(b) Data Source: Program Information Report 2009-2013.					
(c) Data reflects number of funded enrollment (i.e. program slots), not individual children.					

<sup>12</sup> Include all Children with High Needs served with both Federal dollars and State supplemental dollars.

<sup>13</sup> Note to Reviewers: The number of children served reflects a mix of Federal, State, and local spending. Head Start, IDEA, and CCDF all received additional Federal funding under the 2009 American Recovery and Reinvestment Act, which may be reflected in increased numbers of children served in 2009-2011.

<sup>14</sup> Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

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

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

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>12</sup>				
	2009	2010	2011 <sup>13</sup>	2012	2013
<p>(d) Numbers include all children, including those over 2 years old Data Source: Kids Integrated Data System (KIDS) completed on October 1, years 2009-2012</p> <p>(e) Data Source: VR-1 Report from Student Information Repository System; October 1 count for school years 2008-2009 through 2012-2013.</p> <p>(f) Historical data on Children with High Needs served by Title I is not collected at the state level. Data from school year 2012-13 was collect through local school district survey.</p> <p>(g) Monthly averages are based on calendar years 2009-2012. Data Source ACF801</p> <p>(h) Data Source: Efforts to Outcomes (Nurse Family Partnership Management Information System),</p> <p>(i) Annual data collected by program year: April 1<sup>st</sup> -March 31<sup>st</sup> Data Source: Healthy Families New York Management Information System.</p>					

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

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

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

<b>Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.</i>					
<b>Types of programs or systems</b>	<b>Elements of a Comprehensive Assessment System</b>				
	<b>Screening Measures</b>	<b>Formative Assessments</b>	<b>Measures of Environmental Quality</b>	<b>Measures of the Quality of Adult-Child Interactions</b>	<b>Other</b>
<b>State-funded preschool</b> <i>Specify: Universal Prekindergarten</i>	X	X			X (a)
<b>Early Head Start and Head Start<sup>15</sup></b>	X	X		X	
<b>Programs funded under IDEA Part C</b>	X	X			X (b)
<b>Programs funded under IDEA Part B, section 619</b>	X	X			
<b>Programs funded under Title I of ESEA (c)</b>	N/A	N/A	N/A	N/A	N/A
<b>Programs receiving CCDF funds</b>			X	X	
<b>Current Quality Rating and Improvement System requirements: QUALITYstarsNY (d)</b>	X	X	X (e)	X (f)	
<b>State licensing requirements (g)</b>			X	X	
<b>Other: Nurse Family Partnership</b>	X		X	X	
<b>Other: Healthy Families New York</b>	X	X	X	X	X

<sup>15</sup> Including Migrant and Tribal Head Start located in the State.

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

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

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

Notes:

- (a) Universal Prekindergarten uses outcome indicators.
- (b) Early Intervention programs also include child and family outcomes and family centered services.
- (c) Title I funds are distributed to other early learning and development programs. Programmatic information specific to Title I is not available.
- (d) Each element of a comprehensive assessment system is included in QUALITYstarsNY, with an increasing number of points earned following a sequential progression. For example, programs receive higher points for using valid, research-based screening and assessment instruments; for achieving higher overall scores on the appropriate Environment Rating Scale (ERS) conducted by an independent observer; and for writing Quality Improvement Plans to address subscale scores at incrementally higher levels. A point system awards points for meeting each criterion; where applicable, criteria that are related to a QUALITYstarsNY tier are specified.
- (e) All tiers of QUALITYstarsNY incorporate measures of environmental quality using the applicable ERS. All programs may opt to conduct a self-assessment using the applicable scale. Programs at Star 3 and higher must have independent ERS assessments and obtain at least an average score of 4.25. The ERS assessment is conducted by a reliable independent assessor.
- (f) The top tiers of QUALITYstarsNY (Star 4 and Star 5) require an assessment using the Classroom Assessment Scoring System (CLASS).
- (g) State licensing requirements apply to all child care programs in NYS (with the exception of child care centers in NYC), whether or not they received CCDF funds: Group Family Day Care Regulations (18 NYCRR 416) Family Day Care Regulations (18 NYCRR 417) Day Care Center Regulations (18 NYCRR 418-1) Small Day Care Center Regulations (18 NYCRR 418-2).

<b>Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
<b>Types of Programs or Systems</b>	<b>Elements of high-quality health promotion practices</b>				
	<b>Health and safety requirements</b>	<b>Developmental, behavioral, and sensory screening, referral, and follow-up</b>	<b>Health promotion, including physical activity and healthy eating habits</b>	<b>Health literacy</b>	<b>Other</b>
<b>State-funded preschool</b> <i>Specify:</i> Universal Prekindergarten (a)	X	X	X		
<b>Early Head Start and Head Start</b>	X	X	X	X	X
<b>Programs funded under IDEA Part C</b>	X	X			X
<b>Programs funded under IDEA Part B, section 619</b>	X	X			X
<b>Programs funded under Title I of ESEA (b)</b>	N/A	N/A	N/A	N/A	N/A
<b>Programs receiving CCDF funds</b>	X		X		
<b>Current Quality Rating and Improvement System requirements: QUALITYstars NY (c)</b>	X	X	X		X
<b>State licensing requirements (d)</b>	X		X		
<b>Other: Nurse Family</b>	X	X	X	X	X

<b>Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State</b>					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
Types of Programs or Systems	Elements of high-quality health promotion practices				
	Health and safety requirements	Developmental, behavioral, and sensory screening, referral, and follow-up	Health promotion, including physical activity and healthy eating habits	Health literacy	Other
<b>Partnership</b>					
<b>Other: Healthy Families New York</b>	X	X	X	X	X

Notes:

- (a) Universal Prekindergarten programs follow health and safety standards defined in state regulation (8NYCRR Part 151) as well as in the Prekindergarten Standards.
- (b) Title I funds are distributed to other early learning and development programs. Programmatic information specific to Title I is not available.
- (c) Elements of high-quality health promotion practices are included in QUALITYstarsNY. Specific standards in each of the four categories (Learning Environment, Family Engagement, Qualifications and Experience, Management and Leadership) target research-based practices proven to impact child health and wellness. For example, programs and providers are recognized and rewarded for participating in the Child and Adult Care Food Program; implementing an obesity prevention curriculum; limiting screen time; providing parents with state-sponsored children's health insurance program eligibility and enrollment information. A point system awards points for meeting each criterion; where applicable, criteria that are related to a QUALITYstarsNY tier are specified.
- (d) State licensing requirements apply to all child care programs in NYS (with the exception of child care centers in NYC), whether or not they received CCDF funds: Group Family Day Care Regulations (18NYCRR 416) Family Day Care Regulations (18NYCRR 417) Day Care Center Regulations (18NYCRR 418-1) Small Day Care Center Regulations (18NYCRR 418-2).

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>
<i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i>

Types of Programs or Systems	Describe Family Engagement Strategies Required Today
<p><b>State-funded preschool</b>  <i>Specify:</i> Universal Prekindergarten</p>	<p>Parental Involvement: Each School operating a prekindergarten program shall develop procedures to ensure active engagement of parents and/or guardians in the education of their children.</p>
<p><b>Early Head Start and Head Start</b></p>	<p><b>Effective parent, family and community engagement is:</b></p> <ul style="list-style-type: none"> <li>• <b>Responsive</b> to the cultures, goals and circumstances of individual parents and provides a <b>comprehensive</b> range of pathways for family support, involvement and leadership;</li> <li>• Based on <b>shared responsibility</b> where programs commit to joining families in respectful and empowering ways and families commit to actively supporting their children’s learning;</li> <li>• <b>Outcomes-based and data driven</b> thereby enabling parents, teachers, program directors, family service providers and community partners to find new solutions to new challenges; and</li> <li>• <b>A systemic program-wide initiative</b> that is embedded in the work of all staff members, management systems, and leadership priorities.</li> </ul> <p><b>Parent and Family engagement Framework (2011)</b></p> <ol style="list-style-type: none"> <li>1. <b>Family well-being:</b> Families participate in services that ensure safety, health and financial stability offered in the context of the family’s values, culture and aspirations.</li> <li>2. <b>Positive parent-child relationships:</b> Parents participate in ongoing support, education and skills development opportunities that promote warm, healthy parent-child relationships.</li> <li>3. <b>Parents as first and lifelong educators:</b> Parents have opportunities to observe, guide and promote the learning of their children at home, school and in their community.</li> <li>4. <b>Parent connections to peers and community:</b> Parents have opportunities to form connections with peers or mentors in supportive, educational or faith-based networks that enhance social well-being and community life.</li> <li>5. <b>Parent leadership and advocacy:</b> Parents have opportunities to participate in leadership development, decision-making, program policy development, and in community and state organizing activities to improve children’s development and learning experiences.</li> <li>6. <b>Intentional transitions:</b> Parents have the necessary tools to improve their children’s learning outcomes as they transition to new learning environments, including EHS to HS, and HS to public schools.</li> <li>7. <b>Families as Advocates and Leaders:</b> parents and families participate in leadership development, decision-making, program policy development, and in community and state organizing activities</li> </ol>

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	to improve children’s development and learning experiences.
<b>Programs funded under IDEA Part C</b>	<ul style="list-style-type: none"> <li>• The Early Intervention Partners Training Project is for New York State parents of young children with disabilities to help them become more actively involved in Early Intervention Program leadership activities. The training sessions provide information, resources, and skill-building activities designed to increase parent advocacy and leadership skills.</li> <li>• The Early Intervention Coordinating Council (EICC) is an advisory council appointed by the governor to provide advice and assistance about the Early Intervention Program to the Department of Health. The EICC has 27 members, including five parents of children up to 13 years old with disabilities. Each county has a Local Early Intervention Coordinating Council (LEICC) made up of parents and professionals. The LEICC advises the Early Intervention Official about local early intervention issues such as gaps in services. LEICC meetings are a way to help parents meet other parents and to learn more about the Early Intervention Program in their area.</li> <li>• In the Early Intervention Program, an Individualized Family Service Plan (IFSP) is developed by a team (Parent, Early Intervention Official, Evaluators/service providers). An IFSP is a written plan for the early intervention services a family and child will receive from the Early Intervention Program. An IFSP will:             <ul style="list-style-type: none"> <li>○ Include the outcomes for child and family – what the parent, child and family hope to gain from early intervention services.</li> <li>○ Describe the early intervention services parent, child and family will get to help reach their defined outcomes.</li> <li>○ Describe who will provide services and where, when, and how often.</li> <li>○ Give the ways services will be used to help parent, child and family reach those outcomes.</li> </ul> </li> </ul> <p>A statewide annual family survey is conducted to engage families in evaluating the impact of early intervention services on their child and</p>

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>	
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<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	<p>family; and, assess the extent to which services are family-centered.</p>
<p><b>Programs funded under IDEA Part B, section 619</b></p>	<ul style="list-style-type: none"> <li>• Parents are appointed members of the Commissioner’s Advisory Panel and play a leadership role in advising the State Education Department on the needs of students with disabilities, including preschool-aged children.</li> <li>• The Early Childhood Direction Centers provide information to families of children with disabilities from birth to age 5 in a number of areas, including, evaluation and assessment services, parent education programs and resources, medical, educational, and social services, transportation, day care, funding and the State's Early Intervention System; and assist families in initially obtaining preschool special education, and in the children’s transition from Early intervention to preschool and from preschool to school-age special education services.</li> <li>• Training and Technical Assistance- Parents receive training to be fully informed of their rights under federal and state law and participate in the decision making of the Committee on Preschool Special Education. Families may also receive parent counseling and training as a related service to understand their child’s special needs, obtain information about child development, and acquire the skills to support their child’s individualized education program,</li> <li>• Parent Centers - There are 13 Special Education Parent Centers across New York State. These centers provide parents of children with disabilities with information, resources, and strategies to promote their meaningful involvement in their children’s education programs, including the special education process (referrals, individual evaluations and individualized education program development and transition planning); promote early resolution and mediation of disputes between parents and school districts; assist in understanding procedural due process rights, including the right to impartial hearings and appeals and the State complaint process; and enhance parents’ skills and levels of</li> </ul>

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	<p>confidence to communicate effectively and work collaboratively with schools and stakeholders to advocate and actively participate in their children’s education program</p>
<b>Programs funded under Title I of ESEA</b>	<p>Title I: All Local Educational Agencies and schools receiving Title I funds are required to maintain a parent involvement policy designed to enable many of the family engagement strategies described. Additionally, any local educational agency receiving \$500,000 or more in Title I funds is required to set-aside 1% of their allocation to support parent involvement activities.</p>
<b>Programs receiving CCDF funds (a)</b>	<p>See State licensing requirements below.</p>
<b>Current Quality Rating and Improvement System requirements</b>  <i>Specify by tier (add rows if needed):</i> QUALITYstarsNY (b)	<p><b>Communication</b></p> <p>C 1. Program communicates with parents of infants in writing on a daily basis about care giving routines such as feeding, sleeping, and diapering/toileting. 3pts</p> <p>C 2. Program communicates with families in a comprehensive, written format about the program’s history, philosophy, admissions policies, applicable regulations, parent involvement opportunities, and other policies. 5pts</p> <p>C 3. Program periodically communicates with families in writing with families about program and child activities and other pertinent information. 3pts</p> <p>C 4. Program meets one on one with parents about their child’s individual development at least twice a year. 3pts</p> <p>C 5. Program communicates with families about staff member’s educational qualifications and professional experience. 3pts</p> <p>C 6. Program communicates with families about program activities and policies in a group setting. 3pts</p> <p>C 7. Program provides written information about family resources such as child development, oral health, child health insurance, tax credits, and child care financial assistance. 5pts</p> <p><b>Involvement &amp; Family Support</b></p> <p>FIS 1. Program supports breastfeeding. 2pts</p> <p>FIS2. Program offers family social gatherings. Invitations to these</p>

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<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	<p>gatherings intentionally target other family members, in addition to parents. 2pts</p> <p>FIS3. Program provides workshops, training or other events for families on educational topics. 2pts</p> <p>FIS4 Program offers volunteering opportunities for families including opportunities for families to share talents and expertise. 2pts</p> <p>FIS5. Families complete a program evaluation or survey annually and results are used for program improvement. 4pts</p> <p>FIS7. Program conducts self-assessment using a tool on family responsive practices, such as the Center for the Study of Social Policy’s Family Strengthening Self-Assessment tool, and results are used for program improvement. 3pts</p> <p>FIS8 Program completes a self-assessment of cultural competence using a tool, such as the National Association for the Education of Young Children Pathways to Cultural Competence Checklist, the Self-Assessment Checklist for Personnel Providing Services and Supports in Early Intervention and Early Childhood Settings from the National Center on Cultural Competence or other tool. The results are used for program improvement. 3pts</p> <p>If program enrolls children whose home language is not English:</p> <p>FIS9 Program staff greets children and parents in the home language of the children and parents. 2pts</p> <p>FIS10. Program staff is trained to address the needs of children whose home language is not English. 4pts</p> <p>FIS11. When 50% of enrolled children are speakers of a particular language other than English, program employs at least one staff member who speaks that language. 4pts</p> <p><b>Transitions</b></p> <p>T 1. Program has a written policy and/or procedures for transitioning children into the program, which includes providing information on separation and attachment. 3pts</p> <p>T 2. Program has a written policy and procedures to support children and families during transitions within the program. 3pts</p> <p>T 3. Program has a written policy and procedures to support children</p>

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	<p>and families transitioning out of the program including when children transition to another educational setting (e.g. other center, kindergarten). 3pts</p> <p>T 4. Program promotes the quality and continuity of teacher-child relationships through teacher training, scheduling or other policies such as ensuring no more than one transition within the child’s first two years. 6pts</p>
<b>State licensing requirements</b>	<p>Parents must be given the opportunity to discuss issues related to their children and the care of their children with an appropriate staff member or members. Such opportunities must occur at the time of enrollment and as frequently as needed thereafter, but at least annually;</p> <ul style="list-style-type: none"> <li>• The child day care center must offer information about other community resources to families when they are in need of supportive social services not otherwise provided by the child day care center (18 NYCRR 418-1.7(k)).</li> <li>• Where the written statement from the health care provider advises the day care provider that the child being enrolled is a child with special health care needs, the day care provider must work together with the parent and the child's health care provider to develop a reasonable health care plan for the child while the child is in the child day care program (18 NYCRR 416.11(e), 18 NYCRR 417.11(e), 18 NYCRR 418-1.11(e), 18 NYCRR 418-2.11(d)).</li> <li>• A child day care center must give the parent, at the time of admission of a child, a written policy statement including, but not limited to: the responsibilities of the program; the responsibilities of the parent; the policies of the child day care center regarding admission; the disciplinary policy; the program activities to be provided; a summary of the program's health care policies, including the level of illness the center will accommodate; actions the child day care center will take in the event the child is not picked up as scheduled; the food service arrangements; and instructional materials on the available procedures and legal remedies if they suspect their child has been abused or maltreated (8 NYCRR, section 418-1.15(a)(7)).</li> </ul>

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	<ul style="list-style-type: none"> <li>• The parent of a child receiving care must have: unlimited and on demand access to such child; the right to inspect all parts of the building used for child day care or which could present a hazard to the health or safety of the child whenever the parent requests at any time during the hours of operation of the child day care center; unlimited and on demand access to the provider whenever such child is in care or during the normal hours of operation; and unlimited and on demand access to written records concerning such child except where access to such records is otherwise restricted by law (18 NYCRR 416.15(a)(9)(i), 18 NYCRR 417.15(a)(9)(i); 18 NYCRR 418-1.15(a)(8)(i), 18 NYCRR 418-2.15(a)(9)(i)).</li> <li>• The child day care center must post or display conspicuously in a place to which parents have free and daily access, the following:             <ul style="list-style-type: none"> <li>○ the Office's child day care center regulations;</li> <li>○ the name(s), addresses and telephone numbers of person(s) with the legal responsibility and administrative authority for the operation of the child day care center; and</li> <li>○ the address and telephone number of the appropriate regional office of the Office, which may be contacted to lodge a complaint against the center for violations of statutory and regulatory requirements (18 NYCRR 418-1.15(a)(9)(i)).</li> </ul> </li> </ul>
<b>Other: Nurse Family Partnership</b>	<p>Nurse-Family Partnership serves low-income, first-time mothers and their children by providing nurse home visitation services beginning early in pregnancy and continuing through the first two years of the child's life. Women voluntarily enroll as early as possible in pregnancy, but no later than the 28th week of gestation. Central to the successful implementation of Nurse-Family Partnership is the establishment of a trusting relationship with the family. The Registered Nurse Home Visitor engages in a therapeutic nurse-client relationship focused on promoting the client's abilities and behavior change to protect and promote her own health and the well-being of her child.</p>

<b>Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State</b>	
<i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i>	
<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	Nurse home visitors use strength-based approaches to working with families and individualize the guidelines to meet the client’s needs. Domains include: personal and maternal health, environmental health, health and human services referrals, and friends and family network relationships.
<b>Other: Healthy Families New York</b>	Healthy Families New York programs utilize persistent and creative outreach methods to engage and re-engage families and to maintain family involvement. Services are offered on a voluntary basis and demonstrate respect for the rights and decisions of program participants. Agreements, mailings, flyers, face to face contacts and brochures are used to inform participants and are culturally, gender, and language appropriate for the groups in the target area of service delivery. Services are tailored to meet the individual needs of families and include the unique strengths the family has. Additionally, programs are required to demonstrate a commitment to hire staff and involve volunteers and community partners who are representative of the language and culture of the population to be served and who are hired from the community targeted for services. HFNY program sites must ensure that cultural diversity training is provided for all staff and that they provide services that are respectful of family traditions, religious beliefs, values, norms, and parenting styles. All programs provide education and information in child development as well as screening and referrals when needed. All programs are required to reach out to fathers in order to involve them in all aspects of service delivery as well as provide non-traditional hours for those parents who are working or in training/education programs. Several programs have a dedicated Fatherhood specialist who work with father’s on increasing their knowledge and involvement with their children. Services are provided and engage the whole family residing within the home of the child. Groups are offered for parents to enhance both their socialization and education in specific topic areas. Participants are referred for needed services and staff work with parents to ensure that service needs are provided. Families are also invited to participate on individual program advisory boards to assist the program in providing

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<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
	effective services to the target population.
<p>(a) State licensing requirements apply to all child care programs in NYS (with the exception of child care centers in NYC), whether or not they received CCDF funds (Social Services Law, Section 390(13)).</p> <p>(b) Standards listed are center-based Family Engagement Standards for QUALITYstarsNY. For the home-based Family Engagement Standard see Appeneix B.1.2, p. 10. A point system awards points for meeting each criterion; where applicable, criteria that are related to a QUALITYstarsNY tier are specified.</p>	

<b>Table (A)(1)-10: Status of all early learning and development workforce credentials<sup>16</sup> currently available in the State</b>				
<b>List the early learning and development workforce credentials in the State</b>	<b>If State has a workforce knowledge and competency framework, is the credential aligned to it?</b>  <i>(Yes/No/Not Available)</i>	<b>Number and percentage of Early Childhood Educators who have the credential</b>		<b>Notes (if needed)</b>
		<b>#</b>	<b>%(a)</b>	
<b>Child Development Associate Credential</b>	Yes	5,285	N/A (a)	

<sup>16</sup> Includes both credentials awarded and degrees attained.

<b>Table (A)(1)-10: Status of all early learning and development workforce credentials<sup>16</sup> currently available in the State</b>				
<b>List the early learning and development workforce credentials in the State</b>	<b>If State has a workforce knowledge and competency framework, is the credential aligned to it?</b>  <i>(Yes/No/Not Available)</i>	<b>Number and percentage of Early Childhood Educators who have the credential</b>		<b>Notes (if needed)</b>
		<b>#</b>	<b>%(a)</b>	
<b>NY Infant/Toddler Care and Education Credential</b>	Yes	11	N/A	Each of the NYS Credentials is designed to support the knowledge and competency required for a specific role in the field of early childhood education. All require credit-bearing coursework and exceed current licensing requirements; QUALITYstarsNY recognizes the role of these credentials in professionalizing and supporting the field and awards points to individuals holding these credentials accordingly. The number of individuals in the pipeline has increased dramatically with the implementation of QUALITYstarsNY. .
<b>NY Family Child Care Credential</b>	Yes	3	N/A	
<b>NY Children’s Program Administrator Credential</b>	Yes	43	N/A	
<b>NY Trainer’s Credential</b>	Yes	156	N/A	
<b>NY Verified Trainer</b>	Yes	244	N/A	
(a) New York State is currently developing a data base to collect and track data on the number and specific qualification of all Early Childhood Educators within the state (see Section (D)(1) of this application for more detailed information). Because the state data system is currently under development, the percentage of Early Childhood Educators with specific credentials is not yet available.				

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b> <i>(Yes/No/ Not Available)</i>
Adelphi University	82	N/A
Alfred University, Main Campus	31	N/A
Bank Street College Of Education	71	N/A
Canisius College	43	N/A
Cazenovia College	6	N/A
College of New Rochelle, Main Campus	52	N/A
College Of Saint Rose	95	N/A
City University of New York, Brooklyn College	146	N/A
City University of New York, City College	59	N/A
City University of New York, College of Staten Island	23	N/A
City University of New York, Hunter College	191	N/A
City University of New York, Lehman College	75	N/A
City University of New York, Queens College	72	N/A
Daemen College	261	N/A
Dominican College Blauvelt	4	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b> <i>(Yes/No/ Not Available)</i>
Dowling College	27	N/A
Elmira College	5	N/A
Fordham University, Rose Hill and Lincoln Campuses	61	N/A
Hofstra University, Main Campus	112	N/A
Iona College, New Rochelle Campus	37	N/A
Keuka College	10	N/A
Le Moyne College	10	N/A
Long Island University, Brooklyn Campus	2	N/A
Long Island University, Brentwood Campus	35	N/A
Long Island University, Post Campus	43	N/A
Long Island University, Hudson, Graduate Rockland	13	N/A
Long Island University, Hudson Graduate Center, Westchester	11	N/A
Long Island University, Riverhead	6	N/A
Manhattan College	5	N/A
Manhattanville College	43	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
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Medaille College	61	N/A
Medgar Evers College	14	N/A
Mercy College	504	N/A
Molloy College	11	N/A
Mount Saint Mary College	9	N/A
Nazareth College Rochester	48	N/A
New York University	67	N/A
Niagara University	49	N/A
Nyack College	3	N/A
Pace University, Pleasantville	5	N/A
Roberts Wesleyan College	19	N/A
Sarah Lawrence College	9	N/A
St Bonaventure University	38	N/A
St John Fisher College	21	N/A
St John's University, Main Campus	64	N/A
St John's University, Staten Island	1	N/A
St Joseph's College, -Main Campus	112	N/A
St Joseph's College, Suffolk	382	N/A
St Thomas Aquinas College	12	N/A

<b>Table (A)(1)-11: Summary Of Current Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>		
<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State's Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b> <i>(Yes/No/ Not Available)</i>
State University College, Brockport	22	N/A
State University College, Buffalo	74	N/A
State University College, Cortland	109	N/A
State University College, Fredonia	45	N/A
State University College, Geneseo	136	N/A
State University College, New Paltz	159	N/A
State University College, Oneonta	29	N/A
State University College, Oswego	13	N/A
State University College, Plattsburgh	83	N/A
State University College, Potsdam	129	N/A
University at Albany, State University of New York	59	N/A
State University of New York Binghamton	34	N/A
State University of New York Buffalo	32	N/A
Syracuse University	39	N/A
Teachers College	120	N/A

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

<b>List Postsecondary Institutions And Other Professional Development Providers In The State That Issue Credentials Or Degrees To Early Childhood Educators</b>	<b>Number Of Early Childhood Educators That Received An Early Learning Credential Or Degree From This Entity In The Previous Year</b>	<b>Does The Entity Align Its Programs With The State’s Current Workforce Knowledge And Competency Framework And Progression Of Credentials?</b>  <i>(Yes/No/ Not Available)</i>
The Sage Colleges, Troy Campus	16	N/A
Touro College	839	N/A
University Of Rochester	10	N/A
Utica College	5	N/A
Wagner College	3	N/A
Yeshiva University	6	N/A

Notes:

- (a) Number of Early Childhood Educators listed in this column represent only educators who have completed a post-secondary degree or credential program and have also completed requirements for certification. Currently in New York, there is no existing method of tracking educators who have completed post-secondary programs in early childhood who have not completed certification requirements. Going forward, this information will be collected and tracked in the Workforce Registry. For more information on the Registry, see Section (D)(1) of this application.
- (b) New York’s Core Body of Knowledge was recently revised to make it a competency-based framework. Now that the revision is complete, the Early Childhood Advisory Council will seek the endorsement of the NYS Board of Regents, the State University of New York, and the City University of New York and will take steps to make the Core Body of Knowledge a foundation for early childhood teacher education in public and private colleges and universities throughout the state.

<b>Table (A)(1)-12: Current status of the State’s Kindergarten Entry Assessment</b>					
<b>State’s Kindergarten Entry Assessment</b>	<b>Essential Domains of School Readiness</b>				
	<b>Language and literacy</b>	<b>Cognition and general knowledge (including early mathematics and early scientific development)</b>	<b>Approaches toward learning</b>	<b>Physical well-being and motor development</b>	<b>Social and emotional development</b>
<b>Domain covered? (Y/N)</b>	N/A (a)	N/A	N/A	N/A	N/A
<b>Domain aligned to Early Learning and Development Standards? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>Instrument(s) used? (Specify)</b>	N/A	N/A	N/A	N/A	N/A
<b>Evidence of validity and reliability? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>Evidence of validity for English learners? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>Evidence of validity for children with disabilities? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
<b>How broadly administered? (If not administered statewide, include date for reaching statewide administration)</b>	N/A	N/A	N/A	N/A	N/A

<b>Table (A)(1)-12: Current status of the State’s Kindergarten Entry Assessment</b>					
<b>State’s Kindergarten Entry Assessment</b>	<b>Essential Domains of School Readiness</b>				
	<b>Language and literacy</b>	<b>Cognition and general knowledge (including early mathematics and early scientific development)</b>	<b>Approaches toward learning</b>	<b>Physical well-being and motor development</b>	<b>Social and emotional development</b>
<b>Results included in Statewide Longitudinal Data System? (Y/N)</b>	N/A	N/A	N/A	N/A	N/A
(a) New York State has committed to developing a Kindergarten Entry Assessment, the “Early Learning Inventory of Skills,” which is described in detail in Section (E)(1) of this application. Because this system is under development, the data are not yet available.					

<b>Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State</b>							
<b>List each data system currently in use in the State that includes early learning and development data (a)</b>	<b>Essential Data Elements</b>						
	<i>Place an “X” for each Essential Data Element (refer to the definition) included in each of the State’s data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
<b>NYS Office of Children and Family Services-- Child Care Time and Attendance (CCTA)</b>	X		X	X			X
<b>NYS Department of Health-- Early Intervention</b>	X	X	X	X	X	X	X

<b>Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State</b>							
<b>List each data system currently in use in the State that includes early learning and development data (a)</b>	<b>Essential Data Elements</b> <i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
<b>NYS Education Department—Student Information Repository System (SIRS) (b)</b>	X		X	X			X
<b>NYC Administration for Children's Services--Automated Child Care Information System (ACCIS) (c)</b>	X		X	X			X
<b>NYC Administration for Children's Services--Head Start</b>		X	X		X		
<b>NYS Home Visiting Programs</b>	X	X	X	X	X	X	X
<b>New York Works for Children Registry</b>		X	X		X		
<b>QUALITYstarsNY/WELS</b>			X			X	

<b>Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State</b>							
<b>List each data system currently in use in the State that includes early learning and development data (a)</b>	<b>Essential Data Elements</b>						
	<i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
<b>NYS Office of Children and Family Services-- Child Care Facilities System (CCFS)</b>		X	X			X	
<b>NYC Department of Health-- Child Care Activity Tracking System (CCATS)</b>		X	X			X	
<b>Federal Head Start (PIR)</b>			X				
<b>NACCRR Aware</b>		X	X		X		
<p>Notes:</p> <p>(a) There is no data system that currently collects information on child suspension and expulsion rates, staff compensation and staff retention.</p> <p>(b) The NYS Education Department Student Information Repository System includes those children receiving Preschool Special Education services, Universal Prekindergarten as well as K-12 students.</p> <p>(c) With the exception of those Head Start programs funded by New York City Administration on Children Services, we have no child level data on the Head Start or Early Start population.</p>							

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

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

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

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

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

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

Evidence for (A)(2):

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

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

As outlined in Section (A)(1), New York has a strong foundation of developing policies and making investments to meet the needs of Children with High Needs. Through the Race to the Top Early Learning Challenge Grant, New York proposes to build on this foundation in targeted, strategic ways that will improve quality through dramatically expanding implementation of QUALITYstarsNY among programs serving children with Children with High Needs; improving outcomes of Children with High Needs through expanding access to health insurance, developmental screening, and well child checks; supporting children's social and emotional development; improving the professional development system for early childhood professionals; and developing and implementing a statewide Early Learning Inventory of Skills (ELIS) to inform individualized instruction and professional development for kindergarten teachers and early learning professionals.

Specifically, with the support of the Race to the Top Early Learning Challenge grant, New York will accomplish a series of programmatic and systems reforms by the end of 2017, working toward the goal of improving the quality and availability of early learning and development programs for Children with High Needs.

New York will expand QUALITYstarsNY, New York's Tiered Quality Rating Improvement System (TQRIS) to improve the quality of ELDPs serving Children with High Needs. This expansion will grow QUALITYstarsNY from the current 333 ELDPs to a total of 2,837 programs statewide. By 2017, QUALITYstarsNY will impact the following programs and Children with High Needs:

- 553 state funded Universal Prekindergarten programs (20%) (up from 102 programs currently), serving 21,014 Children with High Needs
- 314 Early Head Start and Head Start programs (36%) (up from 53 programs currently), serving 44,431 Children with High Needs
- 104 Early Learning and Development Programs funded under section 619 of Part B (16%), (up from 20 programs currently); serving 6,439 Children with High Needs; and 31 Early Learning and Development Programs funded under section 619 of Part C

(19%) (up from 4 programs currently), serving 2,285 Children with High Needs

- 13 Early Learning and Development Programs funded under Title I of ESEA (54%)(up from 0 programs currently), serving 437 Children with High Needs
- 1,697 Early Learning and Development Programs receiving funds from the State's CCDF program (25%)(up from 247 programs currently), serving 11,860 Children with High Needs.

*(Note: this is not an unduplicated count. See Table (B)(2)(c) for detailed information)*

The QUALITYstarsNY standards build on a strong licensing infrastructure that was identified as one of the strongest in the nation by Child Care Aware of America. Combined with a rigorous field test and validation study completed in 2011-2012, New York has robust TQRIS standards based on nationally recognized best practices for promoting child development. These standards, combined with a highly effective administrative infrastructure, comprehensive data systems, quality control mechanisms, quality improvement support systems, and oversight capacity will facilitate effective growth of QUALITYstarsNY. Through careful planning and strategic partnerships with key Participating State Agencies, organizations and local entities, New York's Race to the Top Early Learning grant will strategically integrate QUALITYstarsNY into the existing infrastructure of publicly funded early learning programs in ways that will both improve program quality overall for Children with High Needs, as well create a more efficient early learning system by streamlining QUALITYstarsNY participation and coordinating regulatory requirements of different programs. The Race to the Top Early Learning Challenge grant will put New York well on the path of meeting its ten-year goal of having 80 percent of centers and 20 percent of family child care homes in QUALITYstarsNY.

The quality of early learning programs will also be improved through targeted supports to create a strong early learning workforce. Through both expanding access to and improving the quality of professional development opportunities for early childhood professionals, New York will strengthen the competencies of the early childhood workforce.

In addition to systematically improving the quality of ELDPs that serve Children with High Needs, New York will also expand health services to increase the number of children with health insurance, the number and quality of developmental screenings, the frequency of well child checks, and improve the implementation of health policies in ELDPs such as

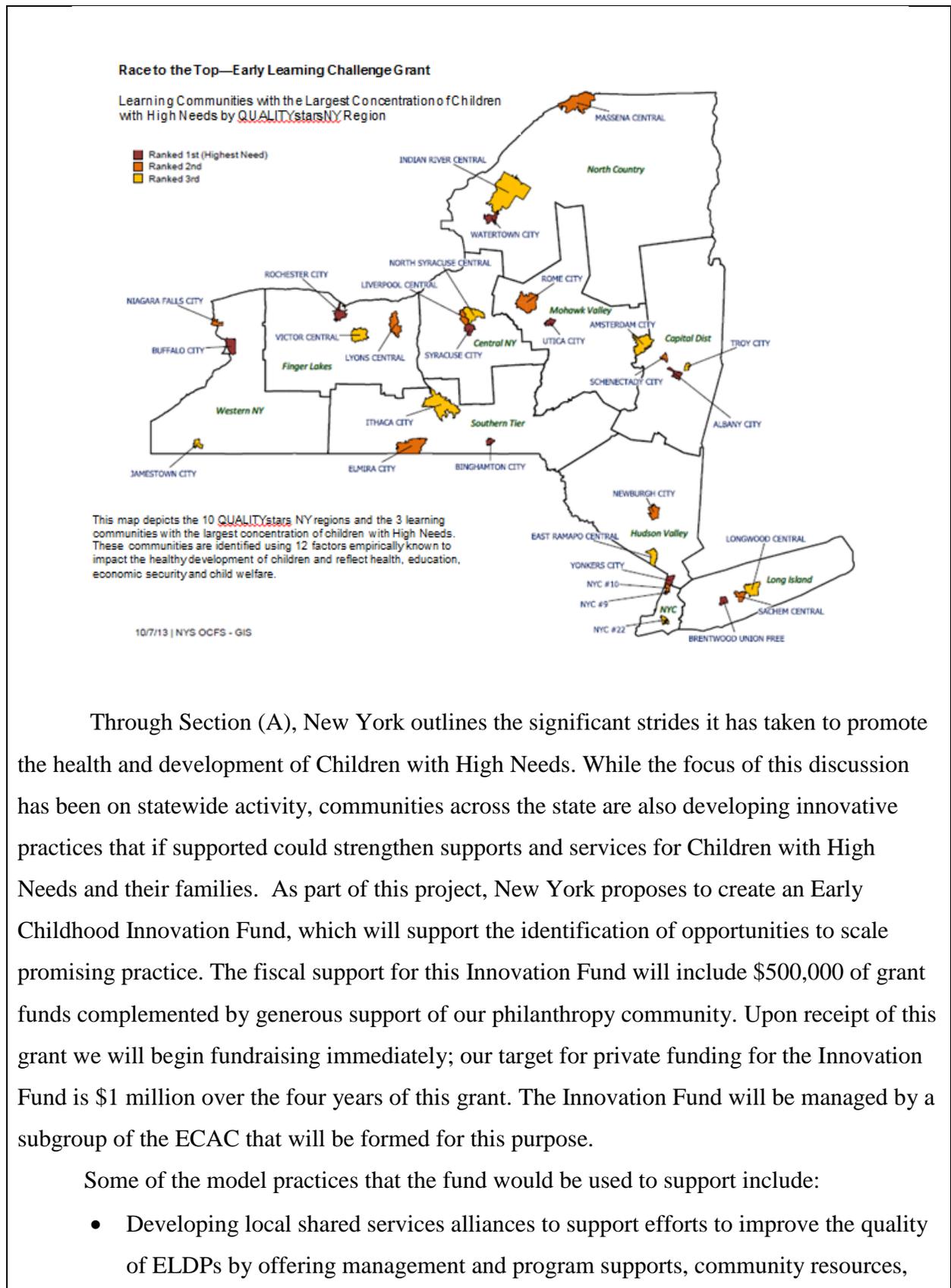
increasing the amount of physical activity, improving nutrition, reducing screen time, and supporting family health literacy.

Through the Race to the Top Early Learning Challenge grant, New York will develop the Early Learning Inventory of Skills (ELIS), which will be completed in the early weeks of kindergarten statewide by the 2017-2018 school year, will help kindergarten teachers individualize instruction and plan professional development for teacher and early childhood professionals. This data, heretofore unavailable in New York, will help individual teachers, school districts, and statewide systems systematically close the gaps between Children with High Needs and their peers.

New York has methodically analyzed where Children with High Needs live in the state (see map on next page). The methodology for determining these focus communities was the development of a composite high need score that reflected 12 risk factors highly associated with the physical, social, emotional and cognitive development of young children. Efforts outlined in this proposal will concentrate in these communities first to ensure Children with High Needs are met. Strategies for accomplishing this expansion are outlined in the High Quality Plan for each section.

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

New York's Race to the Top Early Learning Challenge grant application will enable the state to embark on an ambitious reform agenda to strengthen its overall early learning and development system. As outlined in the High Quality Plans for each section, New York has taken great care to develop strategies to maximize tools/resources such as the QUALITYstarsNY standards, its Early Learning and Development Standards, the workforce knowledge and competency framework, the Career Ladder, and other resources to create a stronger, more unified early learning and development system for New York designed to meet the needs of Children with High Needs.



Through Section (A), New York outlines the significant strides it has taken to promote the health and development of Children with High Needs. While the focus of this discussion has been on statewide activity, communities across the state are also developing innovative practices that if supported could strengthen supports and services for Children with High Needs and their families. As part of this project, New York proposes to create an Early Childhood Innovation Fund, which will support the identification of opportunities to scale promising practice. The fiscal support for this Innovation Fund will include \$500,000 of grant funds complemented by generous support of our philanthropy community. Upon receipt of this grant we will begin fundraising immediately; our target for private funding for the Innovation Fund is \$1 million over the four years of this grant. The Innovation Fund will be managed by a subgroup of the ECAC that will be formed for this purpose.

Some of the model practices that the fund would be used to support include:

- Developing local shared services alliances to support efforts to improve the quality of ELDPs by offering management and program supports, community resources,

information on cost savings, and learning communities.

- Expanding the use of the Early Development Instrument: A Population-based Measure for Communities (EDI) from Long Island to other communities to engage those communities in data-driven processes to inform early childhood services systems.
- Replicate a model effort developed on Long Island to improve the quality of Universal Prekindergarten programs by increasing the knowledge of principals and prekindergarten administrators about early childhood education.
- Introduce the Leadership Circle model to strengthen early childhood leadership and support community efforts to improve program quality and outcomes for children.

Through Section (B), New York has outlined not only the very concrete goals to improve program quality outlined above, but specific strategies to align and simplify the regulatory requirements for different publicly funding ELDPs so they can more efficiently work toward quality improvement. Following the RTT-ELC implementation, New York will have a more integrated, simplified system of early learning and development programs better designed to support continuous improvement. The work to expand QUALITYstarsNY will be supported by one of the nation's most robust comprehensive data systems, enabling data-driven decision making at the program, local, and state levels.

Through Sections (C)(1) and (D)(1), New York will strategically strengthen its early childhood workforce development system by integrating the Early Learning and Development Standards and the Core Body of Knowledge throughout professional development experiences from in-service training through graduate education. The RTT-ELC grant will also enable New York to more fully integrate new systems, such as the health insurance marketplace enabled by the Affordable Care Act, with early learning and development programs to holistically support the health and development of young children. The state will also leverage relationships with pediatric professional associations, residency programs, and other partners to improve the quality and increase the number of developmental screenings completed throughout the state for Children with High Needs. Through proposed reforms to record keeping systems, New York will improve its ability to measure and improve these numbers over time. By strengthening developmental screenings, children with special needs will be identified earlier and benefit from the state's significant early intervention and special education services for

children birth through age five. The social and emotional needs of children will receive particular focus through the expansion of early childhood mental health supports and targeted professional development.

Through Section (D)(1), New York will implement a series of specific strategies to align the broad range of professional development experiences, from training options through credentials and degrees with the Core Body of Knowledge. New York will also build statewide capacity to provide high quality professional development experiences (for teachers to trainers) that are aligned with the Core Body of Knowledge and increase access to professional development experiences that are aligned with the Core Body of Knowledge and contribute to improved practice.

Through Section (E)(1), New York will develop, pilot and implement a tool statewide for appropriately measuring skills at kindergarten entry. The *Early Learning Inventory of Skills* (ELIS) will be developed by the State Education Department, in partnership with State and national early learning and assessment experts. The State Education Department will build on its long history and extensive experience creating developmentally appropriate assessments to create a tool that covers all of the Essential Domains of School Readiness and is valid, reliable and appropriate for the target population for the purpose for which it will be used, including children with special needs and English language learners. ELIS will be piloted in 2016-2017 in targeted school districts, refined as needed, and implemented statewide to the over 200,000 incoming kindergarteners projected in the 2016-2017 school year. For the first time, ELIS will provide information statewide for kindergarten teachers to individualize instruction, districts to plan professional development and provide support to close the education gaps between Children with High Needs and their peers, and other partners to deliver professional development for ELDPs to meet these developmental needs more effectively.

The process for implementing each of these areas of work is outlined in detail in each of the High Quality Plans at the end of Sections B, C, D, and E. For each area of work there are goals, key activities, milestones, and timelines. The responsibilities for each of these activities/milestones is outlined in the High Quality Plans; these responsibilities are also outlined in the MOU which has been signed by each of the Participating State Agencies that will oversee successful implementation.

Each Participating State Agency and relevant partner agencies has identified

appropriate staffing to implement each of the activities outlined in this grant. Careful attention was paid in the development of the work plans and budgets to ensure not only the appropriate number, but also the appropriate level of leadership required to complete this work. As outlined in the governance model (see Section (A)(3)), New York will utilize its successful Council on Children and Families (CCF) to facilitate effective coordination and efficient implementation of Race to the Top-Early Learning Challenge grant funding.

Collectively, the investments from the RTT-ELC grant will create a stronger system of early learning and development programs, early childhood professional development and health promotion systems in the State of New York, supporting the development of young New Yorkers for years to come.

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

The decision to request funding and support for (C)(1), (C)(3), (D)(1), and (E)(1) was made as a result of extensive review of New York’s existing infrastructure, the needs of Children with High Needs, and where policy and programmatic momentum currently exists in New York State. Gubernatorial, State agency, and partner experts collectively felt that these focus areas both held the strongest promise for making dramatic progress in the next four years, as well as improving New York’s system for serving Children with High Needs in sustainable ways beyond the grant period.

Specifically, New York chose to write for each section for the following reasons:

**(C)(1):** New York has carefully and methodically developed its Early Learning and Development Standards to reflect the needs of each age group (infants, toddlers, preschoolers) and to reflect the Essential Domains of School Readiness (language and literacy development; cognition and general knowledge, including mathematics and early scientific development; approaches to learning; physical well-being and motor development, including adaptive skills; and social and emotional development). Supported by the State Education Department, a diverse group of State and national experts drafted, put out broadly for extensive comment, and refined these standards to ensure they were developmentally, linguistically, and culturally appropriate overall and for each age group. New York's Early Learning and Development

Standards were developed to fully align to the K-12 Common Core Standards in literacy and math, the foundation of K-12 instruction in New York. At the present time, there are early efforts underway to promote understanding and commitment to using the Early Learning and Development Standards across all Early Learning and Development Programs and to integrate this essential tool into professional development opportunities at all levels, from in-service trainings to graduate degree programs.

The Early Learning and Development Standards are central to New York's efforts to improve the quality of early learning programs and to close educational gaps between Children with High Needs and their Peers. The Race to the Top Early Learning Challenge grant provides an unprecedented opportunity for New York to implement multi-faceted efforts to integrate the Early Learning and Development Standards into program standards, curricula and activities, Comprehensive Assessment Systems, New York's workforce development system and Competency framework, and diverse professional development activities. As outlined in its High Quality Plan for Section (C)(1), New York will implement a variety of capacity building efforts that will strengthen our overall professional development system to integrate and use the Standards throughout diverse professional development activities, build the capacity of trainers to understand and implement professional development that reflects the Standards, and ensure higher education institutions have integrated the Standards into associate, bachelor and master's degrees. RTT-ELC will also enable New York to develop web-based and user-friendly resources specifically for families on how they can use the Standards to support the development of their young children.

**(C)(3):** New York has a long history and decades of leadership supporting children's health (see Section (A)(1) of this proposal). At the heart of its commitment to ensuring the needs of all children are met, and particularly those of Children with High Needs, is an understanding that all domains of children's development are inextricably linked. New York has intentionally developed partnerships and systems that work together to help specialists that focus on specific domains - such as physical health, social-emotional development or cognitive development – work closely together to support children's growth and development holistically. Specific to children's health and early learning, New York has had a long-standing partnership between child care and Title V. This partnership is evidenced in New York's

strong child care health and safety regulations, the forthcoming regulatory changes that will strengthen these even further, the QUALITYstarsNY standards that promote a variety of innovative ways to promote health and support wellness in ELDPs, and ongoing partnerships to integrate health promotion into early learning programs.

Even with this strong foundation, clearly more work needs to be done. The Race to the Top-Early Learning Challenge grant provides an opportunity to immediately take full advantage of assets being developed in New York. Specifically, the grant will enable New York to take immediate action on the findings of the QUALITYstarsNY validation study, which showed low levels of implementation of health-related standards, particularly related to physical activities, screen time, nutritious foods, and support of practices such as breast feeding; the creation of new partnerships with ELDPs to promote access to health insurance through the recent implementation of health care marketplaces enabled by the Affordable Care Act; and the results of a pilot of mental health consultants that showed significant need for targeted support to address children's early social and emotional development.

**(D)(1):** New York has worked carefully since 2008 to develop several components for a successful workforce development system, to include a workforce registry (called Aspire), an online statewide training calendar and trainer search, a trainer and training approval system, and a complete revision of its Workforce Knowledge and Competencies, known as the New York State Core Body of Knowledge. The Core Body of Knowledge is central to New York's long-term plans for building a successful professional developments system for early childhood professionals.

Section (D)(1) is central to New York's five goals for its early childhood workforce development system, which are to:

- Align the broad range of professional development experiences, from training options through credentials and degrees with the Core Body of Knowledge;
- Build statewide capacity to provide high quality professional development experiences that are aligned with the Core Body of Knowledge;
- Increase access to professional development experiences that are aligned with the Core Body of Knowledge and contribute to improved practice;
- Develop and implement professional development opportunities for the early childhood

workforce (from teachers to trainers) on the Core Body of Knowledge, and;

- Develop online tools to support implementation of the Core Body of Knowledge.

**(E)(1):** New York has a long history of educational excellence. It was one of the early states to adopt and implement the Common Core Standards for K-12. New York further extended the Common Core into early learning settings through adoption of the Prekindergarten Foundation for the Common Core. New York's State Education Department (SED) also has a strong commitment and long history of supporting early learning. SED oversees implementation of the statewide Universal Prekindergarten program, which provides high quality early learning opportunities to over 90,000 four year olds annually with an annual budget of over \$380 million. SED has actively supported braiding of other public funding sources to provide full-day, full year, high quality early learning opportunities for Children with High Needs. SED has also been an active partner and leader in ensuring alignment between early learning and K-12; SED led the development of the Early Learning and Development Standards in partnership with early learning stakeholders throughout the state, ensuring they were fully aligned to the Prekindergarten Foundation for the Common Core and the K-12 standards to promote a continuum of early learning through high school learning experiences for children and youth in New York State.

The Board of Regents that governs the most comprehensive and unified education system in the country has a rich history of developing age-appropriate assessment tools, including the highly regarded high school Regents Exams in English, Math, Science, US History and Global History. In addition, New York was the second state in the nation to administer Common Core-aligned Grade 3-8 English language arts and mathematics tests. New York's approach to assessment is that it should be designed and used to contribute to understanding of the skills and knowledge that students have, and perhaps more importantly, the areas where students need greater supports and services. Using assessments in this way has helped New York strategically invest resources and supports where students and teachers have the greatest needs. Currently, New York State requires that school districts screen every new entrant to school to determine which students are possibly gifted, have or are suspected of having a disability, and/or are possibly limited English proficient. Using Race to the Top-Early Learning Challenge grant funds, New York will build on its successful foundation to develop a

tool known as the Early Learning Inventory of Skills (ELIS) to identify children's learning skills and needs upon kindergarten entry. ELIS will not only provide critical data to inform programs and supports, it will also be integrated into SED's P-20 data system, enabling longitudinal analysis and targeted data-driven decision making. This work will be further complemented by the work outlined in the P-3 Invitational Priority.

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

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

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

Governor Andrew M. Cuomo has designated the Office of Children and Family Services (OCFS) as the lead and fiscal agent for this grant. In addition to other responsibilities, OCFS is the lead agency for child care in the State of New York and its Division of Child Care Services administers \$914 million from the Child Care and Development Fund (CCDF), and provides oversight and monitoring of regulated child care programs (family day care, group family day care and school-age child care programs statewide and child day care centers outside of New York City)(Article 2 of the Social Services Law; Chapter 436 of the Laws of 1997, Part B, Section 122 as amended by Chapter 58 of the Laws of 2008 and Section 390(13)). OCFS also provides statewide oversight and monitoring of legally-exempt child care, publicly funded child care subsidies, child care resource and referral (CCR&R) programs, and the Advantage After School Program, as well as providing and funding training, services, and professional development activities for Early Learning and Development Programs that serve infants, toddler, preschoolers, and school-age children. OCFS successfully oversaw the pilot of QUALITYstarsNY, New York's tiered quality rating improvement system, the key lever for improving Early Learning and Development Program quality in this proposal (Chapter 437 of the Laws of 1997, Article 2 of the Department of

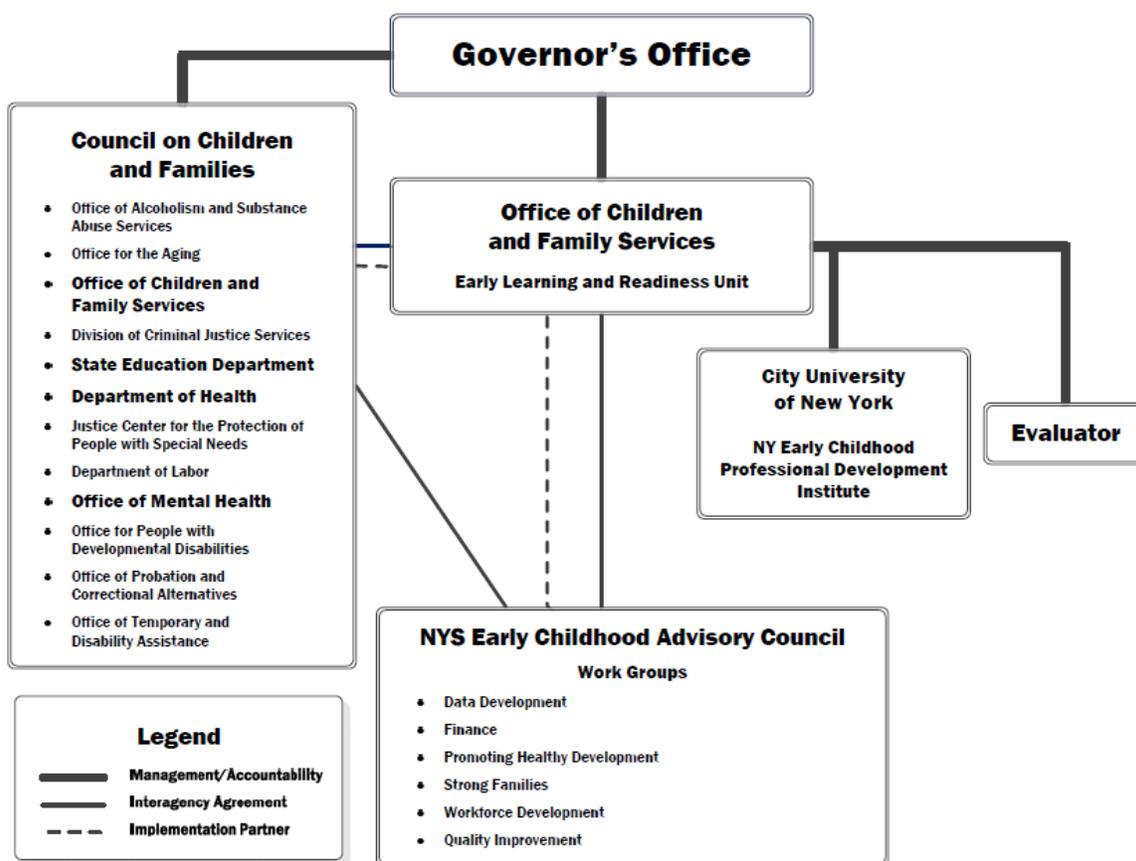
State Board of Social Welfare).

As the Lead Agency for this grant, OCFS will take on all programmatic, administrative, and fiduciary responsibilities that are entailed with management of this grant, and be directly accountable for the successful implementation of all proposed activities. OCFS will work directly with Participating State Agencies, work in collaboration with the Professional Development Institute (PDI) at City University of New York (CUNY) and other members of the Early Childhood Advisory Council (ECAC), and contract out all proposed activities as appropriate, including a contract with an independent evaluator for the TQRIS validation study, as outlined in the MOU and High Quality Plans in this proposal. OCFS will follow all relevant procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36. OCFS will require timely submission of all agreed-upon deliverables.

The OCFS Division of Child Care Services has strong program and policy expertise among its 34 home office staff. The Early Learning and Readiness Unit will be created to focus that expertise on this grant, while bringing to bear the operational strengths and capacity of the Division as a whole through in-kind staff contributions of time, support, and leadership. The Early Learning and Readiness Unit, which will report directly to the deputy commissioner of the Division, will have two mid-level management staff, hired for their programmatic knowledge and managerial skills. The Unit will be supported by administrative staff in the OCFS Division of Administration Bureaus of Budget Management, Contract Management and Finance, which will exercise responsible oversight over all financial and budgetary aspects of the grant, including the submission of fiscal reports.

OCFS's successful administration of this grant will be done in close partnership with New York's ECAC. Conveniently, OCFS administratively houses and is a participating member of the Council on Children and Families (CCF), an independent State entity charged with coordinating cross-agency collaboration and streamlining decision-making (Social Services Law, Section 483), and which staffs the ECAC. CCF has a long history of successful cross-departmental partnerships and has planned and overseen many improvements in policy and funding for Children with High Needs, including the successful facilitation of a significant expansion of health insurance coverage for children, and a substantial increase in the number of prekindergarten programs in New York. The structure of CCF, which comprises the Commissioners of the 12 State agencies supporting children and families, facilitates the

coordination of services with and between OCFS, the State Education Department, the Department of Health, the Office of Mental Health, and other necessary agencies, to effectively allocate resources in the best interest of children. OCFS will work closely with the CCF and ECAC to facilitate seamless implementation of the projects and systems reforms proposed in New York’s Race to the Top Early Learning Challenge grants application. The organizational chart below presents a graphical representation of these relationships. The successful collaboration exemplified by the partners in the State agencies in CCF and the partners in ECAC ensures that all tasks outlined in this proposal will be accomplished through efficient, effective partnerships and management.



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

As noted in Section (A)(1), the ECAC, through its six working groups, is uniquely

effective and largely behind the progress that New York State has made over the past three years in creating the structures and supports that underlay a robust early learning and development system that is especially responsive to Children with High Needs. OCFS has been a member of several of the working groups, as have the other Participating State Agencies that are playing a lead role in this grant (the New York State Education Department (SED), the New York State Department of Health (DOH), and the New York State Office of Mental Health (OMH)).

OCFS, with the support of the ECAC member agencies, and strengthened by the leadership of the Governor, has the capacity and ability to efficiently facilitate interagency coordination. Such partnerships are critical to ensuring that the grant achieves its intended outcomes. Together, OCFS and the ECAC will make decisions and obtain the on-going support of the agencies implementing the various components of the grant. Specifically, **OCFS** will, under the leadership of the Governor, be responsible for the successful implementation of New York's plan to increase access to high-quality ELDPs, contracting out activities as necessary to achieve the goals set forth in this proposal. The governance roles and responsibilities of OCFS will include:

- \* Project plan and work plan development
- \* Supervision of detailed tasks related to procurement, contracting, staffing, and resource development
- \* Monitoring of progress of the implementation of the grant
- \* Project reporting to the federal government in accord with grant requirements
- \* Coordination of teams assigned to implementation tasks
- \* Coordination with ECAC on interagency items and problem escalation and resolution
- \* Stakeholder outreach and input solicitation
- \* Implementation of risk management techniques to make sure project schedule is met
- \* Annual renewal tasks
- \* External communication

**SED** will develop and phase-in the Early Learning Inventory of Skills (ELIS), starting in 2016-2017 and ensuring statewide implementation by the 2017-2018 school year, that will be a point-in-time measure of the five Essential Domains of School Readiness, aligning with both

the *New York State Early Learning Guidelines* and the *Prekindergarten Foundation for the Common Foundation* and used by kindergarten teachers to inform individualized instruction. Decisions pertaining to State-funded prekindergarten and full-day kindergarten are made by the New York State Board of Regents, which approved the creation and implementation of ELIS at its meeting on September 16, 2013. The Regents will appoint an Advisory Council to support the development and roll-out of ELIS. The governance roles and responsibilities of SED will include:

- \* Communication between the Board of Regents and the Advisory Council for ELIS
- \* Communication to OCFS and the ECAC on ongoing progress of grant-related activities
- \* Report to the ECAC on ongoing progress of the development and implementation of ELIS
- \* Coordination with the ECAC Workforce Development Work Group to support the professional development of Early Childhood Educators based on ELIS results
- \* Participation in project evaluation activities
- \* Submission of regular narrative and fiscal reports to OCFS, as needed for federal reporting purposes
- \* Coordination with OCFS and the ECAC on interagency items and problem escalation and resolution.

**DOH** will develop enhanced health standards to be incorporated in the next phase of New York's TQRIS, QUALITYstarsNY; expand training and consultation resources to support ELDP understanding and implementation of health promotion standards; strengthen linkages between ELDPs, parents, and health care providers to increase the number of Children with High Needs who have health insurance and receive ongoing well-child care through a medical home; create a state-level Infant and Early Childhood Social Emotional Resource Center to expand and coordinate cross-system professional development and targeted interventions to reach Children with High Needs; and collaborate with the New York State Parenting Education Partnership to expand parenting education resource available to parents, ELDP and other early childhood providers. The governance roles and responsibilities of DOH will include:

- \* Coordination with the ECAC Promoting Healthy Development Work Group and the Quality Improvement Work Group in the implementation of grant activities
- \* Participation in project evaluation activities
- \* Submission of regular narrative and fiscal reports to OCFS, as needed for federal reporting purposes
- \* Coordination with OCFS and the ECAC on interagency items and problem escalation and resolution.

**OMH** will create a State-level Infant and Early Childhood (I-EC) Social and Emotional Resource Center and support the development of enhanced health standards to be incorporated in the next phase of QUALITYstarsNY. The governance roles and responsibilities of OMH will include:

- \* Communication to the ECAC on ongoing progress of its activities
- \* Coordination with OCFS, SED, DOH and the ECAC Promoting Healthy Development Work Group
- \* Participation in project evaluation activities
- \* Submission of regular narrative and fiscal reports to OCFS, as needed for federal reporting purposes
- \* Coordination with OCFS and the ECAC on interagency items and problem escalation and resolution.

The MOUs, combined with High Quality Plans outlined in each section of this proposal, will also serve as detailed work plans for each State agency. Table (A)(3)-1 further articulates the governance structure described above and delineates the roles and responsibilities of OCFS as the Lead Agency, and SED, DOH, and OMH as Participating State Agencies.

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

OCFS will have the assistance of ECAC members and ECAC Co-Chairs to make decisions about operational issues and to help resolve disputes related to the grant. In its four years of existence, the ECAC has followed a consensus model of decision-making. Supplementing quarterly ECAC meetings, a Steering Committee comprising workgroup chairs and Participating State Agency Representatives, along with a few “at large” members, meets monthly to review

work group activities and debate policy decisions. In the event of irreconcilable differences between OCFS and any of the Participating State Agencies with respect to grant-related activities, OCFS executive staff will reach out to its counterpart(s) to resolve the issue, recognizing that, ultimately, as the Lead Agency, OCFS will need to take responsibility for issuing a final decision. Its default position, however, in its decision-making process, will be to obtain the on-going support of the agencies implementing the various components of the grant. Finally, although OCFS, DOH, and OMH are executive State agencies that report to the Governor, final decisions pertaining to State-funded prekindergarten and full-day kindergarten are made by the New York State Board of Regents.

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

A notable strength of the ECAC, its working groups, and its individual members (including those from Participating State Agencies) is its inclusive approach when it comes to planning, designing, and implementing its activities. Specific to this grant, the ECAC, under the sponsorship of the Lead Agency, will hold community meetings in each of the 10 regions to announce the grant and its approved activities and general timeline. These meetings will be a critical communication vehicle, but they will also be used as an opportunity to solicit feedback and ideas, and also to recruit representatives from Participating Programs, along with parents, and other critical stakeholders to get involved with the ECAC working group closest to their interests. As noted elsewhere in this application, the diverse membership of the ECAC includes individuals with a wide range of institutional affiliations, expertise, and perspectives. ECAC members will be tasked to be ambassadors of the work associated with the grant, and to constantly report back the view from the field.

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

- (1) Terms and conditions that reflect a strong commitment to the State Plan by each Participating State Agency, including terms and conditions designed to align and leverage the Participating State Agencies' existing funding to support the State Plan;**
- (2) "Scope-of-work" descriptions that require each Participating State Agency to implement all applicable portions of the State Plan and a description of efforts to maximize the number of Early Learning and Development Programs that become Participating Programs; and**
- (3) A signature from an authorized representative of each Participating State Agency;** Please refer to the text of the MOU beginning on page **XXX**.
- (c) Demonstrating commitment to the State Plan from a broad group of stakeholders that will assist the State in reaching the ambitious yet achievable goals outlined in response to selection criterion (A)(2)(a), including by obtaining--**
  - (1) Detailed and persuasive letters of intent or support from Early Learning Intermediary Organizations, and, if applicable, local early learning councils; and**
  - (2) Letters of intent or support from such other stakeholders as Early Childhood Educators or their representatives; the State's legislators; local community leaders; State or local school boards; representatives of private and faith-based early learning programs; other State and local leaders (e.g., business, community, tribal, civil rights, education association leaders); adult education and family literacy State and local leaders; family and community organizations (e.g., parent councils, nonprofit organizations, local foundations, tribal organizations, and community-based organizations); libraries and children's museums; health providers; and postsecondary institutions.**

Stakeholders throughout the state of New York strongly support this application the Race to the Top Early Learning Challenge grant funds. There is widespread excitement and broad support for the ideas outlined in this proposal as they further the significant momentum that has been building to serve Children with High Needs through a comprehensive, high-quality system of early learning and development programs and initiatives.

New York has received 127 letters of support from a broad range of individuals and organizations across the state. This includes receiving letters of intent from 35 organizations (child care councils) that provide CCR&R services across the state, as well as their membership

organization, the Early Care and Learning Council. Each of these organizations pledged their support of efforts to implement QUALITYstarsNY. Other intermediary organizations, from which letters of support were provided include, but are not limited to: the NYS Early Childhood Advisory Council, the national office of the Division for Exceptional Children, Family Child Care Association of New York, National Association of Early Childhood Teacher Educators-NYS Chapter, New York Head Start Association, New York Zero to Three Network - Infancy Leadership Circles, NYS Afterschool Network, and the New York State Association for the Education of Young Children. Many of these organizations mentioned, in their letters, specific grant activities for which they could provide implementation support. For example, the New York Chapter of the National Association of Early Childhood Teacher Educators and the New York State Association of Early Childhood Education expressing their willingness to work with the ECAC in strengthening early childhood teacher education programs across the state. Letters were also received from the Civil Service Employees Association, a union that represents regulated and legally exempt family care providers; and several professional organizations including United Cerebral Palsy of New York State, the Early Intervention Coordinating Council, the Prek-3 Administrators Association, and the New York State Council of School Superintendents. Each of these organizations pledged to work with the Office of Children and Family Services and the ECAC in the expansion of QUALITYstarsNY and in efforts to strengthen and expand professional development programs across the state. Also submitting letters were advocacy organizations formed to focus on a range of early childhood issues including improving linkages between pediatric providers and early childhood education, increasing access to mental health services for young children and their families, improving the quality of early childhood education, and strengthening professional development. Each found their particular interests being addressed in New York's Early Learning Challenge grant proposal causing them to pledge their support of grant implementation activities.

Several health organizations such as the American Academy of Pediatrics – NYS Chapter, New York State Academy of Family Physicians, and the New York State Conference of Local Mental Hygiene Directors, Inc. submitted letters of support. Each lauded the proposals to strengthen connections between primary care providers and early childhood education programs and efforts to prevent obesity and provide supports to professionals working to support children's social-emotional development. They each promised to support the work of the ECAC

and others in implementing the health and mental health grant activities.

Each member of the ECAC or their respective organizations submitted letters that express their strong support of New York’s proposal. Their letters collectively recognizing that the receipt of this grant is critical to New York’s efforts to continue building a high-quality system of supports and services for young children and their families. (ECAC members’ letters can be found in the section devoted to their letters and to all other sections of the packet, since members represent CCR&Rs, advocacy organizations, professional organizations, health organizations, foundations etc.)

Finally, letters were received for business leaders, philanthropies, health organizations, professional organizations and others, all expressing strong support of this grant application. These letters included a letter from New York City Deputy Mayor Linda Gibbs, who expressed the importance of this grant for meeting the needs of Children with High Needs in New York City. (See Table (A)(3)-2 for a list of intermediary organizations and local early learning councils in the state, along with whether they submitted a letter of support. The letters themselves can be found in the Appendix.)

