
**AN EVALUATION OF
THE CHILD CARE AND EARLY EDUCATION FUND
OF NEW YORK CITY**

Mid-2004 through 2005:

SUMMATIVE REPORT

**Prepared by
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ACKNOWLEDGEMENTS

Once again, I would like to thank the many people who assisted in the completion of this phase of the evaluation, beginning with the members of the Child Care and Early Education Fund whose generosity supported the work of seven grantee organizations and the evaluation. The members of the Fund and their institutional affiliation are listed in Attachment A of the report. The continued assistance of the Fund's coordinator, Norma Rollins, was vital in keeping the evaluation informed of Fund meetings and in providing detailed notes and documentation of the Fund's activities.

The grantee project staff were universally cordial, cooperative and candid in responding to the evaluation's requests for information. In particular, I would like to thank the following for their participation in the evaluation:

- Gail Nayowith and Candice Anderson of the Citizens' Committee for Children
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- Alison Pepper and Mary Hayes of the Federation of Protestant Welfare Agencies

- Brian Segal and Suzanne Reisman, Low Income Investment Fund
- Sheila Smith and Sarah Katsaros Dennis of New York University
- Andrea Vaghy and Rebecca Stevenson, Northern Manhattan Improvement Corporation
- Sarah Dranoff, South Brooklyn Legal Services

I also wish to acknowledge the useful information provided by all the other individuals listed in Attachment B who were interviewed during the past year.

Of course, all errors remain the responsibility of the author.

EXECUTIVE SUMMARY

The Child Care and Early Education Fund of New York City was founded in the spring of 2000 as a multi-year funders' collaborative by a group of private foundations joined by representatives from three city agencies. The goal of the collaborative was:¹

“to achieve systemic improvements in the quality and accessibility of child care for large numbers of New York’s children by encouraging new approaches that will advance the child care field...[and in] supporting collaborations...that will lead to improvements in services.”

“Systemic improvements” were understood to be the result of changes in policies and practices sufficient in scope and scale to affect most if not all of early care and education in New York City. Areas in which Fund members expected to see systemic change included:

- **Changes in the infrastructure and capacity of organizations**, both public agencies and community-based providers, to encourage the implementation of best practices
- **Changes in policies, particularly public policies, and institutional practices** to support a more coordinated and comprehensive set of early care and education services
- **Changes in leadership and public priorities** that sustain and increase investments in early childhood development and early care and education services

FUND STRATEGIES

The Fund’s **primary strategy was to support grantee projects** that would promote sustained improvements in child care quality and access. This strategy absorbed the bulk of the Fund’s financial resources and member and coordinator attention.

A **second Fund strategy was to facilitate conversations and relationships among stakeholders**. Some work involved bringing grantee staff in contact with public sector agencies and convening grantees for cross-project and cross-organizational learning and relationship building. The Fund also engaged in ongoing conversations, both formal and informal, with public sector agency leadership.

The Fund’s **third strategy was to sustain and grow itself as a collective entity** with a role to play in the early care and education policy arena. Making connections with public agency staff and with public officials was one activity under that strategy.

GRANTMAKING ACTIVITIES

Between the spring of 2001, when the first grants were awarded, and the fall of 2005, the Fund dispersed \$2,650,000 in grants to 12 organizations submitting proposals to carry out a range of projects. In addition, the Fund supported the creation of a business plan for a professional development institute for early care and education teachers and assistants professionals and

¹ From the initial RFP for grants issued in 2001.

\$500,000 for its implementation. In late 2005, the Fund committed \$250,000 to support collaborative work among the Administration for Children's Services (ACS), the Human Resources Administration (HRA), and the New York City Department of Education and (DOE) to develop cross-agency quality standards and assurance procedures and blended service delivery and funding models.

In the 2004-2005 period, the following projects were supported by the Fund:

Advocacy and Organizing Work at the City and State Levels

- **Citizens Committee for Children (CCC)** focused its 2004-2005 grant in three areas – ensuring that the implications for early care providers were considered in transferring responsibilities for out-of-school-time care from ACS to other city agencies; reporting on procedures and recommending improvements in Department of Health/Mental Health (DOHMH) oversight of early care and education providers; and investigating opportunities and challenges in forging closer links between early care and education and DOHMH early intervention services for children with special needs.
- **Early Childhood Strategic Group (ECSG)**, under the auspices of Child Care, Inc., continued its work to sustain state investment in and local implementation of the Universal PreKindergarten program, paying particular attention to forging an equitable partnership between the public school system in its new configuration and community-based UPK providers.

Program Quality Improvement

- **Federation of Protestant Welfare Agencies (FPWA)** continued work with an expanded number of large member agencies, helping them develop the capacity to achieve NAEYC accreditation in their child care programs, while promoting accreditation and program quality improvement strategies city-wide through the Quality New York project.
- **The New York University (NYU) Best Practices in Early Childhood Education** project continued development of a tool to assess program quality and train teachers and administrators on classroom practices that stimulate healthy social-emotional development in young children, building on its success in developing a similar tool, supporting materials and training approach in the area of early literacy practices.

Teacher Preparation and Professional Development

- **The Early Childhood Professional Development Institute (PDI)**, housed at the City University of New York Research Center (CUNY), launched a web site with information on training opportunities and requirements for different certifications and continued work on articulation of teacher preparation coursework across the education departments at various CUNY campuses.

Early Care Capacity and Stability

- **The Child Care Seed Fund** project, administered by the **Low Income Investment Fund (LIIF)**, continued to provide training and predevelopment supports to large-scale child

care organizations to prepare them to seek funding for facilities development projects, and engaged in advocacy for funding at both the city and national levels through networks of similar organizations.

- **Northern Manhattan Improvement Corporation (NMIC)** continued work to develop a manual to assist applicants in understanding the family day care licensing requirements and complete the necessary paperwork, engaging both NYC DOHMH and the New York State Office of Children and Family Services (OCFS) as well as other stakeholders.
- **South Brooklyn Legal Services (SBLs)** moved toward a train-the-trainer model in its work with family child care networks and non-profit tax preparation assistance organizations to develop their capacity to assist family care providers in compiling the necessary documentation for business deductions for income tax calculations.

Across the grantee projects, there were a number of successes in system change – both increasing the capacity for change and in making change. These successes included:

- **Organized constituencies** – providers and parents – that can effectively advocate for early care and education investments at the city and state levels (ECSG)
- Program **quality improvement tools and strategies** that are being replicated at the city, state, and national levels (NYU & FPWA; also SBLs)
- Initial steps in providing an **easy-to-access source of information** on credentialing requirements, career ladders and professional development opportunities in the early care and education field (PDI)
- Accelerated progress on **cross-institution course articulation** among CUNY two- and four-year college teacher preparation programs (PDI)
- **Expertise** that is drawn on to guide and support system change initiatives (Sheila Smith from NYU, Suzanne Reisman from LIIF, CCC, ECSG)
- **Research, analysis and recommendations on critical issues** in early care and education that have stimulated public sector policy change (CCC, ECSG)
- **Increased engagement of DOHMH** in efforts to improve the early care and education system (NMIC, SBLs, CCC)
- **Enhanced program quality** in a large number of center-based early care and education programs (FPWA, NYU, SBLs)
- Contributions to the **stability of early care and education capacity** (LIIF, SBLs)

EXPECTED AND OBSERVED OUTCOMES FROM THE FUND'S ACTIVITIES

The theory of change for the Fund predicted certain **interim or shorter-term (years three and four) outcomes** from its activities, including:

- Project **innovations are replicated**, lessons applied to new situations, and related policies and practices improved;
- **Public agencies and private organizations** with responsibility for addressing early care and education issues **are strengthened** or new entities created;
- **Demand** for more coherent early care and education system and increased investments **is broadened**; and
- **The Fund** itself makes more connections within the early care and education field, expands its membership and **funds additional projects to promote systemic change**.

According to the Fund's theory of change, **longer term (fifth and subsequent year) outcomes** expected to be influenced by the Fund's grantmaking and other activities include:

- **A wide array of stakeholders is well informed** for advocacy and decision-making, with both political champions and a broad base of public will supporting investment in early care and education for New York City's young children;
- **Policies are adopted supporting expansion of child care opportunities and improvement in quality**, with the necessary infrastructure and resources in place to implement these policies; and
- **Private dollars are coordinated strategically to leverage public funds** and to support innovative collaborative efforts for systemic change.

Based on information provided by a wide array of stakeholders, the degree of progress toward each outcome was rated in one of three categories – substantial progress (two checkmarks), some progress (one checkmark), and little or no progress (no checkmarks). The ratings for each of the Fund's interim and longer-term outcomes are shown in the tables below:

INTERIM SYSTEM CHANGE OUTCOMES	PROGRESS
Project innovations are replicated, lessons applied to new situations, and related policies and practices improved	✓ ✓
Public agencies and private organizations with responsibility for early care and education are strengthened or new entities created	✓ ✓
Demand for more coherent early care and education system and increased investments is broadened	✓ ✓
The Fund itself makes more connections within the early care and education field, expands its members and funds additional projects to promote systemic change	✓

LONGER-TERM SYSTEM CHANGE OUTCOMES	PROGRESS
A wide array of stakeholders are well-informed for advocacy and decision-making, with both political champions and a broad-base of public will supporting investment in early care and education for New York City’s young children	✓
Policies are adopted supporting expansion of child care opportunities and improvement in quality, with the necessary infrastructure and resources in place to implement these policies	✓
Private dollars are coordinated strategically to leverage effective public funds and to support innovative collaborative efforts for systemic change	✓ ✓

In particular, the Fund is widely credited with:

- **sustaining key public agency engagement** in early care and education system building across changing administrations and for contributing to political leadership
- **using its pooled resources to leverage public dollars** to implement a critical component of an early care and education system – a clearinghouse and information center for teacher preparation and professional development opportunities and a vehicle for facilitating system-wide work on coordination and articulation of those opportunities
- **stimulating the interest of political leadership** in adopting an early care and education policy agenda.

LESSONS LEARNED

Systemic change in a field as diverse as early care and education, involving a large number of center- and home-based providers and with several public agencies responsible for funding and oversight, is of necessity slow. The Child Care and Early Education Fund has been successful in using private resources strategically to support projects focused on policy and system change, bring key stakeholders together, and sustain attention on the goal of an early care and education system that provides quality developmental experiences for New York City’s youngest citizens. These efforts are bearing fruit in increased capacity for program expansion and quality improvement and in practice and policy changes at the system level.

Reflecting on the past four years of the Fund’s work in early care and education, there appear to be several factors critical to its success. They include:

- **Sustained focus and investment**

The Fund has been remarkable in maintaining a core group of private funders and continuing to raise funds over the almost five years of its existence. Even more remarkable has been its unswerving focus on using its resources to promote systemic changes in early care and education practices and policies. This consistency and perseverance has been credited by many stakeholders and observers with making a major contribution to the current political support of an early childhood agenda and to the infrastructure necessary to convert a broad political agenda into reality.

- **Accountability for system change outcomes**

The Fund has held itself and its grantees to the charge of pursuing system change and has been rigorous in expecting evidence of those outcomes. This standard has been clearly articulated in its communications and conversations with public officials, in its requests for proposals and grant awards, and in the focus of reporting and evaluation.