<b>Table (A)(3)-1: Governance-related roles and responsibilities</b>	
<b>Participating State Agency</b>	<b>Governance-related roles and responsibilities</b>
New York has developed a highly detailed MOU to ensure all state departments and other entities are very clear about their responsibilities to implement this proposal and have appropriate staff and other resources to fulfill their roles and responsibilities. These are outlined in detail in the MOU (see Section XX)	
Office of Children and Family Services (OCFS)	<ul style="list-style-type: none"> <li>• Oversee grant implementation and coordination of all projects.</li> <li>• Ensure effective dispute resolution.</li> <li>• Monitor completion of all projects as outlined in the proposal.</li> <li>• In collaboration with City University of New York, and other partners outlined in the MOU, expand QUALITYstarsNY to reach a total of 2,133 early learning and development programs reaching Children with High Needs and commission a validation study (B1-5); expand use of the Early Learning and Development Standards (C1) and the Core Body of Knowledge (D1) throughout professional development systems of training and higher education.</li> <li>• Communicate with the ECAC no less than quarterly on progress of RTT-ELC projects, sharing successes and challenges; jointly develop solutions as needed</li> <li>• Ensure appropriate expenditure of funds.</li> <li>• Follow all relevant procurement processes for the engagement of subcontractors.</li> </ul>

<b>Table (A)(3)-1: Governance-related roles and responsibilities</b>	
<b>Participating State Agency</b>	<b>Governance-related roles and responsibilities</b>
	<ul style="list-style-type: none"> <li>• Implement other responsibilities as outlined in the MOU.</li> </ul>
Department of Health	<ul style="list-style-type: none"> <li>• In collaboration with partners outlined in the MOU, oversee the implementation of strategies targeted to Children with High Needs to expand access to health insurance, improve the quality and number of developmental screenings, provide families with health and other resources, and strengthen the health standards in QUALITYstarsNY (C3).</li> <li>• Communicate with OCFS no less than monthly on progress of RTT-ELC projects, sharing successes and challenges; jointly develop solutions as needed.</li> <li>• Communicate with OCFS no less than monthly on progress of RTT-ELC projects, sharing successes and challenges; jointly develop solutions as needed.</li> <li>• Ensure appropriate expenditure of funds.</li> <li>• Follow all relevant procurement processes for the engagement of subcontractors.</li> <li>• Implement other responsibilities as outlined in the MOU.</li> </ul>
State Education Department	<ul style="list-style-type: none"> <li>• In collaboration with partners outlined in the MOU, develop, pilot, refine and implement the Early Learning Inventory of Skills (ELIS) statewide; develop and provide training and other materials to kindergarten teachers to help them use the results to individualize instruction and to early learning and development programs to help them meet the needs of individual children (E1)..</li> <li>• Communicate with OCFS no less than monthly on progress of RTT-ELC projects, sharing successes and challenges; jointly develop solutions as needed.</li> <li>• Ensure appropriate expenditure of funds.</li> <li>• Follow all relevant procurement processes for the engagement of subcontractors.</li> <li>• Implement other responsibilities as outlined in the MOU.</li> </ul>
Office of Mental Health	<ul style="list-style-type: none"> <li>• In collaboration with partners outlined in the MOU, create a state level Infant and Early Childhood Social and Emotional Resource Center (C3).</li> <li>• Communicate with OCFS no less than monthly on progress of RTT-ELC projects, sharing successes and challenges; jointly develop solutions as needed.</li> <li>• Ensure appropriate expenditure of funds.</li> <li>• Follow all relevant procurement processes for the engagement of subcontractors.</li> <li>• Implement other responsibilities as outlined in the MOU.</li> </ul>
<b>Other Entities</b>	
State advisory council on early childhood education and care	<ul style="list-style-type: none"> <li>• Continue role as key coordination entity of early childhood systems development work in New York State.</li> <li>• ECAC will receive updates and requests for feedback on RTT-ELC projects at least quarterly, and more often as appropriate.</li> <li>• Review progress on initiatives, provide feedback, create</li> </ul>

<b>Table (A)(3)-1: Governance-related roles and responsibilities</b>	
<b>Participating State Agency</b>	<b>Governance-related roles and responsibilities</b>
	connections between initiatives and partners, as appropriate.
City University of New York	<ul style="list-style-type: none"> <li>In collaboration with OCFS, oversee expansion of QUALITYstarsNY and provisions of quality improvement supports to programs (B1-5); expand use of the Early Learning and Development Standards (C1) and the Core Body of Knowledge (D1) throughout professional development systems of training and higher education.</li> </ul>
<b>Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)</b>	
<b>List every Intermediary Organization and local early learning council (if applicable) in the State</b>	<b>Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?</b>
<b><u>Intermediary Organizations</u></b>	
<b>Child Care Resource and Referral Agencies</b>	
ACCORD Corporation	Y
Adirondack Community Action Programs, Inc.	Y
Capital District Child Care Coordinating Council, Inc.	Y
Center for Children's Initiatives	Y
Chautauqua Child Care Council	Y
Chemung County Child Care Council, Inc.	Y
Chinese-American Planning Council, Inc.	Y
Child & Family Resources, Inc.	Y
Child Care Coordinating Council of the North Country	Y
Child Care Aware of Steuben & Schuyler	Y
Child Care Council of Dutchess & Putnam, Inc.	Y
Child Care Council of Nassau, Inc.	Y

Race to the Top-Early Learning Challenge Application

List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Child Care Council of Oneida County Cornell Cooperative Extension	Y
Child Care Council of Orange County, Inc.	Y
Child Care Council of Suffolk, Inc.	Y
Child Care Council of Westchester, Inc.	Y
Child Care Council, Inc. of Rochester (Wayne & Livingston)	Y
Child Care Resource Network	Y
Child Care Resources of Rockland, Inc.	Y
Child Care Solutions (Onondaga & Cayuga)	Y
Child Development County of Tompkins & Cortland	Y
Child Development Support Corporation	Y
Niagara County Child Care Resource & Referral Program	Y
Committee for Hispanic Families – Elba Montalvo	Y
Day Care Council of New York, Inc.	Y
Delaware Opportunities, Inc.	Y
Family Enrichment Network, Inc. (Broome & Chenango)	Y
Family of Woodstock, Inc. of Ulster County	Y
Jefferson-Lewis Childcare Project	Y
Orleans & Genesee Community Action Committee Child Care Resource & Referral	Y
Child Care & Development Council of Oswego	Y
Schoharie County Community Action Program, Inc.	Y
Southern Adirondack Child Care Network, Inc. (Warren/Washington)	Y

Race to the Top-Early Learning Challenge Application

List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Sullivan County Child Care Council, Inc.	Y
St. Lawrence Child Care Council	Y
<b><u>Other Intermediary Organizations</u></b>	
Early Care and Learning Council	Y
Early Childhood Advisory Council	Y
Family Child Care Assoc. of NY	Y
Inter-Agency Council of Developmental Disabilities	Y
New York Head Start Association	Y
New York Zero to Three Network, Infancy Leadership Circles (Erie)	Y
New York Zero to Three Network	Y
New York Zero-to-Three	Y
New York Zero-to-Three	Y
NYS Association for the Education of Young Children	Y
WNET – NY Public Media	Y
Division for Early Childhood – National Council for Exceptional Children	Y
Every Person Influences Children (EPIC)	Y
NYS Family Engagement Coalition	Y
<b>Union</b>	
CSEA	Y
<b><u>Other Organizations</u></b>	
<b>Advocacy</b>	
Advocates for Children	Y

List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
The Children's Defense Fund	Y
Citizen's Committee for Children	Y
NYS Alliance for Children with Special Needs	Y
The Children's Agenda	Y
Early Childhood Development Initiative	Y
Families Together	Y
NYS Afterschool Network	Y
Parenting Resource Network	Y
NYS Pre-K Administrators Association	Y
Winning Beginnings	Y
<i>[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]</i>	

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

**(a) Demonstrates how the State will use existing funds that support early learning and development from Federal, State, private, and local sources for activities and services that help achieve the outcomes in the State Plan, including how the quality set-asides in CCDF will be used;**

New York has a long-standing, significant financial commitment to early learning and development programs across multiple state agencies. Funding has been committed in the areas of child care, universal pre-k, early intervention and home visiting programs, in addition to a commitment of providing medical care through Child Health Plus. The Child Care Block Grant comprises CCDF, TANF and State and local resources and even in difficult fiscal times, New York has maintained its commitment to maintaining subsidy funding at the unprecedented 75% of median income - for example, in SFY 2012 when there was less TANF funding available for child care subsidies, the State increased State General Fund resources by \$73 million to sustain

its commitment to child care affordability for working families. Over the past five years, the State General Fund investment to Universal Prekindergarten has increased by \$10.5 million to \$386 million/year.

In addition to the funds requested under this grant, New York will also use existing early learning and development funds to support activities and services outlined in the proposed High Quality Plans. Participating State Agencies will realign a total of \$35.2 million in current resources to support implementation and sustainability of the reforms outlined in this proposal, as well as as rethink how existing staff and resources can be utilized and current initiatives leveraged to achieve the State's mission. Through a combination of realigning existing funding and in-kind work that will be absorbed in the current participating State agency budgets, leveraging ongoing investments, and Race to the Top-Early Learning Challenge grant funds, New York will further its commitment to creating an integrated system of quality ELDPs accessible to all of New York's children, especially those with High Needs.

#### **CCDF**

In Federal Fiscal Year 2012, New York received \$297 million in CCDF funds and provided \$161 million in State match. The majority of CCDF funding is used to support child care subsidies, serving 233,958 children birth through school age annually. The State also currently sets aside approximately \$92 million annually in CCDF funding for quality improvement activities, which exceeds the minimum four percent quality set-aside requirement for such activities. In New York, this funding supports activities such as staff that license/register programs, criminal background and fingerprinting checks of child care providers, supports to child care resource and referral agencies (CCR&Rs), targeted funds to enhance infant and toddler programs, professional development training and scholarships for child care providers, and administrative and regional staff and training. New York has strategically invested its CCDF resources to build a rigorous child care licensing system; our child care center regulations have been nationally recognized as being second only to those of the Department of Defense.

In 2010, New York launched QUALITYstarsNY, the state's tiered quality rating and improvement system. Following a field test and comprehensive validation study, QUALITYstarsNY is now at the center of the State's ambitious quality improvement agenda;

to this end, all CCDF funds will be examined to align with the State's early learning plan. Specifically, following award of the Race to the Top-Early Learning Challenge grant, New York will redirect \$30.5 million in CCDF quality set-aside funds will to more effectively support the goals articulated in this application:

- The QUALITYstarsNY data system, one of the most comprehensive in the nation, requires providers participating in QUALITYstarsNY to both enter their training and coursework into the Aspire Workforce Registry and to develop a Quality Improvement Plan to achieve a higher Star quality level for their program. New York State currently commits approximately \$6.9 million annually in CCDF quality set-aside funds to support the Educational Incentive Program (EIP), which provides scholarships to income-eligible child care professionals. These funds are currently allocated on a first-come, first-served basis, and are not currently aligned with professional development requirements for increasing star levels in QUALITYstarsNY. To support the training and professional development needed to help providers achieve the goals in their Quality Improvement Plans, CCDF funds will be used toward the QUALITY Scholars program, which is a new scholarship and training reimbursement program. This scholarship program is aligned with the professional development goals that assist providers in increasing their QUALITYstarsNY rating. Over the four years of this grant, \$12 million will be dedicated to QUALITY Scholars (\$1.5 million, year one; \$2.5 million, year 2; and annualizing in year 3, year 4, and beyond at \$4 million).
- New York currently commits approximately \$5 million annually in CCDF funding to support training activities for regional state staff, local social service district staff and child care providers. New York will reprogram these CCDF training funds to support training activities designed to help licensing and other staff have the tools and knowledge they need to promote participation in QUALITYstarsNY. A total of \$900,000 (\$225,000/year) will be dedicated to staff training to empower all staff that interact with ELDPs and families seeking care are to promote QUALITYstarsNY. With these redirected funds, trainings will be held throughout the state for State regional staff on QUALITYstarsNY and video conferences (a highly successful strategy in New York State) throughout the state for child care providers on QUALITYstarsNY. Through this training, the role of existing State regulatory staff will be maximized to integrate

QUALITYstarsNY into the existing infrastructure; State staff will integrate information and technical assistance into regular licensing and regulatory visits and part of the licensing/registration process. Local social service district staff who have the responsibility to assist families in signing up for child care subsidies and are in a position to provide families with direct information on finding the best quality care for their children, will be trained on QUALITYstarsNY and given information to share with families.

- New York State currently commits \$22 million in CCDF funding annually to CCR&R agencies to provide information and referral services to parents, provide technical assistance to child care programs and providers to promote quality, and develop and maintain provider databases to determine service utilization and unmet need for additional early childhood services. Of this \$22 million, \$4 million will be dedicated annually during this grant period and beyond to support CCR&R deliverables tied to QUALITYstarsNY, such as preparing providers for participation in QUALITYstarsNY and providing intensive technical assistance in support of programs' quality improvement plans.
- New York State currently commits \$200,000 annually to the CUNY Professional Development Institute (PDI) for the Aspire Workforce Registry. The State will continue to dedicate this funding annually during and beyond the grant period to support the Registry.

### **TANF**

A portion of the State's TANF allocation is transferred to the Child Care Block Grant for child care subsidies. New York will continue to dedicate TANF funding during the grant period to the Child Care Block Grant to maintain funding for subsidies. As QUALITYstarsNY expands, therefore, more of these Federal dollars will be supporting high-quality programs across the State.

### **Title I of ESEA**

Several New York State school districts use Title I funds to fund Head Start and Universal Prekindergarten programs and the Parent Child Home program (a home visiting program). These school districts will be encouraged to continue to use these funds for early childhood education and efforts will be made to encourage other districts to allocate Title I

funding for early childhood education.

**Part B Section 619 of IDEA**

Part B funds will continue to be used to support preschool special education programs for children age 3 to 5. As QUALITYstarsNY expands, the State Education Department will collaborate with the Office of Children and Family Services and CUNY to recruit a growing number of Part B programs to participate in QUALITYstarsNY. In addition, staff of the Preschool Special Education Unit will work with the ECAC's Quality Improvement Work Group to investigate strategies for effectively including Part B programs in the QUALITYstarsNY framework.

**Part C of IDEA - Early Intervention**

Part C funds will continue to support high quality Early Intervention programs that serve children age birth to 3. To support the work of the Race to the Top Early Learning Challenge grant, the Department of Health (DOH) will provide in-kind staff resources by devoting a portion devoting a portion of three Part C-funded staff from the Early Intervention Program (2 staff at 0.05 FTE and a third staff at 0.10 FTE) for two of the four grant years to support activities to achieve the goals and performance measures identified in the State plan. The value of this staff time is approximately \$54,000.

**State Prekindergarten**

As appropriated by the legislature, SED will continue to fund high-quality prekindergarten programs for four-year-olds in New York State. To support the continued and expanded work of UPK, SED will continue to devote one full-time staff member and two partial staff members to support and achieve the high-quality goals identified in the State plan.

**Head Start Collaboration funding**

The Director of the Head Start Collaboration Office is a member of the ECAC and, as such, is integrally involved in efforts to implement QUALITYstarsNY *and New York Works for Children* (New York's early childhood education professional development system), as well as efforts to address the health and well-being of young children. To support grant implementation, the Collaboration Project Director will continue this work and will devote at least 35 percent of her time to support of grant activities. In addition, she will use grant funds, where appropriate, to augment Race to the Top-Early Learning Challenge Grant funding. This will include supporting the costs of additional transition forums. Finally, she will work closely

with OCFS and CUNY to recruit Head Start and Early Head Start programs for participation in QUALITYstarsNY.

**State Early Childhood Comprehensive Systems (SECCS)**

The Council on Children and Family Services will reprogram approximately 75 percent of 1.0 FTE (\$94,000) over the course of the grant to achieve the goals and outcomes outlined in Section C3, goal 2 related to the health care consultant project.

**Foundation and Other private funding sources**

The ECAC will devote \$50,000 in private BUILD initiative funding in Year 1 to CUNY PDI to support ECAC meeting costs and a subcontract to the New York State Association for the Education of Young Children for a shared services project to support program quality.

**MIECHV program**

In New York State, the MIECHV initiative is implemented through the State’s Title V Program (see above), in close partnership with the OCFS Healthy Families New York Program. Through its statewide MIECHV Needs Assessment and State Plan, New York has targeted its MIECHV funds to expanding evidence-based home visiting models that have been proven to improve maternal and child health and child maltreatment outcomes – Nurse Family Partnership and Healthy Families New York. Funding targets high-need communities, using a very similar needs index/methodology that served as the basis for the ELCG needs index. A major focus of our state’s MIECHV initiative is on building state and local systems and integrating home visiting within larger early childhood and maternal/infant health services. As part of ELCG implementation, we will provide training and information to MIECHV grantees to integrate information and teaching about the importance of high-quality early learning and development programs and to help connect high need client families to resources within their communities. MIECHV grantees will also continue to provide high-quality evidence-based child and family screening, and referral and support services to high-need families that complement the activities described in this proposal.

**Title V MCH Block Grant**

There is a longstanding partnership between New York’s Title V (Maternal Child Health Services Block Grant) program and the Division of Child Care Services at OCFS to protect and promote children’s health in child care, which has been further strengthened through our work together on the Early Childhood Advisory Council and QUALITYstarsNY. The State’s Title V

Director and innumerable staff from the Title V program across DOH were integrally involved in developing the ELCG plan and application and, in collaboration with the Office of Mental Health and Council on Children and Families, will lead the implementation of goals and activities described in (C)(3) of this proposal. At least three specific Title V-funded staff will redirect a percentage of their time to support implementation of this grant, including 15% of the Title V Director's time and 10% of the Title V Children with Special Health Care Needs Director's time; total in-kind Title V funding for these three positions is over \$200,000 over the four years of the grant, and it is anticipated that many additional Title V staff will be engaged in project implementation.

### **Medicaid**

ELCG investments in health promotion strategies will leverage significant public health resources and infrastructure to ensure more children with high needs are enrolled in affordable health insurance and receive ongoing, high quality primary and preventive care services through the state's public health insurance programs, health insurance marketplace and community-based enrollment assistance networks, and statewide systems for health care quality assurance and improvement. As evidenced in the performance measures in Table C3d, the vast majority of young Children With high Needs who are enrolled in public health insurance in New York State are receiving ongoing primary care and are up to date on a schedule of well child visits. Within C3 of our application, specific goals and strategies have been established to strengthen standards and implementation supports to better link ELDPs serving Children with High Needs with health insurance and health care, and to increase developmental screening rates for high-need infants and toddlers. With nearly 60 percent of New York Children birth to five years of age enrolled in Medicaid or Child Health Plus, these are critical resources to support the strategies described. Within this larger context, specific funding of \$110,000 (combined State and federal match) and accompanying in-kind staff time (10% FTE) has been dedicated to complete a clinical focused study of a developmental screening measure as an essential strategy for improving developmental screening of high need children.

### **CACFP**

DOH will provide in-kind staff resources by devoting a portion of two CACFP-funded staff (one at 0.15 FTE, the second at 0.65 FTE) for all four years of the grant to support

activities to achieve the goals and performance measures identified in the State plan. The value of this staff time is approximately \$485,000.

**Other Public Funding Sources**

The State is committed to providing SED with \$2.23 million in State support for the purposes of developing an Early Learning Inventory of Skills (ELIS) that will be used to better understand how well prepared young children are when they begin kindergarten. In year one, the State will commit \$1,673,372 in State funding toward this project; in year two, \$178,573; in year three, \$183,930; and in year four, \$189,449. In addition to this amount, the State will assume indirect and fringe costs associated with two staff positions funded under ELIS.

**Other In-Kind Sources**

The Office of Children and Family Services (OCFS) is committed to reprogramming \$840,000 in staffing and resources over the course of the grant. This will include devoting a portion of nine staff people's time (3 FTE) to supporting programmatic, governance, and coordinating activities outlined in Section (A) of the State plan.

The Council on Children and Family Services (CCF) is committed to reprogramming \$730,800 in State General Fund over the course of the grant to devote a portion of three staff people's time (3 FTE) to support administrative, governance and coordinating activities outlined in Section A of the State plans.

The Department of Health (DOH) has committed to contribute a total of approximately \$1.58 million in staffing and program resources over the course of the grant to support activities to achieve the goals and performance measures identified in the State plan. This total includes the \$485,000 CACFP, \$110,000 Medicaid and over \$200,000 Title V funding as mentioned above. ELCG funding requested in the budget to support two new critical DOH staff positions and selected state and local strategic activities described in Section (C)(3) will leverage significant in-kind staff support from across DOH, representing diverse subject matter expertise in areas that include: chronic disease prevention, nutrition, child development, special health care needs/disabilities, oral health, maternal and infant health, parenting education and health literacy, health insurance and managed care, quality improvement, data analysis and evaluation, and program administration. In-kind staff support includes at least 17 positions (8 of these positions were lined out above under the various

funding streams) and represents both state and federal (Title V, IDEA Part C, CACFP, WIC) funding. All of these staff will re-direct a portion of their time, ranging from 5 to 65% (averaging 13%), to support the goals and strategies described in Section (C)(3) of this proposal.

While it is not possible to accurately quantify the value of these large statewide systems and services that will be leveraged as a result of ELCG activities, as mentioned above, DOH has specifically identified \$110,000 in funding (State/federal match) in Year 1 for a focused clinical study of a developmental screening quality measure, and \$20,000 in annual autism awareness and research state funds, that will be directed to support strategies to enhance developmental screening of children as described in Goal C3.5 of the grant. In addition, DOH will integrate information on the importance of quality ELDP across public health programs that serve high need young children and families, including home visiting, school-based health and dental health services, Early Intervention, WIC, etc. To support all of this work, DOH will establish a new Early Childhood Health Promotion Team that will facilitate improved coordination and collaboration across these areas of public health as well as with sister state agencies and external partners, reflecting DOH’s commitment to a strong leadership role in promoting early childhood health across systems, and will continue its active participation in the Early Childhood Advisory Council.

**Table (A)(4) – 1 Existing other Federal, State, private, and local funds to be used to achieve the outcomes in the State Plan.**

<b>Source of Funds</b>	<b>Fiscal Year 2014</b>	<b>Fiscal Year 2015</b>	<b>Fiscal Year 2016</b>	<b>Fiscal Year 2017</b>	<b>Total</b>
<b>CCDF</b>	<b>\$6,135,000</b>	<b>\$7,135,000</b>	<b>\$8,635,000</b>	<b>\$8,635,000</b>	<b>\$30,540,000</b>
<b>State General Fund</b>	<b>\$2,026,221</b>	<b>\$425,022</b>	<b>\$423,870</b>	<b>\$429,389</b>	<b>\$3,304,502</b>
<b>State Early Childhood Comprehensive Systems (SECCS)</b>	<b>\$34,000</b>	<b>\$30,000</b>	<b>\$30,000</b>	<b>\$0</b>	<b>\$94,000</b>
<b>BUILD Initiative (Private)</b>	<b>\$50,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$50,000</b>

**Table (A)(4) – 1 Existing other Federal, State, private, and local funds to be used to achieve the outcomes in the State Plan.**

Source of Funds	Fiscal Year 2014	Fiscal Year 2015	Fiscal Year 2016	Fiscal Year 2017	Total
Foundation)					
Part C of IDEA	\$27,266	\$27,266	\$0	\$0	\$54,532
Title V MCH Block Grant	\$51,740	\$51,740	\$51,740	\$51,740	\$206,960
CACFP	\$121,202	\$121,202	\$121,202	\$121,202	\$484,808
Federal Nutrition Programs*	\$57,393	\$57,393	\$57,393	\$57,393	\$229,572
Other Federal	\$63,496	\$63,496	\$63,496	\$63,496	\$253,984
<b>Total</b>	<b>\$8,566,318</b>	<b>\$7,911,119</b>	<b>\$9,382,701</b>	<b>\$9,358,220</b>	<b>\$35,218,358</b>

\*Federal nutrition includes funding WIC, SNAP ET and Team Nutrition funds

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

The State of New York has clearly demonstrated its commitment to providing affordable early learning and development to all of its citizens. This is reflected in New York’s annual commitment of over \$2.2 billion to early learning and development, prior commitment to implementing QUALITYstarsNY, as well as New York’s expansion of UPK in 2008 to provide increased access to pre-kindergarten, and Governor Cuomo’s most recent \$25 million dollar grant funding investment (“Priority Full-Day Prekindergarten and Expanded Half-Day Prekindergarten for High Need Students”) to improve both program quality and access, included in the 2013-14 Enacted Budget.

The past commitment to early learning and development is evidence that the State of New York will continue to support early learning and development programs beyond the grant period. To ensure that we will be able to continue the augmented level of quality envisioned in this grant application, we propose the following strategies:

- Focusing our investment in this grant application to capacity building and development
- Using data on the success of the quality investments to develop targeted public-private partnerships on the regional level to support the most promising developments

It is through these strategies, demonstrated to be successful in the past and in other states,

that we are confident that our growing number of Children with High Needs served in high quality Early Learning and Development programs will continue to grow over time.

### **Capacity Building and Development**

Most of our efforts under this grant focus on capacity building and development of the early learning and development programs in the State. While a majority of the projects entail the use of financial resources for one-time start-up costs, most of the commitments involve strengthening the capacity of current programs and providers to increase quality in their existing sustainable delivery models. In the high quality plan 50% of the subprojects (28 of 56) are targeted to professional development and other capacity building improvements in early learning and development programs and providers. This professional development is targeted to give providers the skills, tools, and resources necessary to increase the quality of their programs, provide educators the incentives and support they need to continuously augment a great early childhood workforce, and ensure that all children have the ability to attend programs of the highest quality which are continuously improving their effectiveness. The State's focus on providing training to address the care and education of children with High Needs through investments such as the alignment of Health Standards and QUALITYstarsNY, coupled with the social and emotional resource centers, will \*better equip the Early Learning and Development workforce and programs to support the needs of the whole child well beyond the initial grant period. New York's dedication to the 5-star rating system encourages improvement through clear pathways with support along the way. Our investments in innovative initiatives ranging from training sessions for providers on healthy practices to establishing "parent cafés" to facilitate outreach to families to explain the new standards will also enable New York to build local capacity so that those who work most closely with our youngest learners will have improved skills and capacity to maintain the commitment to high quality programs for many years to come.

### **Targeted Public Private Partnerships**

There are a multitude of private foundations and corporations in New York State with a long history of commitment to and investment in early learning initiatives. New York's ability to create strong public-private partnerships is renowned, and has had success creating local participation and community collaboration, decision-making, and support for a number of issues. Economic Development, disaster preparation, and important education initiatives have become

regionally focused and collaborative through a series of competitive programs. Most recently, through the expansion of the Early College High School program, public high schools and colleges in New York partnered with several different private companies, including IBM and GE Healthcare, to prepare students with the skills they need for STEM careers while earning college credits at no cost to their families.

To align with our 10 economic development regions, The State of New York harnesses local decision making to develop targeted public-private partnerships at the regional level in an effort to strengthen their capacity. Currently, there are 10,289 foundations and charitable organizations headquartered in New York, (many with a targeted focus on specific regions, education and/or early childhood), including 468 in Buffalo, 154 in Albany, 98 in Rochester, 63 in Syracuse, and 33 in Binghamton.

While New York's ability to create public-private initiatives is well documented, we intend to be strategic in establishing additional public-private partnerships targeted to improving the quality of early learning and development programs. After a year of implementation of investments in such efforts as the expansion of QUALITYstarsNY and the formation of the 10 regional Early Childhood Physical Activity Resource Centers, we will be able to collect and analyze performance/outcome data on the success of these efforts, and identify efficiency opportunities and local support. The State of New York, led by ECAC, will leverage the initial investments by creating more robust and innovative private and third sector partnerships to expand high quality early learning and development programs in their respective regions. For instance, in accordance with the partner organization's mission, they could be given the opportunity to continue Quality Improvement Incentive Grants for local ELDPs, or provide supplemental resources for the regional Early Childhood Resource Center in their area to sustain the most promising developments in early learning and development programs. These homegrown partnerships and initiatives will enable local corporations and foundations to have greater ownership and accountability for improving outcomes and serving the children and families within their communities/regions.

New York has been thoughtful in ensuring that our projects and investments through this grant are both cost effective and focused on improving local capacity. The State of New York is committed to continuing the progress made through these targeted investments as evidenced by our historic financial commitment to early childhood programs, investment in local capacity

building and regional public-private partnerships, and over 127 received in regard to the State's early childhood vision and application. It is through these strategies that we feel confident that all the enhancements in high quality early learning and development programs will continue to be supported by our statewide partners for many years to come.

## **B. High-Quality, Accountable Programs**

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

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

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

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

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

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

Evidence for (B)(1):

- A copy of the tiered Program Standards: **Appendix B.1.1, B.1.2, B.1.3**
- Documentation that the Program Standards address all areas outlined in the definition of Program Standards, demonstrate high expectations of program excellence commensurate with nationally recognized standards, and are linked to the States licensing system: **Appendix B.1.1, B.1.2, B.1.3, B1.8, B1.9, B1.10**
- Documentation of how the tiers meaningfully differentiate levels of quality: **Appendix B.1.7**

## **Overview**

QUALITYstarsNY is New York's common, statewide, Tiered Quality Rating and

Improvement System. The New York Early Childhood Professional Development Institute (PDI) coordinates implementation of QUALITYstarsNY; the PDI is hosted by the City University of New York (CUNY), the country's largest urban public higher education system. The Early Childhood Advisory Council (ECAC) oversees the QUALITYstarsNY work; the ECAC includes appointees designated by the Governor including representatives from State Education Department, Office of Children and Family Services and the Department of Health, as per requirements described in Section 642B(b) of the Head Start Act (42 U.S.C. 9837(b)).

QUALITYstarsNY was developed through a public/private partnership and builds upon New York's strong licensing standards. QUALITYstarsNY has three sets of program standards: 1) *center-based standards* for child care centers, Early Head Start and Head Start, Universal Prekindergarten, and preschool special education programs (Appendix B.1.1), 2) *home-based standards* for family child care and group family child care (Appendix B.1.2), and 3) *school-age standards* (Appendix B.1.3) for school-age programs. Each set of standards is organized according to a five-tiered points system with standards in four domains: Learning Environment, Family Engagement, Qualifications and Experience, and Management and Leadership. The standards, rating process, distribution of points, and policy and procedural processes were rigorously field tested, evaluated and refined as a result of a validation study completed by the Center for Assessment and Policy Development, in partnership with Cornell University and the National Center for Children in Poverty at Columbia University. The focus of QUALITYstarsNY is to build a comprehensive system of early care and learning programs that seeks to improve outcomes for Children with High Needs. QUALITYstarsNY was launched in 2012, and at the present time participation in QUALITYstarsNY includes 333 Early Learning and Development Programs (ELDPs) in neighborhoods surrounding 67 Focus and Priority Schools located in high need communities across the state; these programs serve approximately 17,631 Children with High Needs.

**(a) Statewide Tiered Program Standards** QUALITYstarsNY's program standards reflect the program elements that the National Research Council has found in exemplary programs, including optimal adult-child interaction in the learning environment; developmentally-appropriate, research-validated curricula that provide rich and varied learning experiences; reflective professional development focused on improved practice; collaborative relationships with parents; and comprehensive assessment systems. These statewide tiered program

standards address each of the elements required by the RTT-ELC grant. Although programs have flexibility in the standards they can meet to progress through the points levels, at least 10% of possible points must be earned in each domain so that programs adhere to a comprehensive, well-rounded depiction of quality.

**(1) *Early Learning and Development Standards:*** All licensed center-based child care programs receive a copy of the *NYS Early Learning Guidelines* (Appendix B.1.4) and all QUALITYstarsNY programs and providers additionally receive a copy of the *Prekindergarten Foundation for the Common Core* (Appendix B.1.5). The QUALITYstarsNY Quality Improvement Specialists have been trained to provide support and guidance, and to secure professional development on the successful implementation of the *NYS Early Learning Guidelines* into daily practice. The *Guidelines* are available on several websites, including that of QUALITYstarsNY, and web-based tools (available 2014) are in development to support their utility. The Curriculum Planning and Implementation section of the Learning Environment Domain awards points to programs and providers using curricula that are aligned with the *NYS Early Learning Guidelines* and the *Prekindergarten Foundation for the Common Core*; programs also get points for providing staff with training and supervision to implement curricula aligned to the *Guidelines*.

**(2) *Comprehensive Assessment System:*** New York's QUALITYstarsNY Program Standards include a comprehensive, multi-faceted comprehensive assessment system that includes:

*Screening Measures:* The standards support programs in gathering pertinent information on children such as social-emotional development concerns, dominant language, disabilities, and any other special needs (COA2). Programs participating in QUALITYstarsNY earn points by implementing evidence-based practices when conducting screening on all enrolled children (COA4), which informs discussion with parents and referral for deeper assessment if special needs are suspected. The standards include requirements for the use of valid and reliable screening tools (COA6) that are used in a culturally and linguistically appropriate manner.

*Formative Assessments:* Programs are encouraged to utilize ongoing formative assessments that are appropriate for children using a research-based, valid, and reliable tool (COA6), and use formative assessment to inform instruction and for program planning (COA9 and 10). All teaching staff in participating QUALITYstarsNY programs is encouraged to receive annual training in child observation and assessment (COA8).

The most commonly used assessment tools include Teaching Strategies's GOLD®, HighScope's Child Observation Record (COR), and Pearson's The Work Sampling System®. To support statewide collection and analysis of assessment data, New York is developing a Common Metric that currently includes a sample size of 11,000 children. As part of the study, all teachers have been trained on use of the tools utilized in their classrooms. To inform the Common Metric, data are being collected to examine the structural integrity of the assessment scales when used with Children with High Needs, provide insight into the quality of the assessment items, and to create a psychometrically validated common item set across all three assessment tools.

To support the use of formative assessment tools, the New York State Education Department has released guidance to all programs serving young children to support their use of assessment to guide planning and instruction (see Appendix B.1.6).

*Measures of Environmental Quality:* All QUALITYstarsNY programs that are three stars or higher are assessed with the Environment Rating Scale (ERS) tools by independent, reliable assessors; these assessments occur every three years. During initial implementation (2012-2014), ERS assessments are occurring annually to establish a statewide baseline for quality improvement. Participants can also receive points for completing self-assessments using the ERS and for attending ERS training.

*Measures of the Quality of Adult-Child Interactions:* All QUALITYstarsNY programs that are four stars or higher receive PreK Classroom Assessment Scoring System (CLASS) assessments by independent, reliable assessors; these assessments occur every three years. As part of its High Quality Plan in Section (B)(3), New York will investigate the use of the Infant and Toddler versions of the CLASS and the use of all CLASS tools in family homes within the next two years.

**(3) Early Childhood Educator qualifications:** QUALITYstarsNY awards programs with increasing numbers of points as Early Childhood Educators increase their levels of early childhood education and credentials. Points are also awarded to administrators for ongoing education in management, leadership, and supervision (AQ4-8). Emphasis is placed on the accumulation of credit-bearing coursework as opposed to training hours. Additional points are allocated to educators who receive national credentials such as the Child Development Associate (CDA) (TSQ2) and state credentials such as the NYS Infant-Toddler Credential (TSQ4).

**(4) Family engagement strategies:** The Family Engagement domain includes sections on Communication, Family Involvement and Support, and Transitions. Particular attention was paid to the needs of Children with High Needs in the integration of Family Engagement indicators through the QUALITYstarsNY standards. Examples of items on which points are awarded include: daily written reports of a child’s experience (C1) and educational meetings (FIS3), efforts to support children whose language is not English (FIS9, FIS10 and FIS11). Points are also awarded to programs that complete a cultural competency self-assessment and use results for program improvement (FIS7-8). The Family Involvement and Support section includes standards on being a designated breastfeeding-friendly site (FIS1) and promoting parental decision-making in program policies (FIS6). The Transitions section includes policies and practices for transitions into, out of, and within the early learning setting, including daily and annual continuity of care for infants and toddlers (T4). Transition to kindergarten is specifically addressed (T3).

**(5) Health promotion practices:** Health promotion standards are addressed throughout the QUALITYstarsNY standards. Regulatory standards require providers to meet all applicable health requirements (18NYCRR §§416, 417, 418-1, and 418-2). According to the Child Care Aware of America’s national evaluation of state licensing standards, New York ranks at the top – only military child care programs score higher – with regard to the strengths of child care center licensing standards. At the core of the State’s licensing standards are rigorous health and safety requirements. For example, all programs must develop a health and safety plan standards (18NYCRR §§416.11(a), 417.11(a), 418-1.11(a), and 418-2.11(a)). OCFS developed the standards for health care plans based upon national health and safety guidelines promoted by the American Academy of Pediatrics in *Caring for Our Children*. QUALITYstarsNY builds upon the rigorous licensing requirements and supports programs in their approach to develop even stronger and more comprehensive health practices. Examples of health-related QUALITYstarsNY Program Standards include: developmental screening (COA2-5); providing daily opportunities for age-appropriate physical activity, limiting media screen time, and use of obesity prevention curricula (PH1-3); first aid/CPR (TSQ 1), child development assessment (COA6-9), providing information on oral health care, health insurance, medical and dental homes through a parent resource area (C7); participation in the federal CACFP or compliance with New York CACFP age-appropriate healthy meal patterns, which exceed federal minimum

requirements (PH 4); and implementation of appropriate modifications to enable children with Individualized Education Plans (IEPs) or Individualized Family Service Plans (IFSPs) more effective inclusion in program (CPI7).

**(6) *Effective data practices:*** Data-driven decision making to improve early learning and development at all levels (child, family, staff, program, and community/State systems) is central to the work of QUALITYstarsNY. The collection of data to support continuous quality improvement is facilitated by two robust and integrated data systems: the Web-based Early Learning System (WELS) and the Aspire Workforce Registry. WELS is a comprehensive TQRIS data system that aggregates all data on the different domains (Learning Environment, Family Engagement, Qualifications and Experience, and Management and Leadership) to automatically generate ratings and detailed individualized program profiles. WELS also creates interactive quality improvement plans, tracks resources invested in programs (i.e., technical assistance hours, training, scholarships and grants) to inform decisions about how best to invest in the system, and provides quality control. WELS automatically provides customized reports to key stakeholders, such as caseload reports to a Quality Improvement Specialist or status reports to state leaders to inform policy, investments, and future direction. WELS works seamlessly with the Aspire Workforce Registry. Aspire collects data on the education and training of the early care and education workforce and offers tools such as an integrated, searchable training calendar. Together these data systems, which were launched in 2012, provide New York with valuable and previously unavailable information on the programs and professionals that make up the early care and education system and the impact of different quality investments.

Several QUALITYstarsNY standards address collection and handling of data, including staff training on how to accurately use program and child assessment tools (COA8 for schools/centers and COA6 for family homes) to ensure child assessment data are collected appropriately, protected and shared appropriately with families. Licensing regulations, which are incorporated in QUALITYstarsNY as the basis for the first Star rating, address requirements for maintaining confidentiality of child-level data, including the need for parental consent to share data with other parties (18NYCRR §§416.15(a)(7), 417.15(a)(7), 418-1.15(a)(5), and 418-2.15(a)(7)).

**(b) Standards Meaningfully Differentiate Program Quality Levels and Reflect Program**

**Excellence Commensurate with Nationally Recognized Standards**

New York has carefully designed its standards and rating process to both meaningfully differentiate program quality levels and reflect program excellence commensurate with nationally recognized standards. As background, New York uses a point structure to determine star ratings. There are 360 total available points in QUALITYstarsNY. All programs at 2-Star and higher must earn at least 10 percent of points from each of the four domains to ensure comprehensive quality. Furthermore, independent observations completed by reliable ERS assessors are factored into the rating to confirm the attainment of high star levels by strong programs. All programs scoring at the 3-Star level and higher must obtain at least a 4.25 average score on the independent Environment Rating Scale assessments.

The percentage and number of points needed to attain each star level is:

<b>Level</b>	<b>% Points</b>	<b># Points</b>
Star One ★	Regulated program	n/a
Star Two ★ ★	10% – 39% points	30 - 113
Star Three ★ ★ ★	40% – 59% points	114 – 171
Star Four ★ ★ ★ ★	60% – 84% points	172 – 243
Star Five ★ ★ ★ ★ ★	85% – 100% points	244 and above

I. For complete discussion of QUALITYstarsNY rating system go to Appendix B.1.7.

To ensure the QUALITYstarsNY standards meaningfully differentiate program quality levels, QUALITYstarsNY commissioned a rigorous validation study of the state’s TQRIS. This study was completed in 2011 by the Center for Assessment and Policy Development, Columbia, and Cornell Universities during the field test (see Appendix B.5.1 for the field test validation study). As a result of the validation study the weighting percentage each domain received was adjusted and the points system was reconfigured to be a percentage of points earned. The percentage approach allowed programs that do not serve specific populations of children, such as infants, to not be penalized by the points system which awards points for services given to these populations. The validation study also reinforced the use of the Environment Rating Scales in the rating system to distinguish programs in the star levels. The validation study also reinforced the need for an additional measure of child-teacher interaction so New York State chose to incorporate the CLASS into its rating system. See Section (B)(5) for more information

on the process and results of the validation study and changes that were made as a result of the study.

QUALITYstarsNY standards reflect high expectations of program excellence commensurate with nationally recognized standards, including the National Association for the Education of Young Children (NAEYC) accreditation standards, the National Association of Family Child Care (NAFCC) accreditation standards, and the Head Start Performance Standards (HSPPS). (See Appendix B.1.8 for a crosswalk between the QUALITYstarsNY standards and the Head Start Performance Standards, Appendix B.1.9 for a crosswalk between the QUALITYstarsNY standards and the NAEYC Accreditation standards, and Appendix B.1.10 for a crosswalk between the QUALITYstarsNY standards and the NAFCC Accreditation standards.)

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

QUALITYstarsNY Program Standards build upon, and do not duplicate, New York’s already rigorous licensing regulations for child care. New York’s child care center standards and oversight was recently rated by Child Care Aware of America as being the second to only the regulations governing military operated child care programs in terms of scope and comprehensiveness. All licensed and registered ELDPs currently automatically qualify for a 1-Star rating.

QUALITYstarsNY is designed to include all state regulated ELDPs including center-based, family and group family homes, school-age, Early Head Start and Head Start, state prekindergarten, Early Intervention facility-based (Part C of IDEA), Preschool Special Education (Part B of IDEA), and voluntary registered nonpublic nursery schools and center-based programs regulated by the New York City Department of Health and Mental Hygiene. As outlined in Section (B)(2), each of these program types has participated in early implementation and will participate in the expansion plans outlined in the High Quality Plan.

**High Quality Plan**

<b>Goal B1.1: Systematically integrate program regulatory status data with QUALITYstarsNY</b>												
<b>Key Activities and Milestones</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>								
	Quarters	Quarters	Quarters	Quarters								
<b>Key Activity B1.1.1: Create multidirectional data linkages</b>												
<i>PDI creates a data sharing agreement with</i>	X											

<i>OCFS and DOHMH.</i>																
<i>Data are tested to ensure fidelity in transfer.</i>		<b>X</b>														
<i>Data are used to inform program practice.</i>			<b>X</b>													
<b>Key Activity B1.1.2:</b> Monitor the licensing violation status of programs applying for and participating in QUALITYstarsNY.																
<i>Reports are generated to verify regulatory status of applicants.</i>				<b>X</b>												
<i>Programs with serious regulatory violations are advised to address violations prior to participation in QUALITYstarsNY.</i>					<b>X</b>											
<i>Programs with serious violations are eligible to participate in Start with Stars.</i>					<b>X</b>											
<b>Key Activity B1.1.3:</b> Provide training and educational materials to licensing staff on QUALITYstarsNY so they can effectively support its implementation and answer questions from QUALITYstarsNY participants.																
<i>Develop FAQ for licensing staff.</i>			<b>X</b>													
<i>Conduct webinars and/or video conferences to educate licensors on QUALITYstarsNY.</i>			<b>X</b>			<b>X</b>				<b>X</b>				<b>X</b>		
<i>Provide in-person training to licensing leadership.</i>		<b>X</b>			<b>X</b>								<b>X</b>			
<b>Key Activity B1.1.4:</b> Add QUALITYstarsNY rating to program information in program search links on relevant websites and link to QUALITYstarsNY website for more information.																
<i>Meet with database technicians to discuss the technical aspects of integrating search engines.</i>			<b>X</b>													
<i>Provide database technicians with test rating data needed to update search engines.</i>				<b>X</b>												
<i>Provide database technicians with actual</i>					<b>X</b>											



<b>Key Activity B1.2.2:</b> Further develop the WELS system to support easy uploading of documentation submission													
<i>Agree on development tasks and timeline</i>	X												
<i>Approve Portal redesign changes</i>		X											
<i>Unveil Portal redesign changes to applicants</i>			X										
<i>Conduct webinar to help participants and partner agencies navigate through the Portal</i>			X	X	X		X	X		X		X	
<b>Key Activity B1.2.3:</b> Following the validation study (see Section (B)(5)), begin a standards redesign process with a research team, using implementation data, research and lessons learned from other states													
<i>Meet with research team to discuss validation study findings</i>											X		
<i>Develop a plan for standards redesign process</i>											X		
<i>Engage ECAC Quality Improvement Work Group in redesign process</i>											X	X	X
<i>Create initial draft standards for future public review</i>												X	X
<i>Begin to vet standards with participants</i>													X
<p><b>Rationale:</b> New York State will immediately streamline the application and standards self-study processes to support ease of participation. By further customizing WELS to facilitate documentation submission and provide clear directions and examples of acceptable documents, providers will be able to complete the documentation process more easily.</p> <p>Following the validation study (see Section (B)(5)), New York State will revise the standards and rating processes as needed.</p>													

**(d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity**

**B1.1:** New York Early Childhood Professional Development Institute (activities B1.1.1 – B1.1.4); Office of Children and Family Services (activities B1.1.1 and B1.1.4); WELS (activity B1.1.4); New York City Department of Health and Mental Hygiene (activities

B1.1.1 and B1.1.4).

**B1.2:** New York Early Childhood Professional Development Institute (activities B1.2.1 – B1.2.3) with subcontract to WELS (activity B1.2.2); Independent research team (activity B1.2.3); Early Care and Advisory Council Quality Improvement Work Group (activity B1.2.3).

**(e) Appropriate financial resources:**

**B1.1:** Systematically integrate data systems/websites: \$526,183

**B1.2:** Streamline standards and documentation processes: \$639,162

**(f) The information requested as supporting evidence:** N/A

**(g) The information requested in the performance measures, where applicable:** N/A

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable:** Rating processes and procedures that are tailored to the needs of particular types of ELDPs such as Universal Prekindergarten programs in public schools will be conveyed clearly to regulators, on respective agency’s search engine site, and on the QUALITYstarsNY website.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable:** Specific instructions will be provided for Universal Prekindergarten programs and Head Start/Early Head Start programs. Multi-site programs will have specific instruction on how to upload documentation for multiple sites.

**(i) How the State will meet the needs of Children with High Needs:** By integrating QUALITYstarsNY ratings into the regulatory agencies search engines, families will have access to further information about the quality of programs in their childcare search. More options and information to make more informed decisions.

<b>Table (B)(1)-1: Status of all Program Standards currently used in the State</b>						
<b>List each set of existing Program Standards currently used in the State; specify which programs in the State use the standards</b>	<b>Program Standards Elements<sup>12</sup></b>					
	<i>If the Program Standards address the element, place an "X" in that box</i>					
	Early Learning and Development Standards	Comprehensive Assessment Systems	Qualified workforce	Family engagement	Health promotion	Effective data practices
QUALITYstarsNY	X	X	X	X	X	X
Head Start (42USC9801 et seq)	X	X	X	X	X	X
Early Head Start (42USC9801 et seq)	X	X	X	X	X	X
Universal Prekindergarten (Education Law 305(40) & 4403(9); Title 8NYCRR 200.2 (a)(2)-(4) and (b)(6))	X	X	X	X	X	X
Voluntarily Registered Non-Public Nursery Schools (Title 8NYCRR Subpart 125)	X		X	X	X	

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

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

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

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

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

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

**(a) Implementing effective policies and practices to reach the goal of having all publicly funded Early Learning and Development Programs participate in such a system**

New York's ultimate goal is that all Early Learning and Development Programs will be integrated into a comprehensive TQRIS system that is driven by developmentally appropriate standards and measureable outcomes. QUALITYstarsNY was launched in 2012 and currently has 333 programs participating from high needs school districts.

To inform its High Quality Plan, New York looked to the experience of similar large states for guidance in projecting achievable targets for increasing participation in QUALITYstarsNY. For example, in less than ten years of implementation, Pennsylvania achieved a voluntary participation rate of 80 percent of centers and 33 percent of homes in the Keystone STARS Quality Rating and Improvement System. Based on geographic and demographic similarities between our two states, New York has used these numbers to inform the setting of our targets for QUALITYstarsNY participation over the next decade and within the four-year RTTT-ELC grant period. The expansion of QUALITYstarsNY will focus on regulated child care (specifically programs serving Children with High Needs), Head Start/Early Head Start, programs that receive Part B or Part C funding, and Universal Prekindergarten. A total of 1,800 ELDPs will be added to QUALITYstarsNY over the next four years, for a total of 2,133 ELDPs in QUALITYstarsNY by the end of 2017. This will put New York well on its way toward full implementation, a projected 80% of regulated centers and 20% of regulated family homes, participating by 2024. See Table (B)(2)(c) for detailed information on the expansion plan for the four years of RTT-ELC funding.

In both its field test and first phase of implementation, QUALITYstarsNY utilized a broad yet targeted outreach and recruitment approach. Participation criteria were established at the state level and local partners were engaged to identify programs serving Children with High Needs in their communities. Outreach approaches varied by locale but all recruitment partners utilized a mix of in-person information sessions, one-on-one visits, and used their various networks to disseminate the information.

A sample of applicants was surveyed regarding effective recruitment practices and 80% of survey respondents indicated that the recruitment strategies were effective. Recruitment agencies were also interviewed and responded that the information sessions and phone calls were effective recruitment tools. Distribution of written information (e.g., flyers, letters) and use of email (e.g., email blasts, notices in e-newsletters) were reported as effective. One-on-one meetings with administrators were reported most frequently as an effective strategy for recruiting school-operated Universal Prekindergarten programs. All feedback resulted in refining the recruitment tools and strategies. For example, a brochure insert was developed for public-school leadership to address their particular concerns (see Appendix B.2.1).

The proposed expansion timeline is ambitious, but it is achievable, not only because of the efficiencies that have been incorporated into QUALITYstarsNY as a result of the lessons learned from the field study, but also because of our willingness to align systems to support program participation. For example, QUALITYstarsNY will be led at the local level by 10 Child Care Resource and Referral agencies (CCR&Rs) that will be chosen to serve as regional hubs in each of the state's 10 regions. Using a mixture of Early Learning Challenge Grant funding and existing funding redirected for this purpose, the CCR&Rs chosen to serve as regional hubs will work with other CCR&Rs in their region to provide:

- On-site coaching
- Individualized professional development
- Training on New York State framework tools (e.g., QUALITYstarsNY Programs, *Early Learning Guidelines*, *Prekindergarten Foundation for the Common Core*, and *the Core Body of Knowledge*)
- Recruitment of new participating programs and homes

- Support of programs needing intensive technical assistance to participate successfully
- Orientation to QUALITYstarsNY for potential participants

This repurposing of CCR&R resources to support program recruitment will significantly contribute to success of our efforts to increase the number of ELDPs participating in QUALITYstarsNY. The Early Care and Learning Council, which is the membership organization of the state's network of CCR&Rs, will receive the funding for this activity and will identify the CCR&Rs that will serve as the regional hubs through a bidding process. New York is confident in the ability of the CCR&R network to provide this critical support for QUALITYstarsNY. New York State is the only state in the country that has 29 CCR&Rs that have received the National Quality Assurance for provider services from Child Care Aware.

New York has worked hard to create an integrated early learning and development system. Through QUALITYstarsNY, the standards and processes for different types of ELDPs have been streamlined and simplified. In New York City the Administration for Children's Services amended the monitoring tool (see Appendix B.2.2) for its *EarlyLearnNYC* participants (over 37,000 Children with High Needs) to reflect many of the QUALITYstarsNY standards. Further, *EarlyLearnNYC* participants in QUALITYstarsNY can opt out of the Administration for Children's Services monitoring assessment altogether through a data sharing agreement established in 2012. In addition to aligning its monitoring system to QUALITYstarsNY, Administration for Children's Services has also sponsored joint training with its team of coaches and the QUALITYstarsNY Quality Improvement Specialists so that both groups are familiar with each other's work and how they can work together to support programs. Moving forward, publicly funded programs in New York City participating in *EarlyLearnNYC* will be required to join QUALITYstarsNY by Year 3 of this grant and this pilot will be evaluated in Year 4. This work will help inform future QUALITYstarsNY expansion.

Another example of supporting specific program types is the Universal Prekindergarten School Leadership initiative on Long Island. The Long Island Universal Prekindergarten School Leadership Project was created by The Early Years Institute (EYI) with support from Nassau BOCES and the national organization, Alliance for Childhood.

The overall goal was to improve the quality of Universal Prekindergarten programs in schools and community-based agencies by increasing the knowledge of principals and Universal Prekindergarten administrators about early childhood education, improving classroom instruction to incorporate more play-based educational experiences, aligning curricula between Universal Prekindergarten programs and grades Kindergarten to third and creating learning communities of those working to provide Universal Prekindergarten. The basic strategies employed were on-site coaching of principals and teachers and regular meetings to create learning communities of administrators, teachers and community-based organizations. This project was designed to create a replicable model of technical assistance and support for school districts across the state. New York State will use RTT-ELC grant funds to replicate this model in three additional communities around the state to support school-based Universal Prekindergarten participation in QUALITYstarsNY.

New York's recruitment of each type of ELDP will be supported by strong partnerships with our state agency partners and the various administrative and provider organizations that have been developed over many years of early childhood systems building efforts. The partnerships include, but are not limited to state's network of CCR&Rs and local chapters of the New York State Association for the Education of Young Children, the New York State Head Start Association, the New York State Prekindergarten Administrators Association, the Early Intervention Coordinating Council, United Cerebral Palsy Centers of New York State, and the New York State Commission for the Blind (see letters of support in the appendices).

**(b) Policies and Practices to Address Affordability of High-Quality Programs**

New York has been a leader at enhancing the ability of working and low-income families to access high-quality Early Learning and Development Programs. New York offers child care assistance to eligible families through its Child Care Block Grant (CCBG), which includes funds from two major federal funding streams—CCDF and TANF—in addition to state and local contributions. In New York, child care subsidies help families with incomes up to 200 percent of the federal poverty level pay for child care. New York has shown its commitment to affordability of high quality programs over time. In State fiscal year 2011-2012, New York transferred \$393 million in TANF funds to

child care subsidies, compared to \$353 million in State fiscal year 2006-2007. Notably, in 2012 (the last year for which data are available), New York was the only state that set subsidy payment rates at the federally recommended 75<sup>th</sup> percentile of current market rates (tuition rates paid by private-fee paying families); New York has been at the 75<sup>th</sup> percentile since 1999. The Office of Children and Family Services also promotes access to child care subsidies for students and migrant workers, populations who have non-traditional child care scheduling needs and might otherwise not have access to subsidized care. To increase access to child care for low-income college students, the Office of Children and Family Services has developed Memoranda of Understanding with the State University of New York, which manages a network 52 campus-based child care centers serving 1,936 children with 608 receiving child care subsidies annually, and the City University of New York which operates 18 campus-based child care centers serving 1,400 children with 551 receiving subsidies annually. In addition, the Department of Agriculture & Markets oversees the Migrant Child Care Program which provides child care subsidies to 1,060 children of seasonal and migrant farm workers.

New York has also expanded families' access to high-quality ELDPs by expanding access to State-funded Universal Prekindergarten. A total of 98,616 children are served by the Universal Prekindergarten program each year, 80,745 of which are Children with High Needs. Universal Prekindergarten programs are provided both in public schools (which serve 41% of children attending Universal Prekindergarten) and in community-based organizations that are contracted to provide Universal Prekindergarten services (which serve 59% of children attending Universal Prekindergarten). New York has expanded Universal Prekindergarten over time to allow as many children as possible to have access to high quality early learning programs.

- In its early years (1997), approximately 50,000 children were served by Universal Prekindergarten. Through a variety of innovative strategies, this number has increased significantly in the last 7 years to a total of 98,616 children statewide.
- In the 2007-2008 school year, the New York City Department of Education, in partnership with the NYC Administration for Children's Services, created an interagency MOU to leverage multiple funding streams to provide Universal Prekindergarten services to all four-year olds receiving child care and Head Start

services at New York City Administration for Children's Services sites. This effort resulted in a high quality, full-day educational experience for approximately 20,000 low-income children each year. This collaborative arrangement has contributed to steady year-to-year increases in enrollment over a five-year period.

- As a major policy commitment of the Governor's Office and the State Assembly and Senate, New York's Universal Prekindergarten program experienced substantial increases during the 2007-2008 and 2008-2009 school years, expanding by 191 school districts in those two years. Community-based child care and Head Start programs used the additional Universal Prekindergarten funds to expand the program day and program year of Head Start and to increase the quality of services. Both Head Start and child care programs need to meet the requirement of having a certified teacher in Universal Prekindergarten funded classrooms.
- In 2012 the NYC Administration for Children Services launched *EarlyLearnNYC*, a unique, ground-breaking education model that merges child care, Head Start and Universal Prekindergarten into a single, seamless system, and establishes a foundation for success for the City's most vulnerable children. *EarlyLearn NYC* serves over 37,000 children from birth to age five across the five boroughs. Under *EarlyLearn NYC*, services may be provided in center and/or home-based settings, administered by Family Child Care Networks. *EarlyLearnNYC* programs have expanded hours of service to 8-10 hours per day, year round; targeted services in high-needs communities; and expanded capacity to serve infants and toddlers.
- Recognizing the importance of making prekindergarten more available to Children with High Needs, Governor Andrew M. Cuomo included a \$25 million appropriation in his 2013-14 budget to expand access to prekindergarten and to convert half-day programs to full day, which the Legislature subsequently enacted.

**(c) TQRIS Participation by numbers, percentages and type of Early Learning and Development Program**

QUALITYstarsNY was designed to be fully inclusive of all ELDPs, as evidenced from the diversity of original participants. As QUALITYstarsNY expands through the

state's High Quality Plan, NYS will build on this foundation to include all types of ELDPs.

- **State-funded preschool programs.** New York has a state funded preschool program (Universal Prekindergarten) that serves children 4 years of age. Currently, 444 of 677 school districts across the state participate in this program. The majority of districts (82%) that are participating in Universal Prekindergarten are high-need districts that serve predominantly low-income children and other Children with High Needs. Universal Prekindergarten serves 98,616 four-year-olds statewide in 2,698 program sites. Currently, 102 programs that receive Universal Prekindergarten funding are participating in QUALITYstarsNY.
- **Early Head Start and Head Start programs.** There are 61 Early Head Start and 186 Head Start grantees in New York State that provide services to 66,629 Children with High Needs. These grantee agencies together with their delegates operate 187 Early Head Start and 693 Head Start program sites. All children in Head Start programs and the majority of children in Early Head Start in New York State receive center-based services. A small portion of Early Head Start children (295) are served in family child care homes. There are currently 53 Head Start and Early Head Start program sites participating in QUALITYstarsNY. These programs serve 4,737 Children with High There are 61 Early Head Start and 186 Head Start grantees in New York State that provide services to 66,629 children through 187 Early Head Start and 693 Head Start programs. 295 children in Early Head Start are served in family homes, 3,837 are in home-based option where a home visitor comes to them once a week for 90 minutes, and twice a month they have a socialization activity at the Head Start site. 666 children are in a combination model, meaning a combination of home- and center-based option. There are currently 53 Head Start/Early Head Start sites participating in QUALITYstarsNY serving 4,737 Children with High Needs.
- **Programs funded under section 619 of part B of IDEA and part C of IDEA.** Consistent with federal regulations, the vast majority of Early Intervention services (funded by Part C) in New York (more than 90 percent of all services rendered) are delivered using the home- and community-based service delivery model. QUALITYstarsNY, like quality rating improvement systems being implemented

across the country, is not designed for this model of individual therapeutic services. However, a number of programs (four) that contract with the Department of Health to provide group developmental services for infants and toddlers are participants in QUALITYstarsNY. Recently, the Department of Health has taken steps to encourage the provision of group developmental care such as increasing the reimbursement rate and developing a guidance document for group developmental services. As a result, the Early Intervention provider community has responded by greatly increasing the amount of group services being provided (currently 165 sites). As QUALITYstarsNY expands, it will make a concerted effort to recruit providers offering Early Intervention services (see Plan at end of this section). For programs funded by Part B, 17 programs across 20 sites are currently participating in implementation efforts; these programs represent 3% of the 695 Part B special education programs that operate across the state and serve 2,085 children.

- **Programs funded under Title I of the ESEA.** Using Title I funding, two school districts support additional children being served by Head Start, 16 support additional Universal Prekindergarten Programs, six support other prekindergarten programming, and seven support the Parent Child Home Visiting Programs. A total of 4,039 Children with High Needs benefit from these services. At the present time no programs that receive Title I funding are participating in QUALITYstarsNY.
- **Programs receiving funds from the State's CCDF program.** In New York, there are 4,178 child care centers 6,576 family child care homes, and 8,150 group family child care homes with the capacity to serve 452,588 children 6 weeks to twelve years of age. On average, 87,483 children receive child care subsidies per month in these regulated settings. At the present time, 218 programs serving 1,394 children birth to age 5 who receive child care subsidies participate in QUALITYstarsNY.

The general strategy for recruitment of new programs during the expansion will be to identify and target high-needs communities using a number of factors such as existence of Focus and Priority schools, poverty rate, etc. (see section (A)(2) for further details). Particular focus will be paid to recruiting and retaining group family homes. Licensing data shows that this type of ELDP experiences the most violations and

requires the most support in terms of improvement. Group family homes also tend to serve some of the neediest children.

**High Quality Plan**

<b>Goal B2.1: Increase QUALITYstarsNY enrollment of Universal Prekindergarten providers, including those that receive Title I funding, from 101 to 552 by the end of 2017.</b>												
<b>Key Activities and Milestones</b>	<b>Year 1</b>			<b>Year 2</b>			<b>Year 3</b>			<b>Year 4</b>		
	Quarters			Quarters			Quarters			Quarters		
<b>Key Activity B2.1.1:</b> Work with the State Education Departments Office of Early Learning, the NYS Prekindergarten Administrator’s Association, and the Early Care and Learning Council to develop and implement a targeted recruitment plan designed for Universal Prekindergarten programs, including those receiving Title I funding.												
<i>PDI meets with partner agencies to develop key recruitment strategies for UPK programs</i>	X											
<i>Draft recruitment plan and timelines</i>		X										
<b>Key Activity B2.1.2:</b> Develop targeted materials for Universal Prekindergarten programs in schools. Build on existing QUALITYstarsNY communication tools for public school leaders about why they should support QUALITYstarsNY.												
<i>Develop key messages for targeted programs</i>	X											
<i>Create marketing materials such as brochures and one-pagers for targeted programs</i>		X										
<b>Key Activity B2.1.3:</b> Disseminate educational materials in the targeted high needs school districts. This will involve developing relationships with key organizations such as Boards of Cooperative Educational Services (BOCES), Association of Elementary School Principals, Prekindergarten Administrator’s Association, Parent Teacher Associations, library associations, and pediatric associations.												
<i>Send marketing</i>			X									

<i>materials to BOCES.</i>																		
<i>Send marketing materials to Association of Elementary School Principals</i>			<b>X</b>															
<i>Send marketing materials to Prekindergarten Administrator's Association members</i>			<b>X</b>															
<i>Send marketing materials to Parent Teacher Associations</i>			<b>X</b>															
<p><b>Key Activity B2.1.4:</b> Expand alignment between Universal Prekindergarten and QUALITYstarsNY. Currently, public-school-based Universal Prekindergarten are already eligible for automatic points in the Management and Leadership domain of the QUALITYstarsNY standards. New York State will investigate alignment of standards in other domains, such as curriculum and assessment in the Learning Environment domain.</p>																		
<i>Review existing alignment and make recommendations based on lessons learned in first phase of implementation</i>	<b>X</b>																	
<i>Draft recommended changes and review with ECAC Quality Improvement Work Group</i>		<b>X</b>																
<i>Disseminate alignment changes to possible participants</i>			<b>X</b>															
<p><b>Key Activity B2.1.5:</b> Integrate monitoring. SED will adopt the QUALITYstarsNY Program Standards as one of its frameworks/rubrics for monitoring its Universal</p>																		

Prekindergarten programs. (Note: In the recent Universal Prekindergarten expansion Request for Proposal, the QUALITYstarsNY Program Standards were built into the grant Program Quality Self-Assessment (see Appendix B.2.2).												
<i>SED to draft memo to school districts about the Program Quality Self-Assessment and its alignment to the QUALITYstarsNY Program Standards</i>		X										
<i>SED to post Program Quality Self-Assessment and QUALITYstarsNY Program Standards crosswalk on its Universal Prekindergarten website</i>		X										
<i>SED to incorporate the use of the Program Quality Self-Assessment and the QUALITYstarsNY crosswalk into its technical assistance and professional development activities</i>					X							
<b>Key Activity B2.1.6:</b> Streamline application. The application processes will be streamlined to allow the school district to submit one application that will apply to all of its participating schools.												
<i>Draft directions for school districts in completing the</i>		X										

<i>QUALITYstarsNY Standards Self-Study process</i>																			
<i>Amend the Portal design to facilitate the submission of one Standards Self-Study for multiple sites</i>		X																	
<b>Key Activity B2.1.7:</b> Improve communication. Develop strategies to effectively convey rating information across sites in a district so the information can be used in quality assurance practices among all sites.																			
<i>2. Amend the Portal design to facilitate the relaying of rating information regarding multiple sites to one site administrator.</i>		X																	
<b>Key Activity B2.1.8:</b> Pilot Universal Prekindergarten School Leadership Initiative (see Appendix B.2.3 for details on the Initiative) in three communities around the state to increase the knowledge of principals and Universal Prekindergarten administrators about early childhood education; improve classroom instruction to incorporate more play-based educational experiences and create learning communities of those working to provide Universal Prekindergarten.																			
<i>Develop communication materials to recruit Initiative participants</i>			X																
<i>Recruit lead Initiative facilitators</i>		X																	
<i>Train Initiative facilitators</i>			X																
<i>Develop meeting and activity schedule for Initiative</i>			X																

<i>participants</i>															
<i>Draft Initiative evaluation plan</i>			<b>X</b>												
<i>Complete evaluation interim and final reports</i>						<b>X</b>				<b>X</b>				<b>X</b>	
<p><b>Rationale:</b> Former recruitment efforts in New York State suggest improved communication is needed across the state, specifically with the help and support of the State Education Department, about the benefits, expectations, and incentives for public schools. Additionally, expanding alignment with Universal Prekindergarten standards and streamlining the QUALITYstarsNY application will allow for an easy transition into QUALITYstarsNY participation. Universal Prekindergarten programs will be more likely to participate in QUALITYstarsNY if they are able to clearly see how their existing monitoring requirements can be used towards QUALITYstarsNY participation, thereby reducing administrative burdens. These programs are also more likely to participate if they understand how QUALITYstarsNY fits into the existing education framework and feel supported through the implementation process.</p>															
<p><b>Goal B2.2: Increase QUALITYstarsNY enrollment of Early Head Start and Head Start providers, including those supported with Title I funding, from 53 to 314 by the end of 2017.</b></p>															
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>		
	Quarters				Quarters				Quarters				Quarters		
<p><b>Key Activity B2.2.1:</b> Work with the NYS Head Start Association, the NYS Head Start Collaboration Office, and the Early Care and Learning Council to develop and implement a targeted recruitment plan designed for Early Head Start and Head Start programs.</p>															
<i>PDI meets with partner agencies to develop key recruitment strategies for Head Start programs</i>			<b>X</b>												
<i>Draft recruitment plan and timelines</i>			<b>X</b>												
<p><b>Key Activity B2.2.2:</b> Develop targeted materials for Early Head Start and Head</p>															

Start programs that emphasize the existing alignment between Head Start Performance Standards and the QUALITYstarsNY Program Standards.													
<i>Develop key messages for targeted programs</i>		X											
<i>Create marketing materials such as brochures and one-pagers for targeted programs</i>		X											
<b>Key Activity B2.2.3:</b> Disseminate educational materials to the NYS Head Start Collaboration Office, NYS Head Start Association, Head Start and Early Head Start grantees and delegates.													
<i>Send marketing materials to NYS Head Start Collaboration Office</i>			X										
<i>Send marketing materials to NYS Head Start Association</i>			X										
<i>Send marketing materials to Head Start grantees and delegates.</i>			X										
<b>Key Activity B2.2.4:</b> Streamline participation: Head Start and Early Head Start programs that are in full compliance with the federal Performance Standards will be eligible for an expedited engagement process that leverages data from their triennial federal review to reduce the QUALITYstarsNY Program Standards that they will be required to meet.													
<i>Review existing alignment and make recommendations based on lessons learned in first phase of implementation</i>	X												
<i>Draft recommended changes and</i>		X											

<i>review with ECAC Quality Improvement Work Group</i>																	
<i>Disseminate alignment changes to possible participants</i>		X															
<p><b>Key Activity B2.2.5:</b> Streamline participation: Head Start CLASS observation data will be obtained and factored into the site’s Quality Improvement Plan. When needed, supports aligned to needs identified in the CLASS observations, will be provided.</p>																	
<i>Review existing alignment and make recommendations based on lessons learned in first phase of implementation</i>	X																
<i>Draft recommended changes and review with ECAC Quality Improvement Work Group</i>		X															
<i>Disseminate alignment changes to possible participants</i>			X														
<p><b>Key Activity B2.2.6:</b> Improve coordination: Better define roles and improve engagement strategies for Head Start and Early Head Start contractors/grantees so they are better able to support sites in participating in QUALITYstarsNY.</p>																	
<i>Draft and disseminate directions for Head Start grantees and delegates in completing the QUALITYstarsNY Standards Self-Study</i>			X														

<i>process</i>																	
<i>Amend the Portal design to facilitate the management of multiple Standards Self-Study by one Administrator</i>	<b>X</b>																
<i>Train Head Start administrative staff in effective ways to use Portal to obtain rating and quality improvement information on participating programs</i>		<b>X</b>															
<i>Create a clear rubric that outlines which types of documentation are available at the site level versus at the grantee level</i>		<b>X</b>															
<i>Develop strategies to convey rating information across multiple sites run by a single grantee.</i>	<b>X</b>	<b>X</b>															
<p><u>Rationale:</u> Head Start and Early Head Start programs serve many of the neediest children in New York State. It is critical for QUALITYstarsNY to engage Head Start and Early Head Start programs in a way that responds to its existing structure of grantees and delegated sites. Further, Head Start and Early Head Start sites have an existing network of assessment and technical assistance support that QUALITYstarsNY can leverage in its work with sites.</p>																	

<b>Goal B2.3: Increase QUALITYstarsNY enrollment of programs funded under section 619 of part B of IDEA from 20 sites to 104 by the end of 2017</b>													
<b>Key Activities and Milestones</b>	<b>Year 1</b>			<b>Year 2</b>			<b>Year 3</b>			<b>Year 4</b>			
	Quarters			Quarters			Quarters			Quarters			
<b>Key Activity B2.3.1:</b> Work with the Office of Preschool Special Education, NYS Commission for the Blind, Part B provider organizations, and the Early Care and Learning Council to develop and implement a targeted recruitment plan designed for programs funded under section 619 of part B of IDEA.													
<i>PDI meets with partner agencies to develop key recruitment strategies for special education preschool programs</i>	X												
<i>Draft recruitment plan and timelines</i>	X												
<b>Key Activity B2.3.2:</b> Develop targeted messages and materials for special education preschool programs.													
<i>Develop key messages for targeted programs</i>	X												
<i>Create marketing materials such as brochures and one-pagers for targeted programs</i>		X	X										
<b>Key Activity B2.3.3:</b> Disseminate educational and recruitment materials in the targeted high needs communities and to the Office of Special Education.													
<i>Send marketing materials to Office of Special Education</i>		X											
<i>Send marketing materials to local recruitment agencies.</i>		X											
<b>Key Activity B2.3.4:</b> Coordinate quality improvement activities. Work with the													

Office of Preschool Special Education, Regional Associates from the Office of Special Education, Regional Offices of Special Quality Assurance to identify strengths and areas for improvement and share those observations with the Quality Improvement Specialists in order to promote coordinated quality improvement activities.													
<i>Meet with SED leadership and staff</i>	<b>X</b>												
<i>Establish a data sharing agreement</i>		<b>X</b>											
<i>Investigate giving Regional Associates access to the WELS data system or periodic reporting on participants</i>			<b>X</b>										
<b>Key Activity B2.3.5:</b> Work with the Office of Preschool Special Education and representatives of preschool special education programs to make necessary changes to QUALITYstarsNY program standards and rating processes to take into account differences in educational approaches that preschool special education programs employ in serving specific subpopulation of children with disabilities (e.g., autistic children).													
<i>Survey participants about amendments to the standards and rating process that would result in their effective participation</i>	<b>X</b>												
<i>Meet with SED leadership to discuss lessons learned in implementation</i>		<b>X</b>											
<i>Draft recommendations for standards or process changes</i>		<b>X</b>											

<p><b>Key Activity B2.3.6:</b> Work with the Office of Preschool Special Education and representatives of preschool special education programs to identify environmental assessment tools that are more appropriate for programs serving children with disabilities.</p>												
Survey other states on tools used in special education environments		X										
Conduct a literature review of existing research on the use of measures of structural quality in special education settings		X										
Draft a memo with findings and possible recommendations			X									
<p><u>Rationale:</u> Whereas the Office of Preschool Special Education is focused on monitoring programs for compliance with federal and State laws and regulations, QUALITYstarsNY participation can support the Office of Preschool Special Education’s work to enhance quality practices for children with special needs. Having more programs funded by Part B in QUALITYstarsNY will greatly increase the number of Children with High Needs in quality early learning programs. Appropriately modifying the ERS (while preserving validity) or identifying enhanced environmental assessment tools in special education-only classrooms will alleviate some fears of low scores and encourage participation among special education preschools.</p>												
<p><b>Goal B2.4: Increase QUALITYstarsNY enrollment of programs funded under section 619 of part C of IDEA from 4 to 34 by the end of 2017.</b></p>												
Key Activities and Milestones	Year 1	Year 2	Year 3	Year 4								
	Quarters	Quarters	Quarters	Quarters								
<p><b>Key Activity B2.4.1:</b> Work with the NYS Early Intervention Program, the Early</p>												

Intervention Coordinating Council, the NYS Commission for the Blind, Part C provider organizations, and the Early Care and Learning Council to develop and implement a targeted recruitment plan designed for programs funded under section 619 of part C of IDEA.														
<i>PDI meets with partner agencies to develop key recruitment strategies for early intervention programs.</i>	X													
<i>Draft recruitment plan and timelines.</i>		X												
<b>Key Activity B2.4.2:</b> Develop targeted messages and materials for programs funded by Part C.														
<i>Develop key messages for targeted programs.</i>		X												
<i>Create marketing materials such as brochures and one-pagers for targeted programs.</i>		X	X											
<b>Key Activity B2.4.3:</b> Partner with the state’s network of Early Childhood Direction Centers, County Early Intervention Officer, Department of Health and program staff to recruit programs. Disseminate educational materials in the targeted high needs communities during recruitment meetings with organizations.														
<i>Send marketing materials to Early Childhood Direction Centers, County Early Intervention Officer and</i>			X	X										

<i>Department of Health.</i>																		
<i>Send marketing materials to local recruitment agencies.</i>			X	X														
<p><b>Key Activity B2.4.4:</b> Work with the Health Department and representatives of Early Intervention programs to make necessary changes to QUALITYstarsNY program standards and rating processes to take into account differences in educational approaches that programs serving infants and toddlers with developmental delays employ in serving specific subpopulation of children with disabilities (e.g., autistic children).</p>																		
<i>Survey other states about adaptations to the rating system that were made for Early Intervention programs.</i>	X																	
<i>Meet with Early Intervention to discuss recommended changes SED partners to leadership to discuss lessons learned in implementation</i>		X																
<i>Draft recommendations for standards or process changes.</i>			X															
<p><b>Key Activity B2.4.5:</b> Work with the Health Department and representatives of Early Intervention programs to identify environmental assessment tools that are more appropriate for programs serving infants and toddlers with developmental delays.</p>																		

<i>Survey other states on tools used in special education environments</i>	X																	
<i>Conduct a literature review of existing research on the use of measures of structural quality in special education settings</i>	X																	
<i>Draft a memo with findings and possible recommendations</i>		X																
<p><b>Rationale:</b> QUALITYstarsNY will engage the growing number of group developmental providers offering Early Intervention services so that Children with High Needs that serve children who get Part C funding are in high quality early learning programs.</p>																		
<p><b>Goal B2.5: Increase QUALITYstarsNY enrollment of centers that receive funding CCDF from 218 to 1,500 by the end of 2017.</b></p>																		
<b>Key Activities and Milestones</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>														
	Quarters	Quarters	Quarters	Quarters														
<p><b>Key Activity B2.5.1:</b> Work with the Early Care and Learning Council state’s network of CCR&amp;Rs and the NYS Association of Early Childhood Educators to develop and implement a targeted recruitment plan designed for programs funded by CCDF.</p>																		
<i>Assess key messages that resonate with programs funded by CCDF</i>		X																
<i>Provide training to local county social</i>			X															



<p>programs they need to be high (not moderate or low) quality. Family Child Care Homes generally, and Group Family Child Care homes (GFCC) in particular are some of New York’s neediest programs and serve some of the neediest children. The low quality of these programs overall and the population they serve warrant a focused strategy to ensure QUALITYstarsNY is meeting their needs and successfully improving quality.</p>														
<p><b>Goal B2.6: Create a QUALITYstarsNY <i>Start with Stars</i> preparatory program for high-needs programs</b></p>														
<p><b>Key Activities and Milestones</b></p>	<p><b>Year 1</b></p>			<p><b>Year 2</b></p>			<p><b>Year 3</b></p>			<p><b>Year 4</b></p>				
	<p>Quarters</p>			<p>Quarters</p>			<p>Quarters</p>			<p>Quarters</p>				
<p><b>Key Activity B2.6.1:</b> Create an assessment tool to identify high needs programs such as those with licensing violations, low technology skills, and/or language barriers to participate in a QUALITYstarsNY preparatory rating program.</p>														
<p><i>Evaluate implementation data to determine characteristics of low-performing programs</i></p>	X													
<p><i>Draft assessment tool</i></p>	X	X												
<p><i>Vet assessment tool with stakeholders</i></p>		X												
<p><b>Key Activity B2.6.2:</b> Local CCR&amp;R hubs manage program participation in preparatory program</p>														
<p><i>Orient programs to WELS system, application fields and standards self-study requirements.</i></p>			X											
<p><i>Orient programs to Aspire and assist staff in creating organization profiles and individual professional profiles.</i></p>			X											
<p><i>Assist sites in gathering documentation and uploading files to the WELS Portal.</i></p>				X	X	X	X	X	X	X	X	X	X	X
<p><i>Assess site’s readiness to submit</i></p>					X	X	X	X	X	X	X	X	X	X



programs require targeted technical assistance supports to address outstanding issues and to increase capacity to participate successfully in QUALITYstarsNY. By requiring that all interested participants participate in a preparatory program –or demonstrate ability to opt out of such a program—QUALITYstarsNY will be able to target resources effectively.

**(d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity**

**B2.1:** New York Early Childhood Professional Development Institute (activities B2.1.1-B2.1.8); State Education Department (activities B2.1.3, B2.1.5, and B2.1.7); Graphic designer to be contracted (activity B2.1.2); PDI to contract with a communications writer (activity B2.1.2); Early Years Institute (activity B2.1.8).

**B2.2:** New York Early Childhood Professional Development Institute (PDI) (activities B2.3.1-B2.3.6); NYS Head Start Collaboration Office and NYS Head Start Association will inform the work of the PDI (activities B2.2.1 and B2.2.6).

**B2.3:** New York Early Childhood Professional Development Institute (activities B2.3.1-B2.3.6).

**B2.4:** New York Early Childhood Professional Development Institute (activities B2.4.1-B2.4.5); State Education Department (activities B2.4.3 – B2.4.5); Department of Health (activities B2.4.3 – B2.4.5).

**B2.5:** New York Early Childhood Professional Development Institute (activities B2.5.1-B2.5.5);

**B2.6:** New York Early Childhood Professional Development Institute (activities B2.6.1 and B2.6.4); Early Care and Learning Council (activities B2.6.2 and B2.6.3)

**(e) Appropriate financial resources to support successful implementation of the plan:**

**B2.1:** Increase enrollment of Universal Prekindergarten programs and Title I programs in QUALITYstarsNY: **\$1,928,138**

**B2.2:** Increase enrollment of Head Start and Early Head Start in QUALITYstarsNY: **\$1,962,046**

**B2.3:** Increase enrollment of Part B programs in QUALITYstarsNY: **\$1,810,580**

**B2.4:** Increase enrollment of Part C programs in QUALITYstarsNY: **\$1,271,937**

**B2.5:** Increase enrollment of programs that receive funding from CCDF in

QUALITYstarsNY: \$2,439,581

**B2.6:** Create a QUALITYstarsNY Start with Stars preparatory programs for high-need programs: \$1,663,929

**(f) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;**

Appendix B.2.1 Public School Brochure Insert

Appendix B.2.2 UPK Expansion Program Quality Self-Assessment

Appendix B.2.3 Universal Prekindergarten School Leadership Initiative memo

**(g) The information requested in the performance measures, where applicable.**

**See Table (B)(2)(c)**

*Additional performance measures:* Develop three Universal Prekindergarten School Leadership Initiative learning communities (activity B2.1.8); Create four Group Family Child Care Owner/Operator learning communities.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable.** Targeted materials and resources will be provided for Universal Prekindergarten, Early Head Start, Head Start, Part B, Part C and programs serving children who receive child care subsidies. The specific needs of each program type will be addressed during outreach and recruitment. Tailored support in the *Start with Stars* program will be offered to the different types of Early Learning and Development Programs wishing to participate in QUALITYstarsNY. The CCR&R hub staff will be trained in the nuances of program types and the special considerations for their participation in QUALITYstarsNY. Tailored materials and resources will be provided for the diversity of programs participating in *Start with Stars*.

**(i) How the State will meet the needs of Children with High Needs.** Resources will be targeted in communities serving a significant percentage of children with High Needs and programs serving Children with High Needs, such as Universal Prekindergarten, Early Head Start programs, Head Start programs, Part B programs, Part C programs, and programs serving children who receive child care subsidies programs, will be prioritized in recruitment. *Start with Stars* resources, including technical assistance, will be targeted in communities serving a significant percentage of Children with High Needs.



<b>Performance Measures for (B)(2)(c): Increasing the number and percentage of Early Learning and Development Programs participating in the statewide Tiered Quality Rating and Improvement System</b>											
<b>Type of Early Learning and Development Program in the State</b>	<b>Number of programs in the State</b>	<i>Baseline and Annual Targets -- Number and percentage of Early Learning and Development Programs in the Tiered Quality Rating and Improvement System</i>									
		<b>Baseline (Today)</b>		<b>Target-end of calendar year 2014</b>		<b>Target - end of calendar year 2015</b>		<b>Target-end of calendar year 2016</b>		<b>Target- end of calendar year 2017</b>	
		<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
State-funded preschool <i>Specify: Universal Prekindergarten</i>	2,698	102	4	191	7	330	12	464	17	553	20
Early Head Start and Head Start <sup>17</sup>	880	53	6	105	12	185	21	262	30	314	36
Programs funded by IDEA, Part C	165	4	2	9	5	18	11	26	16	31	19
Programs funded by IDEA, Part B, section 619	645	20	3	37	6	62	10	87	13	104	16
Programs funded under Title I of ESEA*	24 <sup>1</sup>	0	0	2	8	7	29	11	46	13	54
Programs receiving from CCDF funds	10,744 <sup>2</sup>	247 <sup>3</sup>	2	560 <sup>4</sup>	5	924 <sup>5</sup>	9	1344 <sub>6</sub>	13	1607 <sub>7</sub>	15
Other  <i>Describe: Child care programs not receiving CCDF funds or other public funds</i>	10,672	115	1	140	1.3	165	1.5	190	1.8	215	2
<p><i>All numbers, except Universal Prekindergarten which are sites, indicate the number of programs contracted to provide services. The number of sites may be larger. The baseline numbers are based on the number and types of programs currently participating in QUALITYstarsNY. Any one participating site may be of one or more program type. Consequently, the number of programs in this chart may be greater than the number of participating sites noted in the narrative.</i></p> <p><sup>1</sup>24 districts invest Title I funding in early care and education programs: 2 Head Start, 16 Universal Prekindergarten, 7 other Prekindergarten services. On average that support 2 programs/district.</p> <p><sup>2</sup>A total of 10,744 sites receive CCDF funds; this includes 2,839 of centers, 2,622 family child care homes and 5,283 group family child care homes.</p> <p><sup>3</sup>A total of 247 programs currently participate in QUALITYstarsNY that receive CCDF funds; this includes 161 programs that received CCDF funds only (59 centers and 102 family child care homes) and 86 programs that received CCDF and other public funds from one or more sources listed above (84 centers and 2 family child care</p>											

<sup>17</sup> Including Migrant and Tribal Head Start located in the State.

<b>Performance Measures for (B)(2)(c): Increasing the number and percentage of Early Learning and Development Programs participating in the statewide Tiered Quality Rating and Improvement System</b>											
<b>Type of Early Learning and Development Program in the State</b>	<b>Number of programs in the State</b>	<i>Baseline and Annual Targets -- Number and percentage of Early Learning and Development Programs in the Tiered Quality Rating and Improvement System</i>									
		<b>Baseline (Today)</b>		<b>Target-end of calendar year 2014</b>		<b>Target - end of calendar year 2015</b>		<b>Target- end of calendar year 2016</b>		<b>Target- end of calendar year 2017</b>	
		<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<p>home).</p> <p><sup>4</sup>A total of 313 new programs will be added that receive CCDF funds; this projection includes 235 programs that received CCDF funds only (50 centers and 185 family child care homes) and 78 programs that received CCDF and other public funds from one or more sources listed above (72 centers and 6 family child care home).</p> <p><sup>5</sup>A total of 364 new programs will be added that receive CCDF funds; this projection includes 242 programs that received CCDF funds only (82 centers and 160 family child care homes) and 122 programs that received CCDF and other public funds from one or more sources listed above (116 centers and 6 family child care home).</p> <p><sup>6</sup>A total of 420 new programs will be added that receive CCDF funds; this projection includes 302 programs that received CCDF funds only (75 centers and 227 family child care homes) and 118 programs that received CCDF and other public funds from one or more sources listed above (108 centers and 10 family child care home).</p> <p><sup>7</sup>A total of 263 new programs will be added that receive CCDF funds; this projection includes 185 programs that received CCDF funds only (50 centers and 135 family child care homes) and 78 programs that received CCDF and other public funds from one or more sources listed above (72 centers and 6 family child care home).</p> <p><i>*New York State does not currently track the number of sites receiving Title I funds. Only the number districts and the number of children supported with Title I funds are tracked. Based on data available, it is estimated that the 12 districts that invest Title I funding in early learning programs fund an average of two sites/district. Some programs funded under Title I of ESEA overlap with some Universal Prekindergarten and Head Start programs; all programs that get Title I funding are represented on this row, regardless of other funding sources.</i></p>											

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

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

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

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

**(a) Valid and reliable tool for monitoring programs, trained monitors, appropriate frequency**

*Valid and Reliable Tool for Monitoring Programs*

QUALITYstarsNY has a comprehensive system in place for monitoring participating programs. It uses two research-based valid and reliable assessment tools—the Environment Rating Scales (ERS) and the Classroom Assessment Scoring System (CLASS) to gather structural and process data on program quality. The ERS are nationally recognized tools that examine structural quality and some aspects of process quality in the learning environment. The CLASS is a research-based tool used to assess the quality of the interaction between teachers and children.

QUALITYstarsNY uses three of the Environment Rating Scales that are proven valid and reliable measures of learning environment quality. The appropriate ERS tools are used for each setting: ITERS-R for infant-toddler classrooms, ECERS-R for preschool classrooms, FCCERS-R for family child care homes. The Environment Rating Scales tools have been shown to have strong predictive validity of student academic success. To receive a Star 3 or higher rating, programs must be assessed using one of Environment Rating Scales and obtain an average ERS score of 4.25 and higher.

CLASS is a valid and reliable tool that measures adult-child interactions. Research has shown that higher outcomes on CLASS in the instructional support domain result in better preschool student outcomes in pre-reading and math skills. Additionally, research has shown that higher outcomes on CLASS in the emotional support domain contribute to kindergarten social readiness. Center-based programs rated at the 4-Star and 5-Star levels are independently observed on the PreK version of the CLASS.

*Trained Monitors*

New York State contracts with independent vendors to recruit observers and implement the independent assessment processes for both the ERS and CLASS tools. Observers must meet strict reliability guidelines (a rate of at least 85% for Environmental Rating Scales and a rate of at least 80% for CLASS) and recruit and employ a cadre of objective observers trained to these nationally standardized levels of reliability. Observers complete an on-line training module before moving on to the full training and inter-rater reliability processes. Once assessments are in

process, reliability checks occur regularly to ensure these reliability rates are maintained or exceeded. If observers fall below these reliability rates reasonable attempts are made to conduct additional reliability checks but the assessor will be relieved if unable to meet the reliability standard. At the present time, the vendors selected by QUALITYstarsNY have a cadre of 38 reliable ERS assessors. CLASS assessors and additional ERS assessors to support QUALITYstarsNY expansion will be recruited and trained as part of the state's High Quality plan.

To enroll or renew participation in QUALITYstarsNY, programs complete a self-assessment using the Program Standards and submit a portfolio of documentation to prove compliance with the indicated standards. A team of raters review the documentation for accuracy and award points based on the submitted evidence. All raters are trained to a standard level of reliability of documentation review. Each rater reviews a sample of portfolios that are also reviewed separately by a second rater. During these "blind" reliability reviews the two raters do not discuss the results until after all documents are reviewed. Any discrepancies in reviews are then discussed until a consensus is reached. Raters also undergo a comprehensive training process that includes a review of the standards, documentation requirements, and a discussion of the intention of the standards and expectation of how compliance can be demonstrated through documentation. A documentation rubric is used that specifies the components of the documentation that must be present in order to award points towards a standard. With the support of grant funds, efforts will continue to further develop the rater training and inter-rater reliability processes.

#### *Appropriate Frequency of Assessment*

Assessors conduct ERS and CLASS observations every three years as part of the QUALITYstarsNY rating renewal process; ERS observations are completed in 3-5 star programs and CLASS observations are completed in 4-5 star programs. A program may request one additional set of ERS and CLASS observations during the three-year rating term, but must cover the cost of this additional assessment.

To supplement the QUALITYstarsNY ratings, programs provide an annual report showing quality improvement efforts and receive a desk review. The annual desk review, which is conducted by QUALITYstarsNY raters, increases the accountability of the rating system for all customers of QUALITYstarsNY, helps to ensure that rated programs continue to make

progress on the QUALITYstarsNY standards, and provides QUALITYstarsNY with the most up-to-date information related to a program's operations and overall characteristics. Much of the detail of this report will come from the Quality Improvement Plan that is constantly being reviewed and amended.

**(b) Providing information to parents**

To support families in making the best possible choices for the care and early education of their children, comprehensive and clear information is critical. New York values transparency and one of our goals for QUALITYstarsNY is that it provides transparent, easily understandable information to parents/caretakers. Presently, each agency that oversees some Early Learning and Development Programs makes information available to families that is easy to understand, written in plain language, available in multiple languages, and easy to find.

The Office of Children and Family Services has had a searchable website since 2003, allowing families and other stakeholders to access important licensing information online, and to search for child care options that meet their needs (see screenshot in Appendix B.3.1). The NYC Department of Health and Mental Hygiene also administers a website that publicizes up-to-date information on New York City child care centers to help parents/caretakers make the most informed decisions about child care in New York City (see screenshot in Appendix B.3.2). Additionally, the State Education Department lists locations and contact information of Universal Prekindergarten programs and registered nursery schools on its website (see screenshots in Appendix B.3.3). The QUALITYstarsNY website provides a list of current participating programs. Families also have access to a dedicated section of the website that provides resources and information on choosing a quality program and ways in which families can support and extend quality in programs (see screenshot in Appendix B.3.4). These websites are all written in simple language and are easy to understand and use for decision making by families.

QUALITYstarsNY has also developed a brochure geared towards families with an explanation of features of a high quality program, how to locate such programs in their communities and how to work with program staff to improve the quality of care for children (see Appendix B.3.5). This brochure is made available to all partner agencies, such as the Child Care Resource and Referral agencies that continue to serve as an important resource for families to obtain information about how to choose high-quality ELDPs.

**High Quality Plan**

<b>Goal B3.1: Expand use of Classroom Assessment Scoring System (CLASS) tools to include the Toddler CLASS (by 2015) and Infant CLASS (when it is available, projected late 2014) in center, school and family home settings using a Train-the-Trainer model.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	<b>Quarters</b>				<b>Quarters</b>				<b>Quarters</b>				<b>Quarters</b>			
<b>Key Activity B3.1.1:</b> Pilot the use of the Toddler CLASS in center-based programs and family homes.																
<i>Contract with Assessment Coordinator to facilitate CLASS implementation</i>			<b>X</b>													
<i>Survey other states to assess how they have incorporated the Toddler CLASS into their QRIS</i>				<b>X</b>												
<i>Recruit CLASS assessors for training</i>					<b>X</b>											
<i>Conduct CLASS training</i>					<b>X</b>											
<i>Select sample of programs to participate in the pilot</i>						<b>X</b>										
<i>Conduct CLASS assessments on a sample of programs</i>						<b>X</b>										
<i>Assess feasibility of scaling up Toddler CLASS assessments</i>									<b>X</b>							
<b>Key Activity B3.1.2:</b> Pilot the use of the Infant CLASS in center-based programs and family homes when it is available.																
<i>Contract with Assessment Coordinator to facilitate CLASS implementation</i>			<b>X</b>													
<i>Survey other states to assess how they have incorporated the Infant CLASS into their QRIS</i>						<b>X</b>										
<i>Recruit CLASS assessors for training</i>							<b>X</b>									
<i>Conduct CLASS training</i>							<b>X</b>									
<i>Select sample of programs to participate in the pilot</i>								<b>X</b>								
<i>Conduct CLASS assessments on a sample of programs</i>									<b>X</b>							



<p>and improving overall program quality. Special considerations must be made when adapting the tools for use in these settings. New York State will have growing demand for CLASS observations as QUALITYstarsNY expands. By building its own capacity to train CLASS Observers over time New York State can more efficiently meet CLASS observation needs. By the end of 2017, CLASS Observer Trainers will be prepared to offer CLASS Observer trainings throughout the state.</p>																
<p><b>Goal B3.2: Implement a Master Trainer regional model for Environment Rating Scales to more efficiently expand supply of reliable observers.</b></p>																
Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4			
	Quarters				Quarters				Quarters				Quarters			
<p><b>Key Activity B3.2.1:</b> Issue a Request for Proposals for an Assessment Coordinator to manage ERS training</p>																
<i>Draft Request for Proposals</i>			X													
<i>Disseminate Request for Proposals through networks</i>			X													
<i>Select winning proposal and contract with vendor</i>				X												
<p><b>Key Activity B3.2.2:</b> Recruit qualified persons to complete ERS Observer 5 day reliability Training.</p>																
<i>Draft assessor application</i>			X													
<i>Disseminate application through networks</i>			X													
<i>Review and select assessors from pool of applicants</i>				X												
<p><b>Key Activity B3.2.3:</b> Establish regional cohorts of assessors whose primary function is to perform independent assessments</p>																
<i>Recruit trainers from among reliable ERS observers.</i>				X												
<i>3. Provide QUALITYstarsNY training</i>					X											
<i>4. Provide inter-rater reliability training</i>					X											
<i>5. Assign assessors to regional anchors</i>					X											
<p><b>Key Activity B3.2.4:</b> Establish cohort of regional anchors who will provide periodic reliability checks with assessors.</p>																
<i>Solicit applications for master regional trainers</i>				X												
<i>Select cohort of master trainers</i>				X												
<i>Complete 8-day master trainer reliability training</i>				X												

<i>Master trainers assigned group of observers</i>					X														
<u>Rationale:</u> New York State must increase its capacity to provide on-going independent, reliable ERS assessments. By implementing a Train-the-Trainer model New York will have the capacity to provide ongoing training to CLASS observers.																			
<b>Goal B3.3: Families can access ratings of programs and understand what ratings mean, providing insights into the strengths of a particular program.</b>																			
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>						
	Quarters				Quarters				Quarters				Quarters						
<b>Key Activity B3.3.1:</b> Further develop the family section of the website to provide information about the NYS child care system and aspects of quality.																			
<i>Assemble and draft information and resources for the website</i>		X																	
<i>Website designer and developer to integrate text into website</i>		X																	
<b>Key Activity B3.3.2:</b> Translate family section of website into Spanish.																			
<i>Translator to translate text</i>		X																	
<i>Website designer and developer to integrate translated text into website</i>			X																
<b>Key Activity B3.3.3:</b> Link QUALITYstarsNY database to licensing and SED special education database so parents can access consistent information on the quality of ELDPs.																			
<i>Determine level of rating information and details to display to families</i>				X															
<i>WELS to ensure accurate link to rating data</i>					X														
<i>Display rating information on family portal of website</i>					X														
<u>Rationale:</u> Families need information, in their home language, about the quality of programs in order to make more informed decisions about choosing quality child care. Families will have access to the star ratings of programs as well as access to additional early care and education resources.																			
<b>Goal B3.4: Implement a public outreach/information campaign on QUALITYstarsNY for families.</b>																			
<b>Activities</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>						
	Quarters				Quarters				Quarters				Quarters						
<b>Key Activity B3.4.1:</b> Develop a public outreach/information campaign plan on QUALITYstarsNY.																			
<i>Issue a Request for</i>							X												

<i>Proposals to solicit a marketing firm</i>																			
<i>Contract with marketing firm</i>							X												
<i>Draft campaign plan and timeline</i>							X												
<b>Key Activity B3.4.2:</b> Develop public radio, public television advertisements and printed materials such as a brochure.																			
<i>Contract with media vendors to develop outreach products such as infomercial and brochures</i>							X												
<i>Test effect of media products on focus groups and other stakeholders</i>																		X	
<b>Key Activity B3.4.3:</b> Disseminate marketing materials to families through libraries, pediatricians, health clinics, places of worship, and parks and museums, beauty salons, laundromats, bodegas/grocery stores, and other community-based institutions.																			
<i>Make copies of media products</i>																		X	
<i>Identify key entities, agencies and partners to receive media products</i>																		X	
<i>Identify effective modes of disseminating media products</i>																		X	
<i>Disseminate media products</i>																		X	
<b>Key Activity B3.4.4:</b> Create a mobile phone application with a child care search feature listing star ratings.																			
<i>Draft desired application capabilities</i>																		X	
<i>Contract with a technology firm</i>																		X	
<i>Provide link to rating data</i>																		X	
<i>Test application</i>																		X	
<i>Promote application</i>																		X	
<u>Rationale:</u> Families need access to information about the benefits of QUALITYstarsNY and how they can locate a QUALITYstarsNY participating program. Messages must be tailored to the needs of families and relayed to families in a variety of formats.																			
<b>(d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity</b>																			
<b>B3.1:</b> New York Early Childhood Professional Development Institute (activities B3.1.1- B3.1.2); Sub-contractors (activity B3.1.3 and B3.1.4);																			

**B3.2:** New York Early Childhood Professional Development Institute (activity B3.2.1);  
Assessment Coordinator (activities B3.2.2 – B3.2.4).

**B3.3:** New York Early Childhood Professional Development Institute (activity B3.3.1, B3.3.3);

**B3.4:** New York Early Childhood Professional Development Institute (activity B3.4.1 – B3.4.4);

**(e) Appropriate financial resources to support successful implementation of the plan:**

**B3.1:** Expand use of the CLASS tools: \$2,054,225

**B3.2:** Implement master trainer regional model for the Environment Rating Scales: \$2,988,727

**B3.3:** Expand websites to include rating information: \$239,162

**B3.4:** Implement a public outreach campaign to families: \$2,220,371

**(f) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan:**

Appendix B.3.4 QUALITYstarsNY family portal website screenshot

Appendix B.3.5 QUALITYstarsNY Family Guide Brochure

**(g) The information requested in the performance measures, where applicable:**

**No tables this section**

*Additional Performance Measures:* **B3.1:** Recruit and train 75 reliable CLASS observers including 10 CLASS Trainer the Trainers.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs. N/A**

**(i) How the State will meet the needs of Children with High Needs.** Assessment training will consider the use and application of CLASS tools in settings with English Language Learners and children with disabilities. Any necessary adjustments to the assessment process will be considered.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable.** Assessors will be familiar with working in a variety of settings, including family homes and special education preschools. Assessors trained in the Family Child Care Environment Rating Scale and Infant-Toddler Environment Rating Scale will be recruited.

**(i) How the State will meet the needs of Children with High Needs.** Assessment training will consider the use and application of the ERS scales in settings with English Language Learners

and children with disabilities. Any necessary adjustments to the assessment process will be considered. Bilingual assessors will be recruited to engage with and assess providers of diverse language needs. Messaging about QUALITYstarsNY will reference the needs of families with children with special needs; engage community partners who are bilingual/bicultural native speakers who possess knowledge and understanding of language and cultural characteristics to support the success of our outreach strategies to reach a culturally diverse population. Families of children with special health needs and disabilities face additional challenges in accessing Early Learning and Development programs for their children. New York supports several important resources to assist these families, including a statewide network of 14 Early Childhood Direction Centers, which provide information about programs and services for young children, ages birth through five, who have physical, mental, or emotional disabilities. These centers also help families obtain services for their children, such as transportation, medical, educational, and social services, evaluation and assessment services, funding, and child care. The Title V Maternal and Child Health Services Block Grant program (Title V), administered by Department of Health, supports information and referral services for children with special health care needs in local health departments across the state. Title V also collaborates with the state's Family-to-Family Health Information Center, which provides information, advocacy skills development, and emotional support to families of children and youth with special health care needs. We will engage these partners to promote QUALITYstarsNY participation within their communities, and we will build on these important resources as part of our plan to enhance QUALITYstarsNY health standards, training and other quality supports related to the successful inclusion of children with special health care needs and disabilities in Early Learning and Development programs (see Section (C)(3)(a-b)). Engage community partners who are bilingual/bicultural native speakers who possess knowledge and understanding of language and cultural characteristics to support the success of our outreach strategies to reach a culturally diverse population. All marketing messages will be translated into Spanish. The needs of families with special needs children will be referenced in marketing messages.

## **B. High-Quality, Accountable Programs**

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

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

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

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

(c) Setting ambitious yet achievable targets for increasing--

(1) The number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System; and

(2) The number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.

#### **(a) Developing and implementing policies and practices that provide support and incentives for Early Learning and Development Programs to continuously improve**

QUALITYstarsNY was launched in 2011. Through careful planning and the experience of the field test, New York has developed a multi-faceted set of resources and support for quality improvement, including both broadly available resources and tailored consultation for ELDPs serving Children with High Needs. At the current time, New York offers the following supports:

- **Quality Improvement Specialists:** Quality Improvement Specialists review programs' self-assessment information, interpret the observational assessments, assist program directors/family child care providers in writing a Quality Improvement Plan, help participants to identify local or regional resources to meet their unique needs for Quality Improvement Plan implementation, and work to build the capacity of program directors to drive change. Quality Improvement Specialists establish communities of practice among QUALITYstarsNY-participating ELDPs in high-need communities to foster collaboration across diverse ELDPs and enable program staff to share best practices and resources and

engage in shared problem- solving around common challenges. Technical assistance is tailored to the needs of each site. Depending on the nature of the needs and each program's quality improvement plan, technical assistance might come in the form of on-site coaching, email, and/or telephone conversations. The needs vary dramatically from site to site and highly individualized technical assistance ensures the needs of each program are met. See Appendix B.4.1 for further details on the role of the Quality Improvement Specialists.

- **Improvement Support Grants:** To support programs in addressing professional development and material needs identified in the Quality Improvement Plan, participating programs apply for ongoing grants to address their unique program needs. These grants are intended to help offset the cost of program improvements and facilitate the movement up the star levels. Requests for these grants are developed by programs based on their Quality Improvement Plans and then the requests are reviewed by the region's Quality Improvement Specialist to ensure alignment with improvement plan goals. Average annual funding for grants is \$1,681 per site per participation year. All grant requests above \$200 must be approved by the Quality Improvement Manager and all awards are tracked in the WELS data system.
- **QUALITY Scholars Grants:** QUALITY Scholars Grants fund additional credit-bearing coursework, higher education degrees, early childhood credentials, and other innovative forms of professional development. For example, in three regions, a combination of QUALITY Scholars funds and privately raised funds have provided support for peer-learning communities where multiple QUALITYstarsNY programs in a region have come together to support each other's professional development needs. Common areas of improvement were identified and nationally known speakers were engaged to work with the programs over time to inspire collaboration, change, and the adoption of best practices around mutually agreeable topics. A total \$450,000 of scholarship and professional development training has been distributed to participating QUALITYstarsNY sites in 2013.
- **Public Recognition:** Participating programs receive certificates of participation and decals that can be posted at their site. Participants are also listed on the QUALITYstarsNY website. Due to the small number of participating sites, rating information is not currently publicized. The High Quality Plan spells out the strategies and timeline for acknowledging the rated programs.

○ **Cutting edge data systems that streamline and simplify the work of quality**

**improvement:** Through WELS (see Appendix B.4.2 for a full description of WELS), programs receive a customized Quality Improvement Plan that pulls information from the various assessments and identifies each program’s strengths and needs organized around the four domains of the standards: Learning Environment, Family Engagement, Staff Qualifications and Experience, and Management and Leadership. The Quality Improvement Plan is designed to serve as a user-friendly roadmap for the providers. Program directors and providers, with the Quality Improvement Specialist’s support, can further customize the Quality Improvement Plan to reflect their priorities for quality improvement. There is an additional section to capture licensing improvement activities. Each component of the Quality Improvement Plan has an overall goal and numerous action items linked to that goal. The Quality Improvement Plans are updated regularly as participants achieve the outlined action goals and programs and providers are held accountable to the action items described in their Quality Improvement Plan. *(Note: Information on the supports and ultimately their impact on program quality is documented in WELS and used to inform statewide policy around workforce investments and strategies to help programs improve quality. Improvements will be measured by increases in program ratings and by professional growth through education and training.)*

As part of New York’s High Quality Plan at the end of this section, these supports will be expanded and strengthened to support the quality improvement plans of ELDPs across the state that are serving Children with High Needs.

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

*Providing Full-Day, Full-Year Programs*

New York City has been a national leader in interagency collaboration to enable providers to combine child care, Head Start, and State Universal Prekindergarten funds to provide high-quality, full-day ELDP experiences for young children. Universal Prekindergarten in New York has been designed to either stand alone or combine with other funding sources to best support the early learning needs of young children and the needs of working families; the

State Education Department that oversees implementation of Universal Prekindergarten actively supports this maximization of funding. Advocacy groups in New York published a number of reports with guidance on how to braid Universal Prekindergarten funds with CCDF, parent fees, and Head Start funding to extend the hours/days services were available and improve the quality of services, primarily through hiring certified teachers. In the last year, the ECAC has held two funding forums that have looked at ways to support blending and braiding. An estimated 48,000 Children with High Needs benefit from this maximization of public early learning funds annually.

New York City's Administration for Children's Services recently launched the *EarlyLearnNYC* initiative, which integrates multiple funding streams to provide full-day services to high-needs families. *EarlyLearnNYC* partners with Head Start and the New York City Department of Education's Office of Early Childhood (the division that administers prekindergarten) to ensure that the City's Children with Highest Need are being served by high quality early childhood programs, using a blended funding model that creates a seamless service delivery system for the children being served; an estimated 37,000 Children with High Needs benefit from *EarlyLearnNYC*. This represents a critical policy shift that focuses on increasing infant-toddler care in the city of New York, as well as extending the day of part-day programs, requires that programs hold 12 days of professional development, and aligns their quality standards with QUALITYstarsNY. In fact, Administration for Children's Services is prepared to require participation in QUALITYstarsNY upon a successful Early Learning Challenge grant, ensuring the 20,000 children benefitting from *EarlyLearnNYC* will be on an active continuous quality improvement path. The NYC Department of Education's Office of Early Learning has already worked with QUALITYstarsNY to align their program quality review for all prekindergarten classrooms to the QUALITYstarsNY standards, which will strengthen the quality of programs even before funds are available for full implementation.

The State of New York also commits specific funds toward improving the availability of quality of infant and toddler care statewide.

- Since 2002, the CCR&Rs have housed a network of 23 Infant Toddler Specialists, which are throughout the state and provide enhanced technical assistance to child care centers and family child care providers to address specific issues they have identified in their program and to support providers as they develop new infant/toddler care programs. These Infant

Toddler Specialists staff seven Infant Toddler Resource Centers that promote best practices and serve as a resource for licensors, local CCR&Rs, other infant and family professionals, parents, and the community at large. Approximately 5,000 professionals serving over 16,000 infants and toddlers receive services through these initiatives annually.

- In 2010 and 2011 New York hosted WestEd certification for the Program for Infants and Toddlers (PITC). A total of 129 professionals attended this training and became certified PITC trainers. By October 31, 2012, 62 of these trainers had offered 440 PITC trainings (total of 2,491 training hours) in 43 counties across the state; 6,879 caregivers and other professionals who work with infants and toddlers participated in these trainings. PITC Trainers participate in a community of practice and receive ongoing professional development to ensure high quality support for infant and toddler professionals.

#### *Meals*

New York State has gone to extensive lengths to ensure children in early learning programs receive high quality nutrition in ELDPs (see Section (C)(3)) for extensive details on the innovative strategies New York has implemented to ensure children have nutritious meals). To promote better quality meals for Children with High Needs in ELDPs, the Office of Children and Family Services (OCFS) coordinates with the Department of Health's (DOH) Child and Adult Care Food Program (CACFP). Per State Regulations, Legally-Exempt Caregiver Enrollment Agencies (LECEA) must refer family child care providers who provide legally- exempt family child care for subsidized children to the CACFP program (18NYCRR 415.4(f)(8)(i)). Additionally, regulations allow for local social services districts to implement an additional local standard for enrollment requiring participation in CACFP by any legally-exempt family child care provider caring for a subsidized child an average of 30 or more hours per week (18 NYCRR 415.4(g)(1)).

#### *Family Support Services*

See Section (C)(3) for information on family support services in New York.

**(c) Setting ambitious yet achievable targets for increasing (1) The number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System; and (2) The number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.**

QUALITYstarsNY was launched in 2012 and a total of 333 programs are currently participating in the initiative. 316 of these sites have been Provisionally Rated. To date, no programs have been re-assessed because enough time has not passed for the second assessment to be completed. Re-ratings are scheduled to occur in late 2014.

A total of 97 ELDPs have been Provisionally Rated in the top tiers of New York’s QRIS (Star 4 and Star 5). All of these programs serve Children with High Needs, with a total of 8,328 benefitting from 4 and 5 star programs currently.

	<b># Programs</b>	<b># Children with High Needs</b>
Star One	94	2490
Star Two	55	2120
Star Three	70	3454
Star Four	97	8,328
Star Five	0	0

Through the High Quality Plan outlined below and in Table (B)(4)(c)(1), New York State will systematically increase the number of programs that are in the top tiers (4 and 5 Stars) of the QUALITYstarsNY program. In year 1 the number will increase from the current 97 programs (all four stars) to 154 4-Star programs and 20 5-Star programs serving Children with High Needs. In Year 2 this number will increase to 229 4-Star programs and 45 5-Star programs serving Children with High Needs. In Year 3 this number will increase to 311 4-Star programs and 73 5-Star programs serving Children with High Needs. By the end of Year 4 this number will increase to 364 4-Star programs and 91 5-Star programs serving Children with High Needs.

QUALITYstarsNY will increase overall enrollment and the number of programs participating in the top tiers (4-Star and 5-Star) by streamlining participation (see also Goals B2.1-B2.5 for specific strategies for streamlining participation for different types of ELDPs); providing targeted, individualized technical assistance support through the guidance of the Quality Improvement Specialists; and providing a robust and varied incentive approach. Significant technical assistance support will be available for programs at all levels to assist in successful progress up the tiered system. Further, financial and recognition incentives will be available to encourage attainment of higher star levels.

<b>High Quality Plan</b>																
<b>Goal B4.1: Provide increasing incentives to support and recognize quality, especially in programs that are serving Children with High Needs.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity B4.1.1: Provide technical assistance to rated ELDPs serving Children with High Needs.</b>																
<i>Identify technical assistance needs in the standards self-study and Environment Rating Scale assessments</i>				X	X	X	X	X	X	X	X	X	X	X	X	
<i>Incorporate technical assistance needs and goals into the Quality Improvement Plans</i>					X	X	X	X	X	X	X	X	X	X	X	
<i>Quality Improvement Specialists to align resources to technical assistance needs and identify community partners to provide technical assistance</i>					X	X	X	X	X	X	X	X	X	X	X	
<b>Key Activity B4.1.2: Provide Improvement Support Grants to rated ELDPs serving Children with High Needs.</b>																
<i>Develop grant application</i>			X													
<i>Develop grant administration process including approval protocols</i>			X	X												
<i>Educate programs about grant policies and procedures</i>			X													
<i>Provide improvement support grants to rated ELDPs</i>			X	X	X	X	X	X	X	X	X	X	X	X	X	
<b>Key Activity B4.1.3: Provide tiered Quality Achievement Awards to ELDPs serving Children with High Needs as they attain a star rating.</b>																
<i>Assess programs' star rating levels</i>			X	X	X	X	X	X	X	X	X	X	X	X	X	
<i>Issue Achievement Award in appropriate amount according to the star level and modality of care</i>				X	X	X	X	X	X	X	X	X	X	X	X	
<b>Key Activity B4.1.4: Provide Wage Support Grants to 4-Star and 5-Star ELDPs serving</b>																

Children with High Needs to promote the retention of highly qualified staff by increasing their salary.															
<i>Develop grant administration protocols</i>								X							
<i>Educate programs about grant policies and procedures</i>								X							
<i>Provide wage support grants to highly rated programs</i>									X	X	X	X	X	X	X
<b>Key Activity B4.1.5:</b> Publicly recognize participating programs on the QUALITYstarsNY website															
<i>List rated programs on QUALITYstarsNY website</i>							X	X	X	X	X	X	X	X	X
<b>Key Activity B4.1.6:</b> Provide programs with materials to publicize participation and ratings															
<i>Provide each rated site with a banner to advertise participation</i>							X	X	X	X	X	X	X	X	X
<i>Provide each rated site with a certificate of star rating that can be posted</i>							X	X	X	X	X	X	X	X	X
<i>Provide programs with promotional materials such as pens, notepads, planners, etc.</i>			X	X	X	X	X	X	X	X	X	X	X	X	X
<u>Rationale:</u> All programs participating in QUALITYstarsNY will receive incentives to encourage a dramatic increase in the number of ELDP’s serving children with high needs in the top tiers of QUALITYstarsNY. Incentives will support program quality improvement successes and to help sustain gains. The most intensive supports will go to programs serving children with high needs and will dramatically increase as programs reach higher star levels, with the goal of children with high needs being served by programs with highly qualified staff.															
<b>Goal B4.2: Streamline and simplify participation in QUALITYstarsNY by maximizing technology.</b>															
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>		
	Quarters				Quarters				Quarters				Quarters		
<b>Key Activity: B4.2.1:</b> Enhance the on-line Provider Portal															
<i>Determine Provider Portal revision needs outline based on ELDP input</i>	X														
<i>Develop Provider Portal enhancements</i>	X	X													
<i>Pilot Provider Portal</i>			X												

<i>enhancements with sample of ELDP program directors and family child care providers serving Children with High Needs</i>																		
<i>Finalize Provider Portal changes and post on QUALITYstarsNY site</i>				<b>X</b>														
<b>Key Activity: B4.2.2: Develop online training course - Introduction to QUALITYstarsNY</b>																		
<i>Determine course outline based on feedback from current participants on what they wished they knew and from interested programs based on their questions</i>	<b>X</b>																	
<i>Develop online training</i>	<b>X</b>	<b>X</b>																
<i>Pilot training with ELDP program directors and family child care providers serving Children with High Needs</i>			<b>X</b>															
<i>Finalize training and post on QUALITYstarsNY site</i>			<b>X</b>															
<i>Provide additional supports around the online training module such as conducting group training and having a facilitator present to answer questions.</i>				<b>X</b>														
<b>Key Activity: B4.2.3: Enhance the on-line Resource Guide</b>																		
<i>Identify additional resources including documentation samples and examples to add to the Resource Guide</i>	<b>X</b>	<b>X</b>																
<i>Vet resources with the Early Childhood Advisory Council Quality Improvement Work Group</i>			<b>X</b>	<b>X</b>														
<i>Train Quality Improvement Specialists and other technical assistance partners in use of the Resource Guide</i>					<b>X</b>													

<i>with programs</i>															
<p><b>Rationale:</b> The online QUALITYstarsNY application will capture ELDP, Early Childhood Educator, and demographic information, and include a series of questions that assess capacity to improve. These data together will help identify programs that should be targeted for quality improvement support and inform efficient allocation of resources that target programs serving Children with High Needs. The self-study process, including the training course, will allow applicants to become familiar with the standards and the elements of a high quality program and create a provisional rating for themselves. The Resource Guide assists programs through the self-study process by providing information on resources and examples of best practice. The online training will provide a consistent orientation to all providers, making orientation to QUALITYstarsNY clearer and more efficient.</p>															
<p><b>Goal B4.3: Increase the number of programs serving Children with High Needs with ratings of 4 or 5-Stars by improving the quality and effectiveness of technical assistance support.</b></p>															
<b>Activities</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>		
	Quarters				Quarters				Quarters				Quarters		
<p><b>Key Activities B4.3.1:</b> Quality Improvement Specialists to participate in the state’s new Trainer Institute’s section on coaching competencies to hone coaching skills.</p>															
Attend training					X	X	X	X							
Complete all training follow up activities						X	X	X							
Implement training									X	X	X	X	X	X	
<p><b>Key Activities B4.3.2:</b> Quality Improvement Specialists participate in targeted training on providing coaching and technical assistance to programs serving Children with High Needs.</p>															
Identify or develop targeted training					X	X	X	X							
Participate in training						X	X	X							
Adopt training lessons into work with programs									X	X	X	X	X	X	
<p><b>B4.3.3</b> Quality Improvement Specialists link participants to other highly trained technical assistant specialists including those with the NYS Early Learning Trainer Credential</p>															
Identify credentialed trainers.					X	X	X	X	X	X	X	X	X	X	
Identify training and technical assistance needs in Quality Improvement Plans					X	X	X	X	X	X	X	X	X	X	
Allocate resources such as Improvement Support Grants to support training and technical assistance					X	X	X	X	X	X	X	X	X	X	



<i>Plans to identify common needs and to develop tailored professional development opportunities</i>																			
<b>Key Activity B4.4.4:</b> Utilize technology such as Group Sites, on-line forums and Skype to facilitate learning community activities including the sharing of resources.																			
<i>Create Group Sites for each learning community</i>					X														
<i>Investigate use of Skype or other video platform to conduct videoconferencing</i>					X														
<p><u>Rationale:</u> Learning communities have proven to be a successful strategy in bringing together programs of all quality levels. Lower tier programs can learn from higher tiered programs and higher tier programs can serve as models and mentors and take on more leadership activities in the learning community. Participants share information and resources and learn to utilize and strengthen the internal capacity of programs. When leaders come together to learn about their communities and develop solutions to problems, the chance of systems change is greater. Most importantly, when focused on identifying and addressing the disparities among various groups of children, leaders can be more effective in creating opportunities that will benefit Children with High Needs.</p>																			
<p><b>(d) Responsibilities:</b></p> <p><b>B4.1:</b> New York Early Childhood Professional Development Institute (activities B4.1.1 – B4.1.3).</p> <p><b>B4.2:</b> New York Early Childhood Professional Development Institute at CUNY (activities B4.2.1-B4.2.3); WELS (activity 4.2.1); TBD Vendor (activity 4.2.2);</p> <p><b>B4.3:</b> New York Early Childhood Professional Development Institute (activities B4.3.1 – B4.3.4).</p> <p><b>B4.4:</b> New York Early Childhood Professional Development Institute (activities B4.4.1 – B4.4.4); Various Community Partners (activities B4.4.3 and B4.4.4).</p> <p><b>6. (e) Appropriate financial resources:</b></p> <p><b>B4.1:</b> Provide technical assistance and other supports to programs participating in QUALITYstarsNY to support and recognize quality: \$23,695,140.</p> <p><b>B4.2:</b> Streamline and simplify participation in QUALITYstarsNY by maximizing technology: \$1,663,929</p> <p><b>B4.3:</b> Improve the quality of technical assistance support: \$900,000.</p>																			

**B4.4:** Develop director and provider Learning Communities: \$955,480

**(f) Supporting evidence:** Appendix B.4.2- WELS Description

**(g) Performance measures: See Tables (B)(4)(c)(1) and (B)(4)(c)(2).**

*Additional performance measures:* **B4.2.1:** Provider portal completed and actively used by 550 new ELDPs on average annually; 500 providers use online Provider Portal annually Year 2, up to 750 using Provider Portal/annually by end of Year 4 **B4.2.2:** Online Introduction to QUALITYstarsNY training completed by 550 ELDPs on average annually. 500 providers complete online training/annually Year 2, up to 750 completing online training/annually by end of Year 4 **B4.2.3:** 550 Providers on average annually will access the on-line Resource Guide. 11 Quality Improvement Specialists will be trained on use of the Resource Guide. 10 regional QUALITYstarsNY Managers at local CCR&R hubs will be trained on use of the Resource Guide; Implement at least one center learning community and one family home learning community in every region.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable;** Some types of Early Learning and Development Programs such as Head Starts and Universal Prekindergarten have more established systems of supports and technical assistance so the Quality Improvement Specialists will work with those programs to assess the ability to leverage and align with existing supports. Information on the demographic aspects of ELDPs will be collected through the Provider Portal. This information will allow the QUALITYstarsNY staff to better understand programs' needs and adjust participation processes and procedures when necessary. The on-line Resource Guide and Online Introduction to QUALITYstarsNY will have information and resources specific to various types of ELDPs including special education preschools. Quality Improvement Specialists will be trained on providing coaching and technical assistance to all different types of Early Learning and Development Programs. Differentiated learning communities will be created to address the specific needs of different types of ELDPs including center-based programs and family homes.

**(i) How the State will meet the needs of Children with High Needs.** Quality Improvement Specialists will provide funding to support the attainment of training, and the provision of technical assistance, on topics concerning Children with High Needs, such as child observation and assessment and the use of curricula that is tailored to the individual needs of the child. The on-line Resource Guide and Online Introduction to QUALITYstarsNY will have information and

resources pertaining to Children with High Needs including English Language Learners and children with disabilities. Improving the Quality Improvement Specialists' capacity to provide high quality coaching will lead to improved educator competence, and in turn improved program quality for Children with High Needs. Issues regarding Children with High Needs will be addressed in the learning communities and specific training and professional development opportunities will be made available to Learning Community members.

<b>Performance Measure for (B)(4)(c)(1): Increasing the number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System.</b>					
	<b>Baseline (Today)</b>	<b>Target- end of calendar year 2014</b>	<b>Target- end of calendar year 2015</b>	<b>Target- end of calendar year 2016</b>	<b>Target- end of calendar year 2017</b>
<b>Total number of programs covered by the Tiered Quality Rating and Improvement System</b>	333	733	1,233	1,783	2,133
<b>Number of programs in Tier 1</b>	97	197	322	459	547
<b>Number of programs in Tier 2</b>	55	155	280	417	505
<b>Number of programs in Tier 3</b>	70	208	358	523	626
<b>Number of programs in Tier 4</b>	94	154	229	311	364
<b>Number of programs in Tier 5</b>	0	20	45	73	91
<p><i>Tier 1 is the lowest tier and Tier 5 is the highest tier. Baseline data are based on the tier status of existing programs. The projections are based on the number of programs to be recruited each year of the grant and the estimated percentage of those programs that will be rated in the top tiers (Tier 4 and Tier 5). NYS estimates that 20% of rated programs will be rated in the top tiers.</i></p>					

<b>Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.</b>											
Type of Early Learning and Development Program in the State	Number of Children with High Needs served by programs in the State	Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System									
		Baseline (Today)		Target- end of calendar year 2014		Target -end of calendar year 2015		Target- end of calendar year 2016		Target- end of calendar year 2017	
		#	%	#	%	#	%	#	%	#	%
State-funded preschool <i>Specify: Universal Prekindergarten</i>	80,745	129	4	654	9	1453	15	2883	21	4360	27
Early Head Start and Head Start	62,909	227	6	679	9	1982	15	3963	21	6123	27
Early Learning and Development Programs funded by IDEA, Part C	29,219	2	.4	146	10	643	20	1403	30	2221	40
Early Learning and Development Programs funded by IDEA, Part B, section 619	40,319	21	1.7	242	10	806	20	1572	30	2580	40
Early Learning and Development Programs funded under Title I of ESEA*	4,039	0	0	32	10	234	20	557	30	872	40
Early Learning and Development Programs receiving funds from the State's CCDF program: <i>centers, family child care homes and group family child care homes</i>	79,064	126	8	514	13	1281	18	2364	23	3558	30
<p><i>NYS includes 4-Star and 5-Star programs into its "top tiers." Baseline numbers are based on current participating sites.</i></p> <p><i>By 2017, the following goals will be achieved:</i></p> <ul style="list-style-type: none"> <li>• 20% of Universal Prekindergarten programs will participate in <i>QUALITYstarsNY</i>, benefitting an estimated 16,149 Children with High Needs.</li> <li>• 36% of Head Start/Early Head Start programs will participating in <i>QUALITYstarsNY</i>, benefitting an estimated 22,678 Children with High Needs</li> <li>• 19% of programs that receive Part C funding, benefitting an estimated 5,552 Children with High Needs.</li> <li>• 16% of programs that receive Part B funding, benefitting an estimated 6,451 Children with High Needs.</li> <li>• 54% of programs that receive Title I funding, benefitting an estimated 2,181 Children with High Needs. <i>Note: Title I funding is tracked at the school district level. Only the number of children served is accounted. Since there is overlap among Universal Prekindergarten and Head Start programs in Title I funding NYS estimates that some of these Program types will count towards "Early Learning and Development Programs funded under Title I of ESEA."</i></li> <li>• 15% of programs that receive CCDF funding, benefitting an estimated 11,860 Children with High Needs.</li> </ul> <p><i>This is not an unduplicated count because many ELDPs in New York receive multiple public funding streams, a practice that is encouraged in New York to ensure the needs of Children with High Needs are fully met.</i></p>											

<b>Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.</b>											
Type of Early Learning and Development Program in the State	Number of Children with High Needs served by programs in the State	<i>Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System</i>									
		Baseline (Today)		Target- end of calendar year 2014		Target -end of calendar year 2015		Target- end of calendar year 2016		Target- end of calendar year 2017	
		#	%	#	%	#	%	#	%	#	%
<i>The average program size of current participating sites (by program type) was calculated. These figures were used as the basis for the projections using the target numbers in (B)(2)(c).</i>											

**B. High-Quality, Accountable Programs**

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

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

- (a) Validating, using research-based measures, as described in the State Plan (which also describes the criteria that the State used or will use to determine those measures), that the tiers in the State’s Tiered Quality Rating and Improvement System accurately reflect differential levels of program quality; and
- (b) Assessing, using appropriate research designs and measures of progress (as identified in the State Plan), the extent to which changes in quality ratings are related to progress in children’s learning, development, and school readiness.

New York is experienced with efforts toward the validation of the QUALITYstarsNY standards, having completed an initial validation study by the Center for Assessment and Policy Development, in partnership with Cornell University and the National Center for Children in Poverty at Columbia University. This evaluation focused on three issues:

- (a) Factors affecting program/provider participation

(b) Sensitivity of ratings to differential weighing of standards

(c) Validation of ratings based on provider documentation against observational measures

Moreover, as part of the field test, a team of independent evaluators addressed the sensitivity of the overall QUALITYstarsNY ratings to determine differential weightings of the standards, and completed a comparison of the overall and sub-scale ratings based on provider documentation against observational measures of quality.

The experiences during the field test and findings from the evaluation were used to refine the standards and point allocation, the documentation procedures, the rating process, and quality improvement supports. As a result of the validation study in 2010-2011, the following changes were made (a full summary of the validation study from 2011 is available in Appendix B.5.1):

- Sensitivity analyses informed the revision of relative weight given to standards categories in computing overall score and assigning ratings. Specifically, the percent of points that could be obtained was increased from 25 to 30 percent for the Learning Environment standard and from 15 to 20 percent for Family Engagement and Support, while the percent for Qualifications and Experience was decreased from 35 to 25 percent.
- Based on the ERS observations of the classroom or home learning environment, participating programs and providers were generally in the adequate to good range on global quality. Global quality measured by observation was somewhat lower in family/group family child care home settings (averaging 4.5 out of a maximum of 7) than in centers or public schools (averaging 5.0 and 4.8, respectively). The measure of global quality of the learning environment from the observations was only modestly associated with quality based on the points based on the standards as a whole, with a correlation coefficient of .32 out of a possible 1.0. This reinforced the decision to include observational assessments in QUALITYstarsNY standards and rating process and to set minimum scores to be obtained at each star level in addition to points based on self-study documentation.
- Global program quality was measured using a variety of instruments to understand the extent to which these instruments measured overlapping versus distinct aspects of quality. Measures included the appropriate Environmental Rating Scale instrument (ERS) (Harms, and colleagues, 2004 – 2008) (the ECERS-R; ITERS-R; and the FCCERS); the CLASS (Pianta, LaParo & Hamre, 2008) to measure quality of caregiver-child interactions in center-based and home-based settings for infants and toddlers; the Supports for Early Literacy

Assessment (SELA) (Smith & Davidson, n.p.) to measure the supports for language development and literacy, long with a companion measure, and the Supports for Social and Emotional Growth (SSEGA) to measure children's social-emotional development in preschool classrooms. Analyses indicated that some aspects of quality known to be associated with children's development and learning were not fully captured in the field test QUALITYstarsNY standards, including the quality of adult/child interactions and relationships, use of intentional strategies to promote language and early literacy development, and provision of good nutrition and opportunities for physical activity. These analyses, as well as input from experts, informed the revision of the QUALITYstarsNY indicators. Additional indicators were added relating to nutrition and physical activity, indicators related to supports for learning were strengthened, and at higher star levels participants were expected to use tools such as the CLASS to self-assess interactions and relationships and to develop improvement plans based on formal CLASS assessments completed by independent, reliable CLASS observers.

New York will build on this strong foundation of implementing a research and theory-based TQRIS. Through RTT-ELC New York State will implement a validation study to confirm the tiers accurately reflect differential levels of program quality and determine the extent to which changes in the quality ratings are related to children's learning, development and school readiness.

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

As demonstrated by our field test and initial validation activities, New York is committed to evaluation activities using research-based measures to validate and improve the QUALITYstarsNY system. New York has convened a group of research experts, as the Evaluation Sub-committee of our Quality Improvement Work Group reporting to the ECAC, to advise and support the state in envisioning and carrying out its evaluation-related goals and objectives. This is a group with extensive expertise, including members who are nationally known experts in early childhood education, in QRIS and in evaluation (see list of participants in

Appendix B.5.2).

The main objective of the research design of the next validation study is to determine the extent to which the star levels of QUALITYstarsNY meaningfully and accurately differentiate program quality. In anticipation of this study, all participating programs have been included in independent ERS observations so that their QUALITYstarsNY rating may be analyzed in comparison to these observational scores.

Especially in light of recent published findings (e.g. Sabol et al, 2013), leaders in New York are clear that the psychometric properties of the standardized observational instruments, along with the inter-rater reliabilities of those instruments and the inter-rater reliability of the overall QUALITYstarsNY ratings, are important to consider in the design of the State's QRIS. The validity of the QUALITYstarsNY ratings is dependent on the internal validity and the stable reliability of its methods and measures.

Finally, New York is dedicated to the support of high quality programs for all children and families, and seeks to provide the supports necessary for all children, particularly Children with High Needs, to have access to high quality early childhood programs. Through our validation study we will seek to understand how program characteristics influence program quality so that impediments to high quality can be remediated, especially for Children with High Needs and their families.

The first three **research questions** specific to the QUALITYstarsNY validation study that will be completed through RTT-ELC include:

- *Research Question #1: Do the QUALITYstarsNY star levels meaningfully differentiate distinct levels of program and classroom/family child care home quality?* Given the point-based QUALITYstarsNY rating process, multiple strategies will be employed to answer this question. ERS and CLASS scores from reliable independent observers can be related to the separate components of the overall QUALITYstarsNY scores (the Learning Environment, Family Engagement, Qualification and Experience, and Management and Leadership component sub-scores). Additionally, independent observational scores can be related to the calculated QUALITYstarsNY ratings using the weighted average ratings across the components, both before and after the observational scores themselves are included in the weighted rating. Implementing this strategy will illuminate whether the addition of the observed quality scores changes the distribution of the ratings; and whether the final ratings

including the observational scores as a weighted component of the final ratings, are highly correlated with the observational scores as would be expected. Moreover, the average values and distributions of the observational scores and the average values and distributions of the components scores separately and together in weighted averages will be analyzed to inform the setting of appropriate cut-points defining levels of quality. The cut-points indicated by these analyses will be compared to the cut-points currently used to differentiate star levels.

- *Research Question #2: Are there particular program characteristics that influence the quality scores?* The distribution of quality scores, overall and by subcomponent, will be analyzed in relationship to a set of program characteristics, including program type (family or classroom setting), subsidy amount, funding type, size of program, geographic region, urban/rural/suburban, among others indicators, to determine whether there are particular areas or types of ELDPs that need differentiated supports to support continuous quality improvement.
- *Research Question #3: Is New York investing in the required supports to effectively and efficiently improve program quality through participation in QUALITYstarsNY? Do the current supports help programs at each star level to improve?* The ability of a QRIS to improve quality, not just measure it, is a critical function of the system, and is of great interest to New York. Therefore, in addition to assessing the ability of QUALITYstarsNY standards to differentiate levels of quality, the validation study will also assess the effect of participation in QUALITYstarsNY on quality improvements. This question requires data collection at multiple points in time to observe change. Baseline data has been and continues to be collected as QUALITYstarsNY rolls out to more providers, and is kept in WELS, an online data system created specifically for QRIS. The WELS database was implemented concurrently with the rollout of QUALITYstarsNY and contains all of the collected information on the initial quality assessments of programs, along with all of the specific improvement goals set by programs and providers and the duration and type of each ELDP's use of quality improvement resources. The Evaluation Sub-committee of the ECAC Quality Improvement Working Group is currently reviewing the data in the WELS system to determine the best preparation for research-level statistical analyses; appropriate data will be downloaded for validation study analysis. These data, when combined with information collected at subsequent points in time for the same programs, will allow program

improvement to be measured on indicators met and points earned across QUALITYstarsNY subcomponents and overall rating levels; in relation to the take-up of quality improvement supports. These analyses will allow New York to assess whether and to what extent its quality improvement supports are utilized and the extent to which their take-up results in measurable improvements in quality.