- **Building relationships among the diverse organizations and agencies involved in early care and education**

The Fund has used formal meetings and informal conversations among its grantees and with public officials to promote linkages across projects and with city agencies. It has funded a new institution to facilitate information sharing and new relationships between consumers and providers of training, professional development and teacher preparation.

- **Leveraged engagement of public sector commitments and resources**

The Fund has held to its goal of creating a public-private partnership to support policy change and system development within government. It waited out periods of changing public sector leadership and attention to other issues and continued to offer private support for collaborative projects that built infrastructure, promoted system integration and had city-wide effects. In doing so, it was able to offer funding at strategic moments that built on and further strengthened public sector commitment to system change and expanded the resource base to carry out change activities when the time was right.

- **Multiple strategy approach to system change work, combining project grants and public-private initiatives**

There is strong evidence that overall the grantee projects have contributed to a climate that is more favorable to investment in early care and education and have expanded the capacity of many organizations to promote program quality and build provider capacity. All the grantee projects engaged staff and officials from major city agencies with responsibility for the care and education of young children in some way in their work. This “ground up” system change strategy gave the Fund credibility, visibility and recognition as an important stakeholder in the field. However, it is unlikely that this strategy alone would have been as sufficient to result in public sector commitment of resources and attention to the infrastructure and policy change work that is now underway. The “ground up/top down” approach, planned from the initiation of the Fund, has been a critical factor in its success to date.

CHAPTER ONE: THE CHILD CARE AND EARLY EDUCATION FUND AND THE EVALUATION

The Child Care and Early Education Fund of New York City was founded in the spring of 2000, as an outgrowth of earlier meetings among officials from the Administration for Children’s Services and the Human Resource Administration and private funders. By the end of the first year of meetings, during which the Fund was officially organized, it was described as “a group of strategic planners who encourage innovative approaches and collaborate with providers, government, educators, and business to advance the child care field in new directions.”²

An up-to-date description of the Fund expands on that initial mission:³

The Child Care and Early Education Fund is a multi-year donors’ collaborative dedicated to improving child care and early education in New York City. The Fund’s goal is to affect systematic improvements in the quality and accessibility of child care for large numbers of children. It makes grants and convenes conversations in order to catalyze policy and programmatic reforms needed to effect these improvements.

The Child Care and Early Education Fund encourages innovative approaches and collaborations between providers, government, educators, and business to advance the child care field. The Fund identifies funding niches where private dollars can most effectively leverage the expenditure of public funds, or define ways to make public funding more efficient and effective. It supports policy formulation and advocacy initiatives, as well as efforts to launch widespread improvements in the quality of care. By facilitating conversations and coordination among funders and other stakeholders, the Fund supports planning for systemic change.

BRIEF CHRONOLOGY OF FUND ACTIVITIES

In April 2001 the Fund made nine grants to organizations selected from respondents to a Request for Proposals issued in the fall of 2000, committing a total of approximately \$1,500,000. At the same time, a grant was made to the Center for Assessment and Policy Development (CAPD) for an evaluation of the ability of each grantee project’s work toward achieving its intended outcomes, of the actions that the Fund would take itself, and of the collective influence of the Fund on early care and education in New

² As noted in the “Report on Activities July 1, 2000 – June 30, 2001” prepared by the Fund’s coordinator Norma Rollins.

³ From a proposal to the Altman Foundation for continued support, dated July 8, 2005.

York City. In September 2003, CAPD submitted a summative evaluation report to the Fund covering these topics.

In the fall of 2002 the Fund awarded a \$50,000 grant for the development of a business plan for a city-wide training institute to the Conservation Company. A plan was prepared and delivered in the spring of 2003. In January 2004 the Fund committed \$250,000 to the Training Institute (now known as the Early Childhood Professional Development Institute) via a grant to CUNY's Office of Academic Affairs, which agreed to be the host for the Institute. CUNY already housed HRA's informal care training program and that arrangement made it possible for HRA to commit resources from that grant to the Institute. Barbara Coccodrilli Carlson was named director of the Institute, a position she shared with the directorship of the HRA training program. In mid-2005 a second grant of \$250,000 was awarded for the Professional Development Institute for the July 1, 2005 through June 30, 2006 period.

A second more limited Request for Proposals was issued in the spring of 2003, and both current grantees and new organizations were encouraged to apply in certain specific areas. This RFP again emphasized that proposals must address improving child care and early education for large numbers of New York City children from 0-5 years and include a focus on stimulating public sector action which would result in significant improvements in the quality and accessibility of early care and education in New York City.

Grants were given to several previous grantees to continue their work: Citizens' Committee, the Early Childhood Strategic Group, and the Federation for Protestant Welfare Agencies. New York University received a no-cost extension for additional analysis and training sessions on their early literacy project and for development of a companion tool for assessing classrooms for their support of social and emotional development. New grants were given to the Low Income Investment Fund for the Child Care Seed Fund for training for programs seeking to develop new child care slots, to South Brooklyn Legal Services for a training program in recordkeeping and tax preparation for family care providers and network staff, and to the Northern Manhattan Improvement Corporation for development of a manual on meeting family child care licensing requirements. In all cases, grantee projects were expected to work on policy issues, build partnerships, or develop mechanisms for change that would affect large numbers of early care and education providers and the children they serve. An approximate total of almost \$585,000 was awarded in these seven grants. CAPD's evaluation contract was renewed in the fall of 2003.

In June 2004, the Fund renewed grants to Citizens' Committee (\$100,000 for one year), Early Childhood Strategic Group (\$100,000 for one year), Federation of Protestant Welfare Agencies (\$100,000 for one year), New York University Child and Family Policy Center (a no-cost extension of the 2003-2004 grant to August 31, 2004 and \$100,000 for one year beginning on September 1, 2004), and South Brooklyn Legal Services (\$97,409 for one year). Northern Manhattan Improvement Corporation was

given a no-cost extension of its 2003-2004 grant to December 31, 2004, and the Low Income Investment Fund received an extension on its 2003-2004 grant to September 30, 2004. Subsequently, LIIF received another one-year \$100,000 grant. The CAPD evaluation contract was renewed in the fall of 2004.

In total, through the end of 2005, the Fund had awarded grants totaling just under \$3,130,000.⁴

THE EVALUATION FOCUS AND APPROACH

The first two years of the evaluation concentrated on documenting progress of grantee organizations in meeting their implementation benchmarks and project results – that is, the activities supported by the grant and the benefits realized from the grant activities. Beginning in the third year of the evaluation, the focus shifted to identifying and measuring progress toward system changes to which the grant activities were expected to contribute. As noted later and described in more detail (see Chapter Two), system change or “systemic improvements” were understood to be the result of changes in policies and practices sufficient in scope and scale to affect most if not all of early care and education in New York City.

As the evaluation moved into its third year, the evaluator met with grantee project staff to identify the particular system change results that they believed their work was helping bring about, as well as specific indicators of these results. As in earlier years, data for the evaluation were collected primarily through in-depth interviews with a wide range of “informants,” supplemented by review of documents and observations of meetings, site

⁴ As follows:

Bank Street College of Education	\$50,000 (Yr. 1 planning grant)
Child Development Support Corporation	\$23,236 (Yr. 1 planning grant)
Citizens' Committee for Children	\$450,000 (over 4 years)
The Conservation Company	\$50,000 (to prepare a business plan for the Professional Development Institute)
Cooke Center	\$150,000 (Yr. 1)
Early Childhood Professional Development Institute (at CUNY)	\$500,000 (two years)
Early Childhood Strategic Group	\$425,000 (over 4 years)
Low Income Investment Fund	\$200,000 (Yrs. 3 and 4)
Federation of Protestant Welfare Agencies	\$480,000 (over 4 years)
Northern Manhattan Improvement Corporation	\$56,339 (Yr. 3)
New York University Child and Family Policy Center	\$400,000 (Yrs. 1, 2 and 4, with a no-cost extension in Yr. 3)
Seedco	\$150,000 (Yr. 1)
South Brooklyn Legal Services	\$194,818 (Yrs. 3 and 4)
United Neighborhood Houses	\$100,000 (Yrs. 1 and 2)
TOTAL	\$3,129,393

visits, and other activities. (Attachment B lists the individuals who were interviewed, along with the organization each represents.) The analysis of these data focused on measuring the amount of progress made toward the system changes identified through consultation with grantee staff and documenting the contributions made by the grant activities toward those changes.

It is important to note that an assessment that substantial progress had been made toward system change does not imply that that change has in fact been accomplished, nor that there is an irreversible trend toward full realization of that change. The degree of progress, as assessed by this evaluation, depended on the interaction of several factors:

- the state of affairs at the beginning of the observation period (when the grant activities began);
- how ambitious the systemic change goal was;
- the effectiveness of the grant activities in influencing progress toward the goal; and
- the supporting or countervailing influence of other factors.

Descriptions of how the work of the grantee organizations, and the specific activities supported by the Fund, contributed to progress toward particular systemic changes were based on observations made by the evaluator and by various stakeholders interviewed by the evaluator. Assessing the contribution of grant-supported activities toward systemic change must take into account two considerations:

- The contribution or influence that a grantee project might have been judged to have on progress toward a particular system change goal was not the same as the “impact” of the grant – there was no way to know what would have happened if the grant-supported activities had not occurred.
- Further, in most cases the Fund-supported activities represented only part of what grantee organizations were doing toward the same system change goals.

THE REMAINDER OF THE REPORT

This report extends the previous report that covered the period from mid-2003 through mid-2004. This 2004-2005 report is primarily intended to:

- Document the influence the Fund’s grants and its own activities have had on systemic changes in the accessibility and quality of early care and education services in New York City; and
- Highlight challenges and opportunities that arose and/or are emerging with reference to this work.⁵

The following chapter of the report describes the activities the Fund has undertaken under each of its three main strategies – supporting grantee projects, holding conversations with key stakeholders, and sustaining and expanding the Fund as a collaborative.

Next, the report turns to the grantee projects, including the Early Childhood Professional Development Institute, where the bulk of the Fund’s resources and attention have been focused.

The report ends with summary statements about the Fund’s influence on the accessibility and quality of child care and early education in New York City, guided by its own stated goals and theory of change.

⁵ Some information is provided on project activities and accomplishments, as context to understanding the projects’ influences on system change. More extensive information on activities and accomplishments was provided in each project’s interim and final reports for each grant period.

**CHAPTER TWO:
THE FUND’S GOALS, STRATEGIES, AND ACTIVITIES
Mid-2004 through 2005**

In the initial RFP for grants issued in 2001, the Fund’s goal was stated as:

“to achieve systemic improvements in the quality and accessibility of child care for large numbers of New York’s children by encouraging new approaches that will advance the child care field...[and in] supporting collaborations...that will lead to improvements in services.”

“Systemic improvements” were understood to be the result of changes in policies and practices sufficient in scope and scale to affect most if not all of early care and education in New York City.

This goal continued to guide the Fund’s grantmaking and other activities during the mid-2004 through 2005 period.

THE FUND’S THEORY OF CHANGE

Expected Outcomes

Areas in which Fund members expected to see systemic change include:

- **Changes in the infrastructure and capacity of organizations**, both public agencies and community-based providers, to encourage the implementation of best practices
- **Changes in policies, particularly public policies, and institutional practices** to support a more coordinated and comprehensive set of early care and education services
- **Changes in leadership and public priorities** that sustain and increase investments in early childhood development and early care and education services

These broad expectations for systemic change were further refined in the Fund’s theory of change into specific outcomes for the immediate term (during the time the Fund’s activities were underway), the interim period (within and immediately beyond the implementation period – within two to three years), and the longer-term (five years after the Fund began its work).