The **key data points** being collected to continue evaluation of QUALITYstarsNY include:

- All of the administrative data based on the documentation submitted by programs/providers, including information on the characteristics of the programs (such as type of program (family/classroom), number of subsidized children served, program affiliations with public/private/religious entities, geographic region, urban/rural/suburban), staff (such as teacher qualifications, years of experience, Professional Development hours and topics), and families served (such as primary language, socio-economic status).
- All of the QUALITYstarsNY scores, including indicators on which points were earned, and ratings based on the program and provider documentation.
- ERS and CLASS scores from independent, reliable observations conducted at participating programs/providers. The ERS scores from all participating family child care providers and 50 percent of early childhood classrooms in center-based programs and public schools; data on overall scores, sub-scale scores will be used for the analysis. CLASS scores are collected for programs with preliminary scores at the 4- and 5-star levels; data on overall scores, domain scores will be used for the analysis. These scores are based on observations conducted by reliable observers under the management of an independent research organization.
- All of the information based on the content of the Quality Improvement Plans including the goals of the programs, the work objectives, number and duration of site visits/coaching sessions, the cost of the quality improvement projects, and the resources required in terms of technical assistance, professional development and supplies.

#### *General Analysis Plan*

Appropriate QUALITYstarsNY stakeholders, along with the ECAC Evaluation Subcommittee, will work with the contracted independent evaluator to select a research design

utilizing valid and reliable measures and methods that will rigorously address the validity of QUALITYstarsNY. However, we anticipate that the analysis plan will include the leveraging of extant data existing in the WELS system, described above, along with merged independent ERS observational data, in sophisticated statistical analyses to adequately answer each research question.

To adequately address the third research question, which investigates change over time, re-rating information, including independent ERs and CLASS assessments, will be tracked over time and analyzed against the quality improvement efforts of programs, including the amount and type of supports given to programs during the evaluation period. Because the evaluation period will be shorter than the standard three-year rating cycle, it will be necessary to repeat the independent ERS and CLASS observations to provide a post-test measure within the validation study timeline and to reassess the QUALITYstarsNY ratings with any subsequent program quality updates to the WELS data from the participating programs. Specific methods for this aspect of the study will be determined along with the contracted evaluator. However, it is expected that the Quality Improvement Plans created through WELS and operationalized with support of QUALITYstarsNY, the type and duration of which is documented in WELS, will be utilized in the analysis. This data will be tracked over a period of two years from the time of the initial QUALITYstarsNY rating, allowing programs ample time to put improvements in place. Time 2 data collection will immediately follow at the close of the two year improvement period, and statistical analyses and reporting will be accomplished within the following six months. Programs found to improve over time will be recruited into a set of qualitative case studies examining the processes of change at the program level, to more fully understand successful improvement strategies.

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

The independent evaluator will also examine the extent to which differences in quality ratings are related to children’s outcomes. The key goals of this evaluation are:

- 1) To determine, *ceteris paribus* (everything else being equal), the extent to which program quality as indicated by the overall QUALITYstarsNY star levels and subcomponent

scores are related to children's cognitive and social developmental status;

- 2) To determine if changes in program quality over time are related to changes in children's outcomes, moving us toward our ultimate goal of school readiness for all children.

Appropriate QUALITYstarsNY stakeholders, along with the ECAC Evaluation sub-committee, will work with the evaluator to select a research design utilizing valid and reliable measures and methods that will rigorously evaluate the influence of QUALITYstarsNY on children's progress in learning, development, and school readiness.

The next five **research questions** specific to the QUALITYstarsNY validation study that will be completed through RTT-ELC include:

- *Research Question #4: Controlling for important covariates, are QUALITYstarsNY ratings, overall and subcomponents, related to measures of children's early pre-academic progress at program entry? At program exit? Do the change in scores between program entry and exit?*

Leveraging the WELS data system to provide this study with the capacity to include as large a number of programs as possible in the study sample to boost statistical power, the objective is to examine program quality in as many facets as possible related to children's pre-academic status at program entry and exit, resulting in findings that will illuminate the depth and breadth of the correlational relationship. These analyses will be followed with a second set of analyses examining the possible change in children's scores over the year as that change is related to a static level of program quality, in programs not yet in a quality improvement implementation phase. Multivariate regression analyses will be utilized, including a rich set of covariates, to parse out the influence of program quality on children's early literacy, vocabulary and math skills (and on their social skills, examined in a separate research question). The use of multivariate equations reduces the possibility of Type II errors when examining many covariates. These analyses will address the issue of whether programs at different levels of program quality provide different levels of support for children's early pre-academic progress; or, do higher quality programs produce better outcomes for children?

- *Research Question #5: Are there differences in the relationship between program quality scores and children's pre-academic progress between program entry and exit, for subgroups of Children with High Needs, such as children from low-income families, children with*

*special needs, or children who are learning English – among others?*

This question is answered by repeating the analyses for Research Question #4 with the inclusion of a number of important child-level covariates and examining the standardized beta values of those covariates in comparison to the others. Additional post hoc analyses may be conducted.

- *Research Question #6: Are there differences in the relationship between program quality scores, overall and subcomponents, and children’s pre-academic progress for subgroups of programs, such as programs of different types (family child care/center/ public school setting), subsidy amount, funding type, size of program, geographic region, urban/rural/suburban, among others?*

This question is also answered by repeating the analyses for Research Question #4, but in this case with the inclusion of a number of important program-level covariates, and including possible additional post hoc analyses.

- *Research Question #7: Are QUALITYstarsNY ratings, overall and subcomponents, and accounting for important covariates, related to children’s progress in early social skills? Are there differences in this relationship by children’s characteristics or program characteristic, as in the questions above?*

As with the set of similar analyses described above, these analyses will be followed with a second set of analyses examining the possible change in children’s social skills scores over the year as that change is related to static program quality, in programs not yet in a quality improvement implementation phase. These analyses will illuminate the influence of different levels of program quality on children’s early social developmental progress, addressing the issue of whether programs of higher quality support children’s developmental progress better than programs of lower quality.

- *Research Question #8: To what extent do changes in QUALITYstarsNY ratings over time relate to changes in children’s learning, development and school readiness? Do program improvements relate to improvements in children’s pre-academic or social developmental progress?*

Building on Research Question #3, in the first set of questions, the purpose of this question is to examine whether programs that are able to improve in quality over time then produce cohorts of students who, on average, make better developmental progress than the average

student who attended the programs at the previously lower quality level. This question is the culmination of the research questions and all of the analyses. It requires complex sets of analyses with multiple years of program-level data, and child-level data at both entrance and exit from two sets of programs, those that are found to improve, and those that are found not to improve. New York will have these data and will run these analyses, contributing critically important information to the field.

Building on the data collection for the validation of the QUALITYstarsNY ratings described above, the measurement of the independent variables will be pulled from the WELS system and the independent observational measures to reflect baseline or Time 1 program quality status.

The **key data points** used to assess children's outcomes will address all Essential Domains of School Readiness. Research-level, validated and normed instruments to measure children's early literacy and vocabulary development, early math skills and social skills development will be used, such as the Peabody Picture Vocabulary Test (PPVT-4) (Dunn & Dunn, 2007), the Woodcock-Johnson Tests of Cognitive Achievement (Woodcock, McGrew & Mather, 2001), and the Social Skills Improvement System (SSIS) Rating Scales (Gresham & Elliot, 2008). These instruments include versions for Spanish speaking children, and the use of these well-known instruments would allow wide comparison of children's scores, potentially for use in cross-state studies. Other research-level, validated and normed instruments may also be considered, as may be suggested by the contracted evaluator. Along with the chosen set of child outcomes measures, data on child/family characteristics known to be related to children's outcomes will also be collected, including gender, age, ethnicity, English language learner status, disabilities, and socio-economic status.

Additionally, we will use teacher-collected data from authentic assessments. New York has been working toward a system of authentic assessment for four-year-olds across all publicly-funded early childhood education programs, in conjunction with the implementation of research-backed curricula. Early childhood programs are encouraged to use the High Scope Child Observation Record (COR), Teaching Strategies Gold (GOLD), and the Pearson Work Sampling System (WSS). The Common Metric Project, headed by Dr. LaRue Allen at NYU, is nearing the end of a multi-year effort to create an algorithm to combine scores from these three best-practice assessment tools into one psychometrically valid combined assessment dataset. Already reaching

about 11,000 preschoolers, this project will be completed in time to provide data to this QUALITYstarsNY validation study. These data will be integrated into the analysis as appropriate.

#### General Analysis Plan

Appropriate QUALITYstarsNY stakeholders will work with the ECAC Evaluation sub-committee and the contracted evaluation entity to select a research design utilizing well-known, research-level measures to rigorously evaluate the relationship between quality levels and children's outcomes, and the degree to which changes in quality levels relate to children's outcomes.

The design of this study will of necessity be quasi-experimental, since it leverages the administrative data that is collected in the QUALITYstarsNY participation process for the independent variables. Random selection for a representative sample of participating programs at the state level will be used to select study participants, with over-selection, if necessary, for programs of low quality levels, since these programs are more likely to improve their scores and allow change to be observed. Over-selection for programs in low-income areas is not necessary, as QUALITYstarsNY has been implemented primarily in low-income areas. The sample will be of large enough size to identify differences in the influence of program quality on child outcomes at 0.15 effect size with 95% probability of accuracy. Given the number of variables of interest, this will likely require several hundred programs. A formal power analysis will be accomplished by the contracted evaluation entity. The data collection cost of a large study sample is substantially reduced, since the independent variables are already collected through program participation (with the exception of observational data for programs preliminarily scoring below 3 stars, included for research only). Data collection costs will be incurred primarily from the collection of child-level data.

Dependent variables will be collected from a randomly chosen set of 4 children per observed classroom; fifty percent of classrooms are observed in each participating program. An important objective is to include family child care programs to the full extent possible in this study; some number of children from participating family care programs will be sampled, with the required number determined upon selection of the program sample.

In order to observe possible change, the timing of data collection is critical. Child data will be collected at the beginning of the school year for all children in the sample, and again at

the end of the school year to capture possible progress in their development, for all children in the sample whether in classrooms or family care. The authentic assessment data through the Common Metric project will also be included, fall baseline scores compared to the final spring scores for four year olds in public programs.

Finally, by comparing the descriptive statistics of QUALITYstarsNY child and family characteristics to New York’s population characteristics, evaluators will also be able to provide information on children and families that are not reached by the QUALITYstarsNY system to inform QUALITYstarsNY outreach and program recruitment efforts.

**High Quality Plan**

<b>Goal B5.1: Competitively select vendor to complete QUALITYstarsNY validation study using research-based measures, as described in the RTT-ELC proposal, that the tiers in the State’s Tiered Quality Rating and Improvement System accurately reflect differential levels of program quality.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity B5.1.1:</b> Draft RFP for validation study																
<i>Review other RFPs for QRIS validation studies, best practices in validation studies</i>	X															
<i>Align NYS validation study goals with these RFPs and build from these resources as possible</i>	X															
<i>Write draft RFP for validation study</i>	X															
<b>Key Activity B5.1.2:</b> Finalize draft RFP in collaboration with state stakeholders, ensuring it covers all research questions in this proposal and fulfills each of the requirements/goals outlined in this proposal.																
<i>Assemble key stakeholders to engage in RFP reviews and decision-making</i>	X															
<i>Review the draft RFP</i>		X														
<i>Finalize draft RFP in collaboration with state stakeholders</i>		X														
<b>Key Activity B5.1.3:</b> Produce a written plan for the process of review and acceptance of a proposal																

<i>Draft a rubric for evaluation of the incoming proposals</i>		<b>X</b>																	
<i>Get buy-in from key stakeholders</i>		<b>X</b>																	
<i>Produce a written plan for the process of review and acceptance of a proposal.</i>		<b>X</b>																	
<b>Key Activity B5.1.4:</b> Publicize RFP for validation study.																			
<i>List all possible evaluation entities and avenues for RFP dissemination, with contact information.</i>		<b>X</b>																	
<i>Publicize RFP for validation study.</i>		<b>X</b>																	
<b>Key Activity B5.1.5:</b> Review and score the incoming proposals received in response to the RFP, according to the plan, engaging in preliminary discussions with the authors of the top three proposals.																			
<i>Allow sufficient time for evaluators to write proposals; 2 Key Activity months at most.</i>		<b>X</b>	<b>X</b>																
<i>Review and score the incoming proposals as per the rubric.</i>			<b>X</b>																
<i>Engage in decision-making discussions with stakeholders and choose the top 3 proposals.</i>			<b>X</b>																
<i>Engage in preliminary discussions with the authors of the top three proposals.</i>			<b>X</b>																
<b>Key Activity B5.1.6:</b> Choose and contract with the evaluator.																			
<i>Engage in decision-making discussion with stakeholders, rank order the choices, and choose evaluators in first and second place.</i>			<b>X</b>																
<i>Begin contractual negotiations with the evaluator of first choice across state and</i>			<b>X</b>																

<i>evaluator entities.</i>																			
<i>Finalize the contract.</i>			<b>X</b>																
<b>Key Activity B.5.1.7: Evaluation activities begin, including preparation activities</b>																			
<i>Disseminate information to all stakeholders across the state.</i>			<b>X</b>																
<i>Begin preparatory activities to smooth the evaluation process, especially at the program level.</i>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>												
<i>Assist and support the evaluators to accomplish necessary data collection.</i>					<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>						
<i>Support necessary data sharing and cleaning.</i>					<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>						
<i>Meet regularly as necessary and review status reports monthly.</i>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<i>Review preliminary reports and collaborate to inform post hoc analyses as necessary.</i>						<b>X</b>		<b>X</b>		<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Goal B5.2: Competitively select vendor to complete QUALITYstarsNY validation study using research-based measures, as described in the RTT-ELC proposal, that the changes in quality ratings are related to progress in children’s learning, development, and school readiness.</b>																			
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>						
	Quarters				Quarters				Quarters				Quarters						
<b>Key Activity B5.2.1: Draft RFP for validation study</b>																			
<i>Review other RFPs for QRIS validation studies, best practices in validation studies</i>	<b>X</b>																		
<i>Align NYS validation study goals with these RFPs and build from these resources as possible</i>	<b>X</b>																		
<i>Write draft RFP for validation study</i>	<b>X</b>																		
<b>Key Activity B5.2.2: Review draft RFP in collaboration with state stakeholders, ensuring it covers all research questions in this proposal and fulfills each of the requirements/goals outlined in this proposal</b>																			
<i>Assemble key</i>	<b>X</b>																		

<i>stakeholders to engage in RFP and proposal reviews and decision-making</i>																			
<i>Review the draft RFP</i>		X																	
<i>Finalize draft RFP in collaboration with state stakeholders...</i>		X																	
<b>Key Activity B5.2.3:</b> Produce a written plan for the process of review and acceptance of a proposal																			
<i>Draft a rubric for evaluation of the incoming proposals</i>		X																	
<i>Get buy-in from key stakeholders</i>		X																	
<i>Produce a written plan for the process of review and acceptance of a proposal.</i>		X																	
<b>Key Activity B5.2.4:</b> Publicize RFP for validation study																			
<i>List all possible evaluation entities and avenues for RFP dissemination, with contact information.</i>		X																	
<i>Publicize RFP for validation study.</i>		X																	
<b>Key Activity B5.2.5:</b> Review and score the incoming proposals received in response to the RFP, according to the plan, engaging in preliminary discussions with the authors of the top three proposals																			
<i>Allow sufficient time for evaluators to write proposals; 2 months at most.</i>		X	X																
<i>Review and score the incoming proposals as per the rubric.</i>			X																
<i>Engage in decision-making discussions with stakeholders and choose the top 3 proposals.</i>			X																
<i>Engage in preliminary discussions with the authors of the top three proposals.</i>			X																
<b>Key Activity B5.2.6:</b> Choose and contract with the evaluator.																			

<i>Engage in decision-making discussion with stakeholders, rank order the choices, and choose evaluators in first and second place.</i>			<b>X</b>													
<i>Begin contractual negotiations with the evaluator of first choice across state and evaluator entities.</i>			<b>X</b>													
<i>Finalize the contract.</i>			<b>X</b>													
<b>Key Activity B.5.2.7: Evaluation activities begin, including preparation activities</b>																
<i>Disseminate information to all stakeholders across the state.</i>			<b>X</b>													
<i>Begin preparatory activities to smooth the evaluation process, especially at the program level.</i>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>									
<i>Assist and support the evaluators to accomplish necessary data collection.</i>					<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>			
<i>Support necessary data sharing and cleaning.</i>					<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>			
<i>Meet regularly as necessary and review status reports monthly.</i>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	
<i>Review preliminary reports and collaborate to inform post hoc analyses as necessary.</i>						<b>X</b>		<b>X</b>		<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	
<p><u>Rationale:</u> An independent evaluation organization with sufficient organizational capacity and expertise in early childhood research generally and in QRIS evaluation specifically must be engaged to accomplish the validation of QUALITYstarsNY. New York stakeholders will work together with the evaluator to ensure the success of this endeavor and to disseminate the findings as appropriate.</p>																
<b>Goal B5.3: Selected vendor(s) implement the validation study.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			

<b>Key Activity B5.3.1:</b> Stakeholders, including the ECAC Evaluation subcommittee, will engage in activities to liaison with the evaluator and other stakeholders, as necessary, especially as evaluation activities begin														
<i>Introduce evaluators to program staff across the state, especially in areas of data collection.</i>				X	X				X					
<i>Review evaluation plans for possible field problems. Revisit with each data collection round.</i>				X	X	X	X	X	X	X	X	X		
<i>Stay abreast of field activities and any concerns. Solve any problems in a timely manner.</i>				X	X	X	X	X	X	X	X	X		
<i>Stakeholders, including the ECAC Evaluation subcommittee, will engage in activities to liaison with the evaluator and other stakeholders, as necessary, especially as evaluation activities begin.</i>						X	X							
<b>Key Activity B5.3.2:</b> Key stakeholders will review the progress of the evaluation through mutually agreed upon, timely status reporting and discussion with the evaluator; perhaps monthly status meetings and quarterly overviews														
<i>Key stakeholders will review the progress of the evaluation.</i>				X	X	X	X	X	X	X	X	X	X	X
<i>Monthly status meetings during data collection.</i>				X	X	X	X	X	X	X				
<i>Quarterly overviews.</i>				X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity B5.3.3:</b> The evaluator will engage in activities associated with the hiring of staff, the purchase of materials, including measurement instruments, and staff training, including training culminating in the appropriate level of inter-rater reliability on the chosen measures, all as necessary.														
<i>The evaluator will hire staff, if necessary, especially for field work.</i>				X			X		X		X			
<i>The evaluator will purchase materials, including instruments.</i>					X		X		X		X			
<i>The evaluator will train staff to sufficient inter-rater reliability.</i>					X		X		X		X			

<b>Key Activity B5.3.4:</b> Establish data-sharing activities between the WELS coordinators; the child/program assessment entities, if the data is collected via another organization; and the evaluator, including data cleaning and checking.														
<i>Establish data-sharing activities between the WELS coordinators, any other child/program assessment entities, and the evaluator.</i>				X	X									
<i>Determine specific protocols and responsibilities across entities for data sharing.</i>				X	X									
<i>Data checking and cleaning tasks are assigned, scheduled, and produce clean data.</i>					X	X	X	X	X	X	X	X		
<b>Key Activity B5.3.5:</b> Field work will be conducted to collect necessary observational data in support of the first set of research questions														
<i>Comprehensive program lists are prepared for sampling.</i>					X				X					
<i>Sampling procedures are applied, programs sampled.</i>					X				X					
<i>Programs are notified of data collection timeframes and personnel.</i>					X				X					
<i>Collaboration between evaluation and QUALITYstarsNY staff on data collection and keeping.</i>					X	X	X	X	X	X	X			
<i>Field work will be conducted to collect necessary observational data in support of the first set of research questions.</i>					X	X	X		X	X	X			
<b>Key Activity B5.3.6:</b> Fieldwork will be conducted to collect baseline child data as necessary to support analyses for the second set of research questions.														
<i>Child sampling lists prepared.</i>					X				X					
<i>Permissions and IRB approval are obtained.</i>					X				X					
<i>Programs are notified of data collection timeframes</i>					X		X		X		X			

<i>and personnel.</i>																	
<i>Field work will be conducted to collect child data as necessary to support analyses for the second set of research questions.</i>					X		X		X		X						
<b>Key Activity B5.3.7:</b> Conduct analyses to answer the first set of research questions (Research Questions #1-3) on the validation of the QUALITYstarsNY star levels will be conducted, preliminary findings discussed with stakeholders, and additional analyses will be conducted toward final reporting associated with that set of research questions.																	
<i>Analyses to answer the first set of research questions (Research Questions #1-3) on the validation of the QUALITYstarsNY star levels will be conducted. Includes data collected prior to the grant.</i>				X	X					X	X						
<i>Discuss preliminary findings with stakeholders.</i>										X							
<i>Additional analyses conducted.</i>										X	X						
<b>Key Activity B5.3.8:</b> Complete data collection for repeated measures in an appropriately timely manner																	
<i>Child sampling lists reviewed and updated if necessary.</i>							X				X						
<i>Programs are notified of data collection timeframes and personnel.</i>							X				X						
<i>Complete data collection for child level repeated measures.</i>							X				X						
<b>Key Activity B5.3.9:</b> Conduct analyses to answer the second set of research questions (Research Questions #4-8) on the relationship between quality ratings to child outcomes, discussing with stakeholders, with possibility of post hoc analyses																	
<i>Discuss preliminary findings of child outcomes with stakeholders.</i>													X				
<i>Additional analyses conducted.</i>													X	X			
<i>Finalize analyses to answer the second set of research questions</i>														X	X		



**(d) Responsibilities:**

**D5.1:** New York State Office of Child and Family Services (Activities 5.1.4; in collaboration with the Evaluation subcommittee, 5.1.1; in collaboration with the ECAC and the Evaluation subcommittee, 5.1.2, 5.1.6); ECAC in collaboration with the Evaluation subcommittee (Activities 5.1.3; 5.1.5); ECAC in collaboration with the Evaluation subcommittee and the PDI (Activity 5.1.7)

**D5.2:** New York State Office of Child and Family Services (Activities 5.2.4; in collaboration with the Evaluation subcommittee, 5.2.1; in collaboration with the ECAC and the Evaluation subcommittee, 5.2.2, 5.2.6); ECAC in collaboration with the Evaluation subcommittee (Activities 5.2.3; 5.2.5); ECAC in collaboration with the Evaluation subcommittee and the PDI (Activity 5.2.7).

**D5.3:** New York Professional Development Institute (Activities 5.3.1, 5.3.4); ECAC in collaboration with the Evaluation subcommittee (Activities 5.3.2; 5.3.12); Evaluator (Activities 5.3.3, 5.3.5 – 5.3.11)

**(e) Appropriate financial resources:** The total budget amount set aside for contracted evaluation activities across the grant period is \$1.5M.

**(f) Supporting evidence:** N/A

**(g) Performance measures:** Vendor(s) selected to complete validation study of QUALITYstarsNY and relationship between QUALITYstarsNY and children's outcomes (B5.1-B5.2). Validation study of QUALITYstarsNY and of relationship between QUALITYstarsNY standards and children's outcomes completed (B5.3).

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable;** The inclusion of all participating programs in the validation of the QUALITYstarsNY ratings, with specific subgroup analyses focusing specifically on family care programs, school-based programs, and programs funded under different auspices will allow New York to understand and address the needs of these different program types to improve and maintain program quality across all of its critical components, illuminating any concerns relating to staff access to meaningful professional development activities and higher education. The evaluation of the relationship between QUALITYstarsNY ratings and all of the subcomponents of program quality and children's status and progress in early cognitive and social/emotional development includes specific subgroup analyses focusing

on family care programs, school-based programs, and programs funded under different auspices. Study findings will be used to feed into a continuous loop of formative, supportive improvement for programs of all types, across auspice. Through this study New York will better understand and build better capacity to address the needs of different programs to improve and maintain program quality.

**(i) How the State will meet the needs of Children with High Needs.**

The QUALITYstarsNY system has been implemented primarily in areas where children are most at risk for poor performance in school, including high-poverty areas of New York City, and in upstate cities and towns including Albany, Binghamton, Buffalo, Rochester, Schenectady, Syracuse, Poughkeepsie, Westchester, and the North Country. This validation of the QUALITYstarsNY star levels against alternate and independent observational assessments of quality will illuminate issues of inequity in the lack of current capacity for quality early childhood programs for children with high needs in New York. Moreover, specific subgroup analyses will focus on children who are at even greater risk of less than optimal outcomes due to poverty, minority status, disabilities, and English learner status. The findings of this study will focus attention on the concerns for these children and their families, and will examine the extent to which QUALITYstarsNY provides effective supports to improve their outcomes. Expert recommendations for more effective supports for children with high needs in light of study findings will be forthcoming from the study reports.

**Endnotes**

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### **C. Promoting Early Learning and Development Outcomes for Children**

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

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

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

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

(c) Includes evidence that the Early Learning and Development Standards are incorporated in Program Standards, curricula and activities, Comprehensive Assessment Systems, the State's Workforce Knowledge and Competency Framework, and professional development activities; and that they are shared with parents and families along with suggestions for appropriate strategies they can use at home to support their children's learning and development; and

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

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

- To the extent the State has implemented Early Learning and Development Standards that meet the elements in selection criteria (C)(1)(a) and (b), submit--
  - Proof of use by all types of Early Learning and Development Programs in the State;
  - The State's Early Learning and Development Standards for:
    - Infants and toddlers
    - Preschoolers
  - Documentation that the standards are developmentally, linguistically, and culturally appropriate for all children, including children with disabilities and developmental delays and English learners;
  - Documentation that the standards address all Essential Domains of School Readiness and that they are of high quality; and
  - Documentation of the alignment between the State's Early Learning and Development Standards and the State's K-3 standards.

New York has successfully demonstrated a deep commitment to establishing high-quality Early Learning and Development Standards (ELDS). The State has created a High-Quality Plan to integrate these standards into practice throughout all Early Learning and Development Programs (ELDPS) across the State and to provide families with access to relevant information and supports to enhance their children's readiness for school.

New York's comprehensive ELDS include two aligned documents: *The NYS Early Learning Guidelines* (see Appendix B.1.4) and *The NYS Prekindergarten Foundation for the Common Core* (see Appendix B.1.5). Both the *Early Learning Guidelines* (published in 2012) and the *Prekindergarten Foundation for the Common Core* (published in 2011) were developed to fully align with the K-12 Common Core Standards in literacy and mathematics and then were expanded to include all Essential Domains of School Readiness (from this point forward the two documents will together be referred to as the ELDS). The ECAC and the State Education Department (SED) jointly oversaw a partnership of early childhood experts (to include extensive representation from higher education) to develop New York's ELDS. This collaborative interagency partnership ensured alignment of both documents across developmental domains and integrated principles of developmental, cultural and linguistic competence throughout. The Head Start Child Development and Early Learning Framework were used as a guiding tool to guarantee further alignment and applicability across settings.

The *NYS Early Learning Guidelines* have been widely distributed, with all early childhood centers receiving at least one copy and the *Prekindergarten Foundation for the Common Core* were additionally sent to all prekindergarten classrooms in both school- and center-based programs that serve four-year-olds, with resources and guidance to support implementation. The documents making up New York's ELDS have also been sent to every early childhood faculty member at all institutions of higher education to ensure that they are integrated into all teacher preparation programs; to date, faculty from 23 of New York's college campuses have ordered additional copies for students to use as required readings in the past year. Additionally, New York developed and published a booklet for families, entitled *Partners in Early Learning: a Letter to Parents and Teachers* (see Appendix C.1.1.), which guides families in their understanding of the standards and how to communicate with teachers to ensure successful early childhood experiences.

With this foundation, New York is poised to fully integrate the ELDS into teacher

preparation, professional development and practice, and develop supports to build families’ understanding of the standards and their use in the education of their children.

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

The Early Learning and Development Standards are developmentally, culturally, and linguistically appropriate for infants, toddlers, and preschoolers. The *Early Learning Guidelines* depict the developmental progression of typical child development during three developmental stages: birth to 18 months; 18 months to 36 months; and 36 months to 60 months. The *Early Learning Guidelines* were deliberately written to begin at birth and to extend through the kindergarten year to provide assurance that the developmental approach would remain intact once children began their primary school experience.

Each component of the ELDS is organized within the following domains, which align with the Essential Domains of School Readiness: Approaches to Learning; Language, Communication, and Literacy; Social and Emotional Development; Cognition and Knowledge; and Physical Development and Health. They provide explicit guidance to teachers about emergent curriculum, individualized planning, and effective teaching.

Essential Domains	ELGs	PreK Foundation	Head Start Framework	K-12 Common Core
Language and Literacy	✓	✓	✓	✓
Cognition and General Knowledge	✓	✓	✓	✓ (Math)
Approaches Toward Learning	✓	✓	✓	
Physical Well-being and Development	✓	✓	✓	
Social and Emotional Development	✓	✓	✓	

New York’s size (19.5 million people) and diversity (170 languages spoken) required that there be a clear focus on the challenge of addressing the needs of all New York’s children. Specific design strategies to ensure the standards are developmentally, culturally, and linguistically appropriate included:

- In 2007, Dr. Sharon Lynn Kagan, Professor of Early Childhood and Family Policy at Columbia University, was brought into the process of developing the ELDS to ensure vertical and horizontal alignment of expectations. Dr. Kagan, recognized internationally for work

related to the education of young children and their families, focused her feedback and support on ensuring appropriate developmental, linguistic, and cultural elements in the standards.

- Teams developing the *Early Learning Guidelines* and the *Prekindergarten Foundation for the Common Core* gathered early learning standards that addressed the Essential Domains of School Readiness from other states, and researched how other states implemented a B-5 continuum of developmental learning standards.
- Multiple stakeholder meetings, held throughout the two-year development period, included experts in the development of learning standards from the areas of child development, special education, birth to 3, Early Intervention, Dual Language Learner, Head Start, Early Head Start, health, mental health and content experts in all subject matter.
- In June 2009, the standards were circulated to expert researchers, vetted with teacher focus groups and at the NYSAEYC annual conferences, released for public comment, revised, and then presented to the Board of Regents in January 2011.
- Focus groups were conducted with teachers across the state to inform the writing of the preface to the *Early Learning Guidelines (The Teacher's View)*, which encourages teachers to value children as unique individuals, understand the child's contribution to the program, and to develop strategies to meet the needs of developmentally, linguistically, and culturally diverse children, especially those demonstrating High Needs.

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

The ELDS were designed to fully align with the State's K-3 academic standards. New York was one of two states to adapt the Common Core Standards to prekindergarten as soon as they were released and the *Prekindergarten Foundation for the Common Core* has been available to prekindergarten teachers since 2011. The ELDS were developed to fully align with the K-12 Common Core Standards in early literacy and mathematics and then were expanded to include all Essential Domains of School Readiness (see (C)(1)(a) above).

To further support the alignment of the ELDS with the State's K-3 academic standards, for teachers in the classroom New York State has contracted with the Core Knowledge™ Foundation to provide a Prekindergarten - Grade 2 Curriculum for English Language Arts that is aligned with the Prekindergarten Foundation for the Common Core. This training will be

available both in-person and through webinars throughout the 2013-2014 school year and will ensure that teachers are integrating best practices of child development while they provide children with rich literacy activities throughout each day

This ELDS alignment to New York’s K-3 academic standards and the Common Core is critically important in New York as the State confers a Birth – Grade 2 Teacher Certification; providing pre-service teachers with a continuum of developmental guidelines and standards is at the foundation of the teacher preparation programs. With these aligned standards, teachers are better prepared to tailor their curricula, environments, and assessments to meet the needs of all children and to communicate with all families. In New York, teachers with a Childhood teacher certification, which enables them to teach through sixth grade, may earn a second certification in early childhood education by taking only one early childhood course, which is inconsistent with the guiding principles of the Birth – Grade 2 Certification. As is evidenced in our High Quality Plan, there is a recommendation from both the ECAC Work Force Workgroup and the New York Association of Early Childhood Teacher Educators (NYSAECTE) that the second certification involve 9 credits of early childhood education and the ELDS provide additional support to strengthen this position.

The High Quality Plan envisions extending the Early Learning Guidelines through to grade three, including specialized support to school leaders to help ensure a focus on child development and developmentally appropriate expectations, planning, and implementation of best practices and to improve supervision and support of teachers of children through grade 3. This approach will help ensure that positive early learning outcomes will be sustained through the Early Elementary Grades.

**(c) Early Learning and Development Standards are incorporated in:**

*Program Standards*

The program standards for New York’s TQRIS, QUALITYstarsNY, incorporate the Early Learning and Development Standards (ELDS). Programs receive points when they implement an evidence-based curriculum that addresses each of the Essential Domains of School Readiness, is developmentally appropriate and aligns with the *Early Learning Guidelines* and/or the *Prekindergarten Foundation for the Common Core (QSNY standard CPI 4)*; a full copy of the QUALITYstarsNY standards is available in Appendix B1.1- B1.3. An online resource guide

has been developed to support understanding of the QUALITYstarsNY program standards and provides a direct link to the ELDS, reinforcing their critical role in developing high quality programs.

#### *Curricula and Activities*

New York's child care regulations require child care centers to implement classroom activities that are appropriate for young children, and which support children's cognitive, social, emotional, physical and language development (18 NYCRR 418-1.7(a); 18 NYCRR 418-2.7(c)) The Early Learning and Development Standards provide a critical resource to child care centers to support their compliance with this requirement. Professional development providers are currently integrating the Early Learning and Development Standards in their instructional design and delivery to promote awareness and administrators' and teachers' understanding of how these standards should be used to support compliance with the child care regulations related to program development. The professional development activities and web-based supports proposed as part of the High Quality Plan (Goals C1.2 and C1.3) will deepen practitioners' understanding of the Early Learning and Development Standards and support the use of the ELDS in curriculum selection and planning, creating supportive early learning environments that meet the needs of all children including those with high needs.

#### *Comprehensive Assessment System*

New York has recently developed an innovative strategy to unite the formative child assessment tools and integrate them with the ELDS, providing consistent resources to teachers and to support interactions with families. The majority of UPK programs and many community based Early Learning and Development Programs in the state use the Work Sampling System® (WSS), Teaching Strategies GOLD® or the High Scope Child Observation Record (COR) for child assessment and to inform individualized instruction. New York has developed the *Common Metric Project* with a primary goal to make it possible to compare findings across these authentic assessment tools, enabling agencies and policy makers to analyze data across geographic and programmatic parameters. Teachers will use their chosen research-based authentic assessment tools and enter the data on-line as is their current practice. The data will then be de-identified and transferred to New York University for analysis. Connecting the three tools in a statistically meaningful way will enable stakeholders, including preschool educators and directors, as well as local and State agencies, to strategically inform curriculum and instruction, and will serve to

inform the professional development of educators. This will allow us to determine how all prekindergarten students are progressing toward meeting the ELDSs. The tool will also provide supports for teachers to have conversations with families, providing language with which to both explain children's progress and to introduce ways parents can support their children's learning at home.

To date, the partners in the *Common Metric Project* (New York University, New York City Department of Education, New York City Administration for Children's Services, the New York State Head Start Collaborative, and the ECAC) have raised nearly \$1M towards the development and research on the Common Metric. Authentic assessment data have been collected on 11,000 4-year-old children in New York. Teachers who were part of the study that involved two measures were trained on those tools to insure the reliability of the data. Publicly funded programs serving Children with High Needs participating in QUALITYstarsNY will be able to use the Common Metric, supporting New York's need to study program quality and its relationship to child outcomes, with particular focus on our Children with High Needs.

#### *Workforce Knowledge and Competency Framework*

*New York Works for Children* (NYWFC), the State's professional development system, is working to integrate the Workforce Knowledge and Competency Framework and the ELDS as the foundation for professional preparation and development. The ECAC has charged the New York Early Childhood Professional Development Institute (PDI) and the New York State Association for the Education of Young Children (NYSAEYC) with the implementation of its professional development system. When New York refers to NYWFC, it is with the understanding that the PDI and NYSAEYC are leading the essential activities to attain our goals, in collaboration with regional offices, to be established with support from this grant as described in the High Quality Plan in Section (D)(1) (key activity D.1.2.2) of this application.

The Core Body of Knowledge (CBK) supports all early childhood practitioners' understanding of the principles of child development and recommended practices for creating early learning environments that support the Essential Domains of School Readiness, as evidenced by the alignment between the behaviors and skills described in the CBK and the recommended strategies provided in the ELDS. *New York Works for Children's* trainer and training approval system will further strengthen the integration of the ELDS into the Workforce Knowledge and Competency Framework. Currently, trainers pursuing the New York State Early

Learning Trainer Credential must describe, as part of a portfolio submission, how they integrate the ELDS and the CBK into the professional development they provide. In 2012, *New York Works for Children* established New York's new workforce registry, Aspire. Aspire's training approval system, which will be piloted in 2014 and implemented in 2015, will evaluate professional development activities to ensure they are aligned with both the OCFS nine training topics and the core competency areas. Aspire's individual professional development record will specifically identify all approved trainings that address the ELDS in which early childhood practitioners have participated. Professional development modules on the Core Body of Knowledge being developed as part of Section (D)(1)'s High Quality Plan (key activity D1.2.3) will address in-depth the integration of the ELDS and the Workforce Knowledge and Competency Framework.

*Professional Development Activities*

New York has implemented a series of professional development activities to ensure professionals are not only aware of the ELDS, but are also actively using these tools in their daily planning and interactions with young children and their families.

The orientation of teachers to these standards has also been taken into consideration, and professional development resources have been created to assist them in making the connection between teaching and the cultural, developmental, and linguistic diversities that make up a typical classroom of young children in New York State, as well as resources to help teachers connect and communicate effectively with diverse families.

Since the ELDS were published in 2011-2012, *New York Works for Children* has provided face-to-face training through its primary partners – the NYSAEYC and the New York Early Childhood Professional Development Institute (PDI); to date, more than 1,500 early childhood professionals have received training on the ELDS. Further, in New York City, the Department of Education worked with the PDI to develop cohort training for early childhood center directors to apply strategies to support teachers to effectively use the ELDS in instruction; more than 200 directors have benefitted to date. Additional training events are scheduled through the 2013-2014 calendar year. The development of more robust efforts including web-based applications, online supports, and train the trainer modules are all part of New York's High Quality Plan in this section.

Because many Children with High Needs are cared for in family care homes, specific

strategies to incorporate the ELDS into daily practice have been implemented. The *Early Learning Guidelines* were translated into Spanish in 2013 and to date 1,174 informal family care providers in New York City, speaking both English and Spanish, received training on basic developmental principles and implications for supporting the learning of the children in their care. New York's entire family care workforce, including its unregulated population, is represented by the United Federation of Teachers (UFT) in New York City and by the Civil Service Employees Association (CSEA) through the rest of the state. *New York Works for Children* is working with the UFT and CSEA to provide family care providers with copies of the *Early Learning Guidelines* in both English and Spanish, and to provide their trainers with Train the Trainer sessions on the ELDS that will advance the competence of family child care providers across the state.

*ELDS Shared with Parents and Families Along with Suggestions for Appropriate Strategies They Can Use at Home to Support Their Children's Learning and Development*

After the Early Learning Guidelines were published and they were disseminated to ELDPs, New York developed materials and strategies to connect families to the content of the ELDS, including the development of *Partners in Early Learning: A Letter to Parents and Teachers*. This document was written and published as a companion piece to the Early Learning Guidelines and is designed to encourage relationships between teachers and parents based on a clear understanding of their mutual commitment to the child. A total of 50,000 copies have been printed and 20,000 copies are being distributed to *EarlyLearnNYC* programs, serving New York City's highest need populations; all participating QUALITYstarsNY sites will start receiving the booklets for their families by the end of 2013. The ECAC has conducted an analysis of New York's most commonly spoken foreign languages; *Partners in Early Learning* will be translated into the top six languages as part of the High Quality Plan.

The *Prekindergarten Foundation for the Common Core* is highlighted on ENGAGENY, SED's website designed for use by teachers and families. On the website there is a Toolkit for Parents and Families, a collection of materials designed to help parents and families understand the *Prekindergarten Foundation for the Common Core* and Common Core Standards, and how the changes in these standards will ultimately help their children graduate from high school ready for college and careers. Website topics include: Guides to the Common Core Standards; Common Core Resources for Parents to Learn More; and What Parents Can Do to Help their

Children Learn.

We envision collaborating with museums, public television, libraries, and the arts – all represented at the ECAC – to determine the most effective ways to integrate the ELDS for families in these non-traditional (non-school) learning venues. In 2013, SED embarked on an initiative to enlist the help of cultural organizations to implement the Common Core Learning Standards (CCLS). As outlined in the High Quality Plan, New York plans to develop strategies to integrate the use of the booklet, *Partners in Early Learning* and other web-based applications into all our family support activities including regional parent cafes, the NYS Parenting Education Partnership (NYSPEP) Parent Kit (along with parent brochures that promote developmental screening, and information about QUALITYstarsNY), and New York’s Transition Forums, co-sponsored by the Head Start Collaborative, SED, and the NYSAEYC.

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

Our system building has been inclusive at every level, in both creating the ELDS and supporting their implementation throughout all service delivery systems and across all ELDPs. Institutions of higher education, early childhood programs, and professional development agencies have all been integral in writing, reviewing, and recommending implementation strategies. *New York Works for Children* has diligently worked to promote understanding and commitment to the ELDS across all Early Learning and Development Programs. The guiding principle in this work is founded on the belief that by integrating the ELDS throughout program practice, teachers will be most effective in supporting all children’s development, particularly Children with High Needs. New York has developed multiple supports to promote understanding of and commitment to the ELDS.

- *The Teachers View: How to Use the Early Learning Guidelines Successfully* is the introduction to the *Early Learning Guidelines* and reflects the experiences of teachers from around the state. The author conducted focus groups and interviews with over 80 early childhood professionals to give voice to how their understanding of child development influences their practice and how the *Early Learning Guidelines* will support their work, especially as they serve Children with High Needs. The result is an introduction that makes the guidelines accessible to teachers and demonstrates their value as a resource in best

practices.

- The *New York State Early Learning Alignment* (see Appendix C.1.2) was designed to assist administrators and teachers understand the alignment and complementary nature of the *Early Learning Guidelines*, the *Prekindergarten Foundation for the Common Core* and the *Head Start Child Development and Early Learning Framework*. The *NYS Early Learning Alignment* clearly outlines that each of the three documents addresses the Essential Domains of School Readiness and describes how each serves as a resource for teachers. A summary of the *NYS Early Learning Alignment* is included as an appendix in the *Early Learning Guidelines*. The full *NYS Early Learning Alignment*, which crosswalks each element, has been broadly disseminated and is available on multiple websites that host the Early Learning and Development Standards.

**High Quality Plan**

<b>Goal C1.1: Create a smart phone pictorial application for families with Children with High Needs that references the ELDS focuses on children’s development and appropriate responses, activities, and questions.</b>														
<b>Key Activities and Milestones</b>	<b>Year 1</b>		<b>Year 2</b>		<b>Year 3</b>		<b>Year 4</b>							
	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2
<b>Key Activity C1.1.1: Establish project specifications, work plan, and identify responsible parties to design the smart phone application.</b>														
<i>Conduct market research on similar apps</i>			X	X										
<i>Work through Parent Café events to host family focus groups across the state to inform app content.</i>			X	X										
<i>Draft RFP</i>			X	X										
<i>Seek feedback on draft RFP from ECAC Workforce Development workgroup</i>			X	X										
<b>Key Activity C1.1.2: Contract with non-profit technology firm with experience developing similar apps.</b>														
<i>Conduct market research on firms with similar expertise</i>			X											
<i>Publicize RFP, ensuring firms with similar expertise receive RFP</i>				X								X		

<i>ECAC Workforce workgroup reviews proposals and scores proposals based on specifications outlined in RFP</i>				<b>X</b>															
<i>Firm selected</i>				<b>X</b>															
<i>Contract signed</i>				<b>X</b>															
<b>Key Activity C1.1.3: Develop and test app.</b>																			
<i>Work through Parent Café events to host family focus groups across the state to inform app design.</i>				<b>X</b>															
<i>Design general elements of app</i>					<b>X</b>														
<i>Develop Application.</i>					<b>X</b>	<b>X</b>	<b>X</b>												
<i>Test app with key audiences, particularly families with Children with High Needs</i>							<b>X</b>												
<i>Edit app as needed based on feedback</i>								<b>X</b>											
<b>Key Activity C1.1.4: Introduce app through targeted strategies designed to reach families with Children with High Needs</b>																			
<i>Conduct market research on app usage among target audience of families with Children with High Needs</i>							<b>X</b>												
<i>Design strategies to introduce app to families with Children with High Needs</i>							<b>X</b>	<b>X</b>	<b>X</b>										
<i>Implement strategies to introduce app to families with Children with High Needs, including developing strategic partnerships with entities that will publicize the app for no or low cost</i>									<b>X</b>										
<b>Key Activity C1.1.5: Analyze and evaluate use of app.</b>																			
<i>Receive information on app usage overall, as well as in targeted communities and zip codes</i>										<b>X</b>		<b>X</b>		<b>X</b>				<b>X</b>	

Analyze usage											X	X	X	X	X	X	X
<b>Key Activity C1.1.6:</b> Make necessary modifications and continue to publicize.																	
Adjust communication strategies based on this data												X	X	X	X	X	X
Adjust app content/ design based on this data												X	X	X	X	X	X
Continue to publicize the app, including developing strategic partnerships with entities that will publicize the app for no or low cost.												X	X	X	X	X	X
<p><u>Rationale:</u> The majority of families across the socio-economic spectrum have and use smart phones. The development of a smart phone app will increase accessibility to the information families seek to support their children’s development. The app will be designed to allow families to enter their child’s age and receive information about developmental milestones and developmentally appropriate strategies to support their children’s early development and learning.</p>																	
<b>Goal C2: Develop and provide access to training modules for administrators, teachers, and family child care providers designed to support use of the ELDS.</b>																	
Activities	Year 1				Year 2				Year 3				Year 4				
	Quarters				Quarters				Quarters				Quarters				
<b>Key Activity C1.2.1:</b> Charge the ECAC Workforce Workgroup, which includes higher education, labor unions, membership associations, providers, and teachers to guide the development of the work products.																	
Develop clear vision for success of the training modules			X														
Develop learning objectives for the modules			X														
Develop work plan			X														
<b>Key Activity C1.2.2:</b> Design modules.																	
Develop 3 modules that align with the vision and learning objectives defined by ECAC Workforce Development workgroup			X	X	X												
Modules submitted to Workforce Development workgroup for review			X	X	X												
<b>Key Activity C1.2.3:</b> Pilot use of modules																	
Select administrators,				X													



professionals in integrating the ELDS into their programs and practice.																	
<b>Goal C1.3.1: Develop and provide access to web-based tools designed to support teachers' use of the ELDS, to include recommended strategies, documentation including videos demonstrating best practice, discussion forums about best practices, and links to additional resources addressing the Essential Domains of School Readiness.</b>																	
Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4				
	Quarters				Quarters				Quarters				Quarters				
<i>Charge the ECAC Workforce Workgroup, which includes higher education, labor unions, membership associations, providers, and teachers to guide the development of the work products.</i>																	
<i>Develop clear vision for success of online tools</i>		X															
<i>Develop RFP for consultants to develop online tools</i>		X															
<i>Publicize RFP to engage consultants</i>		X															
<b>Key Activity C1.3.2: Engage well-qualified consultants.</b>																	
<i>Review proposals from consultants</i>		X															
<i>Score proposals based on criteria set in the RFP</i>		X															
<i>Select consultants</i>		X															
<i>Establish contract with selected consultants</i>		X															
<b>Key Activity C1.3.3: Design initial web-based components.</b>																	
<i>Consultants design web-based components</i>			X	X	X												
<i>Review web-based components with ECAC Workforce Development workgroup</i>			X	X	X												
<b>Key Activity C1.3.4: Pilot use</b>																	
<i>Select leaders from representative ELDPs serving Children with High Needs</i>				X													
<i>Pilot use of web-based tools</i>				X	X	X											
<i>Gather quantitative and</i>				X	X	X											

<i>qualitative feedback from pilot participants</i>																			
<b>Key Activity C1.3.5:</b> Evaluate feedback.																			
<i>ECAC review quantitative feedback from pilot participants</i>								X											
<i>Identify strengths and areas for improvement</i>								X											
<i>Develop plan for modifying web-based tools based on feedback and available budget</i>								X											
<b>Key Activity C1.3.6:</b> Modify web-based tools based on feedback.																			
<i>Modify tools</i>								X	X										
<i>Present modified tools to ECAC</i>									X										
<i>Modify further if needed</i>									X	X									
<i>Finalize web-based tools</i>										X									
<b>Key Activity C1.3.7:</b> Broadly disseminate.																			
<i>Provide demonstration of web-based tools in ELDS modules developed as part of Goal C.2</i>										X	X	X	X	X	X	X	X	X	X
<i>Link web-based tool to all websites that host the ELDS</i>										X									
<b>Key Activity C1.3.8:</b> Invite teachers to submit evidence and/or documentation (video, photographs, and narratives) from their successful experiences in their classrooms using the ELDS to help populate the web-based tool.																			
<i>NYWFC Regional offices will invite participating 4 and 5 star level QUALITYstarsNY ELDPs to submit documentation of their classroom practices</i>										X	X	X	X	X	X	X	X	X	X
<i>NYWFC Regional offices will conduct training at state and local conferences and through webinars about how to collect and submit documentation of classroom practice.</i>										X	X	X	X	X	X	X	X	X	X
<b>Key Activity C1.3.9:</b> Build out web-based tool reflecting teacher work for broad learning and benefit.																			

<i>NYWFC will manage, edit and upload documentation to site.</i>									X	X	X	X	X	X	X	X
<i>NYWFC will facilitate on-line discussion groups using submissions to generate questions/discussion topics.</i>											X	X	X	X	X	X
<p>Rationale: The development of interactive web-based tools will serve both as a resource for professional development activities addressing the integration of the Early Learning and Development Standards; and for individual practitioners to continue to build their understanding and ability to effectively use the Early Learning and Development Standards in their practice. The proposed design will use video and photographic documentation from QUALITYstarsNY star level 4 and 5 programs: 1) encouraging these programs (especially those serving Children with High Needs) to reflect on and be acknowledged for their exemplary practices and to contribute to the growth of the field; 2) helping other programs that serve Children with High Needs understand how to implement these practices in their programs. On-line topical discussion groups facilitated by NYWFC as part of the web-based tools will create virtual communities of practice and provide practitioners the opportunity to share ideas, strategies and collectively reflect on their practice.</p>																
<p><b>Goal C1.4: Implement new Train the Trainer module that has been designed to educate the trainer and higher education faculty on the content, the intended use, and to build capacity to integrate the ELDS into education and training opportunities.</b></p>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<p><b>Key Activity C1.4.1:</b> Charge the ECAC Workforce Workgroup, which includes higher education, labor unions, membership associations, providers, and teachers to guide the development of the work products.</p>																
<i>Develop clear vision for success of train the trainer module</i>		X														
<p><b>Key Activity C1.4.2:</b> Design Train the Trainer module</p>																
<i>Project Coordinator designs module</i>			X													
<i>Module reviewed by ECAC Workforce Development workgroup</i>				X												
<p><b>Key Activity C1.4.3:</b> Pilot use</p>																
<i>Select trainers</i>				X												



which will be serving children with high needs.																
<b>Goal C1.5: Expand ELG to ensure K- grade 3 standards also include all Essential Domains associated with school readiness and subsequent success.</b>																
Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity C1.5.1:</b> Identify a consultant to write the K-3 section of the Early Learning guidelines.																
<i>Develop RFP for a consultant to develop online tools</i>	X															
<i>Publicize RFP to engage consultant</i>	X															
<i>Review proposals from consultants</i>	X															
<i>Score proposals based on criteria set in the RFP</i>	X															
<i>Select consultant</i>	X															
<i>Establish contract with selected consultant</i>	X															
<b>Key Activity C1.5.2:</b> Draft expanded ELG to include K-3 with extensive stakeholder input.																
<i>Work with key stakeholders to identify key content and sources for expanded ELG</i>	X															
<i>Draft initial expanded ELG to include K-3, with support from key stakeholders</i>	X	X														
<i>Submit draft for review by State Education Department and ECAC Workforce workgroup</i>		X														
<i>Complete final draft for broader stakeholder review</i>		X														
<b>Key Activity C1.5.3:</b> Review with teachers across the state and other stakeholders.																
<i>NYWFC Regional offices convene 3 teacher focus groups</i>		X	X													
<i>NYWFC Regional offices convenes 3 school administrator focus groups</i>		X	X													
<i>Conduct on-line surveys with stakeholders for additional feedback</i>		X	X													
<b>Key Activity C1.5.4:</b> Refine as needed based on feedback.																
<i>State Education Department and ECAC Workforce</i>			X	X												



<i>NYWFC Regional offices work with trainers to identify scheduled professional development days</i>								X										
<i>NYWFC Regional offices conducts 20 trainings (two per region) in 2016 and 2017</i>									X	X		X	X	X				X
<i>Conduct on-line evaluation of professional development sessions</i>									X	X		X	X	X				X
<b>Key Activity C1.5.9:</b> Disseminate expanded ELG to higher education to be used as a text book in all Birth – Grade Two teacher certification programs.																		
<i>NYWFC will send 400 copies to the faculty in Birth –Grade Two Teacher Certification programs</i>								X	X									
<p>Rationale: To improve alignment and comprehensiveness of standards serving children from birth to grade 3. The expansion of the <i>Early Learning Guidelines</i> to include all of the Essential Domains of School Readiness is critically important in New York as the State confers a Birth – Grade 2 Teacher Certification; providing pre-service teachers with a continuum of developmental guidelines and standards is at the foundation of the teacher preparation programs. Additionally, the proposed professional development activities will further support teachers in understanding and addressing all of the Essential Domains of School Readiness. With these aligned standards, teachers will be better prepared to tailor their curricula, environments, and assessments to meet the needs of all young children and to communicate with all families.</p>																		
<b>Goal C1.6: Develop and implement a campaign to raise families’ awareness about the ELDS and supporting resources, and the value of families engagement in their children’s early learning (birth through school).</b>																		
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>					
	Quarters				Quarters				Quarters				Quarters					
<b>Key Activity C1.6.1:</b> Charge the ECAC Workforce and Strong Families Workgroups, which includes higher education, labor unions, membership associations, providers, teachers, and family support/engagement agencies to guide the development and implementation of the family awareness campaign																		
<i>ECAC Workforce and Strong Families workgroups develop vision, goals and implementation plan for</i>	X																	

<i>campaign.</i>																		
<i>Project Coordinator develops detailed work plan and timeline</i>	<b>X</b>																	
<i>ECAC workgroups review work plan and timeline</i>	<b>X</b>																	
<b>Key Activity C1.6.2:</b> Translate the <i>Partners in Early Learning</i> booklet into Spanish, Chinese, Arabic, Bengali, Haitian Creole, and Urdu and post to all appropriate websites.																		
<i>Engage qualified translators</i>	<b>X</b>																	
<i>Graphic artist formats translated booklets as PDFs for electronic dissemination</i>			<b>X</b>															
<i>Post translated booklets on all identified websites and disseminate to all identified partners</i>			<b>X</b>															
<b>Key Activity C1.6.3:</b> Engage individuals responsible for planning and implementing regional Parent Cafes and Transition Forums which will include dissemination of <i>Partners in Early Learning</i> booklet and other key information.																		
<i>Project Coordinator identifies dates and locations for each of the Parent Cafes and Transition Forums</i>		<b>X</b>																
<i>Project Coordinator coordinates with responsible parties to provide booklets and supporting materials for each event</i>			<b>X</b>	<b>X</b>														
<b>Key Activity C1.6.4:</b> Collaborate with appropriate stakeholders in the implementation of the 2014 conference and subsequent regional meetings to integrate the ELDS and the <i>Partners in Early Learning</i> booklet into their established framework that builds families' awareness and ability to support their young children as they learn in non-traditional settings.																		
<i>Project Coordinator participates and presents at 2014 conference</i>			<b>X</b>	<b>X</b>														
<i>Project Coordinator participates in regional meetings to support integration of ELDS</i>			<b>X</b>															
<b>Rationale:</b> Research is clear that children, especially those with high needs, are more successful in school when families are respected and actively engaged during their children's transition to school. Ensuring children get off to a good start in kindergarten is critical to long-term success in school. The integration of the Early Learning and																		

<p>Development Standards and <i>Partners in Early Learning</i> into the activities detailed in this goal will ensure families, Early Learning and Development Programs, schools, and community partners that support families with young children have a shared understanding of children’s development and the role the Early Learning and Development Standards can play in supporting that development. As the research demonstrates, all children, but especially those with High Needs, benefit from having families actively engaged in their learning experiences thus the broad community integration strategy will be concentrated on the QUALITYstarsNY communities.</p>																		
<p><b>Goal C1.7: Strengthen the requirement for teachers earning a second certification in B - Grade 2 by requiring 9 credits in early childhood</b></p>																		
Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4					
	Quarters				Quarters				Quarters				Quarters					
<p><b>Key Activity C1.7.1:</b> Charge the ECAC Workforce work group to review the recommendation by NYS AECTE regarding specific early childhood course content focused on the essential domains of school readiness necessary to prepare teachers with childhood certifications so that they are better able to meet the needs of young children with high needs.</p>																		
<i>Recommendations reviewed and modified</i>			X	X														
<p><b>Key Activity C1.7.2:</b> Submit recommendations to the Office of Teacher Preparation with the State Education Department for consideration.</p>																		
<i>Representatives of NYS AECTE and the ECAC Workforce Development Work Group meet with State Education Department officials</i>				X	X													
<i>Make modifications</i>					X	X												
<p><b>Key Activity C1.7.3:</b> Work with institute public higher education partners to implement coursework to meet the new requirement.</p>																		
<i>Develop content models to meet new requirement</i>						X												
<i>Communicate new requirement and share content models</i>						X	X	X	X	X	X	X	X	X	X	X	X	X
<p>Rationale: To meet the states’ commitment to ensuring we have a cadre of highly qualified teachers we must strengthen the requirements which allow teachers holding a Childhood Certification (Grade 1 to Grade 6) to add the Birth to Grade 2 Certification. Current practice allows teachers holding a Childhood Certification to apply their literacy, foundations of education, and child development course work toward the early childhood teacher</p>																		

certification, thereby receiving a second certification in early childhood with essentially one course which is sometimes devoted to early childhood curriculum. This proposed requirement would ensure that any teacher holding a Childhood Certification would need to complete or demonstrate completion of nine credits in early childhood course content that specifically addresses all the Essential Domains of School readiness. This requirement would ensure that those holding a Birth to Grade 2 Certification have the necessary preparation to effectively meet the needs of all young children.

**(d) Responsibilities:**

- C1.1:** ECAC Strong Families workgroup: (C1.1.1, C1.1.3, C1.1.4); ECAC Workforce Development workgroup: (C1.1.1, C1.1.2); Families participating in ELDPs serving Children with High Needs: (C1.1.3); New York Professional Development Institute: (C1.1.1, C1.1.2, C1.1.3, C1.1.4, C1.1.6); New York Works for Children (NYWFC): (C1.1.1-C1.1.6).
- C1.2:** ECAC Workforce Development workgroup: (C1.2.1, C1.2.2, C1.2.4, C1.2.5); New York Professional Development Institute: (C1.2.2); New York Works for Children (NYWFC): (C1.2.2-C1.2.5); NYWFC Regional Offices: (C1.2.5, C1.2.6); Teachers from ELDPs serving Children with High Needs: (C1.2.3).
- C1.3:** ECAC Workforce Development workgroup: (C1.3.1, C1.3.2, C1.3.3, C1.3.5); New York Works for Children (NYWFC): (C1.3.2- C1.3.9); NYWFC Regional Offices: (C1.3.8, C1.3.9); New York State Professional Development Institute (C1.3.8); Teachers from ELDPs serving Children with High Needs: (C1.3.4).
- C1.4:** ECAC Workforce Development workgroup: (C1.4.1, C1.4.2, C1.4.4); New York Works for Children (NYWFC): (C1.4.2, C1.4.3, C1.4.5, C1.4.6); Teachers from ELDPs serving Children with High Needs: (C1.4.3).
- C1.5:** ECAC Workforce Development workgroup: (C1.5.1, C1.5.2, C1.5.4, C1.5.6); New York State Education Department: (C1.5.2, C1.5.4, C1.5.6); New York Works for Children (NYWFC): (C1.5.1- C1.5.9); NYWFC Regional Offices: (C1.5.3, C1.5.6, C1.5.7, C1.5.8); Teachers from ELDPs serving Children with High Needs: (C1.5.7, C1.5.8).
- C1.6:** ECAC Strong Families workgroup: (C1.6.1); ECAC Workforce Development workgroup: (C1.6.1); New York Professional Development Institute: (C1.6.2); New York Works for Children (NYWFC): (C1.6.1-C1.6.4); NYWFC Regional Offices: (C1.6.3, C1.6.4).
- C1.7:** ECAC Workforce Development workgroup: (C1.7.1, C1.7.3); New York State Education

Department: (C1.7.2); New York Works for Children (NYWFC): (C1.7.3); NYS Association for Early Childhood Teacher Educators (NYSAECTE): (C1.7.1-C1.7.3)

**(e) Appropriate financial resources:**

C1.1: \$262,123

C1.2: \$217,123

C1.3: \$361,405

C1.4: \$202,123

C1.5: \$245,791

C1.6: \$88,079

C1.7: \$34,504

**(g) Performance measures: No tables in this section.**

*Additional Performance Measures:*

**C1.1:** Year 2: App is completed (C1.1.4); Communication and outreach strategies implemented (C1.1.4); 500 user downloads (C1.1.5); Year 3: 1500 user downloads (C.1.1.5); Year 4: 5000 user downloads (C1.1.5).

**C1.2:** Year 2: 30 Master Trainers trained (C.1.2.6); Year 3: 50 Master Trainers trained, 200 Directors, 300 teachers, and 300 family child care providers participating in QUALITYstarsNY (C1.2.6); Year 4: 50 Master Trainers trained, 200 Directors, 300 teachers, and 300 family child care providers participating in QUALITYstarsNY. (C1.2.6)

**C1.3:** Year 2: Web-based tool completed and launched (C1.3.6); Year 3: Dissemination strategies implemented (C1.3.7); 800 early childhood professionals receive demonstration of web-based tool (C1.3.7); Year 4: 800 early childhood professionals receive demonstration of web-based tool (C1.3.7).

**C1.4:** Year 3: 150 Trainers will receive training (C1.4.6); Year 4: 150 Trainers will receive training (C1.4.6).

**C1.5:** Year 2: 15,600 copies of B-8 Early Learning Guidelines disseminated to primary schools (C1.5.5); 400 copies of B-8 Early Learning Guidelines disseminated to Early Childhood Faculty(C1.5.9); Train 20 primary teachers as peer trainers (C1.5.6); Year 3: Train 400 primary teachers (C1.5.8); Year 4: Train 400 primary teachers (C1.5.8) .

**C1.6:** Year 1: Partners in Early Learning translations completed and posted to identified websites (C1.6.2); Years 3 and 4: Partners in Early Learning fully integrated into Parent Cafes and

Transition forums (C1.6.4).

**C1.7:** Year 2: Implementation of new requirement (C1. 7.3); Year 2: Course content models completed (C1.7.3); Year 3 and 4 Dissemination of course content models to Institutes of Higher Education conferring the Birth to Grade Two Early Childhood Certification and the Grade 1 to Grade 6 Childhood Certification to facilitate implementation (C1.7.3).

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable:** The resources will be designed to meet the needs of early childhood professionals overall, as well as provide information and training that is unique to different care settings, such as family child care or Head Start/Early Head Start.

**(i) How the State will meet the needs of Children with High Needs.** Recruitment of focus group participants through Parent Cafes will target families with Children with High Needs (C1.1.1, C1.1.3). Communication and outreach strategies will also focus families with Children with High Needs (C1.1.4); as will the analysis of number of users in targeted communities (C1.1.5). Modules being developed are differentiated for and inclusive of all types of ELDPs (Goal C2). Pilot participants will be recruited specifically from ELDPs serving Children with High Needs to ensure these modules effectively address all children’s learning and development needs (C1.2.3); and the full implementation in Year 3 and 4 will target participation of ELDPs serving Children with High Needs (C1.2.6). Communication and dissemination strategies will focus on all types of ELDPs (C1.3.7). Recruitment strategies for the pilot will focus on program administrators/leaders from ELDPs serving Children with High Needs to ensure the content of the web-based tools effectively supports practitioners in addressing all children’s learning and development needs; especially those serving Children with High Needs (C1.3.4). Star level 4 and 5 QUALITYstarsNY programs serving Children with High Needs will be encouraged to submit documentation of their best practices to demonstrate how these high quality programs are responsive to the children’s learning and developmental needs (C1.3.8). Targeted recruitment will be conducted through the Trainer Registry (part of Aspire) to ensure that the credentialed trainers and higher education faculty participating in the pilot represent all areas of the state and the diversity of the ELDPs programs. (C1.4.3). Implementation of the trainings in Year 3 and 4 will focus on trainers and higher education faculty serving participating QUALITYstarsNY communities to ensure access to effective training on the ELDS for programs serving Children with High Needs (C1.4.6). Recruitment strategies for the focus groups will target administrators

and teachers from schools in QUALITYstarsNY communities serving Children with High Needs (C1.5.3). Additionally, dissemination to all primary schools in the state will ensure that kindergarten through third grade teachers have access to the expanded Early Learning Guidelines (C1.5.5). Pilot participants will also represent schools serving Children with High Needs to ensure the final modules will support best practice for all teachers across the P-3 continuum. (C1.5.6). Parent Cafes and Transition Forums will focus on QUALITYstarsNY communities to ensure that families with Children with High Needs and the ELDPs serving Children with High Needs receive these critical supports. The NYWFC Project Coordinator will work with key partners and community stakeholders to ensure that the Partners in Early Learning and other resources, that are language appropriate for each events targeted audience, are integrated.

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

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

(a) Establishing a progression of standards for ensuring children's health and safety; ensuring that health and behavioral screening and follow-up occur; promoting children's physical, social, and emotional development across the levels of its Program Standards; and involving families as partners and building parents' capacity to promote their children's physical, social, and emotional health;

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

(c) Promoting healthy eating habits, improving nutrition, expanding physical activity, and providing information and guidance to families to promote healthy habits at home;

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

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

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

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

(e) Developing a comprehensive approach to increase the capacity and improve the overall quality of Early Learning and Development Programs to support and address the social and emotional development (including infant-early childhood mental health) of children from birth to age five.

Evidence for (C)(3)(a):

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

Evidence for (C)(3)(b):

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

Evidence for (C)(3)(d):

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

**(a) Establishing a progression of standards for broadly ensuring health and safety**

New York recognizes healthy early childhood development as a critical foundation for school readiness. New York has a long history of strong leadership in promoting children's health and ensuring access to health insurance and health care, with particular emphasis on

supporting children in poverty, children with disabilities and other Children with High Needs. Our approach is guided by a comprehensive vision for supporting children's health in ELDPs that includes and goes beyond the criteria described in the RTTT-ELCG guidance to address:

- health and safety;
- health and behavioral screening, referral and follow-up, enrollment in health insurance and linkage to ongoing health care/medical home;
- physical health and development, including physical activity, nutrition and healthy eating habits;
- oral health;
- social-emotional development;
- inclusion and support for children with special health care needs and disabilities;
- health literacy of families; and,
- involving and engaging families to support them in raising healthy children in safe, stable and nurturing environments.

New York's dedication to children's health is reflected in our strong State health regulations for child care (18 NYCRR 416, 18 NYCRR 417, 18 NYCRR 418-1, and 18 NYCRR 418-2) and QUALITYstarsNY standards (Appendix B.1.1 –Appendix B.1.3). Appendix C.3.1 illustrates the breadth and strength of our current health standards, from regulatory health requirements (1 Star) to progressive standards in multiple domains (2-5 Stars). State regulatory standards for both center- and family-based child care include strong requirements for health, including injury prevention (Appendix C.3.1, Sections A.1, A.3); health and infection control (Sections A.3, A.4, A.5); supervision (Section A.2); promoting physical health and development (Sections C.1, C.2, C.3, C.4, D); nutrition (Sections, C.3, G.1, G.2); disciplinary practices (Section E); and inclusion of children with disabilities (Section F). All programs must have health care plans that conform to OCFS regulations. For child care centers offering care to infants and toddlers, care to mildly or moderately ill children, or administering medications, the health care plan must be approved by the program's health care consultant (18 NYCRR 418-1.11(a)). For small day care centers, family child care, and group family child care homes, the health care plan must be followed by the caregivers and, for programs offering the administration of medications, must be approved by the program's care consultant (18 NYCRR 418-2.11(a), 18 NYCRR

416.11(a), 18 NYCRR 417.11(a)).