During **the first two years** of Fund activities (the period covered by the first report), the Fund’s theory of change predicted that the following immediate results would be observed:

- The **individual families and children** in direct contact with the grantee projects **benefit**;
- **Specific** infrastructure and capacity **developments take place**; and
- **Political leadership and agency officials** in the City administration **support expansion** of the supply and improvement of the quality of early care and education services.

Based on evidence of these immediate results, the Fund's theory of change predicted certain **interim or shorter-term (years three and four) outcomes**, including:

- Project **innovations are replicated**, lessons applied to new situations, and related policies and practices improved;
- **Public agencies and private organizations** with responsibility for addressing early care and education issues **are strengthened** or new entities created;
- **Demand** for more coherent early care and education system and increased investments **is broadened**; and
- **The Fund** itself makes more connections within the early care and education field, expands its membership and **funds additional projects to promote systemic change**.

According to the Fund's theory of change, **longer term (fifth and subsequent year) outcomes** expected to be influenced by the Fund's grantmaking and other activities include:

- **A wide array of stakeholders is well informed** for advocacy and decision-making, with both political champions and a broad base of public will supporting investment in early care and education for New York City's young children;
- **Policies are adopted supporting expansion of child care opportunities and improvement in quality**, with the necessary infrastructure and resources in place to implement these policies; and
- **Private dollars are coordinated strategically to leverage public funds** and to support innovative collaborative efforts for systemic change.

Strategies

The Fund used three major strategies in pursuing systemic change.

The Fund's **primary strategy was to support grantee projects** that would promote sustained improvements in child care quality and access. This strategy absorbed the bulk of the Fund's financial resources and member and coordinator attention.

A second Fund strategy was to facilitate conversations and relationships among stakeholders. Some work involved bringing grantee staff in contact with public sector agencies and convening grantees for cross-project and cross-organizational learning and relationship building. The Fund also engaged in ongoing conversations, both formal and informal, with public sector agency leadership.

The Fund's **third strategy was to sustain and grow itself as a collective entity** with a role to play in the early care and education policy arena. Making connections with public agency staff and with public officials was one activity under that strategy. Publicity about the Fund and about Fund-supported activities was to be another.

MAJOR ACTIVITIES IN THE MID-2004 THROUGH 2005 PERIOD

Direct Support for Grantees

In total, the Fund allocated \$847,409 in the 2004-2005 period to support the work of the following grantees:

- The Citizens Committee for Children
- The Early Childhood Strategic Group
- The Federation of Protestant Welfare Agencies
- The Low Income Investment Fund
- New York University
- The Northern Manhattan Improvement Corporation
- The Early Childhood Professional Development Institute at CUNY⁶
- South Brooklyn Legal Services

In previous periods, the Fund had provided opportunities for grantees to meet with each other and with representatives of public agencies and other key stakeholders. In 2004-2005 the Fund focused on holding conversations with high level leadership in the Administration for Children's Services (ACS) and the New York City Department of Education (DOE) about opportunities to support greater collaboration and integration in early care and education.

Convenings and Conversations with Stakeholders

⁶ Including only the \$250,000 awarded in the summer of 2005.

During the 2004-2005 period, the Fund focused its efforts with external stakeholders in two ways:

- Holding separate conversations with leadership within ACS and DOE about the potential fit between the Fund’s mission and goals and the agencies’ needs; and
- Offering to support collaborative projects among the three agencies represented on the Fund (ACS, DOE, and the Human Resources Administration – HRA) that would contribute in concrete ways to improving access to and quality of early care and education in New York City.

Fund members met with Deputy Chancellor for Instruction Carmen Farina, Director of Professional Development Laura Kotch, and Director of Early Childhood Education Ellie Ukoli of the NYC Department of Education on February 15, 2005 and with Commissioner John Mattingly and Deputy Commissioner for Child Care and Head Start Ajay Chaudry of the Administration for Children’s Services on March 15, 2005. Subsequently, representatives of both agencies and the Human Administration Services were invited to speak to a meeting of the Fund on April 19, 2005. At that meeting Chaudry, Ukoli and Kay Hendon (HRA) each outlined their agency’s interest in developing a more coordinated and unified system of early care and education for the City. Members of the Fund representing private philanthropy who were present at the meeting expressed willingness to entertain proposals from the City agencies that:

- were endorsed by all three city agencies and their commissioners;
- would support work by appropriate nonprofits including institutions of higher education;
- could not be accomplished solely with public funding;
- would create programs or systems that would then be supported by public funds;
- identified specific strategies and outcomes;
- offered a reasonable possibility of success; and
- had a reasonable timeframe and budget.⁷

Subsequently, ACS, DOE and HRA presented proposals to the Fund and at its October 11, 2005, meeting, the Fund agreed to support the following activities:

- Develop a uniform performance measurement system for center-based and home-based early childhood services, to be supported by the Fund with a 6-month grant of \$60,000

⁷ Adapted from minutes of the meeting of the Fund on April 19, 2005, prepared by Norma Rollins.

- Pilot test use of ACS-DOE cross-agency quality assurance quality audit teams, to be supported by the Fund upon completion of the first project, with a 12-month grant of \$110,000
- Develop combined service delivery and blended funding models for publicly supported early care and education services, to be supported by the Fund with a 12-month grant of \$80,000, with possible one-year renewal

Fund Growth from Mid-2004 through 2005

From the beginning the Fund was intended to be a public/private partnership and included representatives from the New York City Human Resources Administration, Administration for Children’s Services and the Office of Early Childhood within the City’s schools (formerly the Board of Education, now the Department of Education). With varying degrees of participation, representatives of each of these three public agencies continued to be Fund members during the 2004-2005 period.

In June of 2004, the Fund’s private members totaled 14 members. By the end of 2005, the Fund numbered 10 private philanthropic organizations, including the Annie E. Casey Foundation as a new member. Attachment A contains a list of all organizations that were members of the Fund at some point between June 2004 and December 2005.

The Fund initially set as a goal to raise between \$3 and 5 million dollars and to operate between 3 and 5 years. The Fund had raised \$3,425,000 in grants by April 2005, plus an additional \$240,500 in support from the United Way of New York City for Fund administrative expenses. By October 2005 the total raised was just under \$4 million, with an additional \$150,000 pending member board approvals.

The Fund also intended to work with its public sector partners to secure “a significant contribution of city funds to enhance and expand the Fund’s grantmaking capacity” (from the “Report on Activities July 1, 2000 – June 30, 2001”). As the result of ongoing discussions and negotiations by Fund leadership and investment of \$50,000 in Fund resources for the development of a business plan, the Training Institute was formally organized in early 2004. In addition to the \$250,000 granted by the Fund for the first year of the Institute’s work, the three public sector members of the Fund – ACS, DOE and HRA – each committed the following resources to be provided each year for two years:

- ACS committed \$50,000 plus one and a half full-time equivalent staff assigned to the Institute;
- HRA amended its informal care provider training contract with CUNY to allocate \$100,000 to the Institute; and
- DOE’s Deputy Chancellor for Instruction committed \$50,000 for the Institute.

As noted earlier, in June 2005 the Fund awarded a \$250,000 continuation grant to the Institute, which also expects to receive \$50,000 each from ACS and DOE and \$100,000 from HRA for the 2005-2006 period.

**CHAPTER THREE:
GRANT PROJECTS: SUMMARY OF RESULTS
Mid-2004 – 2005**

In 2004 the Child Care and Early Education Fund awarded grants to eight organizations. The funded projects addressed a range of systemic issues related to accessibility and quality of early care and education in New York City. Some were explicitly related to public policy initiatives with city agencies. Others were targeted to large-scale provider organizations or individual family child care providers. Still others intended to change direct practice with children by working with early education and child care staff. In the case of the Early Childhood Professional Development Institute, work was addressed both to child care and early education staff and to the colleges and universities of the CUNY system offering teacher training courses. The projects used strategies ranging from advocacy, to technical assistance, to group facilitation, to dissemination through web technology and printed publications, to public forums.

The grantee organizations funded for the 2004-2005 period were:

- Citizens' Committee for Children (CCC) – continuation grant from 2001
- Child Care Inc. on behalf of the Early Childhood Strategic Group (ECSG) – continuation grant from 2001
- Federation for Protestant Welfare Agencies (FPWA) – continuation grant from 2001
- Low Income Investment Fund (LIIF) – continuation grant from 2003
- New York University Child and Family Policy Center⁸ -- continuation from 2001
- Northern Manhattan Improvement Corporation (NMIC) – continuation grant from 2003
- The Research Foundation of CUNY – new grant beginning in February 2004
- South Brooklyn Legal Services (SBLS) – continuation grant from 2003

For the purposes of the discussion below, the eight projects to reflect their strategy and the focus of their work as follows:

Advocacy and Organizing Work at the City and State Levels

- CCC focused its 2004-2005 grant in three areas – ensuring that the implications for early care providers were considered in transferring responsibilities for out-of-school-time care from ACS to other city agencies; reporting on procedures and recommending improvements in oversight of early care and education providers; and investigating opportunities and challenges in forging closer links between early care and education and DOHMH early intervention services for children with special needs.

- ECSG, under the auspices of Child Care, Inc., continued its work to sustain state investment in and local implementation of the Universal PreKindergarten program, paying particular attention to forging an equitable partnership between the public school system in its new configuration and community-based UPK providers.

Program Quality Improvement

- FPWA continued work with an expanded number of large member agencies, helping them develop the capacity to promote accreditation in their child care programs, while promoting accreditation and program quality improvement strategies city-wide through the Quality New York project.
- The NYU Best Practices in Early Childhood Education project continued development of a tool to assess program quality and train teachers and administrators on classroom practices that stimulate healthy social-emotional development in young children.

Teacher Preparation and Professional Development

- The Early Childhood Professional Development Institute, housed at CUNY, continued development of and launched a web site with information on training opportunities and requirements for different certifications and work on articulation of teacher preparation coursework across the education departments at various CUNY campuses.

Early Care Capacity and Stability

- The Child Care Seed Fund project, administered by LIIF, continued to provide training and predevelopment supports to large-scale child care organizations to prepare them to seek funding for facilities development projects, and engaged in advocacy for funding at both the city and national levels through networks of similar organizations.
- NMIC continued work to develop a manual to assist applicants understand the family day care licensing requirements and complete the necessary paperwork, engaging both NYC DOHMH and NYS OCFS as well as other stakeholders.
- SBLS moved toward a train-the-trainer model in its work with family child care networks and non-profit tax preparation assistance organizations to develop their capacity to assist family care providers in compiling the necessary documentation for business deductions for income tax calculations.

In this chapter, results from all but one of the projects are briefly summarized, highlighting successes and identifying challenges with regard to their system change goals. (The grant to CUNY for the Early Childhood Professional Development Institute is discussed in Chapter 4.)