Regulatory standards are poised to be strengthened further through proposed changes to family and group family child care regulations, expected to go into effect in 2014, that will expand the regulations to promote greater health and safety of children, including multiple changes focused on obesity prevention, ranging from nutrition to limiting use of electronic visual media (i.e., “screen time”). Similar updates to regulations for center-based child care, with even more rigorous nutrition requirements, are anticipated to go into effect in 2014.

Building on this regulatory base, progressive health standards are incorporated across three of the four QUALITYstarsNY categories (Learning Environment, Family Engagement, Qualifications and Experience) within eight distinct sub-categories (Classroom Environment, Child Observation and Assessment, Curriculum Planning and Implementation, Physical Well-being and Health, Communication, Family Involvement and Support, Transitions, Teaching Staff Qualifications). Health standards also are incorporated in multiple subscales and items embedded within the Environment Rating Scales (ERS) that form the basis of the QUALITYstarsNY Learning Environment category (Meals/Snacks, Toileting/diapering, Health practices, Safety practices, Use of TV, video and/or computers, Provisions for children with disabilities (Standards CE1-CE5)). A 2011 review of state quality rating systems conducted by *Mathematica* found that few states address health promotion as extensively in their QRIS, making New York a national leader in this area.<sup>i</sup>

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

New York has invested significant resources in training and supports to enable Early Childhood Educators to meet health standards, including regulatory requirements and resources for health and safety training and expanded resources for programs seeking to meet the progression of QUALITYstarsNY standards. In 2012, over 56,000 early childhood educators were trained in health related topics through in-person regional trainings, video conferencing and e-learning. While requirements vary by ELDP program type, all regulated providers must complete health-related training. For example, all State-regulated child care providers must complete 30 hours of OCFS-approved training on child health and safety every two years (18 NYCRR 416.14(b), 18 NYCRR 417.14(b), 18 NYCRR 418-1.14(a), 18 NYCRR 418-2.14(a)). Additionally, programs that administer medications must complete medication administration

training (MAT) (18 NYCRR 416.11(j)(14), 18 NYCRR 417.11(j)(14), 18 NYCRR 418-1.11(j)(13), 18 NYCRR 418-2.11(i)(14); New York State MAT training is one of the most robust nationally and has been used by other states. Training resources are in place through OCFS, the New York City Administration for Children’s Services, and State-based Head Start training and technical assistance to help ELDPs meet their respective training requirements, including training geared specifically for ELDPs serving Children with High Needs (e.g., Head Start Programs, legally exempt providers).

There are also specialized resources for serving the health and developmental needs of Children with High Needs. For example, SED supports a network of fourteen Early Childhood Direction Centers that provide information and assistance for supporting young children with disabilities to ELDPs, parents and other professionals using workshops, telephone consultation, written materials, and technical assistance projects. In 2012, these Centers provided 168 workshops on early literacy, behavior, social-emotional skills, transitioning between Early Intervention and Preschool Special Education, and services available to children with disabilities. As another example, all Head Start/Early Head Start programs are trained and have plans in place to meet Head Start health performance standards (Head Start Performance Standards, 1304.52(i)(1) and (3)) benefitting over 64,000 children with high needs in 847 centers in 2012.

As described in Section B, extensive resources have been developed and launched over the last two years to support ELDPs in meeting QUALITYstarsNY standards, including the cadre of Quality Improvement Program Specialists (QIPS); a web-based Standards Resource Guide with links to tools, trainings and other implementation supports for each standard; and an emerging dynamic training calendar. Building on this strong infrastructure, the ECAC PHD Work Group has incorporated a rich array of tools and training resources to support ELDPs in meeting each QUALITYstarsNY health standard. As two of many examples that could be provided here, the Standards Resource Guide includes information about the importance of daily “tummy time” for infants’ motor development with examples of how to structure tummy time (linked to standard PH-1) and a direct link to the Nutrition and Physical Activity Self-Assessment for Child Care Media Module toolkit (linked to standard PH-3).

In New York, over 1,000 licensed medical professionals work as child care health consultants (CCHCs) as a best-practice strategy for health promotion in ELDPs; these professionals range from individuals who volunteer to assist a single ELDP to approximately 50

full- or part-time CCHCs employed by CCR&Rs. Child care programs that care for infants and toddlers, mildly or moderately ill children and/or administer medications are required to work with a CCHC to review their Health Plan and monitor health and safety practices including medication administration. Providing training and support to CCHC has shown to improve health practices in ELDPs (see Appendix C.3.2). New York dedicated Early Childhood Comprehensive Systems (ECCS) grant funds: 1) that supported four CCHCs to become trainers through the National Training Institute (NTI) at the University of North Carolina, Chapel Hill; and 2) will be used to develop web-based resources to support program adherence to health standards focused on infants and toddlers, including access to health care, social-emotional development, nutrition and physical activity, and injury prevention; training support and resources will be expanded as part of the state's High Quality Plan.

Since 2007, the New York State Parenting Education Partnership (NYSPEP), a unique, public private partnership convened by the Office of Mental Health, the Office of Children and Families Services, the Council on Children and Families, and Prevent Child Abuse New York, has promoted high quality, evidence-informed parenting education through an online database of evidence-based parenting programs and professional development events reaching over 600 early childhood providers, including Early Childhood Educators. NYSPEP is also developing a Parent Kit, which will provide both parents and Early Childhood Educators with tools to promote positive parenting behaviors and healthy literacy. Most recently, in 2013, NYSPEP completed a Parenting Education Credential founded on core competencies that build parents' capacity to promote their child's healthy development through culturally competent and strength-based strategies. New York is one of only two states that has made such an investment in parenting education. As part of the High Quality Plan, NYSPEP will incorporate the Parent Kit into the QUALITYstarsNY Standards Resource Guide, expand the online database of parenting education programs, and expand the cadre of credentialed Parenting Educators to provide support and consultation to ELDPs to strengthen their role in supporting family's health literacy and primary role in raising healthy children.

**(c) Promoting healthy eating habits, improving nutrition, expanding physical activity, and providing information and guidance to families to promote healthy habits at home;**

New York State is committed to working across the early childhood system to promote healthy eating habits, good nutrition and physical activity for children and their families. New

York has invested significant resources in supporting programs and initiatives that address these goals, including innovative collaborations with ELDPs and other early childhood partners as well as strategies that engage and educate families, with special emphasis on supporting Children with High Needs. As noted by the Centers for Disease Control and Prevention (CDC), New York is one of only 19 states where obesity among low-income preschool age children declined between 2008 and 2011.<sup>ii</sup> CDC has recognized New York's achievements in this area in a recent national publication (see Appendix C.3.3).

As part of its commitment to improve nutrition, promote healthy eating habits and increase developmentally appropriate physical activity in early childhood, New York enhances large-scale federal nutrition programs that serve high-need infants, young children, and their families. The **Special Supplemental Nutrition Program for Women, Infants and Children (WIC)** offers nutrition education, breastfeeding support, referrals and prescribed supplemental foods to low-income pregnant, breastfeeding or postpartum women, infants and children up to age five. New York was the first state to revamp WIC food packages to reflect the latest science on healthy diets and obesity prevention. New York's **FitWIC** initiative, a low cost physical activity intervention, reaches 500,000 high need participants and their families. Staff implementing FitWIC reported healthy lifestyle changes and greater comfort in discussing physical activity with parents. Participating parents said their children watched less TV and played outside more. **Breastfeeding Peer Counselor Programs** in every WIC local agency, social marketing campaigns and outreach to health care providers supported increases in WIC breastfeeding initiation rates between 2008 and 2012.

The **Child and Adult Care Food Program (CACFP)** provides reimbursement for healthy meals and snacks served in approximately 14,000 New York child care centers and homes, and ensures that meals and snacks are safely-prepared and meet program standards. New York's CACFP instituted Healthy Infant and Child Meal Patterns that exceed federal requirements, and developed **Eat Well Play Hard (EWPH) in Child Care Settings**, an evidence-based nutrition and physical activity curriculum aimed at young children, parents and providers (New York State Department of Health Policy Statements PM 132C 05/09, PM 132H 05/09). An independent evaluation of New York State's EWPH reported by the U.S. Department of Agriculture showed statistically significant differences between participating and non-participating centers in children's at-home consumption of vegetables and low-fat milk.<sup>iii</sup> A

similar model has been developed for family-based settings. Breastfeeding is supported through CACFP's **Breastfeeding Friendly Child Care** designation of ELDPs.

New York also has implemented targeted interventions to improve nutrition and promote the adoption of healthy eating and physical activity practices by families and ELDPs. The **Nutrition and Physical Activity Self-Assessment for Child Care (NAP SACC)** is an evidence-based assessment to help child care providers assess, plan, and implement improvements in their nutrition and physical activity policies and practices. In New York, NAP SACC was implemented in 254 child care facilities, reaching 2,250 staff and over 11,000 children. Providers who completed the intervention improved nutrition and physical activity practices. Those that developed written policies sustained improvements 2-3 years after the intervention. Over the next five years, CDC's Combined Chronic Disease cooperative agreement will support work to engage ELDPs in *Let's Move! Child Care* or *Go NAP SACC*, and make more accessible and scalable models of the NAP SACC intervention.

Recognizing the need for additional infrastructure to support opportunities for developmentally appropriate physical activity in ELDPs, New York has initiated the **Early Childhood Physical Activity Specialist Pilot Project**. Leveraging funds from our CDC Community Transformation Grant, New York is piloting the placement of Early Childhood Physical Activity (ECPA) Specialists in three Child Care Resource and Referral Agencies serving rural high need counties. The ECPA Specialists, with degrees in physical education, provide training, coaching and consultation to ELDPs focusing on strategies to increase structured (adult-led) and unstructured physical activity at the moderate to vigorous level that will support young children in the development of fundamental movement skills, the foundation skills for lifelong physical activity.

As evidenced in Appendix C.3.1, physical activity, nutrition and healthy eating habits are an important focus of health standards for ELDPs in New York. As described in Section (C)(3)(a), changes that further strengthen State family care regulations related to daily physical activity, screen time, nutrition, and breastfeeding will soon be adopted. Building on this foundation, QUALITYstarsNY includes a dedicated sub-category of Physical Well-being and Health (PH) standards for daily developmentally-appropriate physical activity, policies on screen use, adherence to CACFP nutrition guidelines for meals and snacks, and implementation of formal obesity prevention programs within ELDPs, as well as a Family Involvement and Support (FIS)

standard assessing program's support for breastfeeding. To help ELDPs meet these PH standards, extensive information and links to tools and training resources have been incorporated in the QUALITYstarsNY implementation support infrastructure, as described in Section (C)(3)(b). The PH standards have been included in nearly all participating ELDPs' quality improvement plans, highlighting the need for continued development and dissemination of training and consultation support resources for both ELDPs and QI Program Specialists, including scaling up evidence-based and promising practices for ELDPs.

**(d) Leveraging existing resources to meet ambitious yet achievable annual targets to increase the number of Children with High Needs who: (see (1), (2) and (3) below)**

**(1) Are screened using Screening Measures that align with the Medicaid EPSDT or the well-baby and well-child services available through the Children's Health Insurance Program (42 CFR 457.520), and that, as appropriate, are consistent with the Child Find provisions in IDEA (see sections 612(a)(3) and 635(a)(5) of IDEA);**

New York State believes that the preferred way for children to receive screenings and other preventive health care is as part of regular well-child care from a primary care provider with whom a child and her family have an ongoing relationship, i.e., a medical home. New York's Medicaid (MA) and Child Health Plus (CHPlus, New York's Children's Health Insurance Program) programs have adopted the American Academy of Pediatrics (AAP) *Bright Futures Guidelines for Health Supervision of Infants, Children, and Adolescents* as the standard for well-child care, and provide full coverage for well-child services with no family co-pays. As evidenced in Table (C)(3)(d), the vast majority of New York Children with High Needs who are age 0-5 currently receive preventive health care. National Survey of Children's Health (NSCH) data for New York State show that over 92 percent of New York children age 0-5 received at least one preventive medical visit in the past year, with comparable rates among high need sub-groups (low income, non-English primary language, special physical, developmental or behavioral health care needs) and higher use of preventive care in every sub-group compared to national averages. More specific data illustrate variability in completion of specific screenings and visit components. Families of New York State children age 0-5 report that in the last year 60.2% had a vision screening, 50.2% had a preventive dental visit, and 21.3% had a comprehensive developmental screening as part of a well-child visit with a health care provider

(NSCH data). Consistent with state requirements for universal screening for hearing impairment (Public Health Law § 2500-g), 99% of newborns are screened for hearing impairment at or shortly after birth (New York State Early Hearing Detection and Intervention registry data). For two-year-old children enrolled in Medicaid managed care plans, 89% were screened for lead poisoning at least once and 74% of were up to date on immunizations (New York State Quality Assurance and Reporting Requirements data). New York State also requires that school districts screen every new entrant to school to determine whether they are possibly gifted, have or are suspected of having a disability, and/or are possibly limited English Proficient. Such screening must include a physical examination, including proof of immunization, and vision, hearing and scoliosis screenings" (Education Law 3208(5); 8 NYCRR sections 117.1 and 117.3(a), (c)). In addition, school districts must provide an evaluation of each preschool child suspected of having a disability (Education Law section 4410(4); 8 NYCRR sections 200.4(b) and 200.16(c)(2)).

As evidenced by these data, developmental screening rates are strikingly lower than other elements of preventive care for young children. In response, DOH, the ECAC PHD workgroup and their partners have led a series of strategies to further assess and improve developmental screening rates. DOH has leveraged resources from two federal Health Resources and Services Administration (HRSA) grants, and collaborated extensively with New York State chapters of American Academy of Pediatrics (AAP) and Academy of Family Physicians (AFP), to: 1) implement structured practice-based quality improvement projects to improve developmental screening of high need children (State Implementation Grant for Integrated Community Systems for Children with Special Health Care Needs), and 2) support a strategic set of activities including provider trainings, development and dissemination of clinical reference materials and parent education materials focused specifically on improving pediatric screening for autism spectrum disorders (ASD) and linking potentially eligible children to Early Intervention services (State Implementation Grant to Improve Services to Children and Youth with Autism and Other Disabilities).

The ECAC PHD workgroup, concerned by the low rate of developmental screening, convened a forum with "model programs" to review and share innovative screening initiatives from across the state, and the group is currently developing a Developmental Screening Toolkit for primary care providers with a companion public outreach campaign targeting both parents

and health care providers. NYSPEP's Parent Kit (see (C)(3)(b)) will include written information and interactive web-based tools to promote parents' engagement in their child's well visits by providing information on child development, tools to record information about their child's development, and send reminders about developmental screenings. The PHD group is also piloting revisions to child care medical forms in the high need community of Rochester to incorporate information on AAP recommended screening and HIPAA-compliant consent for communication between ELDPs and health care providers; this work holds promise for statewide changes.

Because DOH does not currently collect standardized quality measures from health plans on developmental screening (see (C)(3)(d)(3) below), DOH recently engaged the Island Peer Review Organization (IPRO) to conduct a focused clinical study of the developmental screening quality measure that was identified by U.S. Department of Health and Human Services as part of the Child Health Insurance Program Reauthorization Act (CHIPRA) (see Appendix C3-4). The study, currently in process, will establish baseline performance for developmental screening, test administrative specifications for the CHIPRA measure and assess potential reporting issues, while providing better information about developmental screening and follow-up of high need children enrolled in Medicaid and Child Health Plus programs.

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

NSCH data show that when potential concerns or special needs are identified, 80% of New York families of children age 0-5 are able to get a referral for needed services without difficulty. For children with suspected or confirmed developmental delays or disabilities, New York has one of the most comprehensive systems for referral, evaluation, and intervention services in the nation. See Section (A)(1) for a detailed description of the State's Early Intervention (IDEA Part C) and Preschool Special Education (IDEA Part B) programs/service systems. As evidenced by Table (C)(3)(d), more than 88% of children referred to EIP go on to receive an evaluation, and more than 95% of those who are found to have a qualifying developmental delay or disability receive intervention services. These statewide systems will be leveraged as part of our High Quality Plan.

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

As described in Section (A)(1), New York has implemented a robust system and set of strategic approaches to ensure that high need children are enrolled in health insurance. Over 1.4 million children age 0-5 years, nearly 60% of all New York State children in this age group, have public health insurance coverage, and it is projected that an additional 165,000 children age 0-18 will become insured through MA, CHPlus or commercial coverage as a result of the State's new health insurance marketplace (see below).

New York achieved these impressive numbers by expanding eligibility criteria for public health insurance for children, and by pursuing innovative strategies to ensure that Children with High Needs enroll in insurance. Community-based facilitated enrollment services statewide assist families in applying for MA and CHPlus, and enrollment processes have been streamlined through the introduction of presumptive eligibility for children, the elimination of requirements for a face-to-face interview, and the launch of a web-based eligibility screening tool and application. Through its *Connections to Coverage* campaign, DOH has partnered with other State agencies, schools, ELDPs and community and faith-based organizations to promote the availability of public health insurance and to link uninsured children to facilitated enrollers. Many early childhood programs in New York that serve Children with High Needs - including EI, home visiting, WIC, and Head Start - routinely assess children's health insurance status and refer or assist uninsured families in applying for insurance. These longstanding supports are being transformed and expanded through the *New York State of Health* insurance marketplace launched in October 2013, including multiple access points (telephone, web and in-person) for families to assess eligibility, subsidies and tax credits and to initiate insurance enrollment. This work will be supported by over \$27 million in grants awarded in 2013 to 50 organizations supported by 96 sub-contractors statewide to implement community-based Patient Navigators (replacing and expanding the role of current Facilitated Enrollers) to engage and directly assist families in enrolling in health insurance through the marketplace.

New York also has in place a rigorous quality assurance and improvement system for health plans to ensure quality of health care services. All MA and CHPlus managed care plans, which serve over 90% of children enrolled in these programs, must report annually to DOH on a set of standardized quality performance measures. High performing plans receive incentive payments, while low performing plans must submit corrective action plans; plan-level data are reported publicly in consumer publications. To augment this already-rigorous system and shift

from episodic care to ongoing relationship-based care, in 2010 DOH started making incentive payments to health care providers and clinics that have gained recognition through the National Committee for Quality Assurance (NCQA) as Patient-Centered Medical Homes (PCMH). As of March 2013, approximately 42% of children enrolled in MA or CHPlus were assigned to a PCMH-recognized primary care provider.

As evidenced in Table (C)(3)(d), over 90% of New York children enrolled in MA and CHPlus are receiving care from a primary care provider and over 80% are up-to-date with the AAP schedule of well-child visits. Building on this robust infrastructure and success, New York will continue to support all of these strategic approaches, and through the RTTT-ELCG will expand partnerships with ELDPs and pediatric health care providers to meet the ambitious but achievable targets in Table (C)(3)(d) for improving the number of children who participate in ongoing health care and are up-to-date in a schedule of well-child care.

**(e) Developing a comprehensive approach to increase the capacity and improve the overall quality of ELDPs to support and address the social and emotional development (including infant-early childhood mental health) of children from birth to age five.**

New York State has a comprehensive public health approach across multiple agencies to support social and emotional development of children birth to age five. The early childhood effort aligns with the state's 2013-2017 Prevention Agenda<sup>iv</sup> and the Children's Plan<sup>v</sup>. Specific examples of efforts within ELDP to enhance program capacity around social emotional development fall into two broad categories: 1) education and professional development and 2) targeted interventions for high-needs communities.

As a key example of professional development to support the increased capacity of ELDPs to address social and emotional development, the ECAC PHD led the creation of a number of materials to increase providers' knowledge of social and emotional development across disciplines. A **Social-Emotional Development Toolkit** was created in conjunction with the Children's Institute at the University of Rochester to increase providers' knowledge and capacity to promote social emotional well-being. The resources target a broad spectrum of ELDP providers including child care, Early Intervention (IDEA Part C), mental health, health care, and parenting education providers. In 2013, New York State convened a **Summit on Infant Mental Health**, bringing together ELDP providers from these diverse sectors for the first time. As a

follow-up to the summit, mini-grants were awarded to 13 local communities, representing all regions of the state, to build cross-system collaboration in promoting infant mental health. Providers are identifying areas of need to inform strategic planning for building capacity; a full report on the mini-grant collaborations will be submitted this fall. **Early Recognition and Screening (ERS)** is an OMH-funded initiative to increase identification of social-emotional concerns in children through increased practice of universal screening. This initiative also includes an important component on implementing stigma reduction and social marketing activities through an array of community programs including ELDPs. OMH has funded 37 programs that have screened over 59,000 children. To identify issues at the earliest point, ERS providers have reached out to ELDP and primary health care providers; 15% of the children screened were 0-3 years, and 29% of these children were 4-6 years of age. The results were used to connect children with positive screens/indications of behavioral issues with appropriate mental health services and supports. ERS providers have identified a shortage of trained infant and early childhood mental health clinicians especially in rural communities throughout New York State.

There are numerous examples of mental health consultation projects creating a measurable difference for Children with High Needs at the local level that we propose to expand through our High Quality Plan. At least three different models of social emotional consultation have been used in separate pilot initiatives in the state. In 2010-11, OCFS leveraged ARRA funding to pilot a **Social-Emotional Consultation in Infant and Toddler Child Care Program** developed by the ECAC PHD workgroup, and led by the Early Care and Learning Council. The pilot involved four sites across the state, including child care and Early Head Start, serving over 750 infants and toddlers with High Needs. Results of the pilot revealed that programs were effective in improving program quality for infants and toddlers, using several measures including the Ages and Stages Questionnaire: Social-Emotional (ASQ:SE), survey instruments, focus groups, and site visits for each of the four communities.

New York State also currently receives two federal Project LAUNCH grants testing other consultation approaches. Westchester County implemented a highly effective “Early Step Forward” (ESF) enhanced early childhood mental health consultation initiative. ESF provides comprehensive early childhood mental health consultation to multiple child care and Head Start centers in high-need communities, benefitting over 3,000 children and their families over four

years. Evaluation findings show statistically significant improvement in social emotional functioning as reported by parents on three pre-post ASQ:SE scores for children. The New York City Project provides early childhood mental health consultation and Incredible Years Teacher Classroom Management Training in a total of 27 classrooms located in high-needs communities. Evaluation findings show improvement at the classroom level and the child level. These successful projects, along with the research findings from Georgetown University Center for Child and Human Development, support the need to provide mental health consultation in EDLPs to improve the ability of teachers, parents, and caregivers to address a child’s behavior and provide needed interventions, which in turn can result in improved school readiness, academic and social success.

Parenting education and support programs have also strengthened these effective consultation initiatives. NYSPEP, funded in part by OMH, has worked to promote the variety of evidence- informed parenting education programs being offered by its partners including the Family Resource Networks (funded by OCFS and OMH); the Cornell Cooperative Extension system: Head Start/Early Head Start and many Community Action programs; and Project LAUNCH; and the number of providers that have obtained the Parenting Educator Credential at the Tier 2 level and higher (see (C)(3)(b)). Work has focused on reducing barriers including the stigma attached to parenting education and to increase positive parenting practices.

Recognizing the need to strengthen the identification and treatment of very young children identified with known social-emotional delays, a Joint Task Force between the New York State Early Intervention Coordinating Council (EICC) and the ECAC will be convened to address guidance on the social emotional challenges of young children with special needs. The Task Force is charged with the development of recommendations on how best to identify and treat infants and toddlers with multiple risk factors for social emotional problems within the IDEA Part-C program. A specific priority of this work is to improve alignment and linkages within ELDPs.

**High Quality Plan – C3**

<b>Goal C3.1: Develop enhanced health standards to be incorporated in the next phase of QUALITYstarsNY.</b>				
<b>Key Activities and Milestones</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>
	Quarters	Quarters	Quarters	Quarters
<b>Key Activity C3.1.1: Establish an Early Childhood Health Promotion (ECHP) team within the</b>				

Race to the Top-Early Learning Challenge Application

Department of Health															
Recruit, hire and orient ECHP Specialist within DOH	X	X													
Engage DOH staff across program areas (physical activity, nutrition, child development, oral health, special health care needs/ disabilities, health literacy)		X													
Convene kickoff team meeting		X													
Facilitate meetings at least quarterly			X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity C3.1.2:</b> Engage additional DOH, OMH, SED staff and external professional groups with relevant expertise for the PHD workgroup.															
Identify expertise needed to develop enhanced standards	X	X													
Identify agencies/ organizations and individuals with needed expertise and engage in PHD workgroup		X	X												
Utilize PHD workgroup meetings to develop enhanced standards			X	X	X	X	X	X							
Engage additional individuals to consult with workgroup ad hoc as needed			X	X	X	X	X	X							
<b>Key Activity C3.1.3:</b> Develop an enhanced progression of QUALITYstarsNY to address identified gaps: align periodicity of child screening in ELDPs with EPSDT and AAP <i>Bright Futures</i> guidelines; strengthen communication with health care providers about children’s development; link children to health insurance and a medical home; promote oral health; enhance support for social-emotional development and infant/toddler mental health; and, strengthen parents’ health literacy and support them in raising healthy children.															
Review and refine crosswalk of QUALITYstarsNY with Caring for our Children		X	x												
Define specific standards to be developed or enhanced			x												
Identify existing validated standards or evidence-based recommendations as basis for standards			x	x											
Draft standards				x	X										
Solicit external review, incorporate feedback and refine					X	x									
Determine how standards will be measured and documented by raters					x	x									

<i>Present proposed enhancements to QUALITYstarsNY standards to the ECAC Quality Improvement Workgroup</i>								X	X										
<i>Incorporate feedback, refine and finalize new/enhanced standards</i>									X	X									
<b>Key Activity C1.1.4:</b> Incorporate updated standards in the next update to QUALITYstarsNY																			
<i>Work with ECAC QI workgroup to incorporate updated health standards in QUALITYstarsNY framework</i>											X	X							
<i>Validate health measures as part of larger QUALITYstarsNY validation study</i>												X	X	X					
<i>Implement new standards</i>														X	X	X	X		
<p><b>Rationale:</b> 1) Strategies described for C3 connect multiple public health programs within DOH and across state agencies and external organizations. Successful collaboration requires dedicated coordination and the development of cross-systems expertise. Establishing an Early Childhood Health Promotion team and leadership position within DOH will leverage significant in-kind support from many subject matter experts within DOH, OMH, and external professional groups to strengthen the ECAC PHD Workgroup; 2) Through a recent crosswalk analysis of the QUALITYstarsNY health standards and <i>Caring for Our Children</i>, we identified the specific areas listed in C3.1.3 for which New York’s standards should be enhanced to fully align with our vision for health promotion ((C)(3)(a)); and 3) Changes to child care regulations related to physical activity, nutrition and screen time ((C)(3)(a)) will “raise the bar” statewide, necessitating updates to QUALITYstarsNY to maintain a true progression of standards beyond regulatory compliance.</p>																			
<b>Goal C3.2: Expand training and consultation resources to support ELDP understanding and implementation of health promotion standards.</b>																			
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>						
	Quarters				Quarters				Quarters				Quarters						
<b>Key Activity C3.2.1:</b> Expand resources and tools available to EDLP to support their ability to meeting health related program standards in QUALITYstarsNY.																			
<i>Assess programs’ baseline ratings for health related program standards</i>	X	X	X	X															
<i>Develop tools and resources to address specific support needs identified in assessment</i>			X	X	X	X	X	X											

<i>Imbed tools and resources into QUALITYstarsNY Resource Guide and quality improvement supports</i>					X	X	X	X								
<i>Provide one annual training to Quality Improvement Program Specialists (QIPS) on specific health related standards</i>			X				X				X				X	
<i>Measure documented improvements on health standards and apply findings to inform continued enhancements to health-related QUALITYstarsNY implementation supports</i>									X				X			
<b>Key Activity C3.2.2:</b> Expand the role of child care health consultants (CCHCs) to support ELDPs in protecting and promoting children’s health																
<i>Expand web-based technical assistance, and training modules resources for CCHCs</i>	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Develop a Trainers Curriculum based on former National Training Institute for Child Care Health Consultants</i>	X	X														
<i>Train at least 6 CCHCs in QUALITYstarsNY regional hubs to expand the cadre of regional New York State CCHC trainers to at least 10 (one per regional hub)</i>			X	X												
<i>Engage 10 trainers in training 500 additional CCHCs across the state.</i>					X	X	X	X	X	X	X	X	X	X	X	X
<i>Develop and implement a tool to collect and monitor hours/scope of health consultation provided by CCHCs to ELDPs and QIPS;</i>				X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Provide at least 1500 hours of enhanced health consultation to ELDPs in 30 high needs communities</i>							X	X	X	X	X	X	X	X	X	X
<b>Rationale:</b> 1) A review of baseline provisional QUALITYstarsNY ratings shows that less than 50% of ELDPs met health standards for daily physical activity, screen time, adopting formal obesity prevention programs, staff training on developmental assessments, and breastfeeding support; among family home programs, less than 50% met all QUALITYstarsNY health standards except alignment with CACFP meal patterns. 2) QIPS report that health standards																

are addressed in nearly all QI plans, highlighting the importance of providing health consultation to QIPS to support their work with ELDPs. 3) Additional training and support will enable CCHCS to help ELDPs address a wide range of child health issues and integrate health promotion practices in care. Integrating these new supports in the existing QUALITYstarsNY infrastructure will ensure consistent and seamless resources for ELDPs. See Goals C3.4, 3.5 and 3.6 below for additional content-specific strategies.

**Goal C3.3: Increase capacity of ELDPs to meet the full progression of QUALITYstarsNY standards for healthy eating habits, nutrition and physical activity.**

Key Activities and Milestones	Year 1		Year 2				Year 3				Year 4				
	Quarters		Quarters				Quarters				Quarters				
<b>Key Activity C3.3.1:</b> Establish Early Childhood Physical Activity Resource Centers (ECPARC) within QUALITYstarsNY regional hubs in four of the 10 QUALITYstarsNY regions.															
<i>Recruit, hire and orient new Early Childhood Nutrition and Physical Activity Specialist within DOH</i>	X	X													
<i>Procure and establish contracts with CCR&amp;Rs in four regional hubs to host ECPARCs</i>	X	X													
<i>ECPARCs recruit, hire and train one Early Childhood Physical Activity (ECPA) Specialist per hub (4 total)</i>			X	X	X										
<i>ECPA Specialists train ELDPs and regional personnel including QIPS.</i>					X	X	X	X	X	X	X	X	X	X	X
<i>Hubs contract with up to 5 Local Physical Activity Specialists</i>					X	X									
<i>ECPAs train and oversee Local Physical Activity Specialists</i>					X	X	X	X	X	X	X	X	X	X	X
<i>Local Physical Activity Specialists provide intensive on-site support to ELDPs</i>					X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity C3.3.2:</b> Engage a state-level consultant with expertise in early childhood and adapted physical activity to develop a plan and related training curricula to support ELDPs in meeting regulatory and QUALITYstarsNY standards for physical activity.															
<i>Develop and issue RFP for Expert Consultant services</i>	X	X													
<i>Review, score and select contractor, award contract</i>			X												
<i>Contractor develops plan, supporting training</i>				X	X										

<i>curricula and initiates training for ECPAS</i>																
<i>Expert Consultant trains and coaches ECPAS and Local Physical Activity Consultants</i>					X	X	X	X	X	X	X	X	X	X	X	X
<i>Expert Consultant supports regional training by co-training regional personnel and modeling high quality training delivery for ELDPs</i>					X	X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity C3.3.3:</b> Adapt the existing Eat Well Play Hard in Child Care Settings (EWPHCSS) intervention as a train-the-trainer model so it can be offered to more child care centers and family homes; conduct training for trainers.																
<i>Adapt EWPHCSS intervention and develop supporting materials</i>		X	X	X												
<i>Post training curriculum and supporting materials to DOH website</i>					X											
<i>Conduct statewide training for trainers</i>					X	X	X	X		X		X		X		
<b>Key Activity C3.3.4:</b> Continue outreach to increase provider participation in CACFP; and, support achievement of the Breastfeeding Friendly Child Care designation in conjunction with QUALITYstarsNY implementation support.																
<i>Identify areas of low CACFP participation statewide</i>		X				X				X				X		
<i>Collaborate with key stakeholders identified areas to create and implement and outreach plan.</i>			X	X	X		X	X	X		X	X	X		X	X
<i>Conduct survey of ELDPs resource and training needs for breastfeeding promotion and support.</i>	X	X	X													
<i>Provide breastfeeding training and consultation to ELDPs wishing to obtain the Breastfeeding Friendly Child Care designation.</i>		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity C3.3.5:</b> Provide individualized training, consultation and coaching to ELDPs to meet the QUALITYstarsNY standards for physical activity, healthy eating habits and improved nutrition, including breastfeeding support.																
<i>Regional QIPS trained by CACFP to support QUALITYstarsNY nutrition and healthy eating standards, including breastfeeding support</i>					X	X	X	X	X	X	X	X	X	X	X	X
<i>Regional QIPS trained and supported by ECPHS to</i>																

<i>support QUALITYstarsNY infant/child physical activity standards.</i>					X	X	X	X	X	X	X	X	X	X	X	
<i>ELCPs serving high need children receive original model of EWPHCCS with on-site support.</i>					X	X	X	X	X	X	X	X	X	X	X	
<i>ELDPs serving Children with High Needs receive intensive on-site support from Local Physical Activity Consultants</i>					X	X	X	X	X	X	X	X	X	X	X	
<p><b>Rationale:</b> 1) At baseline, while 82% of ELDPs met the QUALITYstarsNY nutrition standard for CACFP-based meal pattern, only 40% met the standard for breastfeeding support, 44% for infant physical activity, 40% for child physical activity, and less than 30% for implementing an obesity prevention program. 2) Although motor development is an Essential Domain of School Readiness, there are misperceptions that children are naturally physically active even though research demonstrates they may be sedentary up to 90% of the time spent in care and that physical activity, when offered, often does not provide for recommended levels of exertion. 3) While significant infrastructure, expert staff and resources are in place through CACFP to support improved nutrition and healthy eating, there is no comparable infrastructure to provide ongoing support to ELDPs for developmentally appropriate physical activity. Statewide implementation of Eat Well/Play Hard in Child Care Settings (EWPHCCS), an evidence-based program with child, staff and parent components, has been limited by cost and parameters of available funding. 4) Strengths of the proposed model are its focus on building system capacity for early childhood physical activity and that it builds on evidence-based or promising approaches successfully implemented in New York. The DOH staff position will oversee and coordinate all activities and serve on the DOH Early Childhood Health Promotion Team (C3.1).</p>																
<p><b>Goal C3.4: Strengthen linkages between ELDPs, parents and health care providers to increase the number of children with high needs who have health insurance and receive ongoing well-child care through a medical home.</b></p>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<p><b>Key Activity C3.4.1:</b> Develop and adopt enhanced progression of QUALITYstarsNY standards related to: developmental screening and referral, assessing children’s insurance status and health care system connectedness, linking children/families to health insurance and a medical home, and promoting parents’ health literacy, as part of activities described in C3.1</p>																

<i>See milestones and timeline for Activity C3.1.3</i>															
<b>Key Activity C3.4.2:</b> Identify or develop additional tools, trainings and other implementation supports to help ELDPs meet these standards, as part of the activities described in C3.2.															
<i>See milestones and timeline for Activity C3.2</i>															
<b>Key Activity C3.4.3:</b> Integrate information on developmental screening, insurance status and health care connectedness, along with HIPAA-compliant consents for information-sharing, within the medical forms used by child care and other early childhood programs.															
<i>Complete Rochester pilot of revised child care medical form, compile findings and incorporate in model form</i>	X	X	X												
<i>Present findings of pilot to OCFS and DOE and incorporate feedback</i>				X											
<i>Promote use of revised forms statewide</i>					X	X	X	X	X	X	X	X	X	X	X
<i>Explore parallel revisions to forms used in other early childhood programs including WIC and Home Visiting</i>									X	X	X	X	X	X	X
<b>Key Activity C3.4.4:</b> Facilitate connections between ELDPs serving Children with High Needs and health insurance resources; enroll high need children in health insurance.															
<i>Distribute information and materials on the NYS Health Insurance Marketplace and Patient Navigators, tailored to local resources, to CCR&amp;Rs and ELDPs. Target information to both ELDP staff and children/families, with outreach focused on open enrollment periods.</i>	X	X	X	X			X	X			X	X		X	X
<i>Develop tools and training materials to support effective use of health insurance enrollment resources, as part of C3.4.2 activities and infrastructure</i>					X	X									
<i>Identify and promote effective model partnerships for insurance enrollment, such as on-site Patient Navigator presentations and enrollment assistance sessions</i>					X	X	X	X	X	X	X	X	X	X	X
<i>Conduct a survey of CCR&amp;Rs and ELDPs to assess use of tools and connections to community enrollment resources</i>			X				X			X				X	

<i>Apply survey findings to refine and improve outreach and implementation support activities above</i>				X	X	X		X	X	X		X	X	X		X
<p><b>Rationale:</b> 1) As described in Goal C3.2, aligning child screening in ELDPs with EPSDT and AAP <i>Bright Futures</i> guidelines, the areas listed in C3.4.1 are priorities for the next iteration of QUALITYstarsNY standards. 2) Integrating information and consent within routine health-related forms will facilitate better communication between parents, ELDPs and health care providers. 3) As described in (C)(3)(d)(3), New York State has a robust infrastructure for enrolling Children with High Needs in health insurance – which is being expanded through the new marketplace – that can be leveraged to enroll additional Children with High Needs through linkages with ELDPs. A secondary benefit of these activities will be to link uninsured staff working in ELDPs with affordable health insurance.</p>																
<p><b>Goal C3.5: Build on existing resources and initiatives to increase the number of Children with High Need who receive age-appropriate developmental screening in accordance with AAP/Bright Futures guidelines for well-child care.</b></p>																
<b>Activities</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<p><b>Key Activity C3.5.1:</b> Develop and implement expanded tools and resources to support health care providers’ implementation of guideline-concordant developmental screening and other clinical preventive practices for young children</p>																
<i>Procure and establish contract(s) with one or more organizations to support health care provider education and clinical quality improvement strategies related to developmental screening and other clinical preventive practices for children</i>	X	X	X													
<i>Develop a Website as an on-line resource for health care providers to disseminate resources and tools and host a community of practice for information sharing.</i>				X	X											
<i>Expand the Developmental Screening Toolkit to include web-based training modules with options for Continuing Medical Education/ Maintenance of</i>					X	X	X	X								

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<i>Certification credits, interactive parent education materials, and tools for effective communication with ELDPs and Early Intervention Programs.</i>																			
<i>Incorporate the expanded toolkit and other provider education and improvement tools on the site.</i>					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Partner with statewide professional medical organizations to disseminate and promote resources to at least 8,000 physicians statewide.</i>					X				X				X						
<i>Beginning in Year 2, conduct one practice based clinical quality improvement learning collaborative annually, engaging at least 30 pediatric health care provider teams serving approximately 45,000 children age 0-3 annually, to increase guideline-concordant developmental screening to 75% of eligible patients.</i>					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Assess results of both web tools and collaboratives, and apply results to refine activities in subsequent years.</i>								X				X							X
<b>Key Activity C3.5.2:</b> Complete a focused clinical study of the national Child Health Insurance Program Reauthorization Act (CHIPRA) developmental screening measures and apply results to determine viability of adopting a state quality measure on developmental screening.																			
<i>Complete the focused clinical study currently underway.</i>	X	X	X	X															
<i>Continue to monitor National Committee on Quality Assurance (NCQA) activity related to adoption of a developmental screening measure in the national Healthcare Effectiveness Data and Information Set (HEDIS).</i>	X	X	X	X															
<i>Based on results of New</i>					X	X	X	X											

<p><i>York State focused clinical study and potential NCQA, determine the viability of adopting a state developmental screening quality measure.</i></p>															
<p><i>Utilize quality measures collected to engage health care providers and health plans in additional activities to improve clinical developmental screening practices as part of well child care, integrated within the state's established systems for health care quality assurance and improvement</i></p>					X	X	X	X	X	X	X	X	X	X	X
<p><u>Rationale:</u> 1) As demonstrated in (C)(3)(d), rates of developmental screening are far below other elements of preventive pediatric care, despite well-defined clinical standards from AAP/Bright Futures. There is strong positive momentum in New York State that can be expanded with ELCG resources. 2) New York State has a robust infrastructure and extensive experience with quality improvement in health care practice that can be leveraged to drive improvements described above. Experience with other pediatric quality improvement projects and surveys of New York State providers demonstrate that additional training and web-based resources will be well received, and that aligning trainings with continuing education and other quality assurance systems/incentives will enhance impact. 3) Collection and reporting of quality data is a cornerstone of quality assurance and improvement activities in the health care system (see (C)(3)(d)(3)). Developing, validating, and implementing new quality measures, data collection, and reporting processes for health plans is an intensive multi-year process which would be accelerated by NCQA adoption of a national developmental screening measure within HEDIS. Results of the focused clinical study and NCQA action will inform specific next steps in New York State regarding implementation of ongoing quality measurement for developmental screening.</p>															
<p><b>Goal 3.6: Collaborate with the New York State Parenting Education Partnership (NYSPEP) to expand parenting education resource available to parents, ELDP and other early childhood providers to strengthen parents' health literacy and support them in raising healthy children.</b></p>															
<p><b>Key Activities and</b></p>	<p><b>Year 1</b></p>	<p><b>Year 2</b></p>	<p><b>Year 3</b></p>	<p><b>Year 4</b></p>											

Milestones	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity C3.6.1: Increase evidence informed parenting education supports and resources available to ELDP and the families they serve.</b>																
<i>Increase the number of parenting educators credentialed at Tiers II and III of the NYSPEP Parenting Educator Credential to ensure there are at least 8 credentialed parenting educators in all 10 of the QUALITYstarsNY regions.</i>					X	X	X	X	X	X	X	X				
<i>Integrate Credentialed Educators into the Aspire workforce registry as a resource for ELDPs to provide parenting education services and consultation on promoting families' health literacy and capacity for raising healthy children.</i>						X	X	X	X	X	X	X				
<i>Expand and improve the functioning of the NYSPEP parenting education database</i>		X	X													
<b>Key Activity C3.6.2 Complete development and pilot the NYSPEP Parent Kit</b>																
<i>Incorporate materials from ECAC and other state agencies into the Parent Kit and integrate to a web-based format</i>	X	X	X	X												
<i>Translate kit into 5 languages</i>			X	X												
<i>Design and develop marketing including guidance for providers who will act as point of contact for distribution of the Kit</i>					X	X	X									
<i>Develop localized distribution plans within targeted high needs areas, both urban and rural</i>					X	X	X	X								
<i>Distribute Kit targeting families of Children with High Needs</i>									X	X	X	X	X	X		
<i>Conduct pilot study to evaluate kit's impact on parenting knowledge, behaviors and use of resources, including child well-visits and developmental screening, and apply study results to improve the materials and distribution methods.</i>									X	X	X	X	X	X		



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Select 10 qualified mental health professionals to serve as regional social emotional development (SE-D) Consultants			X	X												
Provide 3-day training based on selected model for 10 regional consultants in Year 1, with annual one-day clinical training in Years 2-4 and an on-going learning collaborative Years 2-4 to sustain practice				X				X				X				X
Engage a facilitator with expertise in reflective practice and I-EC mental health to lead the 10 regional consultants in a learning collaborative to support implementation					X	X	X	X	X	X	X	X	X	X	X	X
Establish standardized process and outcome measures to be used for the model				X	X											
Implement the model in targeted high needs communities					X	X	X	X	X	X	X	X	X	X	X	X
Provide additional implementation support through training webinars, conference calls and technical assistance from regional consultants					X	X	X	X	X	X	X	X	X	X	X	X
Assess implementation and effectiveness based on data collected							X	X	X	X	X					
Modify the model as needed based on assessment results									X				X	X		
Develop a sustainability plan based on implementation experience and outcomes													X	X	X	X
<b>Key Activity C3.7.2: Coordinate professional development activities targeting adults' ability to promote social emotional development consistent with the Core Body of Knowledge.</b>																
Complete SE-D Toolkit as online educational resource	X	X	X													
Develop and disseminate webinars on foundational SE-D strategies to accompany toolkit				X	X	X	X	X	X	X	X	X	X	X	X	X
Disseminate toolkit to individual providers through consultation and mentor coaching					X	X	X	X	X	X	X	X	X	X	X	X
Align work of I-EC SE-D Consultants with NYSPEP to					X	X	X	X	X	X	X	X	X	X	X	X

<i>engage parents through a regular series of Parent Skill Building Workshops consistent with those disseminated to the ELDP providers</i>																		
<i>Revise Toolkit and outreach to the field based on participant/user feedback</i>								X										X
<b>Key Activity C3.7.3:</b> Convene a statewide SE-D training and reflective practice learning collaborative with a specific emphasis on the New York State EI providers to support the Joint task force guidance.																		
<i>Convene Joint Task Force of Early Intervention and Early Childhood Advisory Councils on Social-Emotional Development</i>	X	X	X	X														
<i>Based on recommendations from joint task force, plan and convene a training for Early Intervention providers on identification, intervention strategies and transition supports for children with identified social-emotional delays.</i>					X	X	X	X										
<i>Expand the learning collaborative model described in C3.7.1 to engage EI providers in targeted high need communities for Year 3</i>										X	X	X	X					
<i>Use Early Intervention Program child and family outcome data to assess impact of learning collaborative and drive continued practice improvements</i>										X	X	X	X					X
<i>Facilitate collaborative planning for sustainability that engages Early Intervention, Regional SE-D consultants and other partners.</i>														X	X	X		X
<b>Rationale:</b> 1) Children who are exhibiting behavioral problems, particularly those who are low-income or have special needs, are among the highest need children in New York. 2) New York State is committed to building the capacity of professionals and families to support social emotional (S-E) development of infants and toddlers. The new Center will build the capacity of staff, families, programs and systems to promote children’s social skills and positive S-E development and to prevent, identify, treat and reduce the impact of disruptive																		

and challenging behaviors among children from birth to five. 3) Infant-Early Childhood Social Emotional Consultation is an important strategy for supporting young children's S-E development and addressing challenging behaviors in ELDPs, with growing evidence of efficacy in reducing problem behaviors and the risk of preschool expulsion and improving provider skills and ELDP quality (Brennan et al., 2008; Perry et al., 2009). 4) Responsive, predictable and sensitive parenting is the most critical influence on children's growth and development, and effective parenting education programs have been linked with decreased rates of child abuse and neglect; better physical, cognitive and emotional development in children; and increased parent knowledge of child development and parenting skills.<sup>ix</sup>

**(d) Responsible Parties:**

**Goal C3.1:** *Department of Health (Activities C3.1.1-C3.1.4); in collaboration with the State Education Department and the Office of Mental Health, and ECAC (C3.1.3-C3.1.4)*

**Goal C3.2:** *ECAC in collaboration with the Department of Health, Office of Children and Families Services, Office of Mental Health, State Education Department, Council on Children and Families (Activity C3.2.1); Council on Children and Families in collaboration with Department of Health, Office of Children and Family Services and (Activity C3.2.2)*

**Goal C3.3:** *Department of Health (Activities C3.3.1-C3.3.6), in collaboration with the ECAC (C3.3.1, C3.3.4, C3.3.5)*

**Goal C3.4:** *Department of Health, in collaboration with ECAC (Activities C3.4.1-C3.4.4)*

**Goal C3.5** *Department of Health, in collaboration with the ECAC (Activities C3.5.1-C3.5.2)*

**Goal C3.6** *New York Parenting Education Partnership in collaboration with the ECAC (Activities C3.6.1-C3.6.2)*

**Goal C3.7** *Office of Mental Health (Activities C3.7.1-C3.7.3), in collaboration with the ECAC, Council on Children and Families and New York State Department of Health (C3.7.1-C3.7.3), and the Early Intervention Coordinating Council (C3.7.3)*

**(e) Financial Resources:**

**C3.1:** Funding requested as detailed in budget to support DOH Early Childhood Health Promotion Specialist at DOH (note that responsibilities for this individual are distributed over all C3 goals in project budgets). Other resources in-kind from DOH, OMH, CCF and ECAC PHD Workgroup.

**C3.2:** Approximately \$3.96 million requested to support staff time related to enhancing QUALITYstarsNY implementation supports; training and technical assistance to enhance the state's system of child care health consultation and establish health training for QIPS. Other ECCS grant resources in-kind.

**C3.3:** Approximately \$2.36 million requested to support DOH Early Childhood Nutrition and Physical Activity Specialist, ECPA Statewide Expert Consultant, regional ECPA Specialists and Local Physical Activity Consultants. Additional resources for expanded enrollment in CACFP in-kind from DOH.

**C3.4:** Portion of ECHP Specialist time (C3.1) requested. Extensive state and community resources and infrastructure for the state's health insurance marketplace and Patient Navigators in-kind from DOH.

**C3.5:** Approximately \$1.1 million requested in budget for contractor(s) to support health care provider education and clinical quality improvement strategies related to developmental screening and other clinical preventive health care practices for young children, including website and quality improvement collaboratives and portion of staff named in C3.1. Additional DOH staffing and contract to complete the focused clinical study in-kind. New York State will leverage its significant investment in Early Intervention (EI) to ensure evaluations and services for eligible children identified through developmental screening, and will leverage \$20,000 in annual state funds to support activities to promote screening.

**C3.6:** Approximately \$500,000 requested in budget to support credentialing of Parenting Educators, expansion of the NYSPEP Parenting Education Program database, and the development of the Parent Kit Materials and pilot evaluation. Additional resources from Early Childhood Comprehensive Systems (ECCS) and Head Start Collaboration grants are in-kind.

**C3.7:** Approximately \$4 million requested in budget to support OMH I-EC Mental Health Consultation Coordinator, regional mental health consultants, training for mental health consultants and Early Intervention providers and facilitator for learning collaborative. Other OMH and PHD workgroup time in-kind.

**(f) Supporting Evidence:**

**C3.1, 3.4:** Appendix C.3.1– Progression of Health Standards

**C3.2:** Appendix C.3.2: Summary Evaluation of Positive Effects in Child Care Settings Resulting

from Child Care Health Consultants.

**C3.3:** Appendix C.3.3: CDC Public Health Practice Stories from the Field: Coordinated Efforts Reversing the Trend of Childhood Obesity in New York State

**C3.5:** Appendix C.3.4 – New York State Clinical Focused Study Plan

**C3.6:** N/A

**(g) Performance Measures: See Table (C)(3)(d)**

*Additional performance measures*

**C3.1:** N/A

**C3.2:** Train 6 CCHC trainers; train 500 CCHCs; 1500 hours of health consultation to ELDPs

**C3.3:** 4 regional ECPA centers; ECPA consultation to 600 programs serving 24,300 children.

**C3.4:** Enroll 165,000 children 0-18 in health insurance statewide; Engage at least 300 ELDPs in linking children to community resources for health insurance.

**C3.5:** Engage 90 health care provider practices serving 135,000 children in QI collaboratives; increase screening rates among participating practices to 75% of patients age 0-3.

**C3.6:** Support 80 Parenting Educators for Tier II and III credentialing, and enter in Aspire; Distribute 500 Parent Kits and evaluate pilot distribution.

**(h) Addressing needs of different ELDP types:** Quality Improvement Program Specialists report that ELDP needs related to health standards vary, with all program types needing resources related to physical activity standards, and both public school and family home programs needing resources related to child assessment/developmental screening. Strategies to increase developmental screening, referral and follow up will support further linkages with IDEA Part C and B programs for children in need of services. Strategies to link ELDPs with health insurance resources will have special secondary benefit for programs that do not currently offer health insurance to their staff, including family-based child care providers who are themselves uninsured. The expansion of parenting education resources will provide all ELDPs with high quality resources to promote health literacy and increase parent's capacity to support their child's development. Enhancing social emotional supports will help all ELDP types where there are identified behavioral challenges within the targeted high needs communities.

**(i) Supporting Children with High Needs:** Enhancing QUALITYstarsNY health standards and implementation supports, including CCHCs and Early Childhood Physical Activity consultants, will strengthen ELDP capacity and practices for supporting children with special physical,

developmental and/or social emotional needs, and for linking low income and other underserved children and their families to affordable health insurance and health care services.

Strategies to improve developmental screening are essential to ensuring timely identification, referral and follow-up of children with developmental delays and disabilities. Recruitment for learning collaboratives will health care practices in high need communities serving low income and other Children with High Needs. Parenting resources will serve as primary prevention resources for all Children with High Needs and will be a valuable resource to increase protective factors in families involved in the child welfare system as well as children with special health care needs who are at increased risk for child abuse and neglect. Enhanced social emotional supports will address the special needs of children with behavioral issues and who are at high risk for educational and behavioral problems. Early identification and age appropriate family oriented services may prevent the need for more costly and intensive treatment services later in life.

**Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets.**

	<i>Baseline and annual targets</i>				
	<b>Baseline (Today, if known)</b> <i>If unknown please use narrative to explain plan for defining baseline and setting and meeting annual targets</i>	<b>Target for end of calendar year 2014 (a)</b>	<b>Target for end of calendar year 2015 (a)</b>	<b>Target for end of calendar year 2016 (a)</b>	<b>Target for end of calendar year 2017 (a)</b>
<b>Number of Children with High Needs screened</b>	<b>92.3%</b> (1,273,260) - children age 0-5 whose families report they received one or more preventive health care visits in the past year (b)	93.1% (1,283,882)	93.8% (1,293,442)	94.4% (1,302,046)	94.9% (1,309,789)

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets.</b>					
	<i>Baseline and annual targets</i>				
	<b>Baseline (Today, if known)</b> <i>If unknown please use narrative to explain plan for defining baseline and setting and meeting annual targets</i>	<b>Target for end of calendar year 2014 (a)</b>	<b>Target for end of calendar year 2015 (a)</b>	<b>Target for end of calendar year 2016 (a)</b>	<b>Target for end of calendar year 2017 (a)</b>
<b>Number of Children with High Needs referred for services who received follow-up/treatment</b>	<p><b>All referrals:</b></p> <p><b>80.2%</b> (233,641) - children age 0-5 whose families report they needed a referral and had no problems getting it (c)</p> <p><b>Early Intervention (IDEA Part C):</b></p> <p><b>88.4%</b> (48,972) – children age 0-3 who were referred to EI and received an evaluation (d, d1)</p> <p><b>95.9%</b> (27,295) – children age 0-3 found eligible for EI who went on to be authorized for intervention services (d, d2)</p>	<p>82.2% (239,411)</p> <p>89.6% (49,615)</p> <p>96.3% (27,412)</p>	<p>84% (244,605)</p> <p>90.6% (50,193)</p> <p>96.7% (27,517)</p>	<p>85.6% (249,279)</p> <p>91.5% (50,713)</p> <p>97 % (27,611)</p>	<p>87% (253,485)</p> <p>92.4% (51,182)</p> <p>97.3% (27,696)</p>
<b>Number of Children with High Needs who participate in ongoing health care as part of a schedule of well child care</b>	<b>Percentage of children enrolled in public health insurance programs who had at least one visit with a primary care provider within the last year:</b>	<p>97% (92,424)</p>	<p>97.3% (92,707)</p>	<p>97.6% (92,961)</p>	<p>97.8% (93,191)</p>

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets.</b>					
	<i>Baseline and annual targets</i>				
	<b>Baseline (Today, if known)</b> <i>If unknown please use narrative to explain plan for defining baseline and setting and meeting annual targets</i>	<b>Target for end of calendar year 2014 (a)</b>	<b>Target for end of calendar year 2015 (a)</b>	<b>Target for end of calendar year 2016 (a)</b>	<b>Target for end of calendar year 2017 (a)</b>
	<b>Age 12-24 months:</b> 96.7% (92,084)  <b>Age 25 months – 6 years:</b> 93.6% (410,976) (e)	94.2% (413,589)	94.8% (416,117)	95.3% (418,392)	95.8% (420,440)
<b>Of these participating children, the number or percentage of children who are up-to-date in a schedule of well child care</b>	<b>Percentage of children enrolled in public health insurance programs who received:</b>  <b>5 or more well child visits in first 15 months of life</b>  83.2% (63,575)  <b>At least one well child visit within the last year for children aged 3-6 years</b>  81.7% (293,175) (f)	84.9% (64,832)	86.4% (65,987)	87.8% (67,026)	89% (67,962)
		83.5% (299,801)	85.2% (305,712)	86.7% (311,032)	88% (315,821)
(a) Annual targets are set at 10% of the gap between the current rate and the goal of 100%. (b) Source: National Survey of Children's Health. NSCH 2011/12. New York State data. Data query from the Child and Adolescent Health Measurement Initiative, Data Resource Center for Child and Adolescent Health website. Retrieved [10/01/2013] from www.childhealthdata.org. Denominator is estimated number of children in population after application of sampling weights. Results are based on parent self-report.					

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets.</b>					
	<i>Baseline and annual targets</i>				
	<b>Baseline (Today, if known)</b> <i>If unknown please use narrative to explain plan for defining baseline and setting and meeting annual targets</i>	<b>Target for end of calendar year 2014</b> <b>(a)</b>	<b>Target for end of calendar year 2015</b> <b>(a)</b>	<b>Target for end of calendar year 2016</b> <b>(a)</b>	<b>Target for end of calendar year 2017</b> <b>(a)</b>
<p>(c) Source: National Survey of Children's Health. NSCH 2011/12. New York State data. Data query from the Child and Adolescent Health Measurement Initiative, Data Resource Center for Child and Adolescent Health website. Retrieved [10/01/2013] from <a href="http://www.childhealthdata.org">www.childhealthdata.org</a>. Denominator is estimated number of children for whom a referral was needed in population after application of sampling weights. Results are based on parent self-report.</p> <p>(d) Source: New York State Early Intervention (IDEA Part C) Program. (d1): Number and percentage of children age birth to 3 who were referred to EI and received and evaluation in 2012-13. (d2): Number and percentage of children who were found eligible for EI services and went on to receive authorization for intervention services in 2013-13. Note that the denominators for these two measures are different, because not all children referred to EI are found eligible for EI services. In 2012-13, 51.4% of children referred to EIP were found eligible for EI services.</p> <p>(e) Source: New York State Quality Assurance Reporting Requirements (QARR): Access to Primary Care by Payer, 2012. New York State Department of Health, Bureau of Quality Measurement and Improvement. Data query from the Health Data NEW YORK, Open New York website. Retrieved [10/01/2013] from <a href="http://health.data.ny.gov">health.data.ny.gov</a>. Measure is the number and percentage of children age 12-24 months and children age 25 months-6 years who had any visit with a primary care provider during the year among all eligible children enrolled in Medicaid (MA) or Child Health Plus (CHPlus) age 12-24 months or 25 months – 6 years. Numbers represent combined data for MA and CHPlus plans in 2012.</p> <p>(f) Source: New York State Quality Assurance Reporting Requirements (QARR): Child Preventive Care by Payer, 2012. New York State Department of Health, Bureau of Quality Measurement and Improvement. Data query from the Health Data NEW YORK, Open New York website. Retrieved [10/01/2013] from <a href="http://health.data.ny.gov">health.data.ny.gov</a>. Measure is the number and percentage of children who were continuously enrolled in a MA or CHPlus managed care plan from birth to 15 months and who had 5 or more well child visits between birth and 15 months, or were enrolled in a MA or CHPlus managed care plan from 3-6 years and who had at least one well child visit in the last year. Numbers represent combined data for both MA and CHPlus plans in 2012.</p>					

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

<sup>ii</sup> CDC. Vital Signs: Obesity among low-income preschool-aged children - United States, 2008-2011. *MMWR* 2013; 62:629-34.

<sup>iii</sup> U.S. Department of Agriculture, Food and Nutrition Service, Office of Research and Analysis, *SNAP Education and Evaluation Case Study Report: New York State Department of Health's Eat Well Play Hard in Child Care Settings Program* by Vivian Gabor, Pamela Williams, Sheryl Cates, Jonathan Blitstein, Loren Bell, and James Hersey. Project Officer: Sara Olson, Alexandria, VA: January 2012.  
[http://www.fns.usda.gov/ora/MENU/Published/SNAP/FILES/Other/SNAP-EdWave1EatWell\\_Voll.pdf](http://www.fns.usda.gov/ora/MENU/Published/SNAP/FILES/Other/SNAP-EdWave1EatWell_Voll.pdf)  
Accessed September 24, 2013.

<sup>iv</sup> The Prevention Agenda is the state's Health Improvement Plan for 2013-17, developed through a multi-sector partnership.

[www.health.ny.gov/prevention/prevention\\_agenda/20132017/docs/mental\\_health\\_prevent\\_substance\\_abuse.pdf](http://www.health.ny.gov/prevention/prevention_agenda/20132017/docs/mental_health_prevent_substance_abuse.pdf)

<sup>v</sup> <http://ccf.ny.gov/ChildPlan/>

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<sup>vi</sup> Lundahl, B. W., & Harris, N. (2006). Delivering parent training to families at risk to abuse: lessons from three meta-analyses. Columbus, OH: American Professional Society on the Abuse of Children.

<sup>vii</sup> Frank, T., Hanslicek, L. et al. (2011) Kit for New Parents: Program evaluation report. UCLA Center for Healthier Children, Families and Communities. California First Five Fund.

<sup>viii</sup> Taaffe Young, K, Davis K, Schoen C (1996). The Commonwealth Fund Survey of Parents with Young Children. New York City: Commonwealth Fund

<sup>ix</sup> Denise Rennekamp, MS, Parenting Education Program Coordinator in the College Of Public Health and Human Sciences at Oregon State University. Source: <http://info.parentingnow.org/parents/resources/register-guard-columns/the-value-of-parenting-education-may-2013>. Accessed October 2, 2013.

## D. A Great Early Childhood Education Workforce

### (D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.

The extent to which the State has a High-Quality Plan to--

(a) Develop a common, statewide Workforce Knowledge and Competency Framework designed to promote children’s learning and development and improve child outcomes;

(b) Develop a common, statewide progression of credentials and degrees aligned with the Workforce Knowledge and Competency Framework; and

(c) Engage postsecondary institutions and other professional development providers in aligning professional development opportunities with the State’s Workforce Knowledge and Competency Framework.

Evidence for (D)(1):

- To the extent the State has developed a common, statewide Workforce Knowledge and Competency Framework that meets the elements in selection criterion (D)(1), submit:
  - The Workforce Knowledge and Competencies: **See Appendix D.1.1**
  - Documentation that the State’s Workforce Knowledge and Competency Framework addresses the elements outlined in the definition of Workforce Knowledge and Competency Framework in the Program Definitions (section III) and is designed to promote children’s learning and development and improve outcomes: **See Appendix D.1.2.**

**(D)(1) Developing a Workforce Knowledge and Competency Framework and a Progression of Credentials**

To help recruit, retain, and develop a first rate early childhood workforce, New York has been building an integrated system of professional development, called *New York Works for Children*. The state has developed, piloted, and implemented several system components since 2008, including a workforce registry (called Aspire), an online statewide training calendar and trainer search, a trainer and training approval system, and a complete revision of its Workforce Knowledge and Competencies, known as the New York State Core Body of Knowledge. New York has intentionally developed the elements of its professional development system to complement and integrate with one another and to be based upon the common foundation of the Core Body of Knowledge. Funding from the Early Learning Challenge grant will help New York to take the next steps to further integrate and institutionalize these elements, and build a workforce that is well-prepared and ready to meet the needs of all children and families.

Through the activities outlined in the High Quality Plan in this section, New York will work to align its existing statewide progression of credentials, degrees, and professional development activities with the Core Body of Knowledge. The state's five key workforce goals are to:

- Align the broad range of professional development experiences, from training options through credentials and degrees with the Core Body of Knowledge;
- Build statewide capacity to provide high quality professional development experiences that are aligned with the Core Body of Knowledge;
- Increase access to professional development experiences that are aligned with the Core Body of Knowledge and contribute to improved practice;
- Develop and implement professional development opportunities for the early childhood workforce (from teachers to trainers) on the Core Body of Knowledge, and;
- Develop online tools to support implementation of the Core Body of Knowledge.

**(D)(1)(a) Develop a Common, Statewide Workforce Knowledge and Competency Framework Designed to Promote Children's Learning and Development and Improve Child Outcomes**

The Core Body of Knowledge, with related competencies (See Appendix D.1.1), is at the heart of *New York Works for Children* and is designed to serve as the foundation for the professional preparation and development of the early childhood workforce in New York State. The Core Body of Knowledge outlines recommended practices for professionals who work with

The Core Body of Knowledge, with related competencies (See Appendix D.1.1), is at the heart of *New York Works for Children* and is designed to serve as the foundation for the professional preparation and development of the early childhood workforce in New York State. The Core Body of Knowledge outlines recommended practices for professionals who work with young children, birth through age 8, in all types of Early Learning and Development Programs including regulated and legally-exempt family care, center-based child care and preschool, state-funded prekindergarten programs, home visiting programs, and programs that serve children with special learning and development needs. The Core Body of Knowledge and Competencies outlines the knowledge and skills that early childhood educators need to support children's development and improve outcomes. The document is evidence-based and meets the Program Definition outlined in this application (see Appendix D.1.2).

The Core Body of Knowledge and Competencies was revised in 2012 to be based on three key evidence-based resources: 1) the National Association for the Education of Young Children (NAEYC) Professional Preparation Standards; 2) the NAEYC Program Accreditation Standards and Criteria and; 3) the Division for Early Childhood (DEC) Recommended Practices for children with special needs. The competencies have also been aligned with the Child Development Associate credential Functional Areas, the New York State Teaching Standards (for K-12 educators), and the New York State Office of Children and Family Services Training Topic Areas. This alignment can be found on pages 108-110 of the Core Body of Knowledge and Competencies. Additional research-based references were used to inform the document's content; a full list can be found on page 111 of the Core Body of Knowledge and Competencies.

The Core Body of Knowledge is organized into seven core competency areas: 1. Child Growth and Development; 2. Family and Community Relationships; 3. Observation and Assessment; 4. Environment and Curriculum; 5, Health, Safety, and Nutrition; 6. Professionalism and Leadership; and 7. Administration and Management. Within each area are the core competencies and examples of related behaviors and skills help to describe and clarify each competency. The assessment and professional development planning tools are on pages 89-101 of the Core Body of Knowledge. Core competency area 1 (Child Growth and Development) and Core Competency area 4 (Environment and Curriculum) address the content of the New York State Early Learning Guidelines and cover all of the Essential Domains of School

Readiness: Language and Literacy Development, Cognition and General Knowledge (including early math and early scientific development), approaches toward learning, physical well-being and motor development (including adaptive skills), and social and emotional development (see Appendix D.1.2).

Appendix D.1.2, *New York's Evidence that the Core Body of Knowledge Meets the Definition of a Workforce Knowledge and Competency Framework*, shows that the New York State Core Body of Knowledge addresses the elements outlined in the definition of Workforce Knowledge and Competency Framework in the Program Definitions section of this application and were designed to promote children's learning and development and improve outcomes.

The revised Core Body of Knowledge and Competencies incorporates two important new tools: a Core Competency Assessment Tool and a Professional Development Planning Tool. These tools were included to provide administrators and early childhood professionals with a practical way to use the Core Body of Knowledge as a self-assessment or for performance appraisal and to guide intentional, individualized professional development planning. The document also includes two new Core Competency Areas, Health, Safety, and Nutrition and Administration and Management. Through the revision of its Core Body of Knowledge, New York took the important step of refining and including the competencies that early childhood educators need to work effectively with Children with High Needs. The content was significantly updated to place increased emphasis on skills required to support English language learners, inclusive practices and working with children with special needs, cultural competence, and family-centered practices.