CCC AND ECSG – ADVOCACY AND ORGANIZING

Over the past four years, the Fund has given grants to two organizations for their work focused on research-based advocacy in the child care and early education arena in New York City – Citizens’ Committee for Children for work on improving the capacity of the city’s child care system to provide quality services and the Early Childhood Strategic Group at Child Care Inc. for work on the Universal PreKindergarten program to meet the early education needs of preschool aged children. Both organizations have undertaken a range of activities, including hosting public forums, conducting research, preparing and disseminating documents, giving testimony, and organizing advocacy.

CCC – Work on Child Care Quality and Services for Children with Special Needs

During the first two years of its grant, Citizens’ Committee focused on work with the Administration of Children’s Services in the areas of fiscal management, facilities development, and resource allocation. During the 2003-2005 period, CCC devoted most of its funded activity on two other issues – quality oversight of child care and services to young children with special needs.

This represented a conscious decision to shift primary attention of the work funded by CCEEF toward engaging DOHMH in its licensing and quality assurance role and as the agency responsible for identifying and serving young children with special needs. This work was guided by the recommendations of *Counting to 10*, a set of recommendations that was crafted under the leadership of Citizens’ Committee among others and which has been endorsed by ACS commissioners under both Mayoral administrations, and by the work of the Early Learning Council organized by the United Way of New York City with support from a federal Early Learning Opportunities grant. However, external events, internal reorganization and leadership changes, and continuing budget crises had severely limited ACS ability to focus on implementing the budget models, resource allocation procedures and facility development strategies developed with CCC during the first two-year grant period. Turning to DOHMH engaged another city agency in early care and education system building work, at a time when work with ACS was stymied.

Accomplishments and Benefits:

CCC's Taskforce on the Quality Oversight of Child Care completed its research and released its report of findings and recommendations in the fall of 2004. Prior to its release CCC briefed the DOHMH Commissioner. Staff in his office report that the report was very helpful, especially in putting the responsibilities of the Department into the context of the entire early care and education system. It was also helpful in encouraging the Department to hold its procedures and regulations up against the perspective of providers who must abide by them. Subsequent DOHMH changes were closely aligned with CCC's recommendations.

The CCC Taskforce on Early Care and Education Opportunities for Children with Special Needs has conducted research regarding availability of appropriate ECE services⁹ and of early intervention services and of opportunities for collaboration. The Department was reported to be eager to review the results as Early Intervention is a large and expensive program, comprising a large portion of its budget. Therefore, Department staff noted that information on ways to ensure that appropriate services are being provided to children and that it gets good value for its expenditures is of particular interest.

CCC continues to be recognized as a trusted support for internal analysis and change within agencies and for public-private dialog and collaboration. After the death of a child placed with a licensed provider, CCC was asked, along with other city agencies and the CCR&R organizations, to be part of an ad hoc advisory group giving guidance to the Department on its response. In the area of children with special needs, CCC was asked to co-chair the Local Early Intervention Coordinating Council's Outreach Subcommittee. In this capacity, CCC convened a group of experts and providers in the field and the Subcommittee will advise DOHMH's Bureau of Early Intervention on approaches to successfully reach children in low-income communities and methods to ensure ongoing monitoring of children at risk of a developmental delay.

⁹ The Taskforce examined the capacity of ACS child care and Head Start, the UPK program, Early Head Start, and DOE's Preschool Special Education Program to enroll and serve children with special needs.

System Change Results:

The figure below shows the system changes that the CCC project was expected to help influence (also see Table 3.1).

SYSTEM CHANGE GOAL	PROGRESS
Plan for meeting the early care and education needs of NYC's young children from birth to entry into kindergarten is in place	✓ ✓
Health Department oversight and monitoring functions are rationalized	✓
There is commitment on the part of city agencies to provide integrated child care and early education services to children with special needs	✓
Connections between child care and early intervention systems are developed and institutionalized	✓
The City develops the capacity to use public funds to construct more child care facilities	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

CCC's work provides forums for stakeholders from public agencies, provider organizations, and advocacy groups to communicate, come to a shared understanding of the issues, develop collaborative relationships, and build consensus on needed changes. CCC's work on child care oversight is perceived as having brought the Department of Health and Mental Hygiene more fully into the early childhood community.

While there is no standard process within the DOHMH for reviewing or responding to external reports, those prepared by CCC were recognized as valuable in identifying issues that should be considered in streamlining procedures, modifying regulations, and setting budget priorities. Also, the fact that CCC reports command the attention and respect of political leadership as well as providers and advocates was seen as helping make the case for investments in Department programs and infrastructure.

ACS' implementation of changes called for in *Counting to 10* and in its facilities plan, *Building Blocks*, was largely on hold during a period of leadership changes, budget reductions, and focus on school-age child care. Now that the work on facilities is being revitalized, CCC's knowledge, reputation and relationships inside and outside government will be called upon. For example, CCC gave input to a new strategic plan issued by ACS – *Rethinking Child Care: An Integrated Plan for Early Childhood Development in New York City* – and continues to be involved with the agency's Advisory Board. Guided by the new needs identified in ACS's strategic plan and by the report on facilities issued in 2003 (*Building Blocks for Child Care*), the Facilities Workgroup of the Advisory Board has begun meeting again and is working with external

partners (such as LIIF, LISC and other intermediaries) to address barriers to facilities expansion.

CCC was also cited as a major partner, with Child Care Inc., in New York City's campaign to mobilize support for addressing the teacher compensation issue in community-based early care and education settings. This campaign is part of the state-wide effort of the Child Care That Works coalition.

Opportunities and Challenges:

Over the past year the Department of Health and Mental Hygiene has made a number of changes in structure and operations, stimulated primarily by the death of a child in August 2004. Its top leadership appears to be receptive to continuing to making improvements in child care oversight and in integrating services for children with special needs into the larger early childhood system.

Given the new collaboration among the other city agencies with ties to early care and education – ACS, DOE, and HRA, one challenge will be engaging DOHMH more fully in developing an integrated early care and education system. One particular opportunity may be the work between ACS and DOE in defining and monitoring standards of quality. While this work is likely to start with center-based programs, it is intended to include home-based care settings as well. The challenges surrounding improving the quality of home-based child care are daunting, but DOHMH may be in a good position to engage these providers.

ECSG – Support for Implementation of Universal PreKindergarten

The Early Childhood Strategic Group, which is housed at and supported by Child Care, Inc., received its fourth year of funding from the Fund in mid-2004. ECSG continued its work with the NYC Department of Education Office of Early Childhood Education at central administration and in the regions, community-based UPK providers contracted with NYC DOE, and state advocacy organizations in supporting implementation of Universal PreKindergarten as a key building block for an integrated, quality early care and education system.

Accomplishments and Benefits:

During this grant period, the majority of ECSG's work was around issues of UPK implementation. ECSG successfully maintained solid relationships with DOE leadership during the change from district to regional structures. Its staff had worked previously with Dorothy Cusak at the DOE district level to establish a collaborative process for building local systems of early education that included and were guided by both CBO UPK providers and the local early childhood education director. This work continued under her direction in the newly organized Region 2 and, as of the end of 2005, that region's work was being used as a model for replication in four other regions. This was

initially facilitated by presentations by ECSG staff at meetings of the CBO network, followed by peer-to-peer sharing at subsequent meetings.

ECSG prepared guidebooks to help disseminate and replicate lessons learned from its work at the grassroots level – a planning guide for other DOE regions and an advocacy/organizing guide for members of the CBO network. Its testimony was solicited regarding implications of universal prekindergarten for City facilities and other infrastructure. It convened a roundtable to promote consideration of next steps in developing a city-wide integrated early care and education system and met with union leadership to engage them in promoting UPK as a way for their members to have access to early education.

ECSG also helped shape opportunities for community-based UPK providers to become involved in DOE planning. These opportunities included regular meetings with regional early childhood education directors convened by the DOE central office, membership on the city-wide UPK advisory committee, and participation on an ad hoc committee preparing for a city-wide conference.¹⁰

At the policy level, two members of ECSG served on the City Council Commission considering recommendations for using CFE funds allocated to New York City and ECSG staff drafted the chapter on prekindergarten services, reflecting its interests in expanding programs for three- and four-year-olds, including services for infants and toddlers, ensuring comparability in staff compensation with the K-12 system, and obtaining and allocating appropriate levels of funding.

ECSG also continued to contribute to policy work at the state level through participation in Winning Beginning and by mobilizing providers and parents in advocacy. At the state level, Child Care Inc. and ECSG fostered dialog among various stakeholders, including the associations of school superintendents and local school boards among others, to build a common voice in support of incorporating early education into core education funding and building a diverse early care and education delivery system.

System Change Goals:

The figure below shows the system changes that the ECSG project was expected to help influence (see more detail in Table 3.2) and indicates with check marks those areas in which progress was observed.

SYSTEM CHANGE GOAL	PROGRESS
Early education is recognized as critical in the NYC education agenda	

¹⁰ While this conference was not held, the planning process was the first time that a CBO provider and the early childhood education director from each region came together to work in partnership on a specific project.

	✓ ✓
Community-based organizations providing early education services develop a stronger collective voice to affect program and policy decisions	✓ ✓
UPK becomes part of the core education funding formula	✓
Quality standards for preschool programs are implemented in all UPK programs	✓ ✓
Program providers can easily create blended services across UPK, Head Start, and child care	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

ECSG continued to be a major player at state and city level in keeping UPK at the forefront of educational reform and building a diverse delivery system. It is cited as an influential source of information at the grassroots, city and state levels and an effective agent for community mobilization. Some observers give credit to ECSG for positioning UPK as a vital part of the Mayor’s education reform agenda.

ECSG has been a major force in strengthening community-based organizations as a component of the early care and education system of services and in helping create a unified voice in support of the UPK program. Effective organizing and advocacy strategies have been documented and distributed.

ECSG’s role was cited as valuable in facilitating communication between DOE and community providers, in developing and supporting the organizational infrastructure for community providers to have a collective voice, and in disseminating tools and models to build regional DOE/CBO collaborations across the city.

Opportunities and Challenges:

DOE regional and central office capacity for technical assistance and support for program improvement with community-based UPK providers remained limited during this period, although collaborative work with ACS on developing and monitoring a joint performance measurement system for early childhood services is intended to bolster this capacity. However, at the moment, preschool programs, especially community-based programs, do not have the same access to professional development and program improvement resources as do staff in the K-12 system. Stagnant UPK funding levels limit the resources available to programs to carry out their own professional development and quality improvement activities. Changes in ACS funding policies may not allow UPK programs to retain ACS funds, which had been one source for program improvement resources. Further, the pay and hours disparity between early education teachers and

those in the K-12 system continues to contribute to staff turnover in child care centers and preschools.

There is considerable variation across the DOE regions in the leadership exercised by regional early education directors and the community-based organizations on issues related to coordination and quality. One active child care agency representative expressed concern that more attention needs to be paid to developing stronger leadership at the neighborhood level.

The focus within ACS on the transfer of school-age care to DYCD and frequent changes in agency leadership limited attention to blended funding and coordinated programming between UPK and child care. Although work is about to begin on blended programming and funding between ACS and HRA, DOE programs such as UPK will not be included in that process until some later date.

FPWA AND NYU – PROGRAM QUALITY IMPROVEMENT

The Fund has invested in two quality improvement approaches over the past four years: accreditation facilitation, and program assessment and improvement in the areas of early literacy and social-emotional development. Accreditation requires a program-wide self-assessment and improvement process, and the Federation of Protestant Welfare Agencies received support for its accreditation facilitation work. The Child and Family Policy Center at New York University was funded to develop and pilot standardized tools for assessing classroom practices, first in the area of early literacy and then in the area of social and emotional development.

FPWA – Accreditation Leaders’ Group

The Federation of Protestant Welfare Agencies developed the Accreditation Leaders’ Group concept to help multi-center agencies attain NAEYC accreditation for individual centers and build their capacity to pursue quality improvement and accreditation agency-wide. During the first two years of the project, FPWA worked with six agencies, representing a total of 44 centers, 14 of which participated in the ALG project during that time. Four additional agencies were added for the mid-2003 through 2005 period, representing 21 centers. During 2003-2005 FPWA also continued its partnership with Bank Street and Child Care Inc. on the Quality New York accreditation project, and by the fall of 2005 its work had been fully integrated into Quality New York, with six new agencies recruited for the first QNY ALG group.

Work with the agencies and programs included standardized program quality assessments; staff training workshops; technical assistance and individualized consultation with agency and program leadership; and assistance in accessing other resources and supports. A critical component of the project’s approach was the formation and facilitation of agency executive leader and center or program director groups. These groups met regularly to discuss and share experiences in the accreditation process and to

receive information and advice from FPWA staff and other experts. The meetings provided the forum and impetus for professional peer-to-peer relationships within and across agencies.

Accomplishments and Benefits:

Agencies and centers participating in the ALG project continued to make progress toward NAEYC accreditation. By the end of 2005, 15 centers had been accredited, five more were scheduled for validation visits before the end of the year, and 15 had submitted their self-study and application by September 30th.¹¹ Six centers that had been in the ALG project decided not to pursue accreditation at this time, in most cases due to changes in agency or center leadership or organizational structure. One program had accreditation deferred after its validation visit, but is continuing to pursue accreditation under the new NAEYC accreditation standards and process.

ALG strategies and procedures have been incorporated into the Quality New York initiative, with its larger scale and broader scope. The ALG project and Quality New York have established a pipeline of programs pursuing and preparing for accreditation. In addition, the project is seen as potential resource to public agencies interested in promoting program quality, although these agencies have not had the staff resources necessary to assist programs pursue accreditation. For example, many participating programs saw improvements in the assessment ratings from ACS and UPK providers are encouraged to pursue accreditation.

FPWA’s accreditation work is reported to have contributed toward increased visibility of and interest in accreditation among parents, providers, and public sector leadership. It is also seen as a model for related efforts at the state level and is being disseminated and promoted by the participation of ALG project leadership in the state’s AEYC. The ALG approach to program quality assessment and improvement is of interest to ACS as it strengthens its capacity in those areas and works with DOE on common standards and tools. FPWA is one of the outside groups, along with several universities, asked to participate in piloting different models for monitoring and technical assistance.

System Change Results:

The figure below shows the system changes that the FPWA project was expected to help influence (see more detail in Table 3.3) and indicates with check marks those areas in which progress was observed during the grant period.

SYSTEM CHANGE GOAL	PROGRESS
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¹¹ Submission by this date ensured that the centers would be considered under the old system, using the materials and process they had been using.

Agencies and programs give priority to quality improvement	✓ ✓
Classroom staff regularly participate in professional development activities, provided or supported by their agency	✓ ✓
Program directors regularly observe and provide feedback to staff on aspects of program quality and developmentally appropriate practices	✓ ✓
There is a process for parent input and involvement that is actively implemented	✓
Agency and program procedures and practices are revised to support quality improvement	✓ ✓
Agency and accredited program staff provide regular support to other programs going through accreditation	✓ ✓
Advocacy for public support of accreditation gains support	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

Many of the participating agencies – particularly those involved in all four years – reported some changes in policies, procedures and practices. These include standardization of staff policies, curriculum, and quality assessment practices. The accreditation process required surveys of parents and other involvement of parent in program review. These practices have been continued in some agencies. These changes are systemic in the sense that they affect all the early care and education programs and staff in these agencies, and the families and children they serve.

In addition, the ALG approach has been incorporated into the Quality NY project, ensuring that it will reach beyond FPWA membership in its influence.

Opportunities and Challenges:

Achieving accreditation is the result of a lengthy, expensive and labor-intensive process involving agency and program leadership, administrative and teaching staff, and parents. Agencies pursuing accreditation face substantial challenges. In addition, some agencies and centers must first address poor program quality and management issues before they can proceed with accreditation.

The new NAEYC accreditation process and standards will require some adjustments in approach, particularly as they are first applied. However, the increased focus on providing high quality early education services will increase the validity and credibility of accreditation.

Making changes in agency and program practices requires committed leadership and staff. Managing organizational change requires skills that not all directors have. For some agencies, continued facilitation support may be needed for longer periods to make sure that all centers are able to become accredited. In addition, staff and leadership turnover can disrupt the accreditation process and its expansion throughout an agency.

While external facilitation is regarded by many as critical to increasing the number of accredited early care and education programs, there is no public sector funding for facilitation projects in New York City. While there are state funds to reimburse programs for the costs associated with application for accreditation, the bulk of public quality improvement resources are for individual staff professional development and education. (The Early Childhood Professional Development Institute staff are pursuing conversations with NYS OCFS in this area.)

NYU – Best Practices in Early Care and Education

The New York University project has focused on helping early care and education programs ensure that they are using developmentally appropriate research-based methods and materials in their classrooms. The project has included development of tools to assess the extent to which developmentally appropriate practices are being used, resource materials and training protocols to assist classroom staff in making changes in classroom practices, and home-based parent-child activities to reinforce these practices. Project staff have provided training on the use of these materials directly to classroom teachers, to other program staff including directors, and to public and private agency staff responsible for monitoring program quality and supporting program improvement.

The first two grant years (mid-2001 to mid-2003) focused on best practices related to early literacy. The 2003-2004 grant continued work in that area and expanded to include attention to practices related to the social and emotional development of young children. The 2004-2005 period was focused primarily on continued development of a classroom assessment tool and training and program improvement materials related to social-emotional development.

Accomplishments and Benefits:

The project's initial focus on early literacy resulted in the development of a classroom assessment instrument (Supports for Early Literacy Assessment) that has been widely distributed and used. The SELA continues to be viewed as a valuable tool that is easy for practitioners to use. Once trained in its use, many program directors report continuing to use it. The accompanying materials have also been widely distributed and are also well-regarded. The SELA is also being used elsewhere in the country, specifically in New Jersey and Miami

Use of the SELA as part of a quality improvement process has benefited young children in the programs and classrooms. These settings have generally experienced moderate improvements in their quality in supporting early literacy.

The project’s current work on a companion instrument (Supports for Social and Emotional Growth Assessment) and accompanying materials reinforces the important interconnection between language/literacy and social-emotional development in young children and in good instructional practices in early childhood education. Because of the usefulness of the SELA, there has been strong interest in the SSEGA as a way to promote healthy social-emotional early care and education practices in practical ways. Again, when used as part of a program improvement effort, classrooms have shown moderate increases in their scores.

System Change Results:

The figure below shows the system changes that the NYU project was expected to help influence (see more detail in Table 3.4) and indicates with check marks those areas in which progress was observed during the grant period.

SYSTEM CHANGE GOAL	PROGRESS
Programs have the capacity to conduct self-assessments and develop quality improvement plans	✓ ✓
Programs incorporate tools and materials from Best Practices project into ongoing professional development and quality improvement	✓ ✓
A cadre of trainers/staff developers/program consultants is equipped to provide extended support to programs	✓
Practitioners use a standard tool to assess classroom supports for children’s social-emotional development	✓
Public agency leadership gives attention to developing the infrastructure to support quality improvements	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

The Best Practices project has developed tools and materials that can be used relatively easily by programs to assess and improve classroom practices related to young children's development. The project has been successful in designing a train-the-trainer approach that can replicate the coaching and on-site support provided by NYU staff.

As was true for the SELA, there were modest increases in the scores for classrooms whose teachers were engaged in assessment and program improvement using the SSEGA and its companion tools. Some agencies trained in the SELA report continuing to use it and the same may be expected for the new product. However, it has been rare to find sustained use of the SELA except when it has been incorporated into a larger quality improvement effort such as FPWA's accreditation facilitation work, Bank Street Community of Learners project, and the Centers of Excellence and Early Reading First projects under NYU staff direction. Even in these initiatives, many programs were not able to sustain improvement efforts without continued external support, particularly on-site coaching.

NYU staff have responded to these experiences by identifying opportunities to train, or at least orient, members of other initiatives and projects on the use of the SSEGA for program improvement. These opportunities include several with ACS child care and Head Start program staff, with Quality NY Accreditation Project staff and participating programs, within the NYU-led Model Preschool Inclusion Program design, and with other individual agencies and centers.

Large-scale improvements in early care and education programs, based on use of these tools and resources, will depend largely on the extent to which they are adopted by public agencies for use in routine monitoring and technical assistance with contracted programs. While individual ACS staff have been trained and may use the materials to some extent in their work, their use has not been as part of an agency-level quality improvement effort. DOE staff reported that their programs have long-standing support from Bank Street College for professional development and technical assistance in the area of social-emotional development, and therefore are unlikely to adopt the SSEGA for widespread use.

Opportunities and Challenges:

The project has continued to encounter many of the same challenges in the use of the SSEGA as it did with the SELA. Within early care and education programs, limited staff time and director leadership and skills constrain their ability to sustain and expand classroom improvement projects. The project's final report noted:

“As in our previous projects, this experience points to the need to the need for innovative approaches to increasing directors' involvement in providing supports to teachers to improve classroom quality, and in some cases, increasing teachers'

willingness to participate in quality improvement activities. These approaches could include mandates as well as incentives. In addition, they should include a careful assessment of current work requirements of staff that leave them little time for quality improvement activities (e.g., lengthy child monitoring tools, multiple program reporting protocols). In this regard, it is notable that the director who was able to do direct coaching in a classroom was highly successful in achieving quality enhancements.”

Public agencies responsible to monitoring early care and education programs generally have not had the staff resources to devote to assisting programs in quality assessment and improvement. ACS and DOE are embarking on an effort to develop a common set of standards, monitoring/ supervision procedures, and technical assistance supports. At this time, how the work on the SELA and the SSEGA might inform and/or be adopted is not known.

The Early Childhood Professional Development Institute could play a role in making the Best Practice tools and resources more widely known and used. However, given the apparent importance of continued hands-on support for programs and of director commitment to pursuing agency/center-wide use of this approach, other strategies to overcome the challenges to making substantial and sustained improvements in early care and education classrooms will be needed.

LIIF, NMIC AND SBLS – EARLY CARE CAPACITY AND STABILITY

The Fund made three grants with the goal of improving availability of child care to low-income families in New York City. The projects had different specific intended results and took different strategies to increasing supply of early care and education services.

LIIF – Child Care Seed Fund

The Low Income Investment Fund received a grant for the Child Care Seed Fund. The Seed Fund began operations in January 2003, under the auspices of LIIF and in conjunction with an Advisory Committee that included public sector officials, child care advocates, foundations and lenders, and provider organizations. The Seed Fund’s primary objective was to build a pipeline of facilities projects able to attract private financing and create or preserve child care center spaces for low income children.