Through the revision process, there was broad opportunity for engagement and comments, with drafts distributed to 270 experts at the state's public and private postsecondary institutions and approximately 8000 early learning and development experts (teachers, directors of early learning and development programs, CCR&R staff, state agency staff, and providers of professional development). All recommended revisions were organized by core competency and carefully reviewed by the writing team.

New York has been working, and with funding from the Race to the Top-Early Learning Challenge Grant, will continue to work to intentionally build the system infrastructure to ensure that professional development activities address these essential competencies. By aligning

professional development activities, from non-credit bearing training to credentials to coursework within degree programs with the Core Body of Knowledge, New York will help its workforce to improve in ways that will make them more effective in meeting the needs of Children with High Needs.

**D)(1)(b) Develop a Common, Statewide Progression of Credentials and Degrees Aligned with the Workforce Knowledge and Competency Framework**

New York has historically taken steps to make a solid progression of degrees and credentials available to its early childhood workforce. Aligning these degrees and credentials to the Core Body of Knowledge is work that has yet to be accomplished, and is one of the key goals in New York's High Quality Plan.

In addition to the nationally recognized Child Development Associate (CDA) credential, New York has multiple state-specific credentials developed and administered by the New York State Association for the Education of Young Children: an Infant Toddler Credential, a Family Child Care Credential, a Children's Program Administrator Credential available at both the undergraduate and graduate level, and an Early Learning Trainer Credential. All four of the state-specific credentials require some postsecondary coursework and the completion of a portfolio that demonstrates competence. At the present time, New York State has 5,285 professionals with active CDAs, 11 professionals with an Infant Toddler Credential, 43 professionals with a Children's Program Administrator Credential and 156 professionals with an Early Learning Trainer Credential.

New York has a range of early childhood degrees, from Associate's to Doctoral degrees, and three early childhood-related teacher certification options: Early Childhood Education Birth-Grade 2, Students with Disabilities Birth-Grade 2 and Literacy Birth-Grade Two. New York's early childhood degrees however, have not yet been aligned to the Core Body of Knowledge. To begin this alignment work, New York has included two key activities in its High Quality Plan: 1. Engage a contractor to conduct an inventory of the degrees and coursework offered at the state's post-secondary institutions (see High Quality Plan D1.1.1 and Appendix D.1.3), and 2. Using results from the higher education inventory to plan and implement alignment of degree programs and coursework with the Core Body of Knowledge (see High Quality Plan D.1.2).

New York has already accomplished some initial progress in aligning its credentials and degrees with the core competencies. The Core Body of Knowledge has been aligned with the Child Development Associate credential's Functional Areas. Each of the state-specific credentials listed above were developed to align with the *original* Core Body of Knowledge, making the process to update the alignment to the revised document (an activity in New York's High Quality Plan) relatively simple. Additionally, with Race to the Top-Early Learning Challenge grant funding, the Core Body of Knowledge training modules included in New York's High Quality Plan will be integrated into the State Career Ladder, providing more options for early childhood professionals at the beginning levels of the ladder to receive professional development aligned with the Core Body of Knowledge, while at the same time helping them move along a career pathway and advance on the Ladder.

All degrees, credentials, and certificates are integrated into the *New York Works for Children* Career Ladder, developed in 2012. (See Appendix D.1.4.) The Career Ladder has been integrated into Aspire, the workforce registry. All participants in the registry receive a Career Ladder level based on verified education, experience, and professional development data. The Career Ladder Level appears on their registry certificate and membership card. As the Career Ladder is a new initiative in New York, Aspire participants also receive a copy of the Career Ladder along with a letter about the meaning of the levels and how the Ladder can help them to plan next steps along a career pathway. To further clarify how the Career Ladder can be used, New York developed an accompanying *Positions at a Glance* tool. This tool organizes all of the possible positions for which an educator might qualify across Early Learning and Development programs and at each level on the Career Ladder (see Appendix D.1.5).

#### **D)(1)(c) Engage Postsecondary Institutions and Other Professional Development Providers in Aligning Professional Development Opportunities with the State's Workforce Knowledge and Competency Framework**

##### *Postsecondary Institutions*

The developers of the state's new teacher certification exams for the Birth-Grade 2 certificates are currently aligning the exams with the Core Body of Knowledge and higher education faculty and bookstores at 33 higher education institutions have ordered the Core Body

of Knowledge, indicating that it is being used for coursework planning and as a required or supplemental text. As noted above and in Goal D1.1 of the High Quality Plan, New York plans to do significant work related to aligning Postsecondary degrees with the Core Body of Knowledge.

*Other Professional Development Providers*

New York has taken a series of strategic steps forward since 2012 to align professional development activities with the Core Body of Knowledge and Competencies. In 2012, New York developed and launched its workforce registry, Aspire. Aspire tracks the education and professional development of early childhood educators and professional development providers. All coursework and training tracked by Aspire is coded by the seven Core Body of Knowledge and Competencies Areas, as well as other key areas like training that addresses infants and toddlers, English Language Learners, and children with special needs. Data from Aspire can now be used to give New York a sense of its training landscape, particularly in terms of how much professional development in each of these Core Body of Knowledge and Competencies areas is offered in a given time period, and in what geographic locations. As Aspire is further implemented, its data will allow the State to analyze gaps in professional development offerings, and to more effectively target its resources. This data is invaluable in helping the State ensure that Early Childhood Educators working in rural areas and those who serve Children with High Needs have access to the professional development they need.

Using the registry software, Aspire staff also manages a training approval process that reviews professional development activities to see that they are aligned not only with the OCFS nine Training Topics, but also with Core Body of Knowledge areas. Starting in 2015, all professional development activities for which early childhood educators would like to receive Educational Incentive Program (EIP) scholarship dollars must be linked to an approved trainer and go through the training approval process, and thus be aligned with the Core Body of Knowledge. The process will be piloted in 2014; EIP provides scholarship funds for 12,000 professionals annually who meet income requirements. In addition, the New York State Early Learning Trainer Credential, a key component of the trainer approval process, requires that applicants include in their portfolios how they align their professional development offerings

with the core competency areas, dramatically increasing the number of trainers in the state who are using the Core Body of Knowledge.

Staff who work at programs participating with QUALITYstarsNY are encouraged to have individualized professional development plans, which are based on the Core Body of Knowledge. QUALITYstarsNY Quality Improvement Specialists have been working with programs to build professional learning communities around the Core Body of Knowledge and are providing support to family child care providers and centers as well as school-based administrators on how they can use the Core Competency Assessment and Professional Development Planning Tool to tailor professional development plans for individual staff. Staff at the regional *New York Works for Children* offices will be instrumental in supporting professionals in Early Learning and Development programs that serve children with High Needs in learning how to use Aspire and how to connect them to professional development activities aligned with the Core Body of Knowledge.

New York has just completed the development of a two-day course for professional development providers, primarily those who provide non-credit bearing professional development to early childhood educators across all programs and sectors. The course introduces professional development providers to the Core Body of Knowledge and guides them in developing professional development activities that are based on an assessment of learner needs and the Core Body of Knowledge. Beginning in January 2014, this course will be rolled out to all professional development providers across the state; as part of New York's High Quality Plan, the course would become a requirement for trainers looking to earn or renew the Early Learning Trainer Credential.

By December 2013, New York will have completed an e-learning course for professional development providers about the Core Body of Knowledge. Meant to serve as an introduction to the document, the 40-minute asynchronous distance learning course provides an overview of how to use the document to intentionally develop professional development activities and how to use the Core Body of Knowledge to individualize professional development. Once complete, the e-learning course will be published to the New York Works for Children website and made a prerequisite to participating in the Core Body of Knowledge in-person course for trainers, with a target of reaching 250 trainers annually.

The focus of the work on the Core Body of Knowledge since 2011 has been to revise the document so that it reflects best practices in the field and can integrate seamlessly with other elements of New York’s early childhood professional development system and to distribute it as widely as possible. As outlined in the High Quality Plan, New York will integrate the Core Body of Knowledge throughout its professional development system in a more intentional, thorough, and systematic way to establish that it is truly the foundation for all professional development and preparation in the state. Targeted strategies will be implemented to engage higher education faculty and other professional development providers to ensure their work is aligned with the Core Body of Knowledge. Given its size and density, over the course of four years, New York will place coordinators at *New York Works for Children* regional offices, co-located at or near public colleges in each of the ten regions across the state, to expand the implementation of professional development system components and initiatives.

New York will also recruit and develop a statewide cadre of high-level professional development providers that are able to deliver the training and technical assistance that is required to help the workforce support children’s learning and early development. While New York does have a Trainer Credential (trainer approval process), this process has been targeted to professional development providers who deliver “workshop” training. Yet, five years after introducing the Trainer Credential, New York is recognizing another need - the need for professional development providers with an even greater level of expertise who can deliver not only group training experiences in specific content like evidence-based, developmentally appropriate curricula, but also technical assistance like coaching and consultation that will help programs and professionals implement practices to bring about positive change and outcomes. New York will work closely with these professional development providers, training them to deliver select evidenced-based curricula and apply best practices to provide intensive technical assistance to early childhood educators. The recruitment and development of this initial cadre of professional development providers will serve as a model for future capacity-building efforts that will help to strengthen New York’s ability to provide high quality professional development well beyond the term of the grant.

### **High Quality Plan**

<b>Goal D1.1- Align the broad range of professional development experiences, from training options through credentials and degrees with the Core Body of Knowledge.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	<b>Quarters</b>				<b>Quarters</b>				<b>Quarters</b>				<b>Quarters</b>			
<b>Key Activity D1.1.1:</b> Engage a sub-contractor to conduct an inventory of the degrees and coursework offered at the State’s post-secondary institutions																
<i>Sub-Contractor completes review of NY’s degrees and coursework; agree on NY-specific inventory questions, and adapt Faculty and Program module to NY-specific questions.</i>			<b>X</b>	<b>X</b>												
<i>Disseminate recruitment letters to coordinators/deans and faculty; sub-contractor develops inventory sample; Implement Program and Faculty Modules and follow up with respondents to ensure an adequate response rate.</i>			<b>X</b>	<b>X</b>												
<i>Sub-contractor analyzes NY inventory, selects report templates, and presents reports and recommendations.</i>					<b>X</b>	<b>X</b>										
<b>Key Activity D1.1.2:</b> Based on inventory, plan and implement process to align state-specific credentials and postsecondary coursework/degrees and preparation with the Core Body of Knowledge.																
<i>Identify members of higher education faculty work group and select two lead higher education faculty to represent each degree level (Associate’s, Bachelor’s, and Master’s) to lead the planning work in collaboration with a dedicated project coordinator.</i>						<b>X</b>										
<i>Use higher education inventory reports and recommendations to create a work plan to align coursework with CBK based on inventory recommendations.</i>							<b>X</b>	<b>X</b>								
<i>Implement initial work plan activities.</i>									<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	

<b>Key Activity D1.1.3:</b> Align the state’s existing credentials with the Core Body of Knowledge and Competencies.														
<i>Evaluate existing Infant Toddler, Family Child Care, and Children’s Program Administrator Credentials for alignment with the revised Core Body of Knowledge and Competencies.</i>	<b>X</b>	<b>X</b>												
<i>Update existing credential guides with revised alignment and begin using for dissemination to new candidates.</i>			<b>X</b>	<b>X</b>										
<b>Key Activity D1.1.4:</b> Align the New York State Core Body of Knowledge core competencies with the ERS and the CLASS assessment tools.														
<i>Convene small work group of individuals who developed the revised Core Body of Knowledge and draft alignment to the ERS scales and CLASS tools.</i>	<b>X</b>	<b>X</b>												
<i>Vet alignment with QSNY stakeholders, ECAC Workforce Development work group and higher education faculty.</i>			<b>X</b>											
<i>Revise as needed and finalize alignment.</i>			<b>X</b>											
<i>Incorporate alignment into necessary QUALITYstarsNY instruction guides and make available in print and on the New York Works for Children and QSNY websites.</i>				<b>X</b>										
<i>Share alignment with professional development providers, with a specific focus on technical assistance providers who work with programs using the ERS and CLASS assessment tools.</i>				<b>X</b>										

**Rationale D.1.1:** The higher education inventory will lay the groundwork to align college coursework and degrees with the Core Body of Knowledge. The study will help policymakers and other stakeholders develop a more coordinated and comprehensive professional development system for the early care and education workforce. The Inventory provides a mechanism for states to establish baseline descriptions of higher education offerings for early care and education practitioners, identify gaps and opportunities in the available offerings, assess variation in early childhood higher education programs, and assess changes in the capacity of the higher education system over time. The Center for the Study of Child Care Employment has already completed the Inventory in New Jersey, which is now making adjustments to its early childhood higher education system based on the study’s results. Once complete, New York will use the Inventory results and recommendations to plan and implement steps toward aligning coursework and degree completion requirements with the Core Body of Knowledge. Aligning the state-specific credentials will make it clear to credential program participants which competencies they are honing as a result of earning the credential. The alignment process may also lead the issuers of the credentials, the New York State Association for the Education of Young Children, to adjust the credential requirements to better address the competencies needed to work effectively with children with high needs. Aligning the program assessment tools with the Core Body of Knowledge will allow early childhood educators and technical assistance providers, including QSNY Quality Improvement Specialists, to easily identify professional development opportunities that are aligned with the Core Body of Knowledge based on program improvement and/or individualized professional development plans.

**Goal D1.2-Build statewide capacity to provide high quality professional development experiences that are aligned with the Core Body of Knowledge.**

Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity D1.2.1:</b> Develop a process to approve technical assistance providers that includes demonstration of specific technical assistance competencies.																
<i>Identify TA competencies, evaluation criteria, and approval process.</i>	X	X	X	X												
<i>Pilot process and refine.</i>					X	X										
<i>Full implementation of TA provider approval process.</i>							X	X	X	X	X	X	X	X	X	X

<b>Key Activity D1.2.2:</b> Identify and coordinate regional <i>New York Works for Children</i> staff to monitor the professional development capacity and access in their regions, as well as to provide regular feedback to the State and central <i>New York Works for Children</i> office on the professional development needs and quality throughout the State.															
<i>Identify 6 part-time staff for 6 New York Works for Children regional offices.</i>			X	X											
<i>Identify locations for regional offices.</i>		X	X												
<i>Increase staff workload to full-time in 6 regional offices.</i>								X	X	X	X				
<i>Expand model to 10 regional offices.</i>												X	X	X	X
<b>Key Activity D1.2.3:</b> Recruit a cadre of 100 high-level training and technical assistance providers.															
<i>Identify recruitment criteria and strategies.</i>		X	X												
<i>Conduct recruitment.</i>			X	X											
<i>Assess training needs.</i>				X											
<b>Key Activity D1.2.4:</b> Train the cadre of high-level training and technical assistance providers on best practices in providing intensive technical assistance (coaching, consultation and mentoring) and on how to use the Core Body of Knowledge in their coaching for continuous quality improvement. Provide intensive technical assistance to 1600 programs serving Children with High needs by the end of 2017.															
<i>Engage a consultant to develop the training model.</i>		X	X	X											
<i>In collaboration with staff from New York Works for Children regional offices, implement model.</i>					X	X	X	X	X	X	X	X	X	X	X
<i>Train PD providers to deliver intensive TA aligned with the Core Body of Knowledge to programs serving Children with High Needs.</i>					X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity D1.2.5:</b> Sponsor a limited amount of training of trainer courses to the cadre of high-level training and technical assistance providers in evidence based curricula and assessment tools like Creative Curriculum, High Scope, and CSEFEL. Specific curricula will be determined by regional need as assessed using Aspire data and feedback from regional <i>New York Works for Children</i> staff.															
<i>Assess regional PD needs using Aspire data and feedback from regional New York Works for Children staff and QUALITYstarsNY program improvement plans.</i>					X	X	X	X	X	X	X	X	X	X	X
<i>Provide train-the-trainer courses.</i>					X	X	X	X	X	X	X	X	X	X	X

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<i>PD providers implement training and technical assistance in programs serving Children with High Needs.</i>					<b>X</b>											
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Rationale D1.2: Building and implementing New York’s trainer approval process over the last five years has successfully helped the state to establish baseline qualification requirements for trainers, something that had not previously been in place. It has also enabled the State to gather data on over 700 trainers in its workforce. This data, gathered through Aspire, indicates that most professional development providers delivering training to early childhood programs do not have a significant amount of experience working with children and families, that there is great variability in the amount of early childhood and child development credits trainers have earned, and almost none have participated in the approved train the trainer coursework that certifies them to deliver specific curricula and technical assistance models that lead to improved practice and program quality. Additionally, a review of the Aspire training records of approximately 3,500 staff working at early childhood programs indicates that these teachers, assistant teachers, family childcare providers are participating in very few technical assistance experiences despite the evidence that technical assistance formats (coaching, consultation, mentoring, etc.) are key to helping staff implement new knowledge and change behavior. The majority of training is delivered in a workshop format and short (less than two hours). QUALITYstarsNY would like to make available to its participating programs intensive technical assistance. This requires New York to have the capacity to provide this technical assistance. To build this capacity, New York first proposes to establish the criteria and the system for approving technical assistance providers, and then to recruit at minimum of 100 professional development providers across all 10 economic development regions who meet not only the highest levels of the current trainer approval system but of the technical assistance provider approval process, as well. New York then proposes to systematically work with this group of professional development providers to help them hone their coaching competencies and strengthen their ability to provide support to directors, teachers, and family care providers so that they are better able to put the skills and behaviors outlined in the Core Body of Knowledge into practice. New York will also sponsor a limited number of train-the-trainer courses to build a statewide cadre of trainers that are able to meet programs’ professional development needs. Those courses will be determined by regional need and influenced by data from program quality initiatives like *EarlyLearnNYC* and QUALITYstarsNY.

<b>Goal D1.3- Increase access to professional development experiences that are aligned with the Core Body of Knowledge and contribute to improved practice.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	<b>Quarters</b>				<b>Quarters</b>				<b>Quarters</b>				<b>Quarters</b>			
<b>Key Activity D1.3.1:</b> Expand the State definition of “training” to include technical assistance activities (coaching, consultation, mentoring).																
<i>Define types of TA that could count toward biannual training hour requirement and identify dosage parameters.</i>	x	X	x													
<i>Update required documents.</i>				x	x											
<i>Communicate change in definition to programs and PD providers.</i>						x	x	x	x	x	x	x	x	x	x	
<b>Key Activity D1.3.2:</b> Develop the mechanism and system for tracking educator participation in technical assistance activities.																
<i>Adjust Aspire system to collect TA data aligned with modified definition of training (see D1.3.2).</i>			x	x												
<i>Conduct communication with professional development agencies and providers about how to document TA work (through Aspire or paper documentation).</i>				x	x	x	x	x	x	x	x	x	x	x	x	
<b>Key Activity D1.3.3:</b> Increase the number of professional development activities that go through Aspire Event Review (the State’s training approval process), are aligned with the Core Body of Knowledge, and are made accessible to providers via the Statewide Training Calendar.																
<i>Hire additional 1.5 Aspire education and training specialists to review and approve training events.</i>			x	x												
<i>Test, pilot and implement online registration module that allows early childhood educators to sign up for approved training events through the Aspire Training Calendar.</i>				x	x	x	x	x								
<i>Conduct outreach and training for PD agencies and providers on how to submit and track training and TA events through Aspire.</i>				x	x	x	x	x	x	x	x	x	x	x	x	

<i>Aspire staff reviews training events and posts them to the Statewide Training Calendar.</i>				X	X	X	X	X	X	X	X	X	X	X	X	X
<p><b>Rationale D1.3:</b> Early childhood educators are not participating in technical assistance activities, or, they are not applying the hours spent participating in technical assistance toward their 30 hour training requirement. This is in part because the current state definition of training does not acknowledge the various formats of technical assistance or define parameters for the type and dosage of technical assistance that would qualify toward the 30-hour training requirement. New York proposes to expand this definition and establish these parameters, encouraging providers to participate not just in workshop training, but technical assistance as well. New York will also hone and rollout the already-existing mechanism within Aspire to track participation in technical assistance activities (this mechanism has not yet been shared with the state’s professional development community). Together, these three activities will increase educators’ access to not only training, but also technical assistance aligned with the Core Body of Knowledge. Finally, New York will increase the number of training activities that go through the training approval process and make them available on the Statewide Training Calendar. One of the main criteria in the state’s training approval process is that the course description, goal, and learning objectives align with the Core Body of Knowledge appropriately. All of the training events on the Calendar are searchable by Core Body of Knowledge competency area, providing the workforce with increased access to training that has been through a quality assurance process and are aligned with the Core Body of Knowledge.</p>																
<b>Goal D1.4- Develop and implement professional development opportunities for the early childhood workforce (from teachers through trainers) on the Core Body of Knowledge.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity D1.4.1:</b> Develop a requisite course for trainers to integrate the Core Body of Knowledge into their learning objectives and training content. Implement statewide; 1000 trainers complete course by end of 2017.																
<i>Hone course material based on pilots occurring Fall 2013</i>	X	X														
<i>Offer course a minimum of 8 times annually.</i>			X	X	X	X	X	X	X	X	X	X	X	X	X	

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<i>Make participation in the course mandatory for successful completion of the NYS Early Learning Trainer Credential.</i>					X	X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity D1.4.2:</b> Develop a standardized course for Family Child Care Providers and another for Center and School-Based Administrators about the Core Body of Knowledge. Implement statewide; 2,000 family child care providers and school-based administrators complete course by end of 2017.																
<i>Develop course content.</i>	X															
<i>Pilot course with small group of trainers who hold the NYS Early Learning Trainer Credential.</i>	X															
<i>Hone course material based on pilot.</i>	X															
<i>Offer Train the Trainer course at least four times annually to Credentialed Trainers across the State.</i>		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity D1.4.3:</b> Create a series of modules worth clock hours or up to three college credits – one track for family child care providers and one for center/school-based teaching staff - based on the CBK to establish broad, systematic professional development in this content. Implement statewide; 200 family child care providers and center/school-based teaching staff complete course by end of 2017.																
<i>Plan the development, design and implementation of the course.</i>	X	X														
<i>Develop course modules.</i>			X	X	X	X										
<i>Implement rollout to higher education and community based PD providers.</i>							X	X								
<i>Statewide rollout to early childhood educators.</i>									X	X	X	X	X	X	X	X
<b>Rationale D1.4:</b> Comprehensive training of both professional development providers and early childhood educators in the Core Body of Knowledge and its uses will ensure the workforce is developing the competencies they need to support Children with High Needs.																
<b>Goal D1.5-Develop online tools to support implementation of the Core Body of Knowledge.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity:</b> D1.5.1: Develop an online resource tool to accompany the Core Body of Knowledge.																

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<i>Integrate existing resources including video, websites, scholarly research, and other texts that early childhood educators and trainers can use to deepen their understanding of the Core Body of Knowledge.</i>	<b>x</b>															
<i>Develop additional guided video resources that would provide examples and clarification of the Core Body of Knowledge content.</i>	<b>x</b>															
<i>Make tool available on the NYWFC website.</i>					<b>x</b>											
<b>Key Activity D1.5.2:</b> Develop a companion section of the New York Works for Children website that provides information to early childhood educators about how to use the Core Body of Knowledge Assessment Tool and Professional Development Planning Tool.																
<i>Identify desired website content.</i>	<b>x</b>	<b>x</b>														
<i>Develop and publish content.</i>		<b>x</b>	<b>x</b>	<b>x</b>												

**Rationale D1.5:** New York has developed the prototype for an online resource tool that will accompany the Core Body of Knowledge. The resource tool will be made available on the *New York Works for Children* website, [www.nyworksforchildren.org](http://www.nyworksforchildren.org). The resource tool organizes the Core Body of Knowledge in an easily accessible format for web viewers. Integrated into the online format are resources, organized into categories like websites, links to guided videos, scholarly research articles, and other books and resources that help users understand the content of the Core Body of Knowledge. A section of the resource tool is planned to be just for trainers. Trainers will use the tool to find resources to help them plan and deliver professional development activities that are aligned with the core competencies. Funds from this grant would help further develop the interactivity of this tool and to create more video resources. Additionally, the New York Works for Children website currently makes the Core Body of Knowledge available for download and includes a brief overview of its uses. With funds from this grant, New York would further develop this section of the website, providing more information about how to use the Assessment Tool and Professional Development Planning Tool for intentional professional development planning. The section will clarify how the Core Body of Knowledge tools can be used to plan for intentional professional development that targets specific needs, encouraging the workforce not only to create professional development plans based on the Core Body of Knowledge, but also to request professional development that is aligned with this foundational document.

**(d) Responsibilities:**

**Goal D1.1:** *New York State Early Childhood Advisory Council (Activities D1.1.1, D1.1.2); Center for the Study of Child Care Employment (CSCCE) at the University of California, Berkeley (Activities D1.1.1, D1.1.2); New York State Association for the Education of Young Children (Activity D1.1.3); New York Early Childhood Professional Development Institute (Activities D1.1.1- D1.1.4); Volunteer group of Higher Education Faculty from the State University and City University of New York systems (Activity D1.1.2)*

**Goal D1.2:** *New York State Early Childhood Advisory Council Workforce Development Workgroup (Activities D1.2.1); New York State Association for the Education of Young Children and New York Early Childhood Professional Development Institute (Activities D1.2.1-D1.2.6);*

*Early Childhood Consultants on contract with the New York Early Childhood Professional Development Institute (Activities D1.2.4 -D1.2.6)*

**Goal D1.3:** *New York State Office of Children and Family Services (Activities D1.3.1); New York Early Childhood Professional Development Institute (Activities D1.3.1-D1.3.1); New York State Association for the Education of Young Children (Activities D1.3.1). The Registry, Inc. in subcontract with NY Early Childhood Professional Development Institute (Activity D1.3.2).*

**Goal D1.4:** *Early childhood consultant/s on contract with the New York Early Childhood Professional Development Institute (Activities D1.4.1-D1.4.3); NY Early Childhood Professional Development Institute (D1.4.1-D1.4.3); New York State Community Colleges and professional development agencies statewide (Activity D1.4.3).*

**Goal D1.5:** *New York Early Childhood Professional Development Institute (Activities D1.5.1 and D1.5.2); Videographer on contract with the New York Early Childhood Professional Development Institute (Activity D1.5.1).*

**(e) Appropriate financial resources:**

**D1.1:** \$345,258

**D1.2:** \$3,613,770

**D1.3:** \$884,864

**D1.4:** \$377,970

**D1.5:** \$576,103

**(f) Supporting evidence:**

D1.1: See Appendix D.1.3, Early Childhood Higher Education Inventory

**(g) Performance measures: No Tables This Section**

*Additional Performance Measures:*

**D1.1.1:** 85% of early childhood Associate's degree programs, Bachelor's degree, and Master's degree programs and state Universities will have aligned their coursework to the Core Body of Knowledge by 2017; All state-specific credentials managed by the New York State Association for the Education of Young Children will be aligned with the Core Body of Knowledge by 2015.

**D1.2:** 100 Professional development providers will become part of a cadre of high-level trainers and TA providers; Cadre of 100 trainers will provide intensive technical assistance to a minimum of 1600 programs that serve Children with High Needs by 2017.

**D1.3:** Aspire staff will review a minimum of 75 new training events per month for quality and accurate alignment to the Core Body of Knowledge (currently part of the event review criteria).

**D1.4:** Requisite course for trainers to integrate the Core Body of Knowledge into their learning objectives and training content. Implement statewide; 1000 trainers complete course by end of 2017; Standardized course for Family Child Care Providers and for Center and School-Based Administrators about the Core Body of Knowledge. Implement statewide; 2,000 family child care providers and school-based administrators complete course by end of 2017.

**D1.5:** The Core Body of Knowledge web based resource tool will receive a minimum of 400 views annually by the end of 2014, 600 views annually by the end of 2015, 800 views annually by the end of 2016, and 1000 views annually by the end of 2017; The companion section of the New York works for Children website will receive a minimum of 400 views annually by the end of 2014, 600 views annually by the end of 2015, 800 views annually by the end of 2016, and 1000 views annually by the end of 2017; The Core Body of Knowledge Professional Development Planning Tool will be downloaded a minimum of 80 times in 2014, and 150 times annually 2015-2017.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable:** In recruiting its high-level professional development providers, New York will identify individuals who have experience both working in and delivering training and technical assistance to each type of Early Learning and Development program, including centers, family care homes, early childhood special education programs, early intervention, public prekindergarten, and the early childhood elementary grades K-2. New York will also work to help professional development providers be well-versed in how to use the Core Body of Knowledge for continuous quality improvement in different types of Early Learning and Development programs. With the assistance of regional *New York Works for Children* staff, professional development providers will be matched to the extent possible with the program types with which they have the most expertise. The course for professional

development providers on the Core Body of Knowledge will be open to those who provide training and technical assistance to each type of Early Learning and Development Program, helping to ensure that those programs will have access to training that is aligned with the Core Body of Knowledge. New York will gather resources as well as video of each type of Early Learning and Development Programs for the online resource tool.

**(i) How the State will meet the needs of Children with High Needs:** The Core Body of Knowledge addresses the knowledge, skills, and dispositions educators need to effectively support Children with High Needs. Aligning coursework, degree programs and credentials with the Core Body of Knowledge will ensure that early childhood educators are receiving higher education and professional development experiences that will help them support Children with High Needs. Improving the state’s capacity to provide high quality training and technical assistance will lead to improved educator competence, and in turn improved program quality. Regional *New York Works for Children* staff will coordinate professional development and help high-level professional development providers target their work toward staff working at programs serving Children with High Needs in their regions. The capacity of professional development providers in the state to deliver training and technical assistance aligned with the Core Body of Knowledge and to create professional development opportunities around the Core Body of Knowledge will be designed to improve educator competence so they are better able to meet the needs of Children with High Needs.

## **E. Measuring Outcomes and Progress**

(E)(1) Understanding the status of children’s learning and development at kindergarten entry.

The extent to which the State has a High-Quality Plan to implement, independently or as part of a cross-State consortium, a common, statewide Kindergarten Entry Assessment that informs instruction and services in the early elementary grades and that--

(a) Is aligned with the State’s Early Learning and Development Standards and covers all Essential Domains of School Readiness;

(b) Is valid, reliable, and appropriate for the target population and for the purpose for which it will be used, including for English learners and children with disabilities;

(c) Is administered beginning no later than the start of the school year ending during the fourth year of the grant to children entering a public school kindergarten; States may propose a phased implementation plan that forms the basis for broader statewide implementation;

(d) Is reported to the Statewide Longitudinal Data System, and to the early learning data system, if it is separate from the Statewide Longitudinal Data System, as permitted under and consistent with the requirements of Federal, State, and local privacy laws; and

e) Is funded, in significant part, with Federal or State resources other than those available under this grant (e.g., with funds available under section 6111 or 6112 of ESEA.)

**(a) Is aligned with the State’s Early Learning and Development Standards and cover all Essential Domains of School Readiness;**

In the same manner that the State’s elementary and secondary assessment programs contribute to our understanding of the skills and knowledge that students have, and perhaps more importantly, the areas where students need greater supports and services, a tool to determine a child’s skills at kindergarten entry will be developed by the State to improve learning outcomes and close achievement gaps. Through RTT-ELC, New York State will develop the Early Learning Inventory of Skills (ELIS) that is aligned to the New York State Early Learning Guidelines (Appendix B.1.4) and the *Prekindergarten Foundation for the Common Core* (Appendix B.1.5) and covers all Essential Domains of School Readiness: language and literacy development, cognition and general knowledge (including early mathematics and early scientific development), approaches toward learning, physical well-being and motor development (including adaptive skills, and social and emotional development). At its meeting on September 16, 2013 New York’s Board of Regents, responsible for the general supervision of all educational activities within the State, approved the development of the Early Learning Inventory of Skills (ELIS), which will meet these requirements and be implemented by the 2016-2017 school year.

At the present time, New York does not have a statewide kindergarten entry assessment that aligns to the State’s Early Learning and Development Standards and covers all the Essential Domains of School Readiness. There are, however, promising practices on which New York can build to fully implement a comprehensive kindergarten entry inventory statewide by 2016-2017.

- Regulations currently require the screening of every new entrant into public schools to determine whether students are possibly gifted, have or are suspected of having a disability, and/or are possibly limited English proficient (8 NYCRR Part 117). This screening consists of: a health examination; certification of immunizations; vision and hearing screenings; a determination of development in oral expression, listening comprehension, written expression, basic reading skills and reading fluency and comprehension, mathematical calculation and problem solving, motor development, articulation skills, and cognitive development using recognized and validated screening tools; and a determination whether the student is of foreign birth or ancestry and comes from a home where a language other than English is spoken.
- Many school districts already use some type of baseline measurement at the time of kindergarten entry, as evidenced by a 2010 statewide survey of the field conducted by SED. The data collected from this survey indicated, however, that these baselines are

- Many school districts already use some type of baseline measurement at the time of kindergarten entry, as evidenced by a 2010 statewide survey of the field conducted by SED. The data collected from this survey indicated, however, that these baselines are quite varied as to the domains of the children’s development that are measured and the type of tool used (such as formative, observation, ‘home-grown’ checklist or parent interview).
- The New York City Department of Education, the largest public school district in the State, is currently working with New York University and public agencies in the City and State as well as the ECAC to develop a common metric for four-year-old formative child assessments. The primary goal of the Common Metric Project is to support prekindergarten teachers in their use of research-based and developmentally appropriate assessments in their teaching and to make it possible to compare findings across programs throughout the State. The three tools selected for this project - Work Sampling System®, Teaching Strategies GOLD®, and High Scope COR - will be connected in a statistically meaningful way to strategically inform curriculum and instruction for preschoolers, and will serve to inform the professional development of educators.

Through RTT-ELC, the Regents and the State Education Department will build on their strong and widely recognized record of developing age-appropriate, reliable, valid assessments to develop the Early Learning Inventory of Skills (ELIS). The goal of the ELIS will be to establish an individual developmental baseline for each student, allowing educators, parents, and policymakers to more fully understand the level of skills, abilities and knowledge possessed by children at the time of kindergarten entry for the purposes of:

- Informing instruction in the kindergarten classroom by helping the teacher identify the best starting point to meet student specific needs;
- Supporting kindergarten teachers by providing information that can then be used for targeted professional development, including how to modify teaching strategies and the classroom environment to ensure that instruction is individualized and child-centered;
- Providing the data needed to better target professional development to Early Childhood Educators serving children prior to kindergarten, particularly Children with High Needs;

- Informing policy and allocating resources, where appropriate, to identify gaps in school readiness, either in children’s skills, particular developmental domains, or for particular populations and geographic areas in the State; and
- Informing parents about their children’s progress relative to age-appropriate milestones that will enable them to better support their children’s education.

The ELIS will provide information about which skills a child brings into kindergarten and how to better meet a student’s needs based on the skills they do and do not have. ELIS will have the power to provide the foundation for a systemic approach to improving student learning outcomes by providing information about children’s skills at kindergarten entry, as well as have the ability to drive alignment to the *Prekindergarten Foundation for the Common Core* and curriculum from a developmentally appropriate and rigorous starting point.

The ELIS will be a single point-in-time measure of the five Essential Domains of School Readiness, aligning with both the *New York State Early Learning Guidelines* (Appendix B.1.4) and the *Prekindergarten Foundation for the Common Core* (Appendix B.1.5). This tool will build on the required screening by providing more comprehensive baseline information about a child’s skills, abilities, and knowledge prior to beginning formal instruction in school. It will also reveal the range or span of abilities in each classroom, because baseline results indicate the best starting point for individual student instruction. These can be used to plan experiences that can also be aggregated and used at the classroom level to identify the strengths and needs of the group. Teachers will then be able to make informed decisions on instruction, as well as help parents see how they can best support their child’s learning.

To support the development of the ELIS, SED will ask the Board of Regents to appoint a Kindergarten Readiness Advisory Committee composed of educators, stakeholders, and providers to support the development and implementation of ELIS. The Advisory Committee will meet at least quarterly and make recommendations to SED on best practice for the assessment of young children as well as the content of ELIS. The Advisory Committee will also meet quarterly during year 2, when the ELIS is being piloted, to respond to any issues or questions that arise and to make recommendations for modifications to ELIS or the assessment process.

As outlined in the High Quality Plan, New York will also develop resources for teachers and parents to utilize the information provided by ELIS to support each child's unique needs. Targeted professional development opportunities and resources will also be created for kindergarten teachers and for teachers from ELDPs on how to modify teaching strategies and the classroom environment to ensure that care and instruction is individualized and child-centered.

**(b) Is valid, reliable, and appropriate for the target population and for the purpose for which it will be used, including for English learners and children with disabilities;**

The Regents have a rich history of developing age-appropriate assessment tools, including the highly regarded high school Regents Exams in English, Math, Science, US History and Global History. New York was among the first states to administer Common Core-aligned Grade 3-8 English language arts and mathematics assessments and is building Common Core aligned assessments in English language arts and mathematics at the high school level.

The development of ELIS will build on this tradition and expertise. As outlined in the High Quality Plan at the end of this section, the first two years of the grant period will be devoted to the development and piloting of ELIS, with particular attention to ensure that the tool is developmentally appropriate for all kindergarten-age children. To accomplish this, SED will ask the Board of Regents to create a Kindergarten Readiness Advisory Committee comprised of expert stakeholders from around the state (see Section (E)(1)(a)). The Advisory Committee will advise the Board and the Commissioner on the development of a proposal to design, develop, and implement the ELIS to be used to determine kindergarten readiness beginning in the 2016-2017 school year and to identify state and nationally used tools that may be appropriate for use in New York to be used in conjunction with the ELIS.

During the first year of the grant, SED and the Advisory Committee will thoroughly evaluate best practices in the field of kindergarten entry instruments, as well as carefully review and evaluate existing KEA from throughout New York. New York will participate in the Early Learning Collaborative Efforts Among States for the Enhanced Assessment Program for the Kindergarten Entry Assessment Consortium that was formed by Ohio and Maryland after the last Race to the Top-Early Learning Challenge grant competition to share knowledge and experience in the development and implementation of kindergarten entry instruments. New York will

participate as an advisory participant to ensure ELIS is informed by best practices from the field; from this Consortium New York will also have the benefit of expertise from other states as it is developing, piloting, refining, and implementing ELIS. From this collective work, the specific areas of Kindergarten entry will be established. Once the specific areas to be measured at Kindergarten entry have been established, SED will solicit a pool of item writers including experts in early childhood development and learning, experts in working with English language learners; and prekindergarten, kindergarten, and special education teachers from across the State. The Kindergarten Readiness Advisory Committee will be consulted throughout the development process and will provide particular attention to ensuring that ELIS is developmentally appropriate for all students, including English language learners and students with disabilities.

New York State is well-positioned to create a state-of-the-art assessment of kindergarten readiness from which educators will be able to make valid and reliable inferences about the degree to which students are prepared for subsequent phases of early childhood education. As noted above, New York State has been producing the well-known New York State Regents Exams for over 100 years, and is a leader in the national dialogue about K-12 assessments and alignment to the Common Core State Standards. Finally, New York State has a technical advisory committee that consists of many of the country's foremost experts on assessment design and psychometrics, and these experts would be tapped to assist with the development and validation of the new early childhood exam.

To ensure that valid and reliable inferences can be made from the exam, New York State will engage the most widely accepted approach to building rigorous and defensible exams, which is known as Kane's Argument-Based Validity Framework. Additionally, the development and validation of the exam will conform to the assessment industry's well-regarded Standards for Educational and Psychological Testing (AERA, APA, NCME, 1999). Using the argument-based framework for validation requires that New York State amass multiple varying types of evidence that the assessment is measuring that which it is intended to measure. This evidence will include, but is not limited to:

- *Content Validity Evidence*: Experts in early learning and child development will systematically examine the assessment to ensure it measures the domains as desired.

This will require the creation of a construction criteria checklist that articulates what is

expected from the assessment, as well as a back-translation process, in which an advanced draft version of the assessment is examined to ensure it covers the depth and breadth of the five domains.

- *Construct Validity Evidence:* As specified in the State’s work plan, the assessment will go through extensive piloting, and during this piloting a small subset of students will also take similar early childhood exams to ensure the new New York State exam is correlating in expected ways with similar (but often longer and more expensive) measures.
- *Predictive Validity Evidence:* To ensure the exam is predictive of future educational outcomes, various cohorts of students will be asked to take the new assessment during their PK year, and these students will then take other assessments of student learning and development in future years. The data yielded from these cohorts will be used to determine which aspects of the new assessment are predictive of positive student outcomes, as well as which areas are in need of further development to optimize the predictive nature of the assessment.
- *Internal Validity Evidence:* New York State will capitalize on the solid pilot plan for this assessment by amassing reliability and validity evidence that speaks to various psychometric qualities of the assessment, including internal consistency reliability, inter-rater agreement, the quality of item parameter estimate recovery (calibration), item difficulty, differential item functioning (i.e., bias), and dimensionality. Furthermore, the state will collect extensive validity evidence from students with disabilities and English language learners to ensure the test functions analogously for these students as with students from the general student population (a process known as psychometric invariance testing). This evidence will be used to scientifically understand how the assessment functions and how it can be continually improved.

Importantly, this represents only a subset of the types of validity evidence that will be collected for the new early childhood assessment. New York State will work with its existing assessment Technical Advisory Committee, as well as the committee of early childhood experts proposed in this document, to ensure there is an exceptional body of evidence to defend and continually develop this new assessment.

ELIS will be piloted in the fall of 2015 throughout a representative sample of school districts throughout the regions of the State. The exact parameters of the pilot will be defined in early 2015 and SED will ensure it includes significant numbers of Children with High Needs, to include children who are English language learners and children with disabilities. The pilot will include approximately 5,000 children sampled from a matrix that consists of demographic factors (including ELL and SWD status) and the State's six Need/Resource Capacity Categories. Additionally, a quality control check on the target sample will be conducted to ensure geographic representation. Target student samples for participation in this testing will be larger than other New York State assessments to ensure a sufficiently larger number of students from various developmental levels are captured in the sample. Prior to the initial pilot, and during the initial implementation stages, SED will provide substantial professional development and visit participating schools to support and monitor the process. The pre-pilot professional development will include a webinar that provides an overview of ELIS and how to administer the tool. This will include a description of its purpose, intended uses, what will be measured and how, and how much time it is estimated it will take to administer. In addition to the webinar, SED will issue early childhood assessment guidance providing an overview of screening, establishing a developmental baseline, progress monitoring, and appropriate summative assessment for young children, prekindergarten through grade 2. Additionally, staff will work with regional trainers for districts participating in the pilot to develop capacity to support districts statewide in anticipation of full implementation. The visits will also be used to better understand and inform statewide implementation and identify additional professional development and training needs.

SED will work with the Advisory Committee to interpret the results during the 2015-16 school year. The pilot will include rigorous evaluation to ensure the reliability and validity of ELIS and the tool's appropriateness for children entering kindergarten. This evaluation will include an item and assessment analysis, which includes estimation of reliability, calibration of new items, statistical assessment of bias and evaluation of inter-rater reliability. The research design will ensure the assessment meets the needs of Children with High Needs, particularly children who are English learners or who have disabilities.

To ensure that the results obtained are valid and reliable it is crucial that the tool is administered in accordance with age-appropriate best practices. School district administrators

will be responsible for ensuring that kindergarten teachers, as well as any other staff responsible for the administration of ELIS, are thoroughly familiar with ELIS, its purpose, scope, intended uses, and the instructions for proper administration, time to administer, and any supports teachers might need. Additionally, they will know how to use outcomes to inform instruction. SED will issue regular guidance so that school administrators can support kindergarten teachers as they modify instructional practice based on ELIS results. SED will also provide webinars, web-based resources and field training to both ensure reliability and to assist administrators in supporting their teachers.

**(c) Is administered beginning no later than the start of school year 2016 – 2017 to children entering a public school kindergarten; States may propose a phased implementation plan that forms the basis for broader statewide implementation;**

ELIS will be administered statewide to the approximately 203,000 entering kindergarteners at the start of the school year 2017-2018, with phased implementation starting in the 2016-17 school year. This phased implementation will include a pilot year, a year of optional participation, followed by a statewide administration of the inventory. For the optional year, New York State would leverage its existing psychometric and logistics mechanisms to identify schools that are interested in participating and provide the necessary materials and resources for their participation. SED has processes in place to survey schools for their interest in participating and these would be used for ELIS. For the census year, we expect to assess approximately 225,000 students; for the optional year, New York State will be prepared to offer ELIS to all students even though it would not be required.

New York State views implementation of the new kindergarten entry inventory to not only include effective administration of the tool, but ensuring early childhood and kindergarten teachers receive professional development informed by the results so they can effectively support the health and development of young children, particularly Children with High Needs. SED's Office of Early Learning, in consultation with partner agencies will develop training modules on the following topics: administering ELIS; how to accurately report ELIS results in the state longitudinal data system; communicating with parents and caregivers about ELIS; and using ELIS results to inform instruction. Modules on using ELIS results will involve several

components, including how to modify teaching strategies and the classroom environment to ensure that instruction is individualized, child-centered, and build on student strengths; coordination of the ELIS with Response to Intervention model; and working with English language learners and their families based on ELIS results.

SED, in consultation with partner agencies, will conduct regional train-the-trainer forums for Board of Cooperative Educational Services (BOCES), Big 5 school districts and others who provide professional development to school districts. Teachers and administrators will be able to access the modules through a variety of formats including: face-to-face training and technical assistance sessions; on-site training and coaching; telephone and e-mail support and web-based applications, such as EngageNY, SED's portal for professional development resources for teachers and administrators.

Most important, the development and use of ELIS will provide early elementary teachers with a more precise understanding of how to best meet a child's instructional needs at the beginning of their academic career. SED will analyze the ELIS data reported to the state longitudinal data system in a variety of ways to identify the most frequently occurring gaps in school readiness, either in particular developmental domains, or for particular populations and geographic areas of the State. Using this analysis, SED will work collaboratively with OCFS to target professional development to Early Childhood Educators serving children prior to kindergarten. Such professional development will focus on strengthening their understanding of the *Early Learning Guidelines* and *Prekindergarten Foundation for the Common Core*. Using information from the Early Learning Data System, particular attention will be paid to identifying and supporting early childhood educators who work with significant numbers of Children with High Needs (Head Start, Early Head Start and ELDPs serving children receiving child care subsidies, located in areas served by PLA schools and located in areas of the State identified as high need), as well as those serving significant numbers of children with disabilities and children who are ELLs.

OCFS and *New York Works for Children* will coordinate the interagency development of training modules and/or resources focused on areas of need that can be used by staff developers, program administrators, child care resource and referral agencies, infant-toddler resource centers, institutions of higher education, the QUALITYstarsNY professional development system, and

others who work with Early Childhood Educators. OCFS will collaborate with SED to ensure that the content of the training modules is such that this professional development can be used to help Early Childhood Educators meet the statutorily required training hours and are reflective of research-based best practices. These professional development efforts will build on the existing OCFS training opportunities for regulated child care providers, including the use of videoconferencing, on-site technical assistance, and the Educational Incentive Program (EIP).

Because participation in ELIS will be optional in 2016-17, SED will be prepared to provide professional development to approximately 700 teachers; in the 2017-18 school year, when all districts will participate, professional development will also be provided to approximately 9,600 kindergarten teachers in 696 public school districts and 209 charter schools. Approximately 150,000 Children with High Needs will benefit across New York by 2017. Training will be provided via webinars, other web-based resources, and regional trainers supported by SED.

**(c) Is reported to the Statewide Longitudinal Data System, and to the early learning data system, if it is separate from the Statewide Longitudinal Data System, as permitted under and consistent with the requirements of Federal, State and local privacy laws**

School districts will report the ELIS results to SED's Statewide Longitudinal Data System (SLDS). SED's SLDS currently collects information on students P-12 (preschool students with disabilities, UPK students, and K-12 students) and has linked to New York State and New York City public universities to include postsecondary student information. SED is also currently working with New York State Department of Health, Department of Labor, Department of Tax & Finance, and Department of Defense to enhance the State longitudinal data system linkage with the New York State Department of Health, Bureau of Early Intervention to provide information on students who received early intervention services prior to entering SED's P-12 education system. Creating a linkage with Department of Labor, SED, Tax & Finance will provide information on the number of students who gained employment upon leaving high school or postsecondary school. Military data will provide information on the number of students who joined the military after exiting the P-12 education system. Once initial linkages are made and ELIS data are available in the data system, it could be linked to these other data sets to create a more complete longitudinal picture of a student; these linkages are expected by Fall 2014.

SED is developing a Public Data Access Site that would provide public access to aggregate reports and research files of the datasets being collected in the state longitudinal data system. This would allow various stakeholders (researchers, policy makers, school administrators, etc.) access to data that is necessary to improve education in any number of areas. A few of the datasets that will be included on the site at the time of release will include Teacher and Leader Evaluation data, Enrollment data, and Higher Education Profile Reports. This would serve as the vehicle for sharing aggregate ELIS reports with the pertinent stakeholders.

This integration of ELIS into New York's existing state longitudinal data system will expand the impact of the ELIS by enabling school districts, SED, OCFS, and other partners to identify areas of need for professional development as well as improve collaboration around transition points from ELDPs to kindergarten.

ELIS data will support administrators and kindergarten teachers by providing them information, over time, about what schools need to do to be ready to meet the needs of incoming kindergarteners based on their prior experiences and the results of the ELIS. ELIS would be scored locally, meaning teachers and administrators would have immediate access to preliminary data. Overall scores and item information would be reported to the State. The State would do additional analysis of the inventory and its items and then reports and extracts of the final results would be shared back with the districts, using a process similar to what is currently used for grade 3-8 State exams.

This collaboration will provide data that will promote a continuum of targeted and appropriate services to all children, and it will especially benefit those Children with High Needs. These supports will be determined based on ELIS results but will likely include guidance on curriculum and instruction, web-based resources including supports for parents to enable them to be actively engaged in their children's learning.

ELIS data will also enable SED, in collaboration with OCFS and the other participating agencies, to use the aggregated analysis of ELIS outcomes to develop reports that will be widely available to both parents and the public in general. Reporting will never include child- or program/provider-level data, but will provide a population-level overview of the skills, abilities and knowledge possessed by children in New York at the time of kindergarten entry. It will identify where children are well prepared and where there are gaps in children's skills either in

particular domains or for particular populations and geographic areas in the State. OCFS will use this report as the basis for the development of an annual interagency action plan for remediation of the identified gaps. It will be prohibited for ELIS results to be used to prevent children’s entry into kindergarten or make other high-stakes decisions for children, early childhood educators, administrators or programs.

SED will require that school districts share ELIS results with parents so that they can be actively engaged in supporting their children’s learning. ELIS results will be shared in the parent’s preferred language and include information on how to support children’s learning and development at home.

ELIS data will also be used to identify commonly occurring deficits in children’s skill acquisition prior to entering kindergarten; identify professional development needs at the prekindergarten level statewide, and to inform higher education about how to facilitate better teacher preparation.

**(d) Is funded, in significant part, with Federal or State resources other than those available under this grant, (e.g. with funds available under section 6111 or 6112 of the ESEA)**

State General Fund support will fully cover the \$2,225,324 cost of the development, pilot, refinement and implementation of ELIS. In addition to this amount, the State will assume indirect and fringe costs associated with two staff positions funded under ELIS.

**High Quality Plan**

<b>Goal E1.1: Create Kindergarten Readiness Advisory Committee to and advise on the development of the Early Learning Inventory of Skills (ELIS).</b>													
<b>Key Activities and Milestones</b>	<b>Year 1</b>			<b>Year 2</b>			<b>Year 3</b>			<b>Year 4</b>			
	Quarters	Quarters	Quarters	Quarters									
<b>Key Activity E1.1.1: Identify and appoint Advisory Committee participants.</b>													
<i>Identify key leaders in ECE, child assessment, Children with High Needs, in NY and nationally</i>	X												
<i>Solicit participation, ensuring diversity of participants</i>	X												

<i>Finalize membership of Advisory Committee</i>	X																
<b>Key Activity E1.1.2:</b> Ensure Advisory Committee participants fully prepared to support effective development of ELIS: Jointly orient participants and appropriate SED staff to the vision and goals of ELIS, requirements for a KEA as outlined in Race to the Top Early Learning Challenge Grant application.																	
<i>Develop orientation for Advisory Committee members: vision and goals of ELIS, requirements for a KEA as outlined in Race to the Top-Early Learning Challenge Grant application</i>	X																
<i>Complete orientation meeting</i>	X																
<b>Key Activity E1.1.3:</b> Advisory Committee will meet at least quarterly to support development and implementation of ELIS.																	
<i>Advisory Committee will meet at least quarterly</i>	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<u>Rationale:</u> To ensure that the tool developed is grounded in best practice and informed by what is already going on in the field, as well as representative of a broad range of perspectives and expertise.																	
<b>Goal E1.2: SED, in partnership with the Advisory Committee, review best practices from New York and other states.</b>																	
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>				
	Quarters				Quarters				Quarters				Quarters				
<b>Key Activity E1.2.1:</b> Review best practices in KEA from other states.																	
<i>Gather literature reviews and other documents on best practices and recommendations on kindergarten entry tools</i>	X																
<i>Gather kindergarten entry tools from other states</i>	X																
<i>Compile these resources in Briefing Books for each Advisory Committee member to support their work.</i>	X																
<b>Key Activity E1.2.2:</b> Review New York’s Early Learning and Development Standards to identify the skills, abilities and knowledge base from each of the Five Essential Domains of School Readiness that will be measured by the ELIS.																	

<i>Identify key skills, abilities and knowledge base from each of the Essential Domains of School Readiness and the Early Learning and Development Standards</i>	X																
<b>Key Activity E1.2.3:</b> Monitor and stay informed about the activities of the Early Learning Collaborative Efforts Among States for the Enhanced Assessment Program for the Kindergarten Entry Assessment for possible implications and applicability to ELIS development.																	
<i>Join mailing list and listserv; audit webinars or conference calls when topics are of particular interest or applicable to State’s activities; network with colleagues from other states to ask questions on key areas of ELIS work; review minutes and work products; bring items of note to attention of SED managers and the Board of Regents.</i>	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Key Activity E1.2.4:</b> Survey school districts, including administrators, principals and teachers to better understand the tools currently being used throughout the State.																	
<i>Develop survey for districts, with questions for administrators, principals and teachers</i>	X																
<i>Distribute survey</i>	X																
<i>Analyze results</i>		X															
<i>Present results to Advisory Committee</i>		X															
<b>Key Activity E1.2.5:</b> Survey school districts, including administrators, principals and teachers to better understand the tools currently being used throughout the State																	
<i>Provide information on Common Metric in Briefing Book</i>	X																
<i>Presentation on Common Metric for SED, Advisory Committee at Advisory Committee meeting</i>		X															
<b>Key Activity E1.2.6:</b> Review research and recommendations on how to best structure a KEA.																	

<i>Gather best practices and recommendations for Advisory Committee Briefing Book</i>	X																	
<i>National expert in KEA, with understanding of vision and goals of ELIS, present on best practices in KEA and have a working session with Advisory Committee, SED</i>		X																
<b>Rationale:</b> To ensure the ELIS is informed by best practices and addresses the specific needs of New York State. Through the participation of the Advisory Committee, New York will ensure that key stakeholders have an opportunity for input and to build support, as well as to add credibility to the process and outcomes.																		
<b>Goal E1.3: SED, in partnership with the Advisory Committee, develop ELIS.</b>																		
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>					
	Quarters				Quarters				Quarters				Quarters					
<b>E1.3.1: Form Test Design Team</b>																		
<i>Form test design team and finalize project charter</i>	X																	
<i>Cultivate relationship between design team and New York's Content Advisory Panels (which include early childhood and elementary educators), the State's assessment Technical Advisory Committee, and the state's partners at the Regents Research Fund.</i>																		
<b>Key Activity E1.3.2: Test Design</b>																		
<i>Develop claims</i>	X	X																
<i>Vet claims with stakeholders</i>	X	X																
<i>Create evidence statements</i>	X	X																
<i>Articulate task models</i>		X																
<b>E1.3.3: Proof of Concept</b>																		
<i>Create prototype examples of the assessment that will eventually be developed for the student population</i>		X																
<i>Create exemplar 1 with distinct criteria for each of the domains specified</i>		X																

<i>Create exemplar 2 with distinct criteria for each of the domains specified</i>																	
<i>Create exemplar 3 with distinct criteria for each of the domains specified</i>		X															
<b>Key Activity E1.3.4: Implement Pilot</b>																	
<i>Implement prototypes that result from the proof of concept phase.</i>		X															
<i>Implement limited pilot</i>																	
<i>Conduct cognitive interviews with pilot students</i>		X	X														
<i>Review results and record actionable adjustments to test design</i>		X	X														
<i>Determine what adjustments need to be made to the assessment to ensure it can be administered in an operational setting and is developmentally appropriate.</i>																	
<i>Learn how the prototypes function so we can build this knowledge into the actual development of the final instrument.</i>																	
<p><u>Rationale:</u> To ensure that industry-standard practices are used in the development of the ELIS and thereby have a product that is psychometrically defensible, developmentally appropriate, operationally feasible, and that adds educational value.</p>																	
<b>Goal E1.4: Pilot ELIS in school districts throughout the regions of the state.</b>																	
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>				
	Quarters				Quarters				Quarters				Quarters				
<b>Key Activity E1.4.1: Identify Pilot Samples</b>																	
<i>Lock down sampling variables</i>				X													

<i>Create a matrixed sampling plan that specifies sampling cells based on key demographic data, English language learner, students with disability status, and Need Resource Centers (New York State-specific grouping variables that allow for regional and SES-based sampling)</i>				X														
<i>Consult with technical advisory committee on sampling design</i>				X														
<i>Finalize sampling plan</i>				X														
<b>Key Activity E1.4.2: Conduct Professional Development</b>																		
<i>Create professional development sessions: series of live webinars that are recorded and publicly posted on the state's Web site</i>				X														
<i>Develop informational webinars to educate other stakeholders about the myths and realities of the new ELIS</i>																		
<i>Conduct test administration trainings</i>				X				X				X						X
<i>Conduct stakeholder webinars</i>				X				X				X						X
<b>Key Activity E1.4.3: Hold Pilots</b>																		
<i>Pick, pack, and deliver to pilot sites based on the sampling matrix</i>				X														
<i>Sampled locations conduct pilots, using SED proven field-testing process that is familiar to schools in the state and will be easily implemented for early childhood students.</i>					X													
<b>Key Activities E1.4.4: Conduct Survey of Test Administrators</b>																		
<i>Create evaluation tool</i>				X														
<i>Conduct surveys of test administrators</i>					X													
<i>Analyze results; identify actionable items</i>					X													

<i>Use survey results to inform both the future test design and the final operational administration protocols.</i>																			
<p><b>Rationale:</b> To ensure the ELIS is valid and reliable and appropriate for the intended population. The sampling plan will be devised such that we will minimize the number of students who must take pilots (a key goal of the state, which ensures maximizing actual instructional time) by leveraging the State’s Technical Advisory Committee to ensure the sampling plan is as streamlined as possible to meet the goals of the program.</p>																			
<p><b>Goal E1.5: Develop tools to support the professional development of kindergarten teachers, including how to modify teaching strategies and the classroom environment to ensure that instruction is individualized and child-centered.</b></p>																			
Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4						
	Quarters				Quarters				Quarters				Quarters						
<p><b>Key Activity E1.5.1:</b> Analyze results of field study/results as ELIS is phased in and reported into the state longitudinal data system (SLDS).</p>																			
<i>Data extract will be pulled from the state longitudinal data system.</i>								X											
<i>Analyses will be conducted on the field study results.</i>								X											
<i>Findings from analyses will be summarized in a report and shared with SED program office.</i>								X	X										
<p><b>Key Activity E1.5.2:</b> Create training modules and web-based resources for school leaders and kindergarten teachers.</p>																			
<i>Program office will use report to identify topics for additional training and technical assistance resources, as well as specific regional issues/needs.</i>									X	X									
<i>Identify any existing web-based resources or training curricula that address identified topics.</i>									X	X									
<i>Identify gaps and develop new resources and curricula to address the gaps.</i>									X	X									
<p><b>Key Activity E1.5.3:</b> Conduct regional turn- key training.</p>																			

<i>Identify turn- key trainers through outreach to BOCES network teams already in place for other RTTT activities.</i>								X	X								
<i>Conduct train the trainer forums.</i>										X	X	X					
<i>Identify districts that need additional supports and connect with turn-key trainers</i>										X	X	X	X	X	X	X	X
<b>Rationale:</b> To ensure appropriate administration and use of ELIS so that kindergarten teachers can effectively support the health and development of young children, particularly children with high needs.																	
<b>Goal E1.6: Develop tools to support the professional development of Early Childhood Educators serving children prior to kindergarten, particularly Children with High Needs.</b>																	
<b>Activities</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>				
	Quarters				Quarters				Quarters				Quarters				
<b>Key Activity E1.6.1:</b> Analyze data from the State longitudinal data system to identify most frequently occurring gaps in school readiness either in particular developmental domains and/or for specific populations or geographic locations of the State																	
<i>Identify frequently occurring gaps in each of the five domains of school readiness on a Statewide and regional basis</i>										X	X				X	X	
<i>Identify frequently occurring gaps in readiness for subgroups of the kindergarten population – ELLs, SWD, and racial/ethnic groups</i>										X	X				X	X	
<b>Key Activity E1.6.2:</b> Using analysis SED will work collaboratively with OCFS to identify professional development needs, develop training materials and resources for early childhood educators																	
<i>Identify professional development needs of early childhood educators that address the identified gaps</i>											X					X	



<p><b>Rationale:</b> These professional development resources and trainings will be designed to strengthen the instruction received in settings prior to kindergarten in order to improve the school readiness of children leaving such programs. The professional development will focus on strengthening early childhood educators’ understanding of the Early Learning Guidelines and Prekindergarten Foundation for the Common Core as well as expanding the range of instructional strategies in the repertoire of early childhood educators.</p>																
<p><b>Goal E1.7: Develop tools for informing parents about their children’s progress relative to age-appropriate milestones that will enable them to better support their children’s education.</b></p>																
Key Activities and Milestones	Year 1				Year 2				Year 3				Year 4			
	Quarters				Quarters				Quarters				Quarters			
<p><b>Key Activity E1.7.1:</b> SED will develop a policy that school districts must share ELIS results with parents of kindergarten students as well as provide parents with strategies to support their children’s learning and development.</p>																
<i>Meet with key stakeholders to specify purpose and scope of the desired policy.</i>				X												
<i>Establish work group to develop policy.</i>				X	x	x										
<i>Share draft policy with representatives from districts and other state agencies</i>						x										
<i>Use responses to modify policy and obtain approval for implementation.</i>						x										
<p><b>Key Activity E1.7.2:</b> SED will implement a policy that school districts must share ELIS results with parents of kindergarten students as well as provide parents with strategies to support their children’s learning and development.</p>																
<i>Share policy with districts.</i>							x									
<i>Develop guidance to assist districts in sharing ELIS results with parents</i>							x	x								
<i>Develop professional development and other resources to support district sharing of ELIS results with parents</i>							x	x								
<i>Develop web-based resources for districts and kindergarten teachers on how to share ELIS results with parents</i>							x	x								

<b>Key Activity E1.7.3:</b> SED, in partnership with other Participating State Agencies (OCFC, DOH, etc.), will lead the development of resources to engage parents in supporting their children’s learning and development.																
<i>Establish interagency work group to identify needed resources and supports for parents.</i>																
<i>Develop resources for parents aligned with the Common Core Learning Standards for Kindergarten.</i>																
<i>Pilot resources developed for families</i>																
<i>Refine based on feedback</i>																
<i>Make resources available statewide</i>																
<b>Rationale:</b> Research shows that children are more successful when parents are actively engaged in their education. Providing supports to parents maximizes the opportunity for schools and parents to work together to support children.																
<b>Goal E1.8: Develop and implement systems for using ELIS data to inform policy and allocate resources, where appropriate, to identify gaps in school readiness, either in children’s skills, particular developmental domains, or for particular populations and geographic areas in the State.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity E1.8.1:</b> Collect ELIS data in the state longitudinal data system.																
<i>Develop the template for districts to submit data to the state longitudinal data system.</i>																
<i>Provide guidance to the field related to data reporting</i>																
<b>Key Activity E1.8.2:</b> Produce data reports on SED’s public data access site for use by stakeholders for research and policy decision making.																
<i>Determine business rules for the report</i>																
<i>Develop the reports for the public data access site</i>																
<i>Quality Control Reports – ensure data is accurate -</i>																
<i>Release reports to the public</i>																
<b>Key Activity E1.8.3:</b> Produce data reports on SED’s public data access site for use by stakeholders for research and policy decision making.																



<i>BOCES and other regional trainers provide training to school leaders and kindergarten teachers.</i>									x											
<b>Key Activity E1.9.3:</b> Collect and analyze student specific results using the P-12 state’s regional and centralized data systems.																				
<i>Kindergarten teachers administer ELIS.</i>																			x	
<i>Specific student results reported to P-12 data system.</i>																			x x	
<i>Data analyzed and fed back to school districts.</i>																			x X	
<b>Key Activity E1.9.4:</b> Support teachers in using ELIS results to inform instruction for individual children.																				
<i>Teachers are supported in using results to establish best starting point for individual children.</i>																			X x X x x x	
<u>Rationale:</u> A phased-in implementation will provide school districts with flexibility to be strategic about incorporating this new requirement into their work plans.																				
<b>Goal E1.10: Implement ELIS statewide in 696 public school districts and 209 charter schools with approximately 9,600 kindergarten teachers and 203,000 incoming kindergartners annually.</b>																				
<b>Key Activities and Milestones</b>	<b>Year 1</b>					<b>Year 2</b>					<b>Year 3</b>					<b>Year 4</b>				
	Quarters					Quarters					Quarters					Quarters				
<b>Key Activities E1.10.1:</b> Provide training and technical assistance to school leaders and kindergarten teachers who will administer ELIS with special focus on high need school districts																				
<i>Provide all districts with information about ELIS – its intended use, instructions and guidelines for administration, how to report results and how to use results to support instruction.</i>																			x	
<i>Prepare BOCES and regional trainers to provide professional development to school leaders and kindergarten teachers, especially those first implementing in 2016-17.</i>																			x	



- E1.4:** SED (activities E1.4.1 – E1.4.4); SED Technical Advisory Committee (E1.4.1); supplemental vendor support (activities E1.4.1 - E1.4.4); New York State schools (E1.4.3); New York State educators (E1.4.3 - E1.4.4).
- E1.5:** SED (activities E1.5.1, E1.5.2, E1.5.3); BOCES network teams (activity E1.5.3)
- E1.6:** SED (activities E1.6.1 – E1.6.4); OCFS (activities E1.6.2-E1.6.4); CCRR staff (activity E1.6.4)
- E1.7:** SED (activities E1.7.1, E1.7.2); OCFS, CCRR staff, QUALITYstarsNY staff, CCF (activity E1.7.3)
- E1.8:** SED (activities E1.8.1, E1.8.3); ECAC (activity E1.8.2)
- E1.9:** SED (Activities E1.9.1 – E1.9.4); BOCES and regional trainers (activity E1.9.2 and E1.9.4); Kindergarten teachers and school leaders (activities E1.9.3 and E1.9.4)
- E1.10:** SED (activities E1.10.1—E1.10.3); BOCES and regional trainers (activities E1.10.1 and E1.10.3); kindergarten teachers and school leaders (activities E1.10.2 and E1.10.3)

**(e) Appropriate financial resources:**

State General Fund support will fully cover the \$2,225,324 cost of the development, pilot, refinement and implementation of ELIS. In addition to this amount, the State will assume indirect and fringe costs associated with two staff positions funded under ELIS.