The project’s main activities were to:

- Conduct training on developing and financing child care facilities to providers
- Give individualized in-depth technical assistance

- Provide planning grants and predevelopment loans
- Provide information and expert advice to public agencies and others concerned with maintaining and increasing quality child care settings in New York City

Accomplishments and Benefits:

With Child Care and Early Education Fund support since mid--2003, the New York Child Care Seed Fund has provided child care programs with 15 planning grants and is underwriting four low-interest predevelopment loans. The Seed Fund provided individual technical assistance, either by LIIF staff or by architectural or other consultants, to planning grant recipients and held training sessions for provider agencies interested in learning more about facilities development. Public agency staff from ACS have also attended trainings to gain a better understanding of private financing.

Several facilities projects are going forward more quickly and smoothly because of the assistance provided by LIIF. For example, a project of the Ridgewood Bushwick Senior Citizens Center to include a child care center in an affordable housing project was initially stalled after Ridgewood Bushwick did not receive an ACS contract. LIIF staff helped them look for and obtain a program to lease the space for child care. The Committee for Early Childhood Development has been able to obtain a \$1 million loan and a \$1 million grant from ACS to purchase the building in which they operate Head Start programs. LIIF provided them with training, guidance and expert assistance through the Seed Fund project.

LIIF continued to refine its training approach, expanding to a two-day workshop so that the material could be covered in greater depth and allowing for more participant questions and discussion. After ACS participation in a November 2004 workshop on child care financing and lending, LIIF was asked to assist in training ACS providers who will now lease their facilities directly. A Seed Fund partner from the Lawyers' Alliance will provide training on negotiating leases and LIIF staff will use the curriculum developed in its San Francisco work on maintenance and repairs. LIIF is also developing a training institute targeted to developers, especially housing developers, on how to incorporate child care into their projects.

LIIF staff participated in both formal and informal policy discussions. This included providing testimony to City Council on the facility space needs if universal preschool for 3- and 4-year-olds were to be implemented. LIIF met with high-level ACS staff to review the impact on ability to make lease payments, especially for small centers, of loss of school-age care contracts. LIIF was also asked to participate on the revitalized ACS work group that is considering how to implement the *Building Blocks* plan.

As DOHMH prepared to implement the new lead paint testing and remediation regulations, LIIF took several steps to assist providers to comply in ways that minimized

their costs and preserved child care slots. LIIF prepared guidelines for testing and remediation, which were reviewed and accepted by the Associate Commissioner. LIIF and Child Care Inc. mailed the guidelines to every licensed provider serving children under the age of 7. In early May LIIF staff, the Associate Commissioner, and an environmental consulting group met with 35 agencies for a 4-hour training session. The Seed Fund used funds that had been set aside for predevelopment loans to set up a Lead Paint Remediation Fund. However, it appeared that many providers were not immediately responding to remediation orders, instead waiting for DOHMH action. LIIF staff believe that this may result in landlords who receive bills for DOHMH-ordered remediation passing along these costs to their child care facility tenants, postponing but not avoiding the need for child care providers to address the issue.

System Change Results:

The figure below shows the system changes that the LIIF project was expected to help influence (see more detail in Table 3.5) and indicates with check marks those areas in which progress was observed during the grant period.

SYSTEM CHANGE GOAL	PROGRESS
A facilities development pipeline is established such that slots are added annually	✓
An infrastructure for child care facilities development is built	✓ ✓
City agencies modify policies and procedures to ease the facility development process	✓
Private financing is available for future projects through a core set of institutions	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

Significant progress has been made in developing a pipeline of child care providers ready to undertake expansion or renovation projects. There is now a core training and technical assistance capacity to assist these providers in making best use of planning grants. An organized body of non-profit intermediaries, child care advocates and experts, and public agency officials is meeting regularly to address coordination and policy issues. There is commitment from Advisory Committee members to assist with private financing.

The value of the Child Care Seed Fund and the work of LIIF staff in preparing providers to undertake facility development is generally recognized, as is the fact that they represent virtually the only organization currently with the necessary knowledge and skills to provide training and technical assistance and to help bring other expert resources to the development process.

LIIF's ability to respond quickly with accurate and usable information and assistance on various facilities-related issues represents a valuable capacity within the New York City early care and education community. In addition to its response to the implementation of the new lead paint remediation regulations, LIIF is developing workshops and other support for ACS-contracted providers who will now be required to negotiate their own leases and manage their own property. In addition, the individual expertise of LIIF staff is being drawn upon by ACS and is becoming increasingly recognized as a valuable resource by others in the city. For example, LIIF was called upon by the City Council to assist in estimating the need for facilities if CFE funds were used to create universal access to preschool services for 3- and 4-year old children in the City.

Opportunities and Challenges:

Creating a pipeline of providers ready to take on facility projects and developing capacity to prepare providers is necessary but not sufficient to actually increase the supply and/or quality of NYC child care. There is general consensus that it is critical to continue to develop the capacity among child care providers to plan for facilities development projects and be ready to pursue funding opportunities as they arrive. Because it generally takes considerable time to go through the steps necessary before construction can actually begin, and the window of opportunity for funding may be limited and the competition strong, organizations need to be ready to move quickly when resources become available.

ACS and HRA are working together to develop plans to maximize the efficient use of available child care slots by integrating contracted and voucher payment systems. LIIF's understanding of the need to ensure that payment mechanisms can provide for facilities costs, including payments for facilities construction and renovation, would be of value to the city agencies in their planning process.

NMIC – Development of Manual to Support Licensing Applications of Family Child Care Providers

The Northern Manhattan Improvement Corporation received a grant from the Fund to develop materials to assist individuals seeking to become licensed family child care providers successfully complete the application process. The Department of Health and Mental Hygiene, Bureau of Day Care, under an agreement with the New York State Office of Children and Family Services, processes applications for child care licenses for family care providers and family group care providers. Recently, DOHMH cut back on orientation sessions offered to potential providers and many applicants found the process confusing and frustrating.

Accomplishments and Benefits:

The NMIC project established a working group with representatives from OCFS, HRA, family provider networks, and Citizens’ Committee for Children. After the Fund’s July 2004 convening of grantees and DOHMH staff, that agency became more actively involved in the project. With advice and feedback from the working group, NMIC prepared a manual that carefully tracked the application process and included detailed explanations of regulatory requirements. By September 2004, the manual was under review by state legal staff, resulting in several months of back-and-forth in comments, revisions and resubmission for approval. The manual was then sent to the Literacy Institute for readability analysis.

The results of that analysis confirmed what the NMIC staff had come to believe – that, with a readability level above the 7th grade, the manual was unlikely to be helpful to a major part of the target population of applicants who were having difficulty negotiating the application process and following the application instructions. Further, project staff were concerned that the focus had turned to an explication of the regulations, rather a tool to guide people through the application process.

NMIC staff were involved with the SBLS project (see the next project described below) and observed the benefits of their approach – developing a curriculum that gives people practice with real world examples and a set of materials for providers to use themselves, and using a train-the-trainer approach so that networks and other organizations working with potential applicants would have the tools to guide them.

NMIC’s own network is currently using a workshop approach with family care provider applicants that could be a prototype for such an approach. The application process is broken down into smaller steps, a sample application is used for a walk-through with the group, model materials are shared (a health plan, an evacuation plan), and checklists are provided. Importantly for their community, all materials are in Spanish – the application materials themselves are only in English.

At some point in the fall, an early version of the manual was placed on the Early Childhood Professional Development website. While this may be a valuable mechanism for making it available more broadly, project staff want to ensure that the most current version is available.

System Change Results:

The figure below shows the system changes that the NMIC project was expected to help influence (see more detail in Table 3.7) and indicates with check marks those areas in which progress was observed during the grant period.

SYSTEM CHANGE GOAL	PROGRESS
DOHMH registration procedures become more rationalized	✓
Technical assistance and training in support of the registration process become institutionalized	✓

Opportunities for regular communication between DOHMH and family care providers are available	✓
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✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

The NMIC working group provided a forum for DOHMH and OCFS to discuss the implementation of regulations and procedures in the New York City context and for providers to participate in conversations with city and state agency administrative staff around apparent inconsistencies in the regulations or their application. The project’s working group has merged with the group advising the SBLs on related matters and has continued to meeting about once every two months. Representatives from DOHMH involved with child care provider registration and inspections attend as well as staff from OCFS.

While the project produced a manual for applicants to become licensed family care providers, changes in DOHMH practices and processes did not materialize as hoped. Further, the manual in its present form appears to be too technical in nature and cumbersome in format to be of real help to those who would find the application itself daunting.

Opportunities and Challenges:

The manual is ready to publish immediately, but does not appear to meet the needs of family care provider applicants with low literacy levels and who are unfamiliar or uncomfortable with complex procedures and requirements. The project still has unspent funds that, in the opinion of the NMIC staff, would be sufficient to develop a training curriculum and materials. NMIC experience with the SBLs project provides a model for such a product and NMIC has already begun offering training that could be the foundation for its development.

If such a training curriculum and materials were developed, it could be used by other networks and organizations. However, there would need to be some organization responsible for periodically reviewing and updating as the application process changes. This would be much less often than changes in specific regulatory language, which could make the manual out-of-date.

SBLs – Assistance in Recordkeeping and Tax Preparation for Family Care Providers

South Brooklyn Legal Services’ project grew out of its work on the Child Care Network Support Project, representing providers in legal matters and providing education and training to providers and networks on legal aspects of child care. The project supported

by CCEEFF was to develop materials and provide training and technical assistance to family child care providers and networks on record-keeping related to filing for tax deductions associated with operating a home-based child care business. The project also intended to recruit a cadre of tax preparers who would have the knowledge and interest in working with family care providers.

Accomplishments and Benefits:

SBLS worked with seven family provider networks over the course of two years, adding three in 2004-2005. The project continued development and refinement of training materials and curriculum and arranged to have them translated into Spanish, Cantonese and Russian. SBLS initiated a train-the-trainer approach to build the capacity of networks to offer the record keeping and tax filing workshops themselves. By the end of the grant period, staff at the original four networks were sufficiently knowledgeable and proficient to be able to provide the training and follow-up individualized support.¹² In addition, the networks incorporated the curriculum into their regular training offerings, either as a separate workshop or by expanding attention paid to record keeping and tax issues in other workshops.

In addition to training staff and members of the seven networks, SBLS incorporated the training into its other projects with family care providers, extending the impact of the project considerably. Its tax preparation materials have been incorporated into the child care business development curriculum SBLS developed with the Business Outreach Center. SBLS continues to serve training and technical assistance resource to other trainers delivering the curriculum for the Business Outreach Center.

With additional funding from the Gimbel Foundation and the Independence Community Foundation, SBLS is concentrating on training others to use its tax preparation materials and training approach. In November 2005 it held a train-the-trainers session for network staff, attended by representatives of 14 organizations. WhedCo, one of the networks that had worked with SBLS on this project for two years, participated in the session, describing how it has incorporated tax preparation and financial management materials and concepts into its overall menu of services to providers.

SBLS continued work with FoodChange (formerly, the Community Food Resource Center) to encourage providers who qualified (met income eligibility criteria) receive free tax preparation services. By the end of the grant period, however, few providers had yet to avail themselves of this opportunity. However, FoodChange has expanded its services to provide assistance to self-employed taxpayers throughout the year, rather than for just six weeks during the tax season. This may increase the visibility and use of their services.

¹² SBLS remains accessible to the networks and providers to answer questions.