E1.1	Create and Orient Advisory Council	\$36,266
E1.2	Review Best Practices	\$172,532
E1.3	Develop ELIS	\$758,799
E1.4	Field Test ELIS	\$636,266
E1.5	Develop PD Tools - K Teachers	\$172,532
E1.6	Develop PD Tools - Early Childhood Educators	\$122,532
E1.7	Develop PD Tools - Parents	\$36,266
E1.8	Develop Systems to Inform Policy	\$72,532
E1.9	Phased in Implementation of ELIS	\$72,532
E1.1	Statewide Implementation of ELIS	\$145,065
Total		\$2,225,324

**(f) Supporting evidence:** N/A

**(g) Performance measures:** No tables for this section.

*Additional Performance Measures:*

- E1.1:** Advisory Committee selected and appointed and meets as specified (quarterly years one and two, bi-annually years three and four). Copies of minutes and attendance records will be maintained on file.
- E1.2:** Briefing Books; Activity #1.2.2 list of key skills in each of the Essential Domains of School Readiness and the Early Learning and Development Standards (E1.2.1 and E1.2.5); Survey and summary of results (E1.2.3)
- E1.3:** Activity E1.3.1 (Form Test Design Team): Finalized roster of test design team members that meets SED’s expectations for expertise and representativeness; project plan that stipulates timelines and responsibility matrix for stakeholders. Activity E1.3.2 (Test Design): Vetted and finalized claim statements developed through process endorsed by SED’s technical advisory committee and determined as age appropriate by developmental experts; finalized evidence statements; task models that adhere to specified quality control protocol akin to the item criteria checklists employed for SED’s 3-8 exams. Activity E1.3.3 (Proof of Concept): Finalized prototypes / exemplars that adhere to task models.
- E1.4:** Activity E1.4.1 (Identify Field Test Sample): Finalized and quality controlled sampling plan and matrix that has been reviewed by the Technical Advisory Committee for reasonableness and statistical rigor. Activity E1.4.2 (Conduct Professional Development): The completion of a sufficient number of test administration trainings and stakeholder webinars. E1.4.3 (Hold Field Tests): The intake of a sufficient number of field test responses to proceed with assessment development; the intake of sufficiently representative field test responses per the planned sampling matrix (especially for English Language Learners and students with disabilities). E1.4.4 (Conduct Survey of Test Administration): Intake of sufficient surveys to make inferences about administration; favorable ratings on the actual survey from respondents.
- E1.5:** Hits to website/web-based resources; attendance and agendas at turnkey trainer events; surveys on how helpful resources are.
- E1.6:** Activity E1.6.1: Lists of identified gaps disaggregated by geographic regions and by population subgroups. Activity E1.6.2: List of professional development needs for early childhood professionals; training materials and resources in a variety of formats; curriculum, registration/attendance lists and participant evaluations for train-the-trainer sessions. Activity

E1.6.3: Criteria for identifying an early childhood provider as one serving significant numbers of high need children; list of such providers within each regional of the State.

Activity E1.6.4: tape of video-conference presented for licensed/registered early childhood providers and registration/attendance lists; copies of web-based resources that were posted and list of links to each; schedule of regional training sessions and on-site coaching/mentoring; registration/attendance lists and participant evaluations

**E1.7:** Activity E1.7.1: The Board of Regents approves a policy requiring school districts to share ELIS results with parents of kindergarten students prior to the pilot year of ELIS. Activity E1.7.2: SED staff develops guidance for the field on sharing ELIS results with parents effectively by the first quarter of year 2 to support the pilot. Activity E1.7.3 Resources to assist parents in working with their children at home is issued by collaborating agencies by the second quarter of year 2 and is widely disseminated. Activity E1.7.4 Reports on ELIS results statewide are posted on SED's website and QUALITYstarsNY, and distributed at UPK, Head Start, and other child care agencies for distribution to parents.

**E1.8:** Of the districts piloting the ELIS, 70% will report data to the state longitudinal data system; of the districts participating in year 3, 85% will report data to the state longitudinal data system; year 4, 100% reporting to the state longitudinal data system.

**E1.9:** Activity E1.9.1: Copies of technical assistance memos and web postings. Activity E1.9.2: Training curricula, registration/attendance forms. Activity E1.9.3: ELIS data from P -12 data base; copies of reports fed back to district. Activity E1.9.4: Reports from BOCES and regional trainers.

**E1.10:** Activity E1.10.1: Copies of technical assistance memos and web postings; training curricula, registration/attendance forms. Activity E1.10.2: ELIS data from P -12 data base; copies of reports fed back to district. Activity E1.10.3: Reports from BOCES and regional trainers.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable:** After getting initial ELIS results SED and OCFS will develop professional development opportunities and resources for professionals in ELDPs. These resources will be designed to help them address the most frequently occurring gaps in school readiness, either in particular developmental domains, or for particular populations and

geographic areas of the State. These resources will be designed to address the needs of different types of Early Learning and Development Programs, to include Universal Prekindergarten programs, Head Start and Early Head Start programs, and school-based programs, centers and family child care homes serving children living in poverty and children with special needs.

**(i) How the State will meet the needs of Children with High Needs.** Representation on Advisory Committee will include experts who work with children with disabilities, English language learners, and children living in poverty, among others. The assessment design methodology chosen for the ELIS is ideal for ensuring the final assessment is appropriate for students with high needs due to the strategic development process that relies on claims, evidence statements and task models that collectively reinforce the creation of final assessments that are developmentally appropriate. That is, unlike traditional assessment designs that have ad hoc quality control measures to ensure students with high needs can access the assessment content and receive valid scores from the assessment, the ELIS will have a test development process in which the learning trajectories of high needs students are integrated into the allowable assessment items that are governed by task models. In addition to being designed using Evidence Centered Design, the ELIS will be administered during both the field and operational tests with extensive accommodations available to qualified high needs students. While the trainings and resources will be available to all school districts in the State, particular focus and emphasis will be given to ensuring that the unique concerns of working with Children with High Needs are addressed. To this end, SED will seek input from individuals in the field to ensure best practice on working with children with disabilities, children who are English language learners and children living in poverty is incorporated. ELIS will provide kindergarten teachers with information that helps them adjust instruction to better meet the needs of all children, including children with high needs. ELIS will provide kindergarten teachers with information that helps them adjust instruction to better meet the needs of all children, including children with high needs.

Priority 4: Competitive Preference Priority: Creating Preschool through Third Grade Approaches to Sustain Improved Early Learning Outcomes through the Early Elementary Grades

New York State has long viewed early childhood education as a birth - age 8 continuum and remains committed to strengthening the relationship between early and primary education to

improve the overall quality, alignment, and continuity of teaching and learning to serve all children through third grade and to sustain improved early learning outcomes through the Early Elementary Grades. In responding to the Competitive Preference Priority, New York will continue to build on significant momentum to create preschool through grade three approaches that create continuity, smooth transitions, and sustain early learning outcomes. The funding to complete this work is either already funded by different projects in New York or is included in the budgets of other sections of this proposal.

As far back as the late 1960's, New York launched the "Experimental Prekindergarten" program located in public schools to bridge the experience a young child and his or her family had with the intention to sustain the early learning outcomes through the early elementary grades. This inspired the State to develop a Universal Prekindergarten program in 1997 that continues to be widely supported. In 2004, New York established a Birth - Grade Two Teacher Certification acknowledging that teachers of children birth through age eight could make significant impact to sustain improved learning outcomes through the early elementary years. Throughout this grant application New York proposes integrated High Quality Plans that further build a continuum of success for children from the early years through their primary classroom experiences.

## **VII. COMPETITION PRIORITIES**

### **Priority 4: Competitive Preference Priority –Creating Preschool through Third Grade Approaches to Sustain Improved Early Learning Outcomes through the Early Elementary Grades.**

#### **a) Enhancing the State's kindergarten-through-third-grade standards to align them with the State's Early Learning and Development Standards across all Essential Domains of School Readiness;**

In an effort to support the P-3 alignment while also allowing for rigorous learning experiences through grade 3, New York's existing *Early Learning and Development Standards* will be extended through age 8, providing guidance and support to primary teachers for making decisions about how best to promote student development and learning (see High Quality Plan in C.1). This will enhance the Common Core Standards through grade 3, by providing guidance to

educators on working with early elementary students across all of the essential developmental domains: Approaches to Learning; Physical Development and Health; and Social and Emotional Development. The New York State Board of Regents recognizes the *Prekindergarten Foundation for the Common Core* as the document that prekindergarten teachers use for implementation of the Prekindergarten Common Core Learning Standards in New York State. This document aligns with the *Early Learning and Development Standards* as well as the New York State K – 12 Common Core Standards. The Board of Regents’ policies support approaches to learning that look at the whole child, as evidenced by their adoption of *Guidelines and Resources for Social and Emotional Development and Learning in New York State* (<http://www.p12.nysed.gov/sss/sedl/SEDLguidelines.pdf>). The Office of Early Learning will collaborate with the ECAC to support the extension of the Early Learning Guidelines through age 8, in coordination with *New York Works for Children*, and the Early Childhood Professional Development Institute at CUNY. There is also a plan to train primary teachers to use the extended Early Learning Guidelines successfully, outlined in the High Quality Plan in section (C)(1)

**(b) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs from preschool through third grade, and building families’ capacity to address these needs;**

Key State Education Department (SED) leadership representatives serve as members on the State’s Early Childhood Advisory Council (ECAC). This critical association brings leadership from state agencies together to consider ‘the whole child’ and to approach Children with High Needs through a comprehensive lens. Throughout the ECAC’s work and New York’s RTT-ELC proposal there is an emphasis on health, behavioral, and developmental needs and the SED, serving children from preschool through third grade, is an integral partner. This broader approach to public education is evident in specific models throughout the state. New York has learned much from the Harlem Children’s Zone model and looks to the Promise Zones for scalable solutions. These models acknowledge the dynamic effect of a full complement of services, where the entire community is engaged and mobilized in the health, mental health, social –emotional development, and early learning of its youngest students.

The New York City Department of Education's (NYCDOE) FirstStepNYC initiative is another model being carefully followed. FirstStepNYC, a public-private partnership with the NYCDOE, New York City Administration for Children's Services, and SCO Family of Services, was created to promote comprehensive services, including early learning, health and family engagement from the earliest points possible. FirstStepNYC is the first state-of-the-art early education center in New York providing high quality education services to Children with High Need, ages six weeks to five years, intentionally co-located in a public K-8 school in Brownsville, one of New York's most needy communities. The Center Director and the School Principal have already formed a partnership that will serve to establish strategies to sustain improved early learning outcomes through the Early Elementary Grades and into Middle School. Classrooms are arranged in 'neighborhood' clusters to support smooth transitions for children across the birth-age 5 continuum and strengthen relationships among teachers and families. Co-location at Public School/Intermediate School 41, a K-8 elementary school in Brownsville, Brooklyn, allows for ongoing collaboration with the K-8 school; provides smoother transitions for children into kindergarten; familiarizes families with the neighborhood school and empowers them to fully participate in their children's education from the beginning.

FirstStepNYC and PS/IS41 leadership will work together on shared professional development for early childhood and K-3rd grade teaching staff, continuity of family support services, shared use of common space, and shared community service activities. FirstStepNYC will use Solution-Based Casework, an innovative, evidence-based family support program, to create strong partnerships with families focused on ensuring the safety and well-being of children. Each family will be assigned a Family Support Specialist. These partnerships with city and federal early childhood agencies and the program's unique co-location at a K-8 school enable FirstStepNYC to serve as a demonstration site for both high quality early education in the highest need communities and strong collaborations between early childhood programs and elementary schools focused on ensuring gains made before kindergarten persist. Unique identifiers are provided to children upon enrollment, at infancy and follow the child through his or her public school experience, enabling the NYCDOE to monitor approaches designed to sustain improved early learning outcomes through the early elementary grades, and beyond.

The High Quality Plan for this section includes a Goal to study and analyze the FirstStepNYC model to identify successful strategies, to determine steps to partial or full replication and expansion, and to consider establishing satellite sites.

**(c) Implementing teacher preparation and professional development programs and strategies that emphasize developmental science and the importance of protective factors, pedagogy, and the delivery of developmentally appropriate content, strategies for identifying and addressing the needs of children experiencing social and emotional challenges, and effective family engagement strategies for educators, administrators, and related personnel serving children from preschool through third grade;**

Institutions of higher education in New York currently offer a Birth-Grade 2 Teacher Certification that enables individuals interested in early and primary education to focus their studies on children from birth to age eight. New York's competency-based *Core Body of Knowledge* was written with early childhood education faculty, professional development providers, and early childhood practitioners and spells out what early childhood teachers need to know and be able to demonstrate in order to succeed, especially with Children with High Needs.

Faculty teaching courses in the Birth-Grade 2 Teacher Certification programs across the state use the *Core Body of Knowledge* to inform their course outlines, their assessment of students' competencies, and to design meaningful field experiences. The *Core Body of Knowledge* is aligned with the New York State Teaching Standards. The New York State Teaching Standards and their Elements and Performance Indicators are grounded in educational and developmental research as well as in cognitive and psychosocial theories of child and adolescent development and learning. They are informed by best practices in teaching, student learning, and creating learning environments to optimize student potential and achievement. They were put in place to support and enhance positive outcomes in children's learning and outline what teachers should know and be able to do.

Together, the Teaching Standards and the *Core Body of Knowledge* provide the foundation for teachers to be successful and to sustain improved early learning outcomes through the early elementary grades. Professional development experiences reflect the foundation established in the *Core Body of Knowledge*; individuals who earn the New York State Early

Childhood Trainer Credential must reference the document and demonstrate how the competencies are integrated into their training. This tangible approach to building the capability of teachers of young children across early and primary classrooms makes a significant impact in the State's ability to sustain improved early learning outcomes through the early elementary grades.

The ECAC Work Force workgroup and the New York State Association of Early Childhood Teacher Educators (NYSAECTE) (New York's early childhood faculty membership organization) is committed to work with SED to strengthen the requirement for a teacher with a K-6 certification who would also like to earn a Birth-Grade 2 certification. Both the ECAC workgroup and the members of NYSAECTE plan to work with SED to increase the content and course credit requirements to strengthen a teacher's aptitude in meeting the needs of young Children with High Needs. There is a high quality plan in Section C.1 that will introduce recommendations to this effect.

In 2012, SED began revising its certification exams, including those for Early Childhood Birth – Grade 2 candidates. These candidates will now take a multi-subject content test specific to the B-2 grade levels and a pedagogical performance assessment (edTPA) in Early Childhood Education. Funding is being provided by SED (to teacher preparation programs to support faculty development and the implementation of these new assessments.

Leaders in New York acknowledge how critical school-building leadership is to creating approaches to sustain improved early learning outcomes through the early elementary grades. There are several innovative initiatives currently underway to help school administrators understand the value and opportunity that birth-grade 3 strategies hold. Members of the State Education Department and the ECAC have participated in activities sponsored by the National Governor's Association (NGA) and the Council of Chief State School Officers (CCSSO) on this topic. On Long Island, a partnership between the national Alliance for Childhood and the local Early Years Institute has attracted private philanthropy to fund a highly successful Principal Coaching strategy, which has helped principals to integrate prekindergarten classrooms into their buildings, to supervise and build program quality, and to consider strategies to increase the number of Children with High Needs that they serve. Additional funding to replicate this project

in other communities in the State may become available through New York's efforts to create an Innovation Fund, discussed in section A of this proposal.

As another example, New York's Head Start Collaboration office, the New York SED Office of Early Learning, and the New York State Association for the Education of Young Children have formed a partnership to produce a series of publications and outreach opportunities to provide early childhood leaders with information to support their approach to supervision and integration of prekindergarten and primary classrooms more effectively in their buildings. This work will seek to develop a shared language and understanding of the components of successful early learning from preschool through third grade. Additionally, the NYSAECTE and the ECAC Work Force work group have expressed interest in deepening the focus on early childhood-primary education in the state's School Building Leadership and School District Leadership certifications.

**(d) Implementing model systems of collaboration both within and between Early Learning and Development Programs and elementary schools to engage and support families and improve all transitions for children across the birth through third grade continuum;**

At present about 59% of New York City's UPK allocation supports contracts with community-based organizations. These collaborations establish strong relationships between CBO's and their 'home' districts and the children and their families benefit greatly.

The ECAC and SED acknowledge the critical value of all transitions that children experience across the birth through third grade continuum. Given the comprehensive nature of the ECAC, and with particular focus by its Strong Families work group, transition is seen as equally as valuable for families and family engagement and support are viewed as integral components in all transition points and throughout each school year.

In 2013, Transition Forums were conducted in New York City, Rensselaer County, Rochester, Syracuse, and Schenectady in partnership with SED, the New York State Association for the Education of Young Children, and the Head Start Collaboration Project. Attendees from surrounding counties have replicated professional development in their communities and districts on topics including but not limited to school readiness, alignment strategies and necessary transition structures.

SED's Office of Early Learning has created a Local Education Agency (LEA) Transition Self-Assessment tool that is available to all school districts as a way to analyze and inform their transition practice. The Transition Self-Assessment Tool was developed to help school districts determine the completeness of their transition plan for children as they move into their district as young learners. The self-assessment tool signals areas for improvement for the district to work on to ensure a positive start for young children in their school community. Components of the self-assessment include:

- A quantitative and qualitative analysis of the programs in a district that have students who will be coming to kindergarten.
- Analysis of shared professional development for early childhood staff of school districts and community-based organizations to determine if they are receiving knowledge that is helping them provide appropriate instruction to students.
- Analysis of how data is used for instructional improvement in Pre-kindergarten and kindergarten classes.
- Analysis of parent engagement and family support.

The Transition Self-Assessment Tool is designed to serve as an effective blueprint to improve transition practices. Through its use districts are able to realize the sustained benefits of involving families of children in the early years and its effect on family engagement, parental and community involvement, and subsequently on student success. The ECAC and SED want to support districts to establish or refine their transition practices. As part of a High Quality Plan for this section, SED's Office of Early Learning will develop, in consultation with the ECAC, a "Successful Transitions" Guidance Document for Prekindergarten to Kindergarten with guidance for district training and professional development. The plan will include guidelines for districts to create:

- Clear and coherent transition plans that include conducting an inventory of programs serving children from birth to age 5 in their district so that they can reach out to those programs to establish relationships among building administrators and teachers, become familiar with program/school philosophies and culture, and consider a range of transition activities;

- A plan that includes reaching out to families to welcome and invite them to school and to engage in activities before the school year begins. There must be an emphasis on a continuum of parental involvement throughout the early grades. This will include coordination of services for families using cultural institutions, including libraries, museums, and local arts venues.

The High Quality Plan will also provide for the integration of training and professional development for teachers, caregivers and parents in the P-3 grades focused on: the specific transitions between preschool and public school, specific developmental and social emotional needs of young children, and options for parents to contribute to their child's school experience.

**(e) Building or enhancing data systems to monitor the status of children's learning and development from preschool through third grade to inform families and support student progress in meeting critical educational benchmarks in the early elementary grades**

The State Education Department has developed a State Longitudinal Data System (SLDS) that accumulates student data on progress from prekindergarten entry. Collecting and analyzing data from an early age helps schools and districts be better prepared for meeting students' needs. Teachers are able to provide more individualized instruction and services to all students especially those with High Needs, to ensure that they are ready for the rigor of the Common Core Standards. Teachers are using data to adjust their strategies by engaging students in a way that is meaningful, engaging and appropriate.

In the coming months, SED will begin design of the Early Learning Inventory of Skills (ELIS), a tool to determine a child's readiness at kindergarten entry (see Section E1 of this proposal). This measure will provide teachers of young children who have just transitioned into 'big school' the information they will need to plan and implement individualized instruction and a meaningful and developmentally appropriate curriculum. As a result of its design and materials that will be created for families on ELIS and how to promote learning at home, families will see the administration of the ELIS as a hospitable way for teachers to become acquainted with their children and develop strategies to meet each child's individual learning needs. Teachers will participate in professional development to support their communications with families about ELIS and the learning goals for each child.

Additionally, adding ELIS results to the SLDS is a step towards building a greater early learning data system, which will allow for more data related to the State's youngest learners. This will result in more data driven decisions being made at this level, as well as better informed policy decisions and greater opportunities for research.

In New York City, the DOE and the Administration for Children's Services have partnered to implement FirstStepNYC, an exemplary demonstration early childhood program serving children from birth to age 5, as outlined above. The children, upon enrollment and regardless of age are given a unique DOE identifier. These unique identifiers are provided from infancy in this FirstStepNYC program and stay with the child through high school; if students enter the SUNY/CUNY system they retain the unique identifier, enabling continued measurement of their progress. This incredibly rich mine of data will provide valuable information for teachers as well as inform longitudinal studies and long term planning. FirstStepNYC represents the first instance where children are given unique identifiers before the age of 4. New York proposes a High Quality Plan designed to learn from this experience and study the process of giving young children in regulated early childhood programs unique identifiers. An investigation into the challenges, barriers, and successful strategies, from FirstStepNYC and other states will inform a plan for consideration to provide unique identifiers throughout the state to each child who attends an early childhood program.

**(f) Other efforts designed to increase the percentage of children who are able to read and do mathematics at grade level by the end of the third grade.**

The percentage of children who are able to read and do mathematics at grade level by third grade can be achieved by strengthening New York's current system to support early childhood education that aligns, integrates, and coordinates across services. Among its many other charges, the Office of Early Learning within SED serves to bridge what happens from birth through third grade so children are ready to take on the learning tasks associated with fourth grade and beyond. It is such a system that increases the percentage of children who are able to read and do mathematics at grade level by the end of third grade. In addition to all the initiatives discussed in other areas of this application, these goals are also supported by the alignment of the English Language Arts and Mathematics curriculum within the P-12 Common Core Standards.

In an effort to provide a clear, comprehensive, and consolidated resource for early childhood professionals, the New York State *Prekindergarten Learning and Development Standards* were revised to fully encompass the Common Core Learning Standards in English Language Arts and Mathematics at the prekindergarten level. The construct of the document was formatted to more closely resemble the “fewer, higher, clearer” structure of the Common Core. The revision process resulted in one document, the *Prekindergarten Foundation for the Common Core*. Based upon the developmental domains of early childhood, the *Prekindergarten Foundation for the Common Core* provides the framework and conceptual understandings for the acquisition of the required skill sets necessary for school readiness and success across all of the content areas. The Common Core State Standards outline comparable skills in English Language Arts and Mathematics. The adoption and implementation of these sets of coordinated standards is supporting the academic and social-emotional success of students in Prekindergarten - Grade 3, particularly Children with High Needs or students attending our low-performing schools.

Curriculum modules, standards-based frameworks from which teachers may craft and form integrated units of study across the content areas to promote student learning and growth, are being developed by both SED and NYCDOE, with agency budgets. Several new and fully updated modules have been made ready for the classroom, including Prekindergarten. Mathematics and English Language Arts curricular materials and resources posted for the 2013-14 school year. Additional materials are updated or posted continuously on EngageNY. In the most recent publication of the *New York State Prekindergarten Foundation for the Common Core* a sample instructional unit on Transportation was placed in the Appendix to demonstrate how to strengthen the literacy, math, science, and social studies skills, as well as the arts throughout the unit. The entire publication has been sent to every prekindergarten classroom throughout the state as well as to other programs serving four-year old children. The document is also posted on several websites in the State commonly used by New York’s early childhood teachers, including [earlychildhoodnyc.org](http://earlychildhoodnyc.org); [earlychildhood.org](http://earlychildhood.org), and [nysaeyc.org](http://nysaeyc.org) ).

New York continues to work with its early childhood faculty to strengthen teacher education at the early childhood level. State early childhood faculty members gather each Spring at the New York State AEYC Annual Conference for a higher education pre-conference day. A High Quality Plan is proposed in this section to use the conference time each year, sustained in

the first two years with support of this grant, to inspire and launch statewide study groups of faculty who will focus on preparing teachers to increase the percentage of children, especially those with High Needs, to be able to read and do mathematics at grade level by the end of third grade.

**High Quality Plan:** New York will build on this impressive history of innovation to further strengthen P-3 strategies in the state.

<b>Goal P4.1. Study and analyze the co-located FirstStepNYC model to identify successful strategies, to determine steps to replication and possible scalability.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity P4.1.1:</b> Work with the NYC DOE Office of Early Childhood to develop a work plan for analyzing the components of FirstStepNYC and identifying those components that could benefit other areas and could be replicated.																
<i>Develop a group to conduct the analysis</i>							X									
<i>Develop a plan for analyzing FirstStepNYC and determining what components should and could be replicate.</i>							X									
<b>Key Activity P4.1.2:</b> -Analyze those strategies to determine what might be replicated																
<i>Conduct the analysis of FirstStepNYC to break the model into its component parts</i>								X								
<i>Determine components that could be replicated</i>									X							

<i>Of the components that could be replicated identify the components that would most benefit other areas of the state if replicated</i>										X						
<i>Develop descriptions of each component with an analysis of the cost benefits of replication</i>										X	X					
<b>Key Activity P4.1.3:</b> Analyze the cost of establishing satellite sites throughout the state.																
<i>Conduct a fiscal analysis of FirstStepNYC</i>											X					
<i>Examine the costs of each component</i>											X					
<i>Determine the cost of replicating in other areas of the state</i>												X				
<i>Develop a report on the findings on the program and the cost analysis</i>													X			
<b>Key Activity P4.1.4:</b> File a report with the ECAC with recommendations of lessons learned after 3 years of FirstStepNYC.																
<i>Present the report at a quarterly ECAC meeting</i>														X		
<i>Work in partnership with the ECAC in developing a strategy for replication</i>														X	X	
<i>Present the report at conferences, community meetings and other events to develop interest in replicating FirstStepNYC in other communities.</i>																X



<i>Develop and agree to plan for developing guidance document</i>					X														
<b>Key Activity P4.2.3:</b> The document will be drafted and reviewed by the committee.																			
<i>Develop draft document sections</i>						X													
<i>Conduct stakeholder committee meetings to provide review and comment of each section of guidance document</i>							X	X											
<i>Make changes to each section and compile complete guidance document</i>									X										
<i>Obtain review and comment of stakeholder committee of entire guidance document</i>										X	X								
<i>Make any changes needed to guidance document</i>											X								
<b>Key Activity P4.2.4:</b> The document will be sent to the Board of Regents for approval.																			
<i>Prepare guidance document and accompanying materials for Board of Regents approval</i>											X								
<i>Submit guidance document and materials for Board of Regents review</i>											X								
<i>Develop agenda item materials for Board of Regents meeting to discuss guidance document</i>											X								
<b>Key Activity P4.2.5:</b> Once approved, the on-line version of the document will be disseminated to all districts in the state.																			
<i>Upload guidance document to EngageNY website</i>												X							



<i>Meet with statewide program directors of each type of ELDP to determine if other barriers exist.</i>						X	X											
<i>Develop strategies for addressing each barrier identified,</i>								X										
<b>Key Activity P4.3.3:</b> Make recommendations to implement the process of assigning unique identifiers to children at early childhood program entry.																		
<i>Develop a report with recommendations for assigning a unique identifier to each child upon entry into an ELDP program</i>								X										
<i>Submit report to ECAC and to the statewide program managers of each type of ELDP</i>									X									
<b>Key Activity P4.3.4:</b> Pilot in two communities and assess.																		
<i>Identify two communities to pilot an effort to assign unique identifiers</i>										X	X							
<i>Meet with program directors and staff in pilot communities to explain the purpose of and provide instructions for assigning the unique identifier</i>											X							
<i>Meet with program directors and staff in pilot communities again to identify any problems with the process</i>												X						
<b>Key Activity P4.3.5:</b> Refine process and make recommendations to the State for full-scale implementation																		



<i>Identify keynote speaker with expertise on factors that lead to high quality early childhood teacher education</i>	<b>X</b>																
<i>Invite keynote speaker and make arrangements for presentation</i>	<b>X</b>																
<i>Disseminate information on the presentation to early childhood education faculty statewide.</i>	<b>X</b>																
<b>Key Activity P4.4.2:</b> Facilitate a study group and design the parameters of the study over the next 2 years.																	
<i>Recruit participants in study group from early childhood teacher education from across the state</i>		<b>X</b>															
<i>Convene an initial meeting of the study group to design the parameters of the study and a two-year work plan</i>			<b>X</b>														
<b>Key Activity P4.4.3:</b> The group will appoint a peer leader																	
<i>At first meeting, group will identify peer leader through consensus of the group</i>				<b>X</b>													
<i>The leader will facilitate the group over the next 2 years.</i>					<b>X</b>												

<b>Key Activity P4.4.4:</b> The group will make recommendations to course content, field experiences, and college student (pre-service teacher) assessment.														
<i>Analyze results of first year activities of study group</i>								X						
<i>Collect and analyze research on high-quality teacher education programs in general and specifically high-quality early childhood teacher education programs course content, field experiences, and student assessment, including the results of the New York higher education study proposed in D.1</i>									X		X			
<i>Develop report summarizing results of the analysis and recommendations.</i>											X			
<i>Submit report to the ECAC, State Education Department and Administrators of the State and New York City university systems</i>											X	X		

Rationale: New York early childhood faculty have been actively engaged in developing the *Core Body of Knowledge*, the *Early Learning Guidelines*, the *Prekindergarten Foundation for the Common Core*, the Early Childhood certification exam, and recommendations for the B- Grade 2 Teacher Certification. New York expects to launch a study of all Early Childhood departments throughout public and private Institutions of Higher Education in Year 1 of this proposal (see D.1). New York’s early childhood membership organizations bring faculty together every year to explore key issues and learn from others. Formalizing this work across such a large and dense state represents an opportunity to consider and inform practice to ensure that pre-service teachers are being prepared to meet the demands of their jobs. Meeting the needs of Children with High Needs must be a focus and faculty must break down the components of success teachers need to develop to strengthen their ability to meet the social, emotional, physical, and cognitive needs that all children have, and with specific reference to children with high need. Engaging faculty at the annual conference and then throughout the year through virtual and in-person study groups has proven to be effective in local venues. This proposal seeks to bring faculty together from all across the state to enrich the discussion, debate, and recommendations for the improvement of teacher education to contribute to the increase in children who are able to read, do mathematics, and approach life and learning scientifically, at grade level.

**(d) Responsibilities:**

**P4.1:** ECAC and the New York City Department of Education (P1.1.1, P1.1.2, P1.1.3); ECAC (P1.1.4).

**P4.2:** ECAC, New York State Head Start Collaboration Project, and State Education Department: (P1.2.1, P1.2.2, P1.2.3, P1.2.5); State Education Department: (P1.2.4).

**P4.3:** ECAC Data Development Work Group, FirstStepNYC, and SCO Family Services: (P1.3.1); ECAC Data Development Work Group P1.3.2, P1.3.3, P1.3.4, P1.3.5).

**P4.4:** ECAC Workforce Development Work Group, NAECTE, ACCESS, New York State AEYC Higher Education Committee, New York Works for Children, New York Early Childhood Professional Development Institute, New York State Association for the Education of Young Children, P1.4.1, P1.4.2, P1.4.3, P1.4.4).

**(e) Appropriate financial resources:** There is no grant funding associated with this High Quality Plan. These activities will be carried out by the Early Childhood Advisory Council and the partners listed above.

**(f) Supporting documentation:** N/A

**(g) Performance measures: No tables this section.**

*Additional performance measures:*

**P4.1:** P4.1.1 Group to conduct the analysis established; Plan for analyzing FirstStepNYC and determining what components should and could be replicate developed. P4.1.2: Analysis of FirstStepNYC completed; Each component with an analysis of the cost benefits of replication described. Activity P4.1.3 Fiscal analysis of FirstStepNYC completed; Report on the findings on the program and the cost analysis completed. P4.1.4: Report on findings for quarterly ECAC meeting presented; Reports at conferences, community meetings and other events to develop interest in replicating FirstStepNYC in other communities provided; technical assistance as needed to support replication provided.

**Goal P4.2:** P4.2.1: Stakeholders identifies; Key Activity P4.2.2: First meeting of stakeholders completed; Topic areas to be included in guidance document identified; Plan for developing guidance document completed; P4.2.3: Draft document completed; Stakeholder committee meetings to provide review and comment of guidance document conducted; Guidance document completed; P4.2.4 Guidance document submitted to Board of Regents for review and approval; P4.2.5: Guidance document made available on EngageNY website; All school districts notified of the availability of the guidance document on the Engage website; Guidance document presentations at relevant conferences completed.

**Goal P4.3:** P4.3.1: Process FirstStepNYC used to provide unique child identifier reviewed for replication; Potential strategy for replication; P4.3.2: Barriers that would have to be addressed to assign a unique identifier in each type of ELDP identified; Strategies for addressing each barrier identified; P4.3.3: Report with recommendations for assigning a unique identifier to each child upon entry into an ELDP program developed; P4.3.4 Report to ECAC and to the statewide program managers of each type of ELDP submitted; P4.3.4 Two communities to pilot an effort to assign unique identifiers identified; Problems encountered in pilot communities with the

process of assigning the identifier identified. P4.3.5: Recommendations for addressing any problems developed; Adjustments to process and program implementation instructions made.

**P4.4:** P4.4.1: Keynote speaker with expertise on factors that lead to high quality early childhood teacher education identified; Information on the presentation to early childhood education faculty statewide disseminated; P4.4.2: Study group members recruited; Initial meeting of the study group to design the parameters of the study and a two-year work plan convened. P4.4.3 Peer leader to lead study group identified P4.4.4: Results of first year activities of study group analyzed; Research on high-quality teacher education programs collected and analyzed; Report summarizing results of the analysis and recommendations collected and analyzed; Submittal of report to the ECAC, State Education Department and Administrators of the State and New York City university systems completed.

**(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable:** New York, through its design of QUALITYstarsNY has demonstrated that its commitment is to address the needs of the different types of Early Learning and Development Programs. The ECAC membership was established to reflect this diversity of service delivery.

**(i) How the State will meet the needs of Children with High Needs:** New York has developed strategies to identify and tailor services to meet the needs of Children with High Needs in its cities, suburbs, and rural communities. The work of the ECAC and the preparation to respond to the Early Learning Challenge Grant Request for Proposals two years ago helped launch a more intense approach to analyzing communities and families in high need throughout the state regardless of geographic location. This led to a much more thorough and fine-grained analysis that we have used over the last two years to improve our planning and implementation of programs, practices, and policies to support Children with High Needs, at every level. In this section we discuss standards, families support, teacher preparation and professional development, leadership development, collaboration and transition, and data – all with the goal of creating and strengthening approaches to sustain improved early learning outcomes through the early elementary grades for all children, especially those with high need.

New York recognizes the opportunity to strengthen the early childhood continuum and has been focused on sustaining the gains that children make in the first five years so that children, especially those with High Needs, continue to experience success in the primary grades.

**Priority 5: Competitive Preference Priority -- Addressing the Needs of Children in Rural Areas**

The State will meet this priority based on the extent to which it describes:

- a) How it will implement approaches to address the unique needs (e.g., limited access to resources) of children in rural areas, including rural areas with small populations.
- b) How these approaches are designed to close educational and opportunity gaps for Children with High Needs, increase the number and percentage of Low-Income children who are enrolled in high quality Early Learning and Development Programs; and enhance the State's integrated system of high quality early learning programs and services

Of New York State's 62 counties, 27 are classified as rural according to the U.S. Department of Housing and Urban Development. In fact, the three least-dense counties have fewer than 22 people per square mile and 10 counties have fewer than 57 people per square mile.<sup>ix</sup> Several of these low-density counties are also very large. Seven are larger than the state of Rhode Island; one is larger than Delaware. Six of the 10 least dense counties are located in the Adirondacks in the northern part of the state adjacent to the Canadian border, whose transportation and weather challenges are more severe than in most other parts of the state.

Unpublished data from the NSECE indicates that the top choices of child care for rural families are family/friend/neighbor care, or a home-based provider with no prior relationship to the family. Family child care, however, is rated by families lowest among the care modalities for its nurturing environment, educational preparedness, social interactions, and safety. Relative or friend care is rated second lowest for educational preparedness and social interactions.<sup>ix</sup> Compared to non-urban families, NSECE data suggests that rural households are less likely to search for a program to meet their child's developmental needs and more likely search for child care based on cost. In addition, almost two-thirds (65%) of the rural families in the NSECE sample found care based on referrals from family members or friends.<sup>ix</sup> Although the direction of

causality is not clear, parent choice is restricted by reduced availability of child care centers in less populated communities.

Activities included in this section focus on improving early childhood experiences including the range of supportive services, through a comprehensive set of strategies that target our rural population. To do this, stakeholders acknowledge that gathering more substantive understanding of the challenges that our rural families face is critical. Furthermore, analyzing the information through a multi-faceted lens will enable us to take tangible and practical steps to enhance the experiences that families and their young children have as New York seeks to close educational and opportunity gaps for Children with High Needs. The approach we propose to take is two-fold: first we will study the readiness of young children in rural communities and conduct an inventory of local assets to determine vulnerabilities and appropriate recommendations. The second goal will support providers to move along a continuum of quality toward higher QUALITYstarsNY ratings. This will increase the number of Children with High Needs who are participating in high quality ELDPs in New York's most rural communities. Each of the proposed activities is designed to mitigate the unique challenges that rural areas experience, including barriers to transportation, inclement weather – especially in the snow-belt regions, which limit children's attendance and provider's in-person training opportunities – as well as low incomes of providers and of families.

The Early Years Institute, located on Long Island, has studied the Early Development Inventory (EDI) and has piloted its use in one high need community. The EDI has been used successfully to engage communities in data-driven processes to inform and improve early childhood systems. Data show the EDI is a valid indicator of school readiness and can predict basic skills performance through the fifth grade. The EDI has been able to pinpoint weaknesses and barriers at the neighborhood level and galvanize the community to come together to address them. The EDI is used with Asset-Based Community Development (ABCD), which helps identify organizational assets as well as individual gifts and talents. It then relies on Community (Parent) Cafes – discussed elsewhere in this proposal, to engage the community. In the pilot community, located in a High Needs community on Long Island, the 'team' of 15 people who began this process have grown to over 70, representing parents, the local school, the library, pediatricians, clergy, law enforcement, elected officials and local businesses. In partnership, they

have developed over 20 interventions in response to EDI data. We have proposed an Innovation Fund in Section A of this proposal to fund an expansion of the pilot to include two or more communities that are in the targeted rural classification.

Stakeholders selected school districts in rural counties to help focus the Rural strategy; this methodology is consistent with targets described in other sections of this application that focus on Children with High Needs (specifically see discussion of methodology in Section (A)(2). Of the State’s 941 public school districts, 331 (35%), are classified as Rural (Remote/Distant/Fringe) by the National Center for Educational Statistics.<sup>ix</sup> A total of 328,852 students age 5-18 are enrolled in those districts; 89% of those students are white. Our targeted implementation will focus on a subset of those rural districts with initial work in the eight lowest population dense counties of Allegany, Delaware, Essex, Franklin, Hamilton, Lewis, Schoharie, and St. Lawrence. The following chart indicates the number of Child Care Centers (DCC), Family Child Care Centers (FDCC), and Group Family Child Care Centers (GFDC) there are in each of the seven targeted counties.

County	ALL	DCC	FDCC	GFDC
Allegany	19	7	6	5
Delaware	32	10	19	3
Essex	27	6	14	3
Franklin	29	9	18	2
Hamilton	1	0	1	0
Lewis	11	3	4	0
Schoharie	18	6	8	2
St. Lawrer	45	6	33	6
Total	182	47	103	21

While QUALITYstarsNY, as described in section B will partner with 10 Regional Child Care Resource and Referral (CCR&R) Agencies, this rural strategy is designed to put a laser focus on program sites that are remote and may not be able to participate in large scale, centrally-located efforts and activities. In order to reach these programs we propose engaging the smaller, *local* CCR&R offices to support staff to partner with QUALITYstarsNY staff. The role of these specialists is articulated in the following High Quality Plan.

### High Quality Plan

<b>Goal P5.1.1: Engage trusted community partners to educate families about the importance of ELDP quality and how to evaluate it.</b>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<b>Key Activity P5.1.1: Partner with stakeholders trusted by families.</b>																
<i>Identify key stakeholders in each community</i>	X	X														
<i>Recruit stakeholders trusted by families to distribute materials</i>		X	X													
<i>Stakeholders distribute materials</i>			X	X	X	X	X	X	X	X	X	X	X	X	X	X
<i>Evaluate results</i>				X					X				X			
<b>Key Activity P5.1.2: Distribute existing materials</b>																
<i>Gather materials used in TQRIS quality improvement activities</i>		X														
<i>Gather materials used by local CCR&amp;R agencies</i>		X														
<i>Gather materials from Infant/Toddler Regional Resource Centers</i>		X														
<i>Gather content on how to help families understand the importance of program quality and how to recognize it</i>		X														

<i>Establish partner agreements</i>				X														
<i>Organize and simplify most helpful materials</i>				X														
<i>Distribute materials to stakeholders identified in VII-5.1.1.</i>				X	X	X												
<i>Evaluate results</i>																		
<b>Key Activity P5.1.3: Connect Child Care Specialists to trusted stakeholders and families to will help guide parents through the materials, through workshops scheduled in concert with other community activities.</b>																		
<i>Child Care Specialists meet trusted stakeholders at places where families see them (faith-based organizations, local businesses, schools, Family Resource Centers, mental health providers, home visitors) and informal community-based institutions. Make clear child care resources and support available.</i>				X	X	X	X	X	X									
<i>Schedule workshops and other opportunities to share resources in concert with other community activities.</i>					X	X	X	X	X									

**Rationale:** Institutional (e.g., faith-based organizations, local businesses, schools in targeted school districts, Family Resource Centers, mental health providers, Healthy Families home visiting providers, Family Assessment Response workers from the county departments of social services) and informal community-based institutions (e.g., hair salons, bodegas) will be sought out to help reach parents of young children. Research and anecdotal evidence suggests that families in New York’s rural communities trust these locations for information about a range of issues, including child care. When these trusted community assets to have information on quality child care and share it with families, families in rural communities will have access to quality information from trusted sources. Better understanding what constitutes “quality” will help families make better child care choices and create market pressures on ELDP programs and providers to improve the quality of their services. Principles of high-quality ELDPs (the key role that adults play in children’s lives and what high-quality adult-child interaction looks like, the importance of literacy-rich activities, etc.) apply to home situations just as they do ELDP environments.

**Goal P5.2: Increase the number of rural programs in New York’s TQRIS, QUALITYstarsNY, in target areas.**

<b>Activities</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>
	Quarters	Quarters	Quarters	Quarters

**Key Activity P5.2.1: Child Care Specialists will recruit ELDPs in rural communities to participate in New York State’s TQRIS, QUALITYstarsNY**

<p><i>QUALITYstarsNY, Infant/Toddler Specialists from seven Infant/Toddler Regional Resource Centers, CCR&amp;R staff, Family Resource Center Staff, CDA mentors, and/or others with local child Care expertise develop a joint, local QUALITYstarsNY recruitment plan</i></p> <p><i>Identify which stakeholder(s) can best do outreach with each program (based on previous relationship, location, etc)</i></p>				X	X													
<p><i>Canvas the catchment areas of targeted rural school districts and conduct personalized outreach to identified providers of child care services</i></p>						X	X											
<p><i>Recruit 34 ELDPs in rural communities to participate in QUALITYstarsNY</i></p>							X	X										
<p><i>Depending on ELDP level of readiness, connect ELDP directly to the TQRIS or to "Start with Stars"</i></p>								X	X	X	X	X						
<p><i>Evaluate and improve outreach and recruitment efforts</i></p>									X	X								

**Key Activity P5.2.2: Child Care Specialists work one-on-one in child care providers' home or in child care centers to improve quality as measured by the QUALITYstarsNY standards.**

<i>Provide technical assistance based on individualized quality improvement plan</i>							X	X	X	X	X	X	X	X	X	
<i>Support programs in accessing grants, scholarships, wage incentives and other supports outlined in Section (B).</i>							X	X	X	X	X	X	X	X	X	
<i>Connect ELDPs with community supports and resources to support quality improvement plan</i>							X	X	X	X	X	X	X	X	X	
<p><u>Rationale:</u> In aggregate, the number of ELDP programs in the eight least population-dense counties in New York State serve a significant number of children. Although outreach and support is more expensive than when programs are clustered more closely together, Children with High Needs in rural areas, where employment opportunities are few and far between, need to be positioned for the kind of educational success that will allow them to have a wider range of future opportunities than they might otherwise have. Participation in higher quality programs provides an important foundation for school readiness and later school success. This activity is a direct extension of the activities described in Section B but with a specific focus on targeting programs and providers who are serving Children with High Needs in targeted school districts in rural counties in New York.</p>																
<p><b>Goal P5.3: 40% of TQRIS programs selected to participate in target areas will move up a star level (e.g., 3 stars to 4 stars) during the grant period.</b></p>																
<b>Key Activities and Milestones</b>	<b>Year 1</b>				<b>Year 2</b>				<b>Year 3</b>				<b>Year 4</b>			
	Quarters				Quarters				Quarters				Quarters			
<p><b>Key Activity P5.3.1: Identify unique needs of rural programs that impact ability to improve program quality.</b></p>																

<i>Have focus groups of providers in rural communities to identify challenges to improving quality</i>			X	X	X	X											
<i>Do site visits/1 on 1 interviews with providers to identify challenges to improving quality</i>				X	X	X											
<i>Summarize list of challenges</i>						X	X										
<i>Develop strategies to address these challenges, unique to each local rural community</i>							X	X									
<b>Key Activity P5.3.2: Child Care Specialists will provide concrete assistance to providers participating in QUALITYstarsNY to help them participate in training, technical assistance, and other activities to increase their TQRIS rating</b>																	
<i>Establish processes for funding support to address challenges faced by rural providers</i>						X	X	X	X	X							
<i>Provide support and technical assistance to implement grant funds (as needed)</i>							X	X	X	X	X	X	X	X	X	X	X
<i>Issue grants</i>								X	X	X	X	X	X				
<i>Evaluate results</i>											X	X	X	X	X	X	X

Rationale: While helpful in most all ELDP circumstances, concrete assistance of the type listed above is intended to help overcome some of the obstacles created by the sparseness of population (making in-person gathering more difficult and more expensive to arrange), limited transportation options (exacerbated by high gas costs), and harsh winters.

**(d) Responsibilities:**

**Goal P5.1:** OCFS, New York State Early Childhood Advisory Council, local CCR&R's (Activities VII.5.1.1, V.II.1.1.2, VII.5.1.3)

**P5.2:** OCFS, QUALITYstarsNY; local CCR&R's, Infant-Toddler Regional Resource Centers, Family Resource Center Staff, and other local individuals (Activities VII.5.2.1, VII.5.2.2)

**P5.3:** OCFS, Local CCR&R's, QUALITYstarsNY (Activities VII-5.3.1, VII – 5.3.2)

**(e) Financial resources:**

**TOTAL: \$1,357,707**

**P5.1:** Engage trusted community partners to educate families about the importance of ELDP quality and how to evaluate it: \$155,510

**P5.2:** Increase the number of rural programs in New York's TQRIS, QUALITYstarsNY, in target areas: \$563,638

**P5.3:** 40% of TQRIS programs selected to participate in target areas will move up a star level (e.g., 3 stars to 4 stars) during the grant period: \$638,559

**(f) Supporting Evidence: N/A**

**(g) Performance Measures.**

Data for the target geographic areas will include:

- Increased number of programs participating in QUALITYstarsNY: 34 new programs in targeted rural communities will be engaged.

- Number of rating increases across existing TQRIS programs – By 2017, each program will advance at least one star, at re-rating.
- **(h) Addressing needs of different types of programs, if applicable:** With the expanded work of QUALITYstarsNY proposed in this application, all ELDP types can move to a higher level of quality: from “Start with Stars” to full participation in QUALITYstarsNY. Since there are many more group family child care and family child care homes than early childhood centers, and their overall quality is less in New York, we will prioritize recruitment of these sites.

**(i) Meeting needs of children with high needs:** The most recent data from the National Center for Education Statistics document the race and ethnicity of rural New York State children in 2010-11. Of the 328,853 children in rural districts in 2010-11, 89% are white, 4% are Hispanic, 3% are Black, 2% are Asian/Pacific Islander, and 1% American Indian. One percent of children are enrolled in Limited English Proficient/English Language Learners programs.<sup>ix</sup> We know that poverty is prevalent in our most rural communities and the correlative data on academic performance indicators confirms that New York’s children in rural communities are considered High Need. The proposed activities bring new resources and technical assistance to rural communities using strategies designed to meet their needs.

<sup>ix</sup> New York State Department of Health, Vital Statistics 2011; *Table 2: Population, Land Area, and Population Density by County, New York State – 2011*. Retrieved 9/26/2013 from [https://www.health.ny.gov/statistics/vital\\_statistics/2011/table02.htm](https://www.health.ny.gov/statistics/vital_statistics/2011/table02.htm).

<sup>ix</sup> NSECE, Table 10, Rural vs. Non-rural Household Respondents' perceptions of quality for children aged 0-60 months, by type of care.

<sup>ix</sup> NSECE, Table 12, Table 12, Respondent report of reasons and methods for recent search for early care and education for randomly selected child for whom a search was conducted in the prior 24 months, Rural vs. Non-Rural NY State Only.

<sup>ix</sup> National Center for Educational Statistics, Elementary and Secondary Information System. 2010-2011 data (most recent data available); Available from National Center for Educational Statistics web site, <http://nces.ed.gov/ccd/elsi/tableGenerator.aspx>.

<sup>ix</sup> National Center for Educational Statistics, *op cit*.

**OVERALL STATEWIDE BUDGET**

**Budget Table I-1: Budget Summary by Budget Category  
(Evidence for selection criterion (A)(4)(b))**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	537,327	691,069	714,867	739,157	<b>2,682,421</b>
2. Fringe Benefits	306,178	366,575	401,936	419,459	<b>1,494,148</b>
3. Travel	59,453	70,124	68,796	70,206	<b>276,579</b>
4. Equipment	13,376	0	0	0	<b>13,376</b>
5. Supplies	32,605	42,150	30,305	21,965	<b>127,025</b>
6. Contractual	306,662	980,239	1,056,234	1,054,155	<b>3,397,290</b>
7. Training Stipends	0	0	0	0	<b>0</b>
8. Other	331,444	406,906	414,421	374,646	<b>1,527,417</b>
<b>9. Total Direct Costs (add lines 1-8)</b>	<b>1,589,045</b>	<b>2,559,063</b>	<b>2,688,560</b>	<b>2,681,588</b>	<b>9,518,256</b>
10. Indirect Costs*	62,438	82,822	86,853	90,228	<b>322,340</b>
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	8,492,969	14,331,815	19,485,532	22,449,088	<b>64,759,404</b>
12. Funds set aside for participation in grantee technical assistance	100,000	100,000	100,000	100,000	400,000
<b>13. Total Grant Funds Requested (add lines 9-12)</b>	<b>10,244,451</b>	<b>17,073,699</b>	<b>22,360,946</b>	<b>25,320,904</b>	<b>75,000,000</b>
14. Funds from other sources used to support the State Plan	8,566,318	7,911,119	9,382,701	9,358,220	<b>35,218,358</b>
<b>15. Total Statewide Budget (add lines 13-14)</b>	<b>18,810,769</b>	<b>24,984,818</b>	<b>31,743,647</b>	<b>34,679,124</b>	<b>110,218,358</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT–ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

**OVERALL STATEWIDE BUDGET****Budget Table I-2: Budget Summary by Participating State Agency****(Evidence for selection criterion (A)(4)(b))**

<b>Agency Name</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<b>Office of Children and Family Services (OCFS)</b>	15,313,242	21,887,823	28,635,921	31,559,241	<b>97,396,227</b>
<b>State Education Department (SED)</b>	1,914,248	421,396	430,678	443,336	<b>3,209,657</b>
<b>Department of Health (DOH)</b>	948,990	1,604,536	1,589,831	1,604,086	<b>5,747,443</b>
<b>Office of Mental Health (OMH)</b>	634,290	1,071,064	1,087,216	1,072,461	<b>3,865,031</b>
<b>&lt;Agency 5&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Agency 6&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Agency 7&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Agency 8&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Agency 9&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Agency 10&gt;</b>	0	0	0	0	<b>0</b>
<b>Total Statewide Budget</b>	<b>18,810,769</b>	<b>24,984,818</b>	<b>31,743,647</b>	<b>34,679,124</b>	<b>110,218,358</b>

<b>OVERALL STATEWIDE BUDGET</b>					
<b>Budget Table I-3: Budget Summary by Project</b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<b>QUALITYstarsNY (B)</b>	12,431,498	16,344,389	22,782,079	25,800,620	<b>77,358,586</b>
<b>Early Learning Development Standards (C1)</b>	395,976	513,610	293,948	207,613	<b>1,411,148</b>
<b>Health and Safety Standards for QUALITYstarsNY (C3)</b>	1,739,224	4,147,120	4,103,567	4,025,535	<b>14,015,446</b>
<b>Kindergarten Readiness Tool (E)</b>	1,673,372	178,573	183,930	189,449	<b>2,225,324</b>
<b>Early Childhood Education Workforce (D)</b>	846,500	1,616,246	2,051,935	2,083,285	<b>6,597,966</b>
<b>Grant Administration Oversight (A)</b>	1,649,277	1,820,381	1,870,930	1,911,594	<b>7,252,181</b>
<b>Rural Children Competitive Priority</b>	74,922	364,500	457,257	461,028	<b>1,357,707</b>
<b>&lt;Project 8&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 9&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 10&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 11&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 12&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 13&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 14&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 15&gt;</b>	0	0	0	0	<b>0</b>
<b>Total Statewide Budget</b>	<b>18,810,769</b>	<b>24,984,818</b>	<b>31,743,647</b>	<b>34,679,124</b>	<b>110,218,358</b>

**Office of Children and Family Services (OCFS)**

<b>Participating State Agency-Level Budget Table II-1 (Evidence for selection criterion (A)(4)(b))</b>					
<b>Budget Category</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	313,583	393,493	408,655	424,118	<b>1,539,849</b>
2. Fringe Benefits	174,728	202,776	225,893	235,328	<b>838,725</b>
3. Travel	13,604	17,334	17,847	18,065	<b>66,850</b>
4. Equipment	6,400	0	0	0	<b>6,400</b>
5. Supplies	27,000	37,000	25,000	16,500	<b>105,500</b>
6. Contractual	137,922	444,100	503,557	515,828	<b>1,601,407</b>
7. Training Stipends	0	0	0	0	<b>0</b>
8. Other	331,444	406,906	414,421	374,646	<b>1,527,417</b>
<b>9. Total Direct Costs (add lines 1-8)</b>	<b>1,004,681</b>	<b>1,501,609</b>	<b>1,595,373</b>	<b>1,584,485</b>	<b>5,686,148</b>
10. Indirect Costs*	7,392	9,599	10,216	10,868	<b>38,075</b>
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	7,804,169	12,930,015	18,083,732	21,047,288	<b>59,865,204</b>
12. Funds set aside for participation in grantee technical assistance	100,000	100,000	100,000	100,000	<b>400,000</b>
<b>13. Total Grant Funds Requested (add lines 9-12)</b>	<b>8,914,242</b>	<b>14,539,223</b>	<b>19,787,321</b>	<b>22,740,641</b>	<b>65,981,427</b>
14. Funds from other sources used to support the State Plan	6,399,000	7,348,600	8,848,600	8,818,600	<b>31,414,800</b>

<b>15. Total Statewide Budget (add lines 13-14)</b>	<b>15,313,242</b>	<b>21,887,823</b>	<b>28,635,921</b>	<b>31,559,241</b>	<b>97,396,227</b>
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Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

**Office of Children and Family Services (OCFS)**

<b>Participating State Agency-Level Budget Table II-2 (Evidence for selection criterion (A)(4)(b))</b>					
<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
QUALITYstarsNY (B)	12,431,498	16,344,389	22,782,079	25,800,620	<b>77,358,586</b>
Early Learning Development Standards (C1)	395,976	513,610	293,948	207,613	<b>1,411,148</b>
Health and Safety Standards for QUALITYstarsNY (C3)	155,944	1,471,520	1,426,520	1,348,988	<b>4,402,972</b>
Kindergarten Readiness Tool (E)	0	0	0	0	<b>0</b>
Early Childhood Education Workforce (D)	846,500	1,616,246	2,051,935	2,083,285	<b>6,597,966</b>
Grant Administration Oversight (A)	1,408,401	1,577,558	1,624,182	1,657,707	<b>6,267,848</b>
Rural Children Competitive Priority	74,922	364,500	457,257	461,028	<b>1,357,707</b>

<Project 8>	0	0	0	0	0
<Project 9>	0	0	0	0	0
<Project 10>	0	0	0	0	0
<Project 11>	0	0	0	0	0
<Project 12>	0	0	0	0	0
<Project 13>	0	0	0	0	0
<Project 14>	0	0	0	0	0
<Project 15>	0	0	0	0	0
<b>Total Statewide Budget</b>	<b>15,313,242</b>	<b>21,887,823</b>	<b>28,635,921</b>	<b>31,559,241</b>	<b>97,396,227</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

**OFFICE OF CHILDREN AND FAMILY SERVICES**

**Lead Agency Budget Narrative**

OCFS will have a number of roles as the Lead Agency which impact its budget:

- Implement and administer the grant
- Provide funds to the Council on Children and Families to administer the State’s Early Childhood Advisory Council and assist OCFS in coordinating all aspects of the grant

- Increase the number of children with high needs who are participating in high quality Early Learning and Development Programs in New York’s most rural communities
- Expand QUALITYstarsNY to more UPK, Head Start and Early Head Start, programs serving children with special needs (through Part B/C) and programs serving children who receive child care subsidies through

1) **Personnel:** With funds from this grant, OCFS will hire 3.5 staff to assist with implementation activities of the above listed projects. Of these, 3.5 staff, 2 staff will be housed within the Division of Child Care Services to provide overall administration of the Project. These positions will include:

- **Project Coordinator, Administration** - one full-time position responsible for overall administration of the grant. This position’s duties would include working with Program staff and the other Administrative areas to ensure compliance with the grant objectives, reviewing contracts/proposals, and reviewing vouchers for payment. The projected year one salary is \$83,371; year two salary is \$87,428; year three salary is \$91,567; and year four salary is \$95,788;
- **Project Assistant, Administration** - one full-time position responsible for overall administration of the grant. This position’s duties would include assisting the Project Coordinator with all activities regarding the administration of the grant. The projected year one salary is \$75,165; year two salary is \$78,875; year three salary is \$82,660; and year four salary is \$86,520.

Additionally, 1.5 staff will be dedicated to the Division of Administration to handle duties which may include:

- **Senior Budget Analyst** – responsible for overseeing the implementation of the RTT-ELC budget. This position’s duties include tracking the RTT-ELC budget expenditures, issuing certificates of allocation, allocating funding to the Participating State Agencies and fulfilling the financial reporting requirements of the grant.
- **Senior Accountant** – responsible for overseeing finance activities related to this grant including expenditure analysis and reconciliation of the grant, preparation of

any required Financial Status reports and any other grant-related questions from staff.

- **Contract Management Specialist** – responsible for assisting with procurements related to the RTT-ELC projects detailed in the Contractual section below. This position’s duties include developing and negotiating procurement/contract plans and monitoring adherence to these plans, evaluating contract documents to ensure administrative requirements are consistent with State Finance Law and manage contracts within acceptable timeframes and according to financial standards.

These 1.5 Administrative positions are all Salary Grade 18. Annual salary per FTE is estimated at \$58,229 for Year 1, \$61,190 for Year 2, \$64,209 for Year 3 and \$67,290 for Year 4.

Additionally, the Council on Children & Families (CCF) will be allocated grant funds to administer the State’s Early Childhood Advisory Council. In addition, the Council will work closely with the Office of Children and Family Services in coordinating all aspects of this grant proposal. They will bring on staff as follows:

- **Policy Analyst** - one full time position responsible for policy development to support the State Plan. This position's duties include providing support to assist in development and implementation of the State Plan by working with the ECAC work groups through their monthly meetings and ECAC membership at their quarterly meetings. The projected year one salary is \$33,852; year two is \$67,703; year three is \$69,057; and year four is \$70,438.
- **Early Care and Learning Specialist** - one full time position responsible for supporting the Quality Improvement Work Group This position's duties includes supporting efforts to strengthen and expand QUALITYstarsNY including: developing an appeal process, designing the validation study, supporting the development and implementation of the communication plan. It would also include incorporate existing materials into Parent Kit; complete development of Kit including interactive web-based tools; oversee pilot evaluation of the kit among other responsibilities. The projected year one salary is \$33,852; year two is \$67,703; year three is \$69,057; and year four is \$70,438.

## **2) Fringe Benefits**

The personnel fringe benefits are based on the New York State Federal fringe rates most recently available. The total budget for fringe benefits for OCFS and CCF staff positions related to this grant is \$174,728 in year one, \$202,776 in year two, \$225,893 in year three and \$235,328 in year four for a total fringe benefit cost of \$838,725 over the life of the grant.

## **3) Travel**

It is New York's goal to implement this proposal throughout the State. In order to facilitate the proper implementation of these projects and ensure the success of RTT-ELC grant, it will be necessary for OCFS and CCF staff members to occasionally travel for a variety of purposes including:

- to assist in the roll-out of these projects and to provide technical assistance to regional staff and provider
- to conduct meetings that will support ECAC initiatives as they correspond to the State Plan as outlined in the Early Learning Challenge Grant proposal.
- to attend four ECAC meetings annually, to ensure the ECAC initiatives that correspond to the State Plan is being implemented, and provides expertise regarding the projects that support the State Plan
- to attend yearly in-state conference associated with early learning and credentialing which will support the State Plan.
- to meet with Community Based Organizations (CBOs), who serve as a conduit to rural families who have existing relationships with CBOs).

Trips may vary in length and cost. Factoring in overnight stays, lodging and meals, transportation costs and parking/miscellaneous costs, the total four year travel funding to be used from this grant is \$66,850.

## **4) Equipment**

In order to carry out the goals of the application, staff must be provided with adequate equipment to perform their job functions effectively. According to the NY State Office of the State Comptroller's definition, equipment includes items of machinery, vehicles

and apparatus which may be used repeatedly without any material impairment of physical condition and which have a probable life of more than two years. It does not include fixed building equipment such as heating, ventilating, plumbing and electrical items. In year one, OCFS will purchase a laptop with docking stations for each new staff person hired under this grant. Equipment cost of \$6,400 (4 laptops at \$1600 each) will be spent in year one.

### **5) Supplies**

In its role as Lead Agency, OCFS and CCF will hire additional staff to carry out the goals described in this grant. Also, OCFS will produce materials for rural parents to assess quality child care and understand the link to school success. The State estimates that they will incur a total of \$105,500 over the course of this grant.

### **6) Contractual**

**Total OCFS contractual: Year 1: \$137,922; Year 2: \$444,100; Year 3: \$503,557; Year 4: \$515,828; Total: \$1,601,407**

### **Develop a Child Care Health Consultant Trainers Curriculum**

OCFS will work with an external partner to develop a train the trainer curriculum based on the curriculum developed by the National Training Institute for Child Care Health Consultants, which is no longer in operation. This training will increase the knowledge and skills related to health practice in ELDP for both medical professionals working as child care health consultants as well as Quality Improvement Program Specialists. One time, year one costs include the hiring of a consultant or organization to develop a trainers curriculum as well as a tool to track the hours and type of consultation provided by child care health consultants who have completed the training provided by a certified trainer. Estimated costs are \$64,000 in year one.

### **Development and Piloting of Parent Kit**

OCFS as a convener of the New York State Parenting Education Partnership will work with consultants to complete the development of the Parent Kit. The Parent Kit will

incorporate materials for parents developed by the ECAC and other state agencies and will be developed as an interactive web-based tool for parents. The Parent Kit will increase health literacy for parents and increase their capacity to support their child's healthy development. Costs include the development and translation of materials, including web-based content, marketing materials, and a pilot evaluation. Estimated costs include: year 1 \$20,000 (development of materials and content of the Kit); year 2 \$110,000 (development of web-based applications of the Kit's content \$40,000; translation of the Kit into 2 languages \$30,000; design and printing of 500 of the Parent Kits \$40,000) Year 3 and 4 \$65,000/year: development and distribution of marketing materials \$Total: \$260,000 for the four years of the grant.

### **Outreach and recruitment for QUALITYstarsNY**

Provide on-site technical assistance and professional development for rural providers seeking to improve quality. This would be done by contractual FTE positions (one in Year 1, four in years 2-3, and five in Year 4). Total: \$1,277,407 over the four years of the grant.

### **7) Training Stipends**

Not applicable to OCFS.

### **8) Other**

**Total OCFS Other expenses (as described below): Year 1: \$331,444; Year 2: \$406,906; Year 3: \$414,421; Year 4: \$374,646; Total: \$1,527,417**

Miscellaneous expenses such as printing, postage and cost-allocated shares of building expenses (leases, security) are included here. This is estimated at 5% of the Salary costs - \$12,294 in Year 1, \$12,904 in Year 2, \$13,527 in Year 3, \$14,162 in Year 4.

Other Miscellaneous expenses include:

- Webinar service to support reflective supervision and ongoing professional development for Infant-Early Childhood Social Emotional Development

Consultants = \$2,750 for years 1-4 for a total of \$11,000 over the course of the grant.

- Social Emotional Skill-Building Parent Workshops will be held monthly in each of the 10 QUALITYstarsNY regions for years two through four of the grant. Costs include facilitators, child care and materials. Estimated costs are \$30,000/year for years two through four for a total of \$60,000 over the course of the grant.
- As a convener of the New York State Parenting Education Partnership (NYSPEP), OCFS will work with a consultant in the first year of this grant to improve search capability and function of the NYSPEP parenting education program database on the NYSPEP website. Estimated costs are \$30,000 for year one of the grant.
- As a convener of the New York State Parenting Education Partnership (NYSPEP), OCFS will work with NYSPEP and the ECAC to expand cadre of credentialed parenting educators to eight Parenting Educators for each of the 10 QUALITYstarsNY regions. These Parenting Educators will be registered within the Aspire training register and will provide parenting and family support related services and consultation to ELDP. Costs include application fees and administrative processing for Parenting Education Credential Estimated costs are \$48,000/ year for years two and three for a total of \$96,000 over the course of the grant
- To leverage investments New York has made through its Early Childhood Comprehensive Systems initiative to provide ongoing technical assistance and support to child care health consultants, funds will be used to further develop online training modules and electronic technical assistance. Costs include the maintenance of a web-based Learning Management System. Estimated costs are \$20,000/year for years two through four for a total of \$60,000 over the course of the grant.
- Design and printing for new documents that support projects developed by the ECAC and the implementation of the initiatives included in the State Plan. Costs associated with developing the new documents, such as a blending and braiding

guide to support sustainability for programs included in the State Plan, family engagement technical assistance guides, and ECAC brochure. Costs associated with the new document costs include design, printing and distribution. Also included in the budget are costs associated with reprinting 10,000 copies of the existing documents such as the Early Learning Guidelines and Core Body of Knowledge and printing new documents that will be developed.

- Meeting spaces to conduct the ECAC membership meetings at the Empire State Plaza. The projected cost in year one is \$2,700; year two is \$2,772; year three is \$2,827; and year four is \$2,884.
- Meeting facilitation for ECAC membership meetings which consist of approximately 50 people to prepare for the meetings, provide strategic planning for four years, to guide the flow of the discussions during the meetings, manage meeting activities, coordinate the notes, preserve balance amongst the participants; and help ensure the goals of the meetings are achieved. The projected cost in year one is \$16,500; year two is \$16,940; year three is \$17,279; and year four is \$17,625.
- Special training/forums/co-sponsorship to support the implementation of the ECAC and the initiatives outlined in the State Plan. Costs associated with this category would include trainers, practitioners, consultants, audio visual equipment, space rental and meeting materials for eight events. The projected cost in year one is \$13,600; year two is \$13,600; year three is \$13,600; and year four is \$13,600.
- Consultants will be hired using the state's purchase order process. Some of the consultants hired will perform a service that is specialized. The cost associated with their services generally are one-time and do not exceed \$50,000. The state's purchase order process allows program to hire one-time consultants under \$50,000 without going through the contractual process. The purchase order process is a much efficient way to hire consultants. If a consultant does not meet the state's purchase order eligibility, then the state's contractual process will be used and the budget item will shift to contractual line. Consultants will support the work of the ECAC to implement the State Plan such as developing financing

strategies, maintaining the cost estimation model, support web site development, and develop special reports and research that will and support project development. Estimate based on similar costs to support ECAC projects over the last three years. Costs will vary according the extent of the projects and expertise and experience of the consultant. The projected cost in year one is \$130,000; year two is \$133,250; year three is \$136,581; and year four is \$140,053.