Large proportions of the providers who received training through the project reported that what they learned changed their record keeping practices and tax filing. Network staff reported that a number of providers filed amended returns for prior years, taking greater allowances for business expenses, and that providers who were audited by the IRS had no trouble providing the necessary documentation. Even experienced providers were reported to have made improvements in their recordkeeping practices.

System Change Results:

The figure below shows the system changes that the SBLS project was expected to help influence (see more detail in Table 3.8) and indicates with check marks those areas in which progress was observed during the grant period.

SYSTEM CHANGE GOAL	PROGRESS
A replicable training and technical assistance program on tax preparation for family care providers is widely available	✓ ✓
Child care networks provide support on tax preparation to member providers	✓ ✓
A core group of tax preparers are prepared to provide their services to family care providers	✓
A mechanism for continuing tax preparation and other tax-related support to child care providers is developed	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

Influence on System Change:

One outgrowth of the project was a greater engagement of the Bureau of Day Care in DOHMH in discussions with providers, network staff and others about policies and procedures. This has given a “real world” context to discussions of possible improvements in procedures and required attention to ensuring a shared understanding of the interpretation of regulations. However, actual changes in response to the Bureau’s participation appear to be limited, at best.

The training curriculum and materials and the train-the-trainer approach have enhanced the capacity of networks to encourage more sophisticated business practices among family care providers. Network staff have also been stimulated to think about other kinds of information or training that providers might need. For example, group family providers must pay social security and other employer taxes and the NMIC network arranged to have a payroll management firm meet with those providers to discuss this requirement.

Because knowledge of tax obligations and of record-keeping requirements is an essential part of keeping family care providers in operation and helping them consider themselves professionals concerned with the quality of care they provide, this training can meet the requirements for initial registration and ongoing licensure. As such, individuals who take the training would be eligible for EIP funding. This could provide a way to fund further expansion of the training.

Opportunities and Challenges:

SBLS staff believe that the current curriculum and materials will be easy to update from year to year, but that it might be useful to provide refresher training to trainers as well as provide training to new staff.

Both project staff and others in the field were unsure whether and how train-the-trainer models could be included on the NYC Early Childhood Professional Development Institute website. One question raised was whether the Institute itself would offer train-the-trainer workshops.

Family care provider networks are the logical avenue for city-wide expansion of the training. However, this will be limited by the resources and capacities of the networks. SBLS established a collaboration with the Business Outreach Center, which assists in micro-enterprise development including child care. This could provide another avenue for expansion of the reach of the training, through other community or economic development organizations.

CHAPTER FOUR: THE NYC EARLY CHILDHOOD PROFESSIONAL DEVELOPMENT INSTITUTE

In 2001 the ACS Advisory Board Child Care Subcommittee issued a major report – *Counting to 10: New Directions in Child Care and Head Start* – presenting a framework for an early care and education system in New York City. The report contained key recommendations to help ensure accessible, high quality child care and early education services.

One recommendation called for the establishment of a city-wide professional development entity – called in the report “Professional Development and Technical Assistance Training Academy.” In May 2004 the New York City Early Childhood Professional Development Institute was officially established at the City University of New York in the Office of Academic Affairs. The purpose of this institution is to ensure that all those involved in providing early care and education in New York City have access to and effectively use a comprehensive system of professional development and training opportunities.

It was critical to the Fund’s system change goals that the institute be established from the beginning as a public/private partnership. As the result of ongoing discussions and negotiations by Fund leadership, the three public sector members of the Fund – ACS, DOE and HRA – each committed the following resources for each of two years to the training institute:

- ACS committed \$50,000 plus one and a half full-time equivalent staff assigned to the Institute;
- HRA amended its informal care provider training contract with CUNY to allocate \$100,000 to the Institute; and
- DOE’s Deputy Chancellor for Instruction committed \$50,000 for the Institute.

The Fund awarded \$250,000 in support for the start-up year of the institute.

There is broad agreement that, without the Fund’s ongoing interest in the Early Childhood Professional Development Institute, the Institute would not have come into being. The Fund’s interest was manifested as much by its persistence in conversations with key leadership as by its financial support. Many stakeholders in New York City’s early care and education community perceived the Professional Development Institute as a major accomplishment of the Fund and one that they hoped the Fund would continue to support. In 2005 the Fund gave an additional grant of \$250,000 to the Institute.

ACCOMPLISHMENTS AND BENEFITS

The Institute met all its first year objectives. A major accomplishment – one that gives the Institute a “face” – is its website, which provides in both English and Spanish information on training and professional development opportunities and degree programs for current and prospective early childhood educators. The website was publicized through postcard mailings and at conferences and meetings. The website was visited 7,000 times between its launch in April through June 2005. In the following three months (July, August and September) an additional 9,000 visits were recorded. By the end of 2005, the site had logged 28,693 visits. In addition, Institute staff responded to questions through its hotline, which averaged about 75 calls per week.

The Institute carried out three waves of outreach to inform different target audiences about the web site. The first, in June 2005, targeted neighborhood networks and individual family care providers. The second and third outreach campaigns in October concentrated on center-based providers.¹³

Among the seven network staff interviewed for the evaluation, most would like to see their trainings listed. Two networks expressed concern that their trainings were not listed and two others thought that a link to their website would be more efficient than trying to keep the Institute continually apprised of their training schedule. A staff member from one network had not yet given the Institute its training schedule because of concerns about competition among networks for the same set of training consumers. Another was prompted to think about a city-wide coalition of networks to address such issues and other common interests.

In February 2005 the Institute held an information exchange day for organizations providing training for family child care and informal care providers. The day brought together 78 organizations -- family care networks, CCR&Rs, higher education departments of early childhood, and representatives from ACS, HRA, and DOHMH. One goal of the event was to obtain information regarding incentives for training informal family child care providers, general training needs/gaps, and collaboration/communication issues in the NYC training community. Further discussion and investigation resulted in a report on the professional development needs of informal home-based providers – *The Overlooked Workforce: An Assessment of the Needs of Informal Child Care Providers Who Serve Low-Income Families in New York City*.

¹³ Just prior to those campaigns a number of family care networks and center-based programs contacted to provide information for the evaluation were not yet familiar with or had used the website. For example, of the eight (out of ten) agencies from the FPWA ALG project responding to an evaluation survey in the late summer and early fall of 2005, 40 percent had heard of the website and all believed that they would use the website, but none had used it as of September. A similar pattern was true for centers participating in the ALG project, although even fewer had heard of the website prior to the survey. It is likely that the results would have been different if the same organizations had been contacted after the October outreach campaign.

A second conference was held in November 2005 for those involved in providing training and professional development services to the early care and education community. The focus of this day was to explore what is known about effective professional development in quality early care and education systems and learn about efforts to develop standards for training and professional development providers. Follow-up work is planned on the latter.

The Institute is collaborating with the New York City Interagency Early Childhood Professional Development Institute to hold a meeting in January 2006 to discuss the workforce study. This study is intended to document the current status of and needs for early care and education staff and issues related to training and credentials, professional development and compensation.

The Institute began activities to bring together and support leadership from the various colleges in the CUNY system – both two- and four-year institutions – in exploring issues, opportunities and challenges in articulation in early childhood teacher preparation coursework and requirements. The Institute was widely given credit for being the catalyst for renewed work on this issue, for providing valuable staff support and research information, and for helping define articulation at the systemic level, rather than focusing on the details of specific articulation agreements.

SYSTEM CHANGE RESULTS

The figure below shows the system changes that the Early Childhood Professional Development Institute was expected to help influence (see more detail in Table 4.1) and indicates the degree of program with check marks.

SYSTEM CHANGE GOAL	PROGRESS
Regular city agency support is provided for early care and education professional development and program quality improvement	✓
Quality set-aside funds are available for sustained professional development and program improvement activities	
Articulation agreements exist among New York City institutions of higher education to support credit accumulation by early care and education staff	✓
A comprehensive and coordinated array of quality professional development opportunities is available	✓
An institutional home and stable funding is provided for an entity that disseminates information and conducts research on early childhood education professional development, and offers career development support for early care and education staff	✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

INFLUENCE ON SYSTEM CHANGE

The Institute has contributed to improving the supply of qualified early care and education providers in New York City in three important ways:

- Pulling together information on training and professional development opportunities in a centralized location and initiating a process to develop standards and measures of the quality of training programs
- Conducting research and stimulating discussion on workforce issues, including compensation and retention as well as qualifications and certification
- Engaging high-level leadership and supporting CUNY-wide work on developing a system for preparation of certified early childhood education teachers

While the Institute has made major contributions in all three areas, it is the last where it has had the largest impact, in the sense that its work has been critical to progress. The Institute's value to the work on articulation was due to a number of factors:

- The staff had familiarity with CUNY as a system and with the early education field, as well as knowledge of what needed to be done and how to support it.
- The Institute provided the work group with insightful syntheses of information on articulation, extracting what worked and what didn't and avoiding detailing the specifics of particular agreements.
- Facilitation of the meetings by Institute staff was critical to helping all parties develop a common understanding and language so that productive discussions could proceed.
- By setting agendas, confirming schedules and summarizing discussions, Institute staff were able to keep the process moving. There was consensus that this support was what made the unexpectedly rapid progress of the work possible.

There is also reason to think that success in articulation within CUNY could be a model for similar work across the state as well as contribute to the base of experience at the national level.

OPPORTUNITIES AND CHALLENGES

The Institute will continue some activities and initiate new ones in its second year of operation:

- The website will be expanded to provide information about training on care for infants and toddlers and for children with special needs. The Institute will also publish a newsletter and expand its promotion of the website.
- A convening of organizations offering training to center-based early care and education will be held as a first step in assessing the training needs of this group of providers.

A common question about the Institute was its role in providing training. Staff members from two networks were disappointed that the Institute would not actually be providing training to providers, especially on-site training. Other stakeholders wondered if the Institute could conduct train-the-trainer workshops on various topics, such as family care provider tax preparation (using the curriculum and materials from the SBLS project). There were also questions about how materials like the SELA and SSEGA or program improvement strategies like accreditation facilitation might be included as resources on the website.

The Institute is beginning work with a broad-based committee on developing standards for assessing the quality of training programs. This is long-needed, according to many in the field, especially for training programs that are supposed to meet licensing requirements. It is believed that many providers, particularly family care providers or applicants, pay for training that is unnecessary, does not meet the requirements, and/or could be obtained for free or at lower cost through CCR&Rs, networks, or other organizations. At the same time, staff at family provider networks and CCR&Rs have expressed concern about how quality will be measured and by whom, and how cultural differences in training approaches will be considered.

The Institute helped the work on articulation among CUNY two- and four-year colleges get off to a good start and there is optimism that concrete results will be seen in the next academic year. Challenges will arise in keeping all the institutions engaged at the leadership level in order to bring the work to fruition and then to sustaining the agreements by making necessary adjustments as courses and requirements change. A suggestion was made that the latter could be an ongoing role for the Institute. There was also an interest expressed in expanding the scope of articulation to include teacher preparation in early childhood special education.

The Institute's clearinghouse function for training and professional development and its work on articulation among CUNY teacher preparation programs were cited as critical to creating a unified early childhood workforce in terms of both qualifications and compensation. Meeting the state requirement that all early childhood teachers be certified by 2006, if not extended further by waiver, is likely to become a more realistic target because of the Institute's work.

The Institute's Workforce Committee, comprised of members of its oversight and advisory committees, has authorized Institute staff to seek additional funding for research into issues related to staff retention and teacher shortages in New York City. The Institute will seek another university partner to assist in conducting a survey of providers on these issues.

The Institute staff had hoped to partner with the state AEYC to prepare a position paper on the use of EIP funds and with city agencies in discussions with OCFS regarding that program. As of fall 2005 neither had proceeded. NYSAEYC may not pursue the EIP issue and it has been difficult to schedule a meeting with OCFS. OCFS will also need to be engaged to pursue the recommendations related to the training needs of informal family care providers to be implemented. There was stakeholder interest in the role the Institute could play in advocacy around early childhood teacher compensation, through its research and expert testimony.

The newly initiated joint work between ACS and DOE to develop a shared set of program standards, auditing procedures, and supports for improvement should be able to make use of the results of the Institute's research. It is not yet clear how to link these efforts, but the Fund can certainly play a role if needed.

**CHAPTER FIVE:
ASSESSMENT OF THE FUND'S SUCCESS ASSESSMENT OF THE FUND
ACCOMPLISHMENTS AND
LESSONS LEARNED ABOUT STIMULATING
AND SUPPORTING SYSTEM CHANGE**

The Fund has been in existence nearly five years, although its grantees have received Fund support for varying lengths of time – from just over a year in the case of the Professional Development Institute to two years for three grantees (LIIF, NMIC, and SBLs) to four years for the remaining grantees (CCC, ECSG, FPWA, and NYU). In this final chapter, the overall success of the Fund is assessed based on expectations for the interim to longer-term period.

CONTRIBUTIONS OF THE FUNDED PROJECTS

Across the grantee projects, there have been a number of successes in system change – both increasing the capacity and push for change and in making change. These successes include:

- Organized constituencies – providers and parents – that can effectively advocate for early care and education investments at the city and state levels (ECSG)
- Program quality improvement tools and strategies that are being replicated at the city, state, and national levels (NYU & FPWA; also SBLs)
- Initial steps in providing an easy-to-access source of information on credentialing requirements, career ladders and professional development opportunities in the early care and education field (PDI)
- Accelerated progress on cross-institution course articulation among CUNY two- and four-year college teacher preparation programs (PDI)
- Expertise that is drawn on to guide and support system change initiatives (Sheila Smith, Suzanne Reisman, CCC, ECSG)
- Research, analysis and recommendations on critical issues in early care and education that have stimulated public sector policy change (CCC, ECSG)
- Increased engagement of DOHMH in efforts to improve the early care and education system (NMIC, SBLs, CCC)
- Enhanced program quality in a large number of center-based early care and education programs (FPWA, NYU, SBLs)

- Contributions to the stability of early care and education capacity (LIIF, SBLS)

In the following section, these successes are used to assess the progress of the Fund toward the outcome goals identified in its theory of change.

PROGRESS OF THE FUND IN PRODUCING SYSTEM CHANGE OUTCOMES

In Chapter Two, the Fund's theory of change was used to identify interim system change outcomes that might be expected within two to three years. These included:

- Project innovations are replicated, lessons applied to new situations, and related policies and practices improved.
- Public agencies and private organizations with responsibility for early care and education are strengthened or new entities created.
- Demand for a more coherent early care and education system and increased investments is broadened.
- The Fund itself makes more connections within the early care and education field, expands its members and funds additional projects to promote systemic change.

According to the Fund's theory of change, longer-term system changes (in the five year range) were expected to be:

- A wide array of stakeholders are well-informed for advocacy and decision-making, with both political champions and a broad-base of public will supporting investment in early care and education for New York City's young children.
- Policies are adopted supporting expansion of child care opportunities and improvement in quality, with the necessary infrastructure and resources in place to implement these policies.
- Private dollars are coordinated strategically to leverage effective public funds and to support innovative collaborative efforts for systemic change.

The figures below show the system changes that the Fund, through its grants and other activities, was expected to help influence (see more detail in Tables 5.1 and 5.2) and indicate the degree of program with check marks.

INTERIM SYSTEM CHANGE OUTCOMES	PROGRESS
Project innovations are replicated, lessons applied to new situations, and related policies and practices improved	✓ ✓
Public agencies and private organizations with responsibility for early care and education are strengthened or new entities created	✓ ✓
Demand for more coherent early care and education system and increased investments is broadened	✓ ✓
The Fund itself makes more connections within the early care and education field, expands its members and funds additional projects to promote systemic change	✓

LONGER-TERM SYSTEM CHANGE OUTCOMES	PROGRESS
A wide array of stakeholders are well-informed for advocacy and decision-making, with both political champions and a broad-base of public will supporting investment in early care and education for New York City's young children	✓
Policies are adopted supporting expansion of child care opportunities and improvement in quality, with the necessary infrastructure and resources in place to implement these policies	✓
Private dollars are coordinated strategically to leverage effective public funds and to support innovative collaborative efforts for systemic change	✓ ✓

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

LOOKING TO THE FUTURE – CHALLENGES AND OPPORTUNITIES

There are a number of challenges that will continue to affect the early care and education system in New York City. These include:

- Maintaining mixed early care and education delivery system (school/CBO, center/home) that supports family preferences and needs in terms of setting, cultural and language compatibility, cost and flexibility in hours and days of operation
- Setting standards for quality that are appropriate for diverse early care and education settings and establishing the infrastructure necessary to monitor and assist in quality improvement

- Building a highly qualified early care and education workforce that is equitably compensated based on credentials and experience
- Increasing the number of early care and education opportunities throughout the city, with equitable distribution across neighborhoods
- Ensuring that all children, including those with developmental delays, have access to early intervention and early care and education services

There are also ongoing challenges in implementing system change strategies:

- Engaging DOHMH more fully in developing an integrated early care and education system, for example with ACS and DOE in defining and monitoring standards of quality
- Developing contracting strategies that encourage private investment in facilities development
- Providing education and training opportunities to prepare early care and education staff to pass teacher certification examinations
- Finding ways to promote and fund program improvement, not just individual professional development, strategies

There are also opportunities opening up – opportunities that the Fund’s work helped create and that should further its goals:

- The Mayor has made expansion of early childhood education to be universally available to 3- and 4-year-olds a goal on his policy agenda
- The CFE settlement could provide funds for facility expansion
- ACS, DOE and HRA are poised to work together on program quality and blended funding
- DOHMH is more engaged with the broader early care and education system than in the past

LESSONS LEARNED

Systemic change in a field as diverse as early care and education, involving a large number of center- and home-based providers, with several public agencies responsible for funding and oversight, in a complex political environment, is of necessity slow. The Child Care and Early Education Fund has been successful in using private resources strategically to support projects focused on policy and system change, bring key

stakeholders together, and sustain attention on the goal of an early care and education system that provides quality developmental experiences for New York City's youngest citizens. These efforts are bearing fruit in increased capacity for program expansion and quality improvement and in practice and policy changes at the system level.

Reflecting on the past four years of the Fund's work in early care and education, there appear to be several factors critical to its success. These factors are worth noting as the Fund enters its next phase of activity. They include:

- **Sustained focus and investment**

The Fund has been remarkable in maintaining a core group of private funders and continuing to raise funds over the almost five years of its existence. Even more remarkable has been its unswerving focus on using its resources to promote systemic changes in early care and education practices and policies. This consistency and perseverance has been credited with making a major contribution to the current political support of an early childhood agenda and to the infrastructure necessary to convert a broad political agenda into reality.

- **Accountability for system change outcomes**

The Fund has held itself and its grantees to the charge of pursuing system change and rigorous in expecting evidence of those outcomes. This standard has been clearly articulated in its communications and conversations with public officials, in its requests for proposals and grant awards, and in the focus of reporting and evaluation.

- **Building relationships among the diverse organizations and agencies involved in early care and education**

The Fund has used formal meetings and informal conversations among its grantees and with public officials to promote linkages across projects and with city agencies. It has funded a new institution to facilitate information sharing and new relationships across consumers and providers of training, professional development and teacher preparation.

- **Leveraged engagement of public sector commitments and resources**

The Fund has held to its goal of creating a public-private partnership to support policy change and system development within government. It waited out periods of changing public sector leadership and attention to other issues and continued to offer private support for collaborative projects that built infrastructure, promoted system integration and had city-wide effects. In doing so, it was able to offer funding at strategic moments that built on and further strengthen public sector

commitment to system change and expanded the resource base to carry out change activities when the time was right.

Finally, it is worth considering the value of the Fund's **multiple strategy approach to system change work** – project grants and public-private initiatives. Would it have reached the same level of success if the Fund had not supported the projects and organizations that received grants over the past four years? Would the same level of success have been achieved through project grants alone? While there is no way to answer these questions definitively, there is strong evidence that overall the projects have added much to a climate that is more favorable to investment in early care and education and have expanded the capacity of many organizations to promote program quality and build provider capacity. All the projects engaged staff and officials from major city agencies with responsibility for the care and education of young children in some way in their work. This “ground up” system change strategy gave the Fund credibility, visibility and recognition as an important stakeholder in the field. However, it is unlikely that this strategy alone would have been as sufficient to result in public sector commitment of resources and attention to the infrastructure and policy change work that is not underway. This “ground up/top down” approach, planned from the initiation of the Fund, has also a critical component in its success to date.

How these five factors will play out in the new phase of the Fund's work remains to be seen. The first four – sustained focus, accountability for system change, relationship building, and leveraged engagement of the public sector – will almost certainly continue to be hallmarks of the Fund's approach. The Fund's support of specific cross-agency work on program quality standards and improvement and on blended funding and payment approaches should continue to position it to be a critical player at the table.

ATTACHMENT A
MEMBERS OF THE CHILD CARE AND EARLY EDUCATION FUND
From June 2004 through June 2005

(* indicates an organization that was not an active member
as of October 2005)

Administration for Children's Services Ajay Chaudry Deputy Commissioner
Altman Foundation Ms. Kate Liebman Program Officer
The Annie E. Casey Foundation Janice Nittoli
Department of Education, Office of Early Childhood Ms. Eleanor Ukoli Director
JP Morgan Chase Ms. Deborah Smith Vice President
Liz Claiborne Foundation Ms. Melanie Lyons Director
Robert Sterling Clark Foundation Ms. Laura Wolff Program Officer
Bernard F. and Alva B. Gimbel Foundation Ms. Leslie Gimbel Ms. Amelia Munger
*Greenpoint Foundation Ms. Elaine Dovas Vice President and CRA Officer

<p>The Stella and Charles Guttman Foundation, Inc. Ms. Elizabeth Olofson</p> <p>Ms. Lila Noble</p>
<p>Human Resources Administration Ms. Kay Hendon</p>
<p>The Independence Community Foundation Mr. Ben Esner Deputy Director</p>
<p>A.L. Mailman Foundation, Inc. Ms. Patti Lieberman Chair, Board</p> <p>Luba Lynch</p>
<p>The Jeffrey M. & Barbara Picower Foundation Ms. Barbara Picower</p> <p>Ms. Martha Livingston Ms. Ileana Infante</p>
<p>*Samberg Foundation Ms. Laura Samberg</p>
<p>*The Sirius Foundation Ms. Alice Paul Executive Director</p>
<p>*The Spingold