- Conference costs associated with exhibit booths and other expenses incurred to promote work of ECAC that is consistent with the ELCG initiatives at statewide conferences such as NYS Association for the Education of Young Children, Early Care and Learning Council, NYS Family Child Care Association and others. The projected cost in year one is \$4,600; year two is \$4,715; year three is \$4,833; and year four is \$4,954.

**9) Total Direct Costs:**

**Total OCFS direct costs : Year 1: \$1,002,681; Year 2: \$1,499,609; Year 3: \$1,593,373; Year 4: \$1582,485; Total: \$5,678,148**

**10) Indirect Cost Rate:**

The Indirect Cost Rate used for the entire 4 year period is 2.32%, which is based on the most recent information available.

**Total OCFS Indirect costs: Year 1: \$7,392; Year 2: \$9,599; Year 3: \$10,216; Year 4: \$10,868; Total: \$38,075**

**11) Funds to be Distributed to localities, Early Learning Intermediary Organizations, Participating Programs and other partners:**

**Total funds to be distributed: Year 1: \$7,804,169; Year 2: \$12,930,015; Year 3: \$18,083,732; Year 4: \$21,047,288; Total: \$59,865,204**

These funds include \$500,000 for the Innovation Fund.

**Training of Child Care Health Consultant and Quality Improvement Specialists:**

OCFS will provide funding to local child care resource and referral agencies who serve as the QUALITYstarsNY regional hubs to support the expansion of Certified Child Care Health Consultant Trainers in year one. In years two through four, funding provided to regional hubs will supplement personnel costs for certified child care health consultant trainers to provide training to other child care health consultants in their region as well as annual training for Quality Improvement Specialists in addition to their role of providing consultation to ELDPs.

- Year one training costs include travel and per-diem stipends for one trainer and six child care health consultants to participate in a three day training and a one day training for Quality Improvement Specialists. Estimated year one costs are \$5,964.
- Year two through four costs include continued annual one day training for Quality Improvement Specialists and to support personnel costs for Certified Trainers Child Care Health Consultants to provide training to consultants in their region as well as costs of the annual training for Quality Improvement Specialist. Estimated costs for years two through four are \$330,770/year.
  - Total costs for the course of the grant \$997,504.

**Local Grants to Support Enhanced Child Care Health Consultation in High Need Areas**

OCFS will distribute three grants local child care resource and referral agencies within each of the QUALITYstarsNY regions to support and addition 0.5 FTE child care health consultant to provide enhanced child care to ELDP in high needs areas. Costs include three grants per region for years two through four. Estimated costs are \$900,000/year for years two through four of the grant for a total of \$2,700,000 over the course of the grant.

**CUNY**

**Personnel**

With funds from the grant, CUNY PDI will hire a total of 52 staff to provide leadership in coordination of QUALITYstarsNY (Section B), Early Childhood Learning and Development Standards (Section C1) and Early Childhood Education Workforce

(Section D). Total staff costs are \$14,706,507: \$Year 1:\$2,307,345; Year 2: \$3,397,384; Year 3: \$4,387,195; Year 4: \$4,614,583.

QUALITYstarsNY Projects: (activities identified in Section B)

- **Executive Director** will oversee the work of QUALITYstarsNY and supervise the Project Director.  
Salary: \$20,000 each year – 10.8% of full-time salary
- **Project Director** will oversee the implementation and coordination of QUALITYstarsNY, manage all contracts, sub-contracts, and consultants; supervise staff; manage and supervise all activities; and ensure effective collaboration with State Agencies and programs across the State.  
Salary: \$115,000 – In Year 1, \$56,844 of the PD’s salary is allocated from other funds; Annual pay increase of 3% included in years 3-4.  
Year 1: \$58,156; Year 2: \$115,000; Year 3: \$118,450; Year 4: \$122,004
- **Project Associate** will support QUALITYstarsNY by providing key administrative function, managing the WELS database, supporting programs and contractors in meeting deliverables, managing needs of staff with regard to equipment, materials, data, and technical support.  
Salary: \$ 54,000 – in Year 1, \$17,766 of the PA’s salary is allocated from other funds;  
Annual pay increase of 3% included in years 2-4.  
Year 1: \$36,234; Year 2: \$55,982; Year 3: \$57,661; Year 4: \$59,391
- **Quality Improvement Manager** oversees the Quality Improvement Specialists and the development of program Quality Improvement Plans, coordinates the distribution of quality improvement funds and activities.  
Salary: \$80,400 - in Year 1, \$44,166 of the QIM’s salary is allocated from other funds;  
Annual pay increase of 3% included in years 2-4.  
Year 1: \$53,600; Year 2:\$82,812; Year 3: \$85,296; Year 4: \$87,855

- **Program Manager** will support the Project Director and assume responsibility for coordinating Assessment, managing sub contracts for data, communications, and new product development.

Program manager will begin in April, 2014.

Salary: \$50,000 in Year 1; Annual pay increase of 3% in years 2-4.

Year 1: \$50,000; Year 2: \$70,000; Year 3: \$72,100; Year 4: \$74,263
- **Program Manager** will support the Project Director and assume responsibility for additional program participation, support the regional offices, and coordinate new projects. Program manager will begin in January, 2016.

Salary: \$72,100; Annual pay increase of 3% in year 4.

Year 3: \$72,100; Year 4: \$74,263
- **Finance Manager** will have key responsibility for monitoring the QUALITYstarsNY budget, issuing periodic reports as required by funding agencies, processing expenditures, and coordinating financial procedures with the City University of New York.

Finance Manager will begin in April, 2014.

Salary: \$50,000 in Year 1; Annual pay increase of 3% in years 2-4.

Year 1: \$50,000; Year 2: \$70,000; Year 3: \$72,100; Year 4: \$74,263
- **Senior Office Assistant** will support all staff and activities by managing correspondence, keeping essential project records, ordering all supplies, equipment, promotional materials, etc.

Senior Office Assistant will begin in April, 2014.

Salary: \$23,000 in Year 1; Annual pay increase of 3% included in years 2-4.

Year 1: \$23,000; Year 2: \$35,000; Year 3: \$36,050; Year 4: \$37,492
- **Quality Improvement Specialists** (10 in years 1 and 2; 14 in years 3 and 4) will work throughout the 10 QUALITYstarsNY regions with participating programs to support initial documentation, interpret assessments and documentation rating, build quality improvement plans with program site staff, and coach program staff through quality improvement – linking programs to resources. Four (4) additional Specialists will be added in 2016 to accommodate the increase in participating programs.

Salary: \$75,000 each (10 QIS @ \$75,000= \$750,000) Annual pay increase of 3% in years 2-4.

Year 1: \$750,000 (10 Specialists)

Year 2: \$772,000 (10 Specialists)

Year 3: \$1,095,675 (14 Specialists)

Year 4: \$1,128,545 (14 Specialists)

- **Rating Manager** oversees the Rating process and supervises Raters; trains the raters and ensures their inter-rater reliability, maintains the rating aspects of the database.

Salary: \$75,000 – In Year 1, \$24,750 of the Rating Manager’s salary is allocated from other funds. Annual Pay increase of 3% included in years 2-4.

Year 1: \$50,250; Year 2: \$75,000; Year 3: \$77,250; Year 4: \$77,250

- **Rater** (3) evaluates extensive program documentation and enters data into the WELS system. Raters are trained to inter-rater reliability and must be able to meet high standard of reliability, consistently. Raters will begin in April, 2014.

Salary: \$60,000 Annual pay increase of 3% in years 2-4.

Year 1: \$120,600 (3 @ \$40,200)

Year 2: \$185,400 (3 @ \$61,800)

Year 3: \$187,962 (3 @ \$62,654)

Year 4: \$196,692 (3 @ \$65,564)

- **Aspire Manager** (2) collect workforce data and verify degrees and certificates and then code all training/professional development per OCFS regulations; process career ratings. One Aspire Manager begins in April, 2014 and the second Manager begins in January, 2017.

First Aspire Manager: Salary: \$41,540 in Year 1; Annual pay increase of 3% included in years 2-4.

Year 1: \$41,540; Year 2: \$64,480; Year 3: \$66,414; Year 4: \$68,407

Second Aspire Manager begins in January, 2017: \$69,742

- **Aspire Technical Associate** (3) enter all data into the Aspire system, provide technical assistance to providers who need support to begin the process and to manage the requirements of the system. Technical Associates begin in April, 2014.

Salary: \$30,150 in Year 1; annual pay increase of 3% included in years 2-4

Year 1: \$90,450 (3 @ \$30,150)

Year 2: \$140,400 (3 @ \$46,800)

Year 3: \$144,612 (3 @ \$48,204)

Year 4: \$148,950 (3 @ \$49,650)

- **Aspire Senior Office Assistant** will support all staff and activities by managing correspondence; keeping essential project records; ordering all supplies and equipment, and promotional materials, etc.

Senior Office Assistant will begin in April, 2014.

Salary: \$23,450 in Year 1; Annual pay increase of 3% included in years 2-4

Year 1: \$23,450; Year 2: \$36,400; Year 3: \$37,492; Year 4: \$38,617

**Early Childhood Learning and Development Standards Project:** (activities identified in Section C1)

- Early Childhood Project Coordinator - will oversee the design and implementation of the activities identified in Section C.1, which include coordination with the ECAC Work Force workgroup and New York Works for Children to identify essential sub-contractors, consultants, and trainers; manage and supervise all activities.

Salary: \$75,000 in Year 1 ; Annual pay increase of 3% included in years 2-4

Year 1: \$75,000; Year 2: \$77,250; Year 3: \$79,568; Year 4: \$81,955

**Early Childhood Education Workforce** (activities identified in Section D1)

- **Executive Director** will oversee the work of New York Works for Children and the PDI

Salary: \$5,000 each year - .03% of full-time salary

- **Project Director** will oversee the design and implementation of the activities identified in Section D.1, which will include supervision of staff, management of activities, identification of essential sub-contractors, consultants and trainers; manage and supervise all activities, coordinate *New York Works for Children* and collaborate with the ECAC Work Force workgroup.

Salary: \$35,000 – 29% of full-time salary; Annual pay increase of 3% included in years 2 – 4. Year 2: \$36,050; Year 3: \$37,131; Year 4: \$38,245

- **Project Coordinator 1** will manage the activities identified in D.1, D.3, D.5, and work as part of the Section D team throughout the project.  
Project Coordinator I will begin in April, 2014  
Salary: \$50,000 in year 1; Annual pay increase of 3% included in years 2 – 4.  
Year 2: \$77,250; Year 3: \$79,568; Year 4: \$81,955
- **Project Coordinator 2** will establish and manage the New York Works for Children Regional Offices first in New York City and Albany in year 1, and then will add 4 regional offices in Year 2, and 4 in Year 3. This Project Coordinator will also support the goal in D.4 as well.  
Project Coordinator 2 will begin in April, 2014.  
Salary: \$50,000 in year 1; Annual pay increase of 3% included in years 2 – 4.  
Year 2: \$77,250; Year 3: \$79,568; Year 4: \$81,955
- **Content Specialist (2)** will build new training curriculum, establish coaching competencies and credentials, and manage professional development opportunities as specified in Section D.1.  
Both Content Specialists will begin in April, 2014.  
Salary: \$43,333, each, in Year 1; Annual pay increase of 3% included in years 2-4.  
Year 2: \$65,000 (2); Year 3: \$66,950 (2); Year 4: \$ 68,959 (2)
- **Senior Office Assistant** will support all staff and activities identified in Section D.1, by managing accounts, supplies, office support; correspondence, keeping essential project records, and creating reports.  
Senior Office Assistant will begin in April, 2014.  
Salary: \$23,333 in Year 1; Annual pay increase of 3% included in years 2-4.  
Year 2: \$36,050; Year 3: \$37,132; Year 4: \$38,256
- **Web and Data Specialist** will manage databases and web presence of *New York Works for Children* which includes Aspire, the workforce registry; and will guide the work of consultants/sub-contractors building web-based applications.  
Web and Data Specialist will begin in April, 2014 and will work half-time.  
Salary: \$24,000 in Year 1; Annual pay increase of 3% included in years 2-4.

Year 2: \$36,000; Year 3: \$37,080; Year 4: \$38,192

- **Regional Office Staff** will support *New York Works for Children* in each region. In Year 1 the Central Offices will work with Project Coordinator 2, beginning in April – 2014, to recruit staff for 4 Regional Offices (targeted areas include: Niagara, Finger Lakes, Adirondacks, and Hudson Valley). In Year 2 recruiting will begin to establish the last 4 Regional Offices to open in Year 3 (targeted areas include: Chautauqua-Allegheny, Thousand Islands, Central Leatherstocking, and Catskills).

Salary: \$40,000 in Year 1; Annual pay increase of 3% included in year 3 and 4 (new staff start at the hiring rate).

Year 2: \$360,000 (6 regional office staff @ \$60,000); Year 3: \$618,000 (10 regional office staff @ \$61,800); Year 4: \$636,540 (10 regional office staff @ \$63,654).

#### **Priority 5 Addressing the Needs of Children in Rural Areas**

- 4 Project Regional Specialists will be hired to support the work of communicating about high quality services for young children and to encourage and support additional participation in QUALITYstarsNY for the most remote programs in 7 counties.

Salary: Base salary is \$61,000; Annual pay increase of 3% in years 2-4.

Hiring will be staggered to meet the needs of the program.

Salary: \$31,500 in Year 1

Year 2: (3 Specialists): \$184,830

Year 3: (4 Specialists): \$251,375

Year 4: (4 Specialists) \$258,916

- **Fringe Benefits**

The CUNY fringe benefit rate is 38 percent for all years of the grant. Total:  
\$4,488,828 Year 1: \$679,356; Year 2: \$1,042,209; Year 3: \$1,350,200; Year 4:  
\$1,417,063

- **Travel**

Staff will travel throughout the State in order to build statewide capacity to provide high quality professional development experiences that are aligned with the Core Body of Knowledge.

**Section C Travel**

	<b>Grant Year 1</b>	<b>Grant Year 2</b>	<b>Grant Year 3</b>	<b>Grant Year 4</b>	<b>Total</b>
6 trips to Albany	\$1,356	\$1,356	\$1,356	\$1,356	<b>\$5,424</b>
2 trips to national conferences	\$3,710	\$3,710	\$3,710	\$3,710	<b>\$14,840</b>
4 regional meetings	\$0	\$1,816	\$2,592	\$2,592	<b>\$7,000</b>
<b>Total</b>	<b>\$5,066</b>	<b>\$6,882</b>	<b>\$7,658</b>	<b>\$7,658</b>	<b>\$27,264</b>

- Purpose: Travel to meetings in Albany. Support professional development of coordinator to attend two national conferences per year. In years 2-4, there will be four regional meetings/annually to supervise training.
  - Trips to Albany: \$150 round trip; cab fare @ \$21; per diem @ \$55 = \$226/trip. 6 trips/year @ \$226/trip = \$1,356/year x 4 years = \$5,424.
  - National conferences: \$400 for transportation, \$375 for registration fees, \$235 for hotel x 3; \$125/day for average per diem x 3 days. 2 trips for national conferences @ \$1,855/trip = \$3,710/year x 4 years = \$14,840
  - Regional meetings: \$250 transportation (air/train, cab); hotel @ \$105/night; per diem @ \$99 = \$454/trip x 4 trips. Year 2: 4 trips/year @ average \$454/trip = \$1,816. \$290 round trip transportation (air, train cab); hotel and per diem @ \$179/day x 2 days (\$358) @ \$648/trip x 4 trips = \$2,592/year x 2 years = \$5,184. Year 2 @ \$1,816 = Years 3 and 4 @ \$5,184 = \$7,000
  - Year 1: \$5,066. Year 2: \$6,882. Year 3: \$7,658. Year 4: \$7,658
- **Total: \$27,264**

## Section D Travel

Travel Expense	Grant Year 1	Grant Year 2	Grant Year 3	Grant Year 4	Total
D1.1	\$0	\$5,000	\$5,000	\$5,000	<b>\$15,000</b>
D1.2	\$2,000	\$10,000	\$10,000	\$10,000	<b>\$32,000</b>
D1.3	\$1,500	\$1,500	\$1,500	\$1,500	<b>\$6,000</b>
<b>Total</b>	<b>\$3,500</b>	<b>\$16,500</b>	<b>\$16,500</b>	<b>\$16,500</b>	<b>\$53,000</b>

**Goal D1.1:** Align the broad range of professional development experiences, from training options through credentials and degrees with the Core Body of Knowledge.

- Purpose: Travel costs will cover the transportation and per diem costs for a minimum of 6 higher education faculty and 2 project staff to meetings in Albany. Meetings will address alignment of higher education coursework and degrees with the Core Body of Knowledge.
  - An estimated 6 meetings will be held in years 2, 3, and 4 of the grant period: 6 trips @ \$150 round trip \$900 per person x 8 people= (\$7,200); cab fare @ \$21 x 12 rides-\$252 X 8 people= (\$2,016); hotel @ \$104/per night x 6 nights x 8 people (\$4,992); per diem @ \$99 per person x 8 people =(\$792).
- **Total= \$ 15,000**

**Goal D1.2:** Build statewide capacity to provide high quality professional development experiences that are aligned with the Core Body of Knowledge.

- Purpose: Project staff travel to meetings in Albany and 4 regions to be added in year 2 to coordinate set up of New York Works for Children regional offices (Buffalo, Rochester/Syracuse, Poughkeepsie; and to set up additional 4 offices in years 3 and 4 (Jamestown, Oswego, Binghamton, and Ulster). Regional staff to travel to meeting sites to meet together 4 times annually (choose different city for each meeting) 6 people in first two years, 12 in the second two years. Factor in hotel and transportation costs form most attendees).
  - An estimated 7 staff travel X 1 Regional meetings: Buffalo via train: 1 trip @ \$238 round trip x 7 staff= (\$1,666); cab fare @ \$25 x 14 rides= (\$350); per diem hotel & meals @\$156 X 7 staff =(\$1,092).

- 7 staff travel X 1 Regional meetings: Syracuse via train: 1 trip @ \$234 round trip x 7 staff= (\$1,638); cab fare @ \$25 x 14 rides (\$350); per diem hotel & meals @\$149 x 7 staff = (\$1,042)
- 7 staff travel X 1 Regional meetings: Poughkeepsie via train: 1 trip @ \$96 round trip x 7 staff = (\$672); cab fare @ \$25 x 14 rides (\$350); per diem hotel & meals @\$161 x 7 staff = (\$1,127)
- 7 staff travel X 1 Regional meetings: Rochester via train: 1 trip @ \$122 round trip x 7 staff = (\$854); cab fare @ \$25 x 14 rides (\$350); per diem hotel & meals @\$147 x 7 staff = (\$1,029)
- 13 staff travel X 1 Regional meetings: Jamestown via train: 1 trip @ \$258 round trip x 13 staff= (\$3,354); cab fare @ \$25 x 26 rides (\$650); per diem hotel & meals @\$124 x 13 staff = (\$1,612)
- 13 staff travel X 1 Regional meetings: Queensberry via train: 1 trip @ \$108 round trip x 13 staff= (\$1,404); cab fare @ \$25 x 26 rides (\$650); per diem hotel & meals @\$148 x 13 staff = (\$1,924)
- 13 staff travel X 1 Regional meetings: Binghamton via train: flight to Binghamton @ \$400 round trip x 13 staff= (\$5,200); cab fare @ \$25 x 26 rides (\$650); per diem hotel & meals @\$138.33 x 13 staff=(\$1,798)
- 13 staff travel X 1 Regional meetings: Ulster via train: 1 trip @ \$104 round trip x 13 staff= (\$1,352); cab fare @ \$25 x 26 rides(\$650); per diem hotel & meals @\$ 172 x 13staff = (\$2,236)

- **Total= \$ 32,000**

Travel – Competitive Priority 5

Years 1 – 4

Child Care Specialists will travel locally to meetings and the local sites that will be recruited to participate in QUALITYstarsNY. Travel is estimated at 150 miles each week for each of the Child Care Specialists @ .565 per mile X 12FTE, for the period of the Grant (4 years).

Total: \$50,850

**Goal D1.3:** Change policy and increase access to professional development experiences that are aligned with the Core Body of Knowledge and contribute to improved practice.

- Purpose: Travel costs would cover amount needed for one project staff to provide a minimum of 6 training forums statewide each year of the grant.
  - 2 staff travel to do training forum: 1 forum in Buffalo via train: 1 trip @ \$238 round trip x 2 staff= (\$476); cab fare @ \$25 x 4 rides= (\$100); per diem hotel & meals @\$154 X 2 staff=(\$308)
  - 2 staff travel to do training forum: 1 forum in Syracuse via train: 1 trip @ \$234 round trip x 2 staff= (\$468); cab fare @ \$25 x 4 rides (\$100); per diem hotel & meals @\$149 x 2 staff= (\$298)
  - 2 staff travel to do training forum: 1 forum in Jamestown via train: 1 trip @ \$258 round trip x 2 staff= (\$516); cab fare @ \$25 x 4 rides (\$100); per diem hotel & meals @\$144 x 2 staff= (\$288)
  - 2 staff travel to do training forum: 1 forum in Queensberry via train: 1 trip @ \$160 round trip x 2 staff= (\$320); cab fare @ \$25 x 4 rides-(\$100); per diem hotel & meals @\$148 x 2 staff= (\$296)
  - 2 staff travel to do training forum: 1 forum in Poughkeepsie via train: 1 trip @ \$124 round trip x 2 staff = (\$248); cab fare @ \$25 x 4 rides (\$100); per diem hotel & meals @\$161 x 2 staff= (\$322)
  - 2 staff travel to do training forum: 1 forum in Binghamton via air flight: flight to Binghamton @ \$400 round trip x 2 staff= (\$800); cab fare @ \$25 x 4 rides-(\$100); per diem hotel & meals @\$138 x 2 staff= (\$276)
  - 2 staff travel to do training forum: 1 forum in Ulster via train: 1 trip @ \$170 round trip x 2 staff= (\$340); cab fare @ \$25 x 4 rides-(\$100); per diem hotel & meals @\$ 172 x 2 staff= (\$344 )

- **Equipment**

Staff must be provided with adequate equipment to perform their job functions effectively. According to the NY State Office of the State Comptroller's definition, equipment includes items of machinery, vehicles and apparatus which may be used repeatedly without any material impairment of physical condition and which have a

probable life of more than two years. It does not included fixed building equipment such as heating, ventilating, plumbing and electrical items.

Minimal equipment costs will include basic office set up and components that will support the data collection and analysis needed to sustain this project.

<b>Equipment</b>	<b># of units</b>	<b>Unit Cost</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Total</b>
Computers	11	\$1,100	\$3,300	\$4,400	\$4,400	\$0	\$12,100
Laptops	4	\$1,500	\$3,000		\$3,000		\$6,000
Printers	2	\$300	\$600				\$600
Scanner	2	\$200	\$400				\$400
Camera	1	\$500	\$500				\$500
Video Camera	1	\$700	\$700				\$700
Misc.			\$15,000	\$20,000	\$15,000	\$10,000	\$60,000
<b>Total Equipment</b>			<b>\$23,500</b>	<b>\$24,400</b>	<b>\$22,400</b>	<b>\$10,000</b>	<b>\$80,300</b>

- **Supplies**

Supplies will include office supplies, meeting costs, promotional products to market QUALITYstarsNY and program participation and additional materials needed for effective management of QUALITYstarsNY.

**Totals by Section**

<b>Section</b>	<b>Grant Year 1</b>	<b>Grant Year 2</b>	<b>Grant Year 3</b>	<b>Grant Year 4</b>	<b>Total</b>
B	\$56,000	\$83,500	\$111,000	\$83,500	<b>\$334,000</b>
C	\$5,000	\$5,000	\$5,000	\$5,000	<b>\$20,000</b>
D	\$4,500	\$7,420	\$9,840	\$10,660	<b>\$32,420</b>
Priority 5	\$2,000	\$4,498	\$4,498	\$5,350	<b>\$16,346</b>
<b>Total</b>	<b>\$67,500</b>	<b>\$100,418</b>	<b>\$130,338</b>	<b>104,510</b>	<b>\$402,766</b>

**Section B** - Items in this line include office supplies, meeting costs, promotional products to market QUALITYstarsNY and program participation and additional materials needed for effective management of QUALITYstarsNY.

<b>Grant Year Categories</b>	<b>Grant Year 1</b>	<b>Grant Year 2</b>	<b>Grant Year 3</b>	<b>Grant Year 4</b>	<b>Total</b>
<b>Supplies Expense</b>	<b>\$ 56,000</b>	<b>\$ 83,500</b>	<b>\$ 111,000</b>	<b>\$ 83,500</b>	<b>\$ 334,000</b>
Meeting costs (10 meetings/year @ \$100/meeting)	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 4,000
Office Supplies (e.g. pens, paper, ink)	\$ 5,000	\$ 7,500	\$ 10,000	\$ 7,500	\$ 30,000
Promotional materials (folders, flash drives, decals, banners)	\$ 50,000	\$ 75,000	\$ 100,000	\$ 75,000	\$ 300,000

**Section C - Office Supplies and training materials: \$5,000/year**

**Section D -** Items in this line include meeting costs that are estimated to cover the cost of the use of space, and the provision of food and/or audiovisual equipment that might be needed to facilitate meetings; office supplies to align the broad range of professional development experiences, from training options through credentials and degrees with the Core Body of Knowledge; cell phones to enable regional staff to be connected remotely.

<b>Supplies</b>	<b>Grant Year 1</b>	<b>Grant Year 2</b>	<b>Grant Year 3</b>	<b>Grant Year 4</b>	<b>Total</b>
Meeting Costs	\$1,500	\$2,000	\$2,000	\$2,000	<b>\$7,500</b>
office supplies	\$3,000	\$3,500	\$4,000	\$4,500	<b>\$15,000</b>
cell phones	\$0	\$1,920	\$3,840	\$4,160	<b>\$9,920</b>
<b>Total</b>	<b>\$4,500</b>	<b>\$7,420</b>	<b>\$9,840</b>	<b>\$10,660</b>	<b>\$32,420</b>

- **Contractual** - PDI will issue contracts for the following activities:
  - **Early Care and Learning Council Support to support QUALITYstarsNY implementation** - The Early Care and Learning Council (ECLC) is the coordinating agency that supports New York’s network of CCR&R’s. The PDI will contract with the Early Care and Learning Council (ECLC) to identify and contract with 10 regional CCR&R offices that will conduct a range of activities to support the success of QUALITYstarsNY including recruitment of participating sites that serve Children with High Need, implementation of the Start With Stars initiative for sites that need intensive technical assistance to participate in QUALITYstarsNY, as well as the delivery of a wide array of professional development and technical assistance to the participating programs. The PDI will contract with the ECLC to establish a framework and targeted

activities based on the demographics of each region (rural, suburban, and/or urban) for recruitment. The ECLC Regional offices will each hire a QUALITYstarsNY Manager to coordinate the regional work of recruitment, *Start with Stars*, and the provision of professional development and technical assistance. The regional QUALITYstarsNY Manager will work with QUALITYstarsNY leadership and identify local strategies to prepare programs to manage the requirements of QUALITYstarsNY by abating compliance issues in regulation and to assemble the required documentation of the QUALITYstarsNY standards.

- Total: \$3,725,106. Year 1: \$605,333; Year 2: \$1,011,000; Year 3: \$1,039,910; Year 4: \$1,068,863
- The budget will cover the cost of 10 QUALITYstarsNY managers at \$60,000/year salary and associated costs including fringe benefits, meeting costs, local travel, and office expenses.
- **Assessment Coordinator Subcontract for QUALITYstarsNY** - The basis for QUALITYstarsNY star ratings involves external assessment by individuals who are trained to reliability. NYS will procure the services of an Assessment Coordinator to manage the training of assessors and the implementation of independent Environment Rating Scale (ERS) and Classroom Assessment Scoring System (CLASS) assessments. NYS will conduct a rigorous Train-the-Trainer module to increase the supply of reliable assessors. Regional anchors or Master Trainers will be trained in the ERS and CLASS so that they can continue to develop a cadre of trained assessors. ERS assessments will occur in programs rated at the Star 3 – Star 5 levels. Each family and group family home will be observed in addition to 50% of center classrooms. CLASS assessments will occur in rated Star 4 and Star 5 programs. NYS will implement PreK CLASS assessments and pilot the use of the CLASS tools in family homes, pilot the use of the Toddler CLASS and pilot the use of the Infant CLASS tool when it becomes available. These assessments results will inform the development of the Quality Improvement Plan and the alignment of technical assistance and professional development resources. Assessments are done once every three

years for most programs. Observers are paid \$200/classroom for CLASS assessments and \$250/classroom for each ERS assessment.

- Total: \$2,803,559. Year 1: \$686,999; Year 2: \$645,800; Year 3: \$636,763; Year 4: \$833,997

- *Any additional basis for cost estimates or computations.*

Year 1: 500 ERS assessments @ \$250/assessment (\$125,000) + 200 CLASS assessments @ \$200/assessment (40,000) = (\$270,938). (Assessment costs also include material costs and use of the electronic data capture software by Branagh.) Training costs = \$267,425; management costs = \$148,636 including 5% indirect.

Year 2: 735 ERS assessments @ \$250/assessment (\$183,750) + 295 CLASS assessments @ \$200/assessment (\$59,000) = (\$314,425). (Assessment costs also include material costs and use of the electronic data capture software by Branagh.) Training costs = \$181,550; management costs = \$149,825.

Year 3: 725 ERS assessments @ \$250/assessment (\$181,250) + 290 CLASS assessments @ \$200/assessment (\$58,000) = (\$346,075). (Assessment costs also include material costs and use of the electronic data capture software by Branagh.) Training costs = \$138,050; management costs = \$152,638 including 5% indirect.

Year 4: 975 ERS assessments @ \$250/assessment (\$243,750) + 390 CLASS assessments @ \$200/assessment (\$78,000) = (\$528,525). Training costs = \$140,100; management costs = \$165,372 including 5% indirect. *The purpose and relation to the State Plan or specific project:*

**Validation Study of QUALITYstarsNY** - OCFS will commission a comprehensive validation study that will measure the degree to which the QUALITYstarsNY tiers accurately reflect differential levels of program quality and determine the extent to which changes in the quality ratings are related to children's learning, development and school readiness, as outlined in Section (B)(5).

- *The estimated cost per expected procurement:* Total: \$1,500,000. Year 1: \$150,000; Year 2: \$350,000; Year 3: \$500,000; Year 4: \$500,000.

**QUALITYstarsNY Communication Subcontracts/Consultants** - An essential part of this proposal involves the effective communication to families about program quality. It is equally important that families understand how QUALITYstarsNY functions throughout the ten regions. A multi-faceted communications strategy will be implemented that will include development and dissemination of marketing materials such as brochures, public radio/television advertising space, development of a mobile application to allow families to search for rated programs and development of an on-line QUALITYstarsNY training module. The services of various consultants, including a marketing agency, website developer, graphic designer and others will be solicited to help accomplish this work.

Total: \$1,129,000. Year 1: \$261,000; Year 2: \$421,000; Year 3: \$281,000; Year 4: \$166,000

Grant Year Categories	Grant Year 1	Grant Year 2	Grant Year 3	Grant Year 4	Total
<b>Communication Subcontracts/Consultants</b>	<b>\$ 261,000</b>	<b>\$ 421,000</b>	<b>\$ 281,000</b>	<b>\$ 166,000</b>	<b>\$ 1,129,000</b>
Marketing agency	\$ 50,000	\$ 75,000	\$ 50,000	\$ 25,000	\$ 200,000
Graphic Designer	\$ 36,000	\$ 36,000	\$ 36,000	\$ 36,000	\$ 144,000
Communications Writer	\$ 30,000	\$ 35,000	\$ 25,000	\$ 10,000	\$ 100,000
Website Designer/Developer	\$ 15,000	\$ 20,000	\$ 15,000	\$ 10,000	\$ 60,000
Translator	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 20,000
Mobile Application development	\$ 25,000	\$ 75,000	\$ 50,000	\$ 20,000	\$ 170,000
Training Module Development	\$ 75,000	\$ 125,000	\$ 25,000	\$ 10,000	\$ 235,000
Misc. Consultation	\$ 25,000	\$ 50,000	\$ 75,000	\$ 50,000	\$ 200,000

**Data Management Subcontracts for QUALITYstarsNY - QUALITYstarsNY**

is currently using the WELS data system to manage the rating process. Significant features have already been developed through the field test and first phase of implementation. New York State has already purchased the full license of the system. Ongoing costs to be covered by this will be the annual maintenance, support and hosting. As the QUALITYstarsNY system further develops, additional features will be integrated into the WELS system. Development costs for these features are at a discounted rate of \$125/hour. Aspire, the Workforce Registry system has also been developed and is fully functional. Ongoing costs to be covered by this grant include maintenance, support and hosting. Additional capabilities including reporting features will be added to Aspire as a part of the RTT grant.

- Total: \$697,300. Year 1: \$168,700; Year 2: \$171,200; Year 3: \$176,200; Year 4: \$181,200.

Grant Year Categories	Grant Year 1	Grant Year 2	Grant Year 3	Grant Year 4	Total
<b>Data Management Subcontracts</b>	<b>\$ 168,700</b>	<b>\$ 171,200</b>	<b>\$ 176,200</b>	<b>\$ 181,200</b>	<b>\$ 697,300</b>
WELS Maintenance and Support	\$ 34,200	\$ 34,200	\$ 34,200	\$ 34,200	\$ 136,800
Portal Maintenance and Support	\$ 37,500	\$ 37,500	\$ 37,500	\$ 37,500	\$ 150,000
WELS Hosting	\$ 12,000	\$ 12,000	\$ 12,000	\$ 12,000	\$ 48,000
WELS Escrow	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 20,000
WELS Development	\$ 10,000	\$ 12,500	\$ 12,500	\$ 12,500	\$ 47,500
Publisher's Fees (ERS only)	\$ 20,000	\$ 20,000	\$ 25,000	\$ 30,000	\$ 95,000
Aspire Hosting, Maintenance, Development and Support	\$ 50,000	\$ 50,000	\$ 50,000	\$ 50,000	\$ 200,000

### Section C Contractual

- **Development of Smart Phone app (Activity C.1)**
  - Total: \$200,000. Year 1: \$25,000 (begin design of application, engage focus groups); Year 2: \$150,000 (design and pilot app); Year 3: \$25,000 (refine design based on feedback from early adapters).
- **Web-based tool development (activity C.3)**
  - Total: \$232,500. Year 1: \$120,000 (design web-based tool and build components); Year 2: \$55,000 (continue development by conducting a pilot, evaluate feedback and modify); Year 3: \$57,500 (work with statewide teachers to populate tool).
- **Translation of Parents as Partners and other materials into five languages**
  - Total: \$20,000 in year 1 one only
- **Videographer to populate web-based tool**
  - Total: \$30,000 in year 1 only - 20 days @ \$1,500/day = \$30,000
- **K-3 content specialist for activity C1.5**
  - Total: \$40,000 (year 1) + \$15,000 (year 2) = \$55,000.
  - 20 days (year 1) + 7.5 days (year 2)
- **Graphic designer to redesign Early Learning Guidelines**
  - Total: \$8,000 in year 2 only
  - 8 days @ \$1,000/day = \$8,000
- **Early Childhood Content Specialist to complete C1.4 and C1.5**
  - Total: \$30,000 in year 2
  - 15 days @ \$2,000/day = \$30,000

- **Trainers to deliver regional training**
  - Total: \$60,000 in year 3
  - 18 trainings @ \$3,333/training = \$60,000
- **Trainers to deliver regional training**
  - Total: \$60,000 in year 4
  - 18 trainings @ \$3,333/training = \$60,000

Section D Contractual

- **Vendor to be named= \$75,000**
  - Purpose: To complete the work of Goal D1.1, Activity D1.1.1; The Early Childhood Higher Education Inventory.
  - Cost estimates are based on a proposed Scope of Work and Work Plan previously developed by CSCCE and the New York State Early Childhood Advisory Council
- **Vendor= \$15,000**
  - Purpose: To complete the work of Goal D1.1, Activity D1.1.3; Align state-specific credentials to the Core Body of Knowledge.
  - Cost estimates are based upon a daily rate of \$600/day and an estimate 25 hours of work
- **The Registry, Inc.= 8,000**
  - Purpose: To complete the work of goal D1.3, Activity D1.3.3; Develop the capacity to track educators' participation in technical assistance.
  - The Registry, Inc. is the developer of New York's workforce registry that includes the mechanism to track training and technical assistance. They are best suited to further hone the development of the system's ability to track technical assistance that will be most meaningful for New York.
  - Cost estimate is based upon a daily rate of \$100/hour and an estimated 80 hours of work.
- **Videographer = 40,000**

- Purpose: To contribute to the work of D1.5.1; Develop an online resource tool to accompany the Core Body of Knowledge. Videographer will capture video of early childhood educators and children interacting in a variety of Early Learning and Development programs to demonstrate the recommended practices outlined in the Core Body of Knowledge.
  - Cost estimate is based upon a rate of \$50/hour and an estimate of 200 hours of work.
  
- **Early Childhood Education Consultants= \$40,000**
  - Purpose: These consultants would be responsible for helping the New York Early Childhood Professional Development Institute to develop its approval process and training of trainer work for technical assistance providers, as outlined in D1.2.4.
  - Estimated costs are based on a rate of \$100/hour and an estimated 150 hours of work in Year 1, 200 hours of work in Year 2, and 50 hours of work in Year 3.
  
- **Training for Trainers=\$500,000**
  - Purpose: To sponsor training of trainer courses for a cadre of high level professional development providers in key professional development curricula and/or models so that New York is better able to meet the professional development needs of programs serving Children with High Needs. This work is related to Goal D1.2 and Activity D1.2.5.
  - Estimated costs are based on an average spending of 5,000 per trainer for 100 trainers across the last three years of the grant.
  - Specific training of trainer courses will be determined after assessing the cadre of trainer's needs in Year 1, Aspire data on the State's training landscape, and quality improvement initiatives like Early Learn NYC and QUALITYstarsNY.
  
- **Consultants for Training and Course Development= \$120,000**

- Purpose: Consultants would be responsible for developing new professional development opportunities aligned with the Core Body of Knowledge. These activities are included in Goal D1.4: Develop and implement professional development opportunities for the early childhood workforce (from teachers through trainers) on the Core Body of Knowledge.
- Cost estimates are based on a rate of \$100/hour for an estimated 200 hours of work in Year 1, 400 hours of work in Year 2, 400 hours of work in Year 3, and 200 hours of work in year 4.

#### Other

- **Achievement Awards for QUALITYstarsNY programs** - As programs are rated they will receive tiered achievement awards that are aligned with the star level. Programs with higher star ratings (the goal of this project) will get larger awards. Programs are rated every 3 years so there is an allocation for programs rated in Year 1 to be re-rated in Year 4. It is estimated that each site will be eligible for an average of \$1,500.
  - Total: \$3,912,400. Year 1: \$681,000; Year 2: \$947,750; Year 3: \$969,650; Year 4: \$1,314,000.



- **Improvement Support Grants (Technical Assistance) for QUALITYstarsNY programs** - An average of \$1,800 per year will be provided to programs to support the technical assistance needs outlined in the Quality Improvement Plans. These grants can support program-wide needs as well as the goals of specific staff. The program lead will work with the Quality Improvement Specialist.

  - Total: \$10,587,600. Year 1: \$1,319,400; Year 2: \$2,219,400; Year 3: \$3,209,400; Year 4: \$3,839,400.
  
- **Development: QUALITY Scholars** - OCFS commits funds to QUALITY Scholars each year to support the professional development needs articulated in the Quality Improvement Plans of each participating site (\$1350/year). This allocation will strengthen the ability of QUALITYstarsNY to meet the professional development needs of participating sites over the 4 years.

  - Total: \$2,500,000. Year 1: \$250,000; Year 2: \$500,000; Year 3: \$750,000; Year 4: \$1,000,000.
  
- **Printing Total= \$67,000**

  - YEAR 1 and 2 =\$5,500 per year for \$11,000
  - \$5,000- Regional office work.
  - \$500-Training manuals/brochures on training approval system and Aspire Event Review for professional development providers
  - YEAR 3=\$45,500
  - \$40,000 to reprint the Core Body of Knowledge so that it can be used to help meet the activities of D1.1.2 aligning higher education degrees and coursework to the Core Body of Knowledge
  - Cost estimated at printing 7,131 books @ \$5.61/book.
  - \$5,000- Regional office work.
  - \$500-Training manuals/brochures on training approval system and Aspire Event Review for professional development providers
  - YEAR 4=\$10,500

\$5,000-Printing of guidelines for Institutions of Higher Education on how to align degrees and coursework with the CBK

\$5,000- Regional office work \$500-Training manuals/brochures on training approval system and Aspire Event Review for professional development providers

- Indirect Costs - The Indirect Cost Rate used for the entire 4 year period is 9%, which is based on the most recent information available.

### **12) Funds Set Aside for Participation in Grantee Technical Assistance**

OCFS will set aside \$392,000 (\$98,000 each year) for participation in grantee technical assistance.

### **13) Total Funds Requested**

The total amount of funds requested in year one is \$8,914,242; in year two is \$14,539,223; in year three is \$19,787,321; and in year four is \$22,740,641. Total: \$65,981,427

### **14) Other Funds Allocated to the State Plan**

OCFS is committed to reprogramming \$30,540,000 in CCDF funds over the course of the grant (as outlined in Section A4a) to support QUALITY Scholars, CRRs, Training and support of the Aspire.

OCFS is committed to reprogramming \$840,000 in staffing and resources over the course of the grant. This will include devoting a portion of nine staff people's time (3 FTE) to supporting programmatic, governance, and coordinating activities outlined in Section (A) of the State plan.

The ECAC will support the State Plan by identifying five people from the Council on Children and Family. The total value of the in-kind service over four years is \$874,800 and as follows:

- Three staff from general fund to support the State Plan by supporting the ECAC.
- Head Start Collaboration Director federal funds to support all sections of the State Plan;
- State Early Childhood Comprehensive Systems (SECCS) Project Coordinator federal funds to support Section C3 Strategy #2
- BUILD initiative funds will be used to support ECAC meeting costs and a subcontract to the New York State Association for the Education of Young Children for a shared services project to support program quality.

The total amount of other funds used to support this request in year one is \$6,399,000; in year two is \$7,348,600; in year three is \$8,848,600; and in year four is \$8,818,600. Total: \$31,414,800

#### **15) Total Budget**

The total budget in year one is \$15,313,242; in year two is \$21,887,823; in year three is \$28,635,921; and in year four is \$31,559,241. Total \$97,396,227

<b>Participating State Agency-Level Budget Table II-1</b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Budget Category</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	94,248	97,075	99,988	102,987	<b>394,298</b>
2. Fringe Benefits	55,371	57,032	58,743	60,505	<b>231,650</b>
3. Travel	47,500	48,625	46,784	47,976	<b>190,885</b>
4. Equipment	4,776	0	0	0	<b>4,776</b>
5. Supplies	5,000	5,150	5,305	5,465	<b>20,920</b>
6. Contractual	14,500	14,875	15,261	15,666	<b>60,302</b>
7. Training Stipends	0	0	0	0	<b>0</b>
8. Other	0	0	0	0	<b>0</b>
<b>9. Total Direct Costs (add lines 1-8)</b>	<b>221,395</b>	<b>222,757</b>	<b>226,080</b>	<b>232,599</b>	<b>902,832</b>
10. Indirect Costs*	19,481	20,065	20,667	21,287	<b>81,501</b>
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	0	0	0	0	<b>0</b>
12. Funds set aside for participation in grantee technical assistance	0	0	0	0	<b>0</b>
<b>13. Total Grant Funds Requested (add lines 9-12)</b>	<b>240,876</b>	<b>242,823</b>	<b>246,748</b>	<b>253,887</b>	<b>984,333</b>
14. Funds from other sources used to support the State Plan	1,673,372	178,573	183,930	189,449	<b>2,225,324</b>

<b>15. Total Statewide Budget (add lines 13-14)</b>	<b>1,914,248</b>	<b>421,396</b>	<b>430,678</b>	<b>443,336</b>	<b>3,209,657</b>
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Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

**State Education Department (SED)**

<b>Participating State Agency-Level Budget Table II-2 (Evidence for selection criterion (A)(4)(b))</b>					
<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<b>QUALITYstarsNY (B)</b>	0	0	0	0	<b>0</b>
<b>Early Learning Development Standards (C1)</b>	0	0	0	0	<b>0</b>
<b>Health and Safety Standards for QUALITYstarsNY (C3)</b>	0	0	0	0	<b>0</b>
<b>Kindergarten Readiness Tool (E)</b>	1,673,372	178,573	183,930	189,449	<b>2,225,324</b>

<b>Early Childhood Education Workforce (D)</b>	0	0	0	0	<b>0</b>
<b>Grant Administration Oversight (A)</b>	240,876	242,823	246,748	253,887	<b>984,333</b>
<b>Rural Children Competitive Priority</b>	0	0	0	0	<b>0</b>
<Project 8>	0	0	0	0	<b>0</b>
<Project 9>	0	0	0	0	<b>0</b>
<Project 10>	0	0	0	0	<b>0</b>
<Project 11>	0	0	0	0	<b>0</b>
<Project 12>	0	0	0	0	<b>0</b>
<Project 13>	0	0	0	0	<b>0</b>
<Project 14>	0	0	0	0	<b>0</b>
<Project 15>	0	0	0	0	<b>0</b>
<b>Total Statewide Budget</b>	<b>1,914,248</b>	<b>421,396</b>	<b>430,678</b>	<b>443,336</b>	<b>3,209,657</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

## STATE EDUCATION DEPARTMENT

### Budget Narrative

The New York State Education Department (SED) will be a participating agency in the implementation of this grant. To meet its obligations and scope of work under the grant,

SED will hire one staff person with grant funds to carry out the work of the development and implementation of New York State's Kindergarten Readiness Tool (referred to within the grant as the Early Learning Inventory of Skills), the PreK-3rd grade alignment projects and other projects as described in the plan. SED will also use grant funds for professional development costs relating to the alignment of standards across Pre-K through 3rd grade project. SED will also coordinate with OCFS on activities related to QUALITYstarsNY, the Core Body of Knowledge, and other projects in the plan.

1) **Personnel**

With funds from this grant, SED will hire one full time staff person to oversee the development and implementation of the Early Learning Inventory of Skills (ELIS), activities associated with the alignment of standards across Pre-K through 3rd grade, directly supervise two ELIS staff, as well as provide coordination of SED's role in all other projects as outlined in the plan.

The Director of the RTTT: ELCG will oversee all of the programmatic and administrative activities that SED is responsible for and will supervise the two staff: two early childhood assessment coordinators. The Director will work closely with the SED Senior Management team and the Board of Regents to be sure the tool is developed in accordance with the direction that the Board of Regents and the SED Commissioner sets forth. The Director will also work directly with the lead agency - OCFS - and other agency partners. The Director will also have oversight responsibilities for the alignment of standards across Pre-K through 3rd grade. The projected year one salary is \$94,248; \$97,075 in year two, \$99,988 in year three and \$102,987 in year four for total of \$394,298 over the course of the grant.

2) **Fringe Benefits**

The Fringe Benefits cost for the life of the grant is as follows: \$55,371 in year one, \$57,032 in year two, \$58,743 in year three, and \$60,505 in year four for a total of \$231,650 over the life of the grant.

**3) Travel**

Regional training sessions will be conducted for the Big Five City School Districts, Small City School Districts and Joint Management Teams. Training will focus on topics such as how to use the ELIS effectively, how to use the ELIS data to target instruction in classrooms, how to inform parents about their children's progress using the ELIS data, and how to align standards for Pre-K – 3rd grade. We anticipate SED travel costs, overnight lodging/meals, as well as travel costs for participants. We anticipate 25 annual sessions at \$1,500 per training. SED will also provide reimbursement for the Advisory Committee members to attend regional meetings. We anticipate 12 meetings at \$250 per meeting for 6 members. The projected travel costs are \$47,500 in year one, \$48,625 in year two, \$46,784 in year three and \$47,976 in year four for total of \$190,885 over the course of the grant.

**4) Equipment**

SED will use grant funds to purchase computers and a printer at state contract rates. The projected costs are \$4,776 in year one, \$0 in year two, \$0 in year three and \$0 in year four for total of \$4,776 over the course of the grant.

**5) Supplies**

SED will use grant funds to support the coordination of the ELIS as well as supporting state-wide grant initiatives. These include printing, mailing, phones, paper, toners and general office supplies. The projected costs are \$5,000 in year one, \$5,150 in year two, \$5,305 in year three and \$5,456 in year four for total of \$20,920 over the course of the grant.

**6) Contractual**

SED will use grant funds for two contractual projects.

The first contractual project is videotaping of professional development sessions at \$2,000 annually (adjusted for inflation for years two through four).

SED will also use grant funds to conduct Regional training sessions for the Big Five City School Districts, Small City School Districts and Joint Management Teams. We anticipate 25 annual sessions at \$500 per training which is \$12,500 a year.

The total costs for these contracts over the course of the grant will be \$60,302; which will be \$14,500 in year one, \$14,875 in year two, \$15,261 in year three and \$15,666 in year four.

**7) Training Stipends**

SED will not use funding from the grant to provide training stipends.

**8) Other**

Not applicable to SED's budget.

**9) Total Direct Costs**

The sum of expenditures across all budget categories in lines 1-8 are \$221,395 in year one, \$222,757 in year two, \$226,080 in year three and \$232,599 in year four for total of \$902,832 over the course of the grant.

**10). Indirect Costs**

The indirect cost rate for SED is 20.67 percent. This equals \$19,481 in year one, 20,065 in year two, \$20,667 in year three and \$21,287 in year four for total of \$81,501 over the course of the grant.

**11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs and other partners.**

Not applicable to the SED budget.

**12) Funds set aside for participation in grantee technical assistance**

Not applicable to SED's budget

**13) Total Funds Requested**

The sum of expenditures across all budget categories in lines 9-12 are \$240,876 in year one, \$242,823 in year two, \$246,748 in year three and \$253,887 in year four for total of \$984,333 over the course of the grant.

**14) Other Funds Allocated to the State Plan**

State General Fund support will fully cover the \$2,225,324 cost of the development, pilot, refinement and implementation of ELIS (New York's Kindergarten Readiness Tool) that will be used to improve our understanding of the preparedness of our young children as they begin kindergarten, as well as help inform best practices for early learning and development programs. This funding will pay for development, piloting, and implementation of the ELIS, as well as two program staff to assist in development and statewide implementation. The sum will be appropriated as follows; \$1,673,372 in year one, \$178,573 in year two, \$183,930 in year three and \$189,449 in year four.

**15) Total Budget**

Total SED expenditures for 1,914,249 in year one, \$421,397 in year two, \$430,680 in year three and \$443,331 in year four. The total SED budget for the life of the grant is \$3,209,657.

<b>Participating State Agency-Level Budget Table II-1</b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Budget Category</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	129,496	200,501	206,225	212,052	<b>748,274</b>
2. Fringe Benefits	76,079	106,767	117,301	123,626	<b>423,773</b>
3. Travel	349	6,165	6,165	6,165	<b>18,844</b>
4. Equipment	2,200	0	0	0	<b>2,200</b>
5. Supplies	605	0	0	0	<b>605</b>
6. Contractual	20,750	383,000	383,000	383,000	<b>1,169,750</b>
7. Training Stipends	0	0	0	0	<b>0</b>
8. Other	0	0	0	0	<b>0</b>
<b>9. Total Direct Costs (add lines 1-8)</b>	<b>229,479</b>	<b>696,433</b>	<b>712,690</b>	<b>724,843</b>	<b>2,363,445</b>
10. Indirect Costs*	35,565	53,157	55,970	58,072	<b>202,764</b>
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	189,000	470,000	470,000	470,000	<b>1,599,000</b>
12. Funds set aside for participation in grantee technical assistance	1,000	1,000	1,000	1,000	<b>4,000</b>
<b>13. Total Grant Funds Requested (add lines 9-12)</b>	<b>455,044</b>	<b>1,220,590</b>	<b>1,239,660</b>	<b>1,253,915</b>	<b>4,169,209</b>

14. Funds from other sources used to support the State Plan	493,946	383,946	350,171	350,171	<b>1,578,234</b>
<b>15. Total Statewide Budget</b> (add lines 13-14)	<b>948,990</b>	<b>1,604,536</b>	<b>1,589,831</b>	<b>1,604,086</b>	<b>5,747,443</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT–ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

**Department of Health (DOH)**

<b>Participating State Agency-Level Budget Table II-2</b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<b>QUALITYstarsNY (B)</b>	0	0	0	0	<b>0</b>
<b>Early Learning Development Standards (C1)</b>	0	0	0	0	<b>0</b>
<b>Health and Safety Standards for QUALITYstarsNY (C3)</b>	948,990	1,604,536	1,589,831	1,604,086	<b>5,747,443</b>

<b>Kindergarten Readiness Tool (E)</b>	0	0	0	0	<b>0</b>
<b>Early Childhood Education Workforce (D)</b>	0	0	0	0	<b>0</b>
<b>Grant Administration Oversight (A)</b>	0	0	0	0	<b>0</b>
<b>Rural Children Competitive Priority</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 8&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 9&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 10&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 11&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 12&gt;</b>	0	0	0	0	<b>0</b>
<b>&lt;Project 13&gt;</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>&lt;Project 14&gt;</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>&lt;Project 15&gt;</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Statewide Budget</b>	<b>948,990</b>	<b>1,604,536</b>	<b>1,589,831</b>	<b>1,604,086</b>	<b>5,747,443</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

**DEPARTMENT OF HEALTH**

**Budget Narrative**

## 1) Personnel

- **Early Childhood Health Promotion Specialist** - One full-time position to: convene DOH Early Childhood Health Promotion team; oversee early childhood health promotion activities within DOH/Title V Program; provide content expertise and staff support to ECAC Promoting Healthy Development workgroup; coordinate intra- and inter-agency activities to develop enhanced health standards and associated training, technical assistance and other implementation supports for QSNY and to develop training and quality improvement resources for health care providers to improve developmental screening and other preventive health care services for high need children. The projected salary for year one is \$74,413 (prorated at 8 months to account for recruitment/hiring); year two is \$114,396; year three is \$117,828; and year four is \$121,363.
- **Public Health Nutritionist 2 (Early Childhood Nutrition & Physical Activity Specialist)** - One full time position to oversee adaptation of the Eat Well Play Hard in Child Care Settings curriculum to a train-the-trainer model and training of trainers statewide; provide state level oversight and coordination for the Early Childhood Physical Activity Expert Consultant and 4 Early Childhood Physical Activity Specialists. The projected year one salary is \$55,083 (prorated at 8 months to account for recruitment/hiring); year two is \$86,105; year three is \$88,397; and year four is \$90,689.

## 2) Fringe Benefits

The personnel fringe benefits are based on the New York State Federal fringe rates. The 2013-14 rate is 58.75 percent, the 2014-15 rate is 55.70 percent, the 2015-16 rate is 58.20 percent and the 2016-17 rate is 59.98 percent. The total budget for fringe benefits for DOH staff positions related to this grant is \$76,079 in year one; \$106,767 in year two; \$117,301 in year three; and \$123,626 in year four for a total fringe benefit cost of \$423,773 over the life of the grant.

## 3) Travel

In-state travel for ECHP Specialist to meet with ELDPs and regional QSNY center staff to support development and implementation of health-related standards will have 1 trip in Year 1 and 3 trips annually (1 NYC, 2 upstate) at a cost of approximately \$349 per trip. The \$349 per trip assumes \$226 for transportation and \$123 for per diem. The projected cost in year one is \$349; year two is \$1,047; year three is \$1,047; and year four is \$1,047.

One out-of-state trip annually for Years 2-4 for ECHP Specialist to attend relevant national training/conference to inform activities described above: estimate is based on travel to Washington, D.C. with 2 overnight stays and per diem. The projected cost in year one is \$0; year two is \$1,546; year three is \$1,546; and year four is \$1,546.

It is estimated that the public health nutritionist will need nine trips to conduct the Eat Well Play Hard train-the-trainer sessions in years two through four. Estimated costs include \$1,642 for transportation and \$1,930 for lodging per diem. Total travel costs for train-the-trainer in year one is \$0; year two is \$3,572; year three is \$3,572; and year four is \$3,572.

The total four year travel funding to be used from this grant is \$18,844.

#### **4) Equipment**

In order to carry out the goals of the application, staff must be provided with adequate equipment to perform their job functions effectively. According to the NY State Office of the State Comptroller's definition, equipment includes items of machinery, vehicles and apparatus which may be used repeatedly without any material impairment of physical condition and which have a probable life of more than two years. It does not include fixed building equipment such as heating, ventilating, plumbing and electrical items.

In year one, DOH will purchase two desktop computers with software and licenses at \$1,100 each for a total of \$2,200 in year one.

#### **5) Supplies**

DOH will purchase 11 copies of *Caring for Our Children* reference for the ECHP Specialist and the ten regional CCHC trainers at a cost of \$55 per book for a total of \$605 in year one.

## **6) Contractual**

DOH will establish a contract with one or more external organizations to support health care provider education and clinical quality improvement strategies related to developmental screening and other clinical preventive health care practices for young children. The contractor(s) will develop and maintain a website for health care providers to house and support clinical tools and materials, on-line learning modules and interactive forums for sharing best practice strategies, and will facilitate at least one structured statewide learning collaborative annually with health care providers serving high need children. Budget request for contract(s) includes Website development and maintenance, expert consultation on content of new materials and tools, securing CME/MOC credits for selected provider education modules, and learning collaborative (combination of in-person and web-based learning sessions). Estimated at \$300,000 per year for years two through four, for a total of \$900,000 over the course of the grant.

DOH will establish a contract with a Statewide Early Childhood Physical Activity Expert Consultant. The consultant will develop training curriculum, train and provide ongoing consultation to four full-time Early Childhood Physical Activity Hub Specialists. With the Hub Specialists, the consultant will develop curricula and oversee group training ELDPs and development of Local ECPA Consultants, CCR&R trainers, QIPS, EWPH Regional Staff and CCHCs for their respective roles in supporting ELDPs in providing developmentally appropriate physical activity. Consultant costs are estimated at \$75 per hour for 25 hours per week over 40 weeks in the year for a total of \$75,000 annually and \$8,000 annually for travel and per diem. Consultant costs in year one is \$20,750 (prorated at 25% to account for contracting process); year two is \$83,000; year three is \$83,000; and year four is \$83,000, for a total of \$269,750 over the course of the grant.

## **9) Total Direct Costs**

The total Direct Costs in year one is \$229,479; in year two is \$696,433; in year three is \$712,690; and year four is \$724,843, for a total of \$2,363,445 over the course of the grant.

#### **10) Indirect Costs**

The Indirect Cost Rate used for the entire four year period is 17.3 percent, applied to the base of salaries and fringe benefits, which is based on the current indirect rate agreement for the Department of Health, Center for Community Health. The total Indirect Costs in year one is \$35,565; in year two is \$53,157; in year three is \$55,970; and year four is \$58,072, for a total of \$202,764 over the course of the grant.

#### **11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners**

These funds will support staffing and activities of four regional Early Childhood Physical Activity Resource Centers, co-located within QUALITYstarsNY regional hubs. Funds requested include: one Early Childhood Physical Activity Specialists per regional hub, estimated at \$92,500 annually per specialist (Year 1 prorated at 50% for 6 months to account for contracting); one-time training supplies per regional specialist to be purchased in Year 1 @ \$1,000/regional specialist; five local PA Consultants per regional hub to provide on-site training and technical assistance in Years 2-4, estimated at \$25,000 per regional hub per year (10 sites/region/ year/consultant; \$500 per site (\$125/visit x 3 visits/site = \$375 + \$50 equipment + \$75 mileage) . Funds in year one is \$189,000; year two is \$470,000; year three is \$470,000; and year four is \$470,000, for a total of \$1,599,000 over the course of the grant.

#### **12) Funds set aside for participation in grantee technical assistance**

The amount set aside for DOH staff to participate in grant technical assistance is year one is \$1,000; in year two is \$1,000; in year three is \$1,000; and in year four is \$1,000.

#### **13) Total Funds Requested**

The total amount of funds requested in year one is \$455,044; in year two is \$1,220,590; in year three is \$1,239,660; and in year four is \$1,253,915, for a total of \$4,169,209 over the course of the grant.

**Office of Mental Health (OMH)**

<b>Participating State Agency-Level Budget Table II-1</b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Budget Category</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel	0	0	0	0	<b>0</b>
2. Fringe Benefits	0	0	0	0	<b>0</b>
3. Travel	0	0	0	0	<b>0</b>
4. Equipment	0	0	0	0	<b>0</b>
5. Supplies	0	0	0	0	<b>0</b>
6. Contractual	133,490	138,264	154,416	139,661	<b>565,831</b>
7. Training Stipends	0	0	0	0	<b>0</b>
8. Other	0	0	0	0	<b>0</b>
<b>9. Total Direct Costs (add lines 1-8)</b>	<b>133,490</b>	<b>138,264</b>	<b>154,416</b>	<b>139,661</b>	<b>565,831</b>
10. Indirect Costs*	0	0	0	0	<b>0</b>
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	499,800	931,800	931,800	931,800	<b>3,295,200</b>
12. Funds set aside for participation in grantee technical assistance	1,000	1,000	1,000	1,000	<b>4,000</b>
<b>13. Total Grant Funds Requested (add lines 9-12)</b>	<b>634,290</b>	<b>1,071,064</b>	<b>1,087,216</b>	<b>1,072,461</b>	<b>3,865,031</b>
14. Funds from other sources used to support the State Plan	0	0	0	0	<b>0</b>

<b>15. Total Statewide Budget (add lines 13-14)</b>	<b>634,290</b>	<b>1,071,064</b>	<b>1,087,216</b>	<b>1,072,461</b>	<b>3,865,031</b>
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Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

**Office of Mental Health (OMH)**

<b>Participating State Agency-Level Budget Table II-2</b>					
<b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<b>QUALITYstarsNY (B)</b>	0	0	0	0	<b>0</b>
<b>Early Learning Development Standards (C1)</b>	0	0	0	0	<b>0</b>
<b>Health and Safety Standards for QUALITYstarsNY (C3)</b>	634,290	1,071,064	1,087,216	1,072,461	<b>3,865,031</b>
<b>Kindergarten Readiness Tool (E)</b>	0	0	0	0	<b>0</b>
<b>Early Childhood Education Workforce (D)</b>	0	0	0	0	<b>0</b>
<b>Grant Administration Oversight (A)</b>	0	0	0	0	<b>0</b>

<b>Rural Children Competitive Priority</b>	0	0	0	0	<b>0</b>
<Project 8>	0	0	0	0	<b>0</b>
<Project 9>	0	0	0	0	<b>0</b>
<Project 10>	0	0	0	0	<b>0</b>
<Project 11>	0	0	0	0	<b>0</b>
<Project 12>	0	0	0	0	<b>0</b>
<Project 13>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<Project 14>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<Project 15>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Statewide Budget</b>	<b>634,290</b>	<b>1,071,064</b>	<b>1,087,216</b>	<b>1,072,461</b>	<b>3,865,031</b>

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

## OFFICE OF MENTAL HEALTH

### Budget Narrative

#### 1) Personnel

There are no personnel costs

#### 2) Fringe Benefits

There are no fringe costs.

#### 3) Travel

There are no travel costs.

#### 4) Equipment

There are no supply costs.

#### 5) Supplies

There are no supply costs.

## 6) Contractual

Estimated costs of all the contracts for year one are \$133,490; in year two \$138,264; year three \$154,416; year four are \$139,661 for a total of \$565,831 for the course of the grant.

- **Infant and Early Childhood Social Emotional Development State Coordinator.** One full-time position to ensure appropriate oversight, training and coordination of the 10 regional social emotional development consultants. This project will develop a cadre of well-trained infant and early childhood social emotional development consultants who will build capacity of staff and families to promote children's social skills and positive emotional development, and to prevent, identify, treat and reduce the impact of disruptive and challenging behaviors among young children. The Coordinator will ensure the professional development activities to include training of selected consultation model and on-going learning collaboratives to sustain practice as part of the activities within the Social Emotional Development Resource Center. The Coordinator will ensure that the Center's activities will address children with behavioral challenges in ELDP who are at high risk for educational and behavioral problems within the targeted high needs communities. The contract includes annual salary and fringe benefits for one staff, prorated at 75% for the first year with an increase of 3% for years two through four, equipment costs for year one, supplies for year one through four and travel to all of the QUALITYstarsNY regions for years two through 4. Estimated at: year one \$87,280; year two \$120,720; year three \$123,872; year four \$127,117, for a four year total of \$458,989
- **Infant Early Childhood Social Emotional Consultation Model Qualified Trainer and Learning Collaborative.** To develop a cadre of well-trained infant and early childhood social emotional development consultants, the State Coordinator in collaboration with the ECAC will select and implement an

evidence-informed infant-early childhood mental health consultation model. A qualified trainer of this model will provide a 3-day training on the implementation of this model. To support the collaborative nature of this model, this three day training on selected model will bring together the 10 regional Social Emotional consultants, 10 early childhood directors from each region, 10 clinical directors/supervisors in from each region along with Statewide Coordinator. A one-day refresher course each year will advance practice skills and ensure fidelity to the model. To sustain implementation of the model, a statewide learning collaborative will be established throughout the course of this grant. Monthly conference calls/webinars will bring together all 10 regional Social Emotional consultants. The learning collaborative will focus on skill development, capacity building, clinical strategies and reflective practice. Costs include two trainers and travel for the trainers and participants for three days in year one, with one day annual training and travel costs for trainers and regional Social Emotional Consultants in years two through four, a monthly learning collaboratives for years two through four. Estimated costs for year one \$46, 210 and \$12,544/year for years two through four for a four year cost of \$83,842.

- **Social Emotional Training and Learning Collaborative for Early Intervention Providers .** To advance the Early Intervention and ECAC Joint Task Force goal of improving access to Early Intervention services for children with identified social emotional delay, a one-day professional development training will be delivered by a contracted trainer. To sustain lessons learned from the social emotional training for Early Intervention providers, learning collaborative will be established on a quarterly basis for each of the 10 QUALITYstarsNY regions. The Learning Collaborative Facilitator along with the regional Social Emotional consultant will facilitate regional meetings on implementation of assessment tools, intervention strategies and deeper understanding of reflective practice in working with infants and toddlers and their families. Costs include one day of a consultant trainer and travel costs in year two,

and costs to support quarterly learning collaborative in year three. Year two \$5,000; Year three \$18,000 for a total cost of \$23,000 for years two and three.

**9) Total Direct Costs**

The total amount of funds requested from lines one through eight is \$565,831. In year one the cost is \$133,490 in year two, is \$138,264; in year three is \$154,416; and in year four is \$139,661.

**10) Indirect Costs**

**11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners**

- **Regional Infant-Early Childhood Social Emotional Development Consultants.** One consultant for each of the 10 QUALITYstarsNY regions to implement the selected model in targeted communities. Services include capacity building for staff and family members, directly observing children and the EDLP environment and designing interventions that involve changes in the behaviors of caregivers. Regional consultants collaborate with administrators, staff, family members and caregivers who intervene directly with children in EDLP. Regional consultants will report to the Infant and Early Childhood Social Emotional Development Coordinator. Each consultant will work 30/hours a week for 24 weeks for year one, and 48 weeks/year in years two through four. Estimated costs for year one \$499,800 and \$931,800/year for years two through 4 for a four year total of \$3,295,200.

**12) Funds set aside for participation in grantee technical assistance**

\$1000 has been set aside each of the four years for a total of \$4,000.

### **13) Total Funds Requested**

The total amount of funds requested in year one is \$634,290 in year two is \$1,071,064; in year three is \$1,087,216; and in year four is \$1,072,461 for a four year total of \$3,865,031.

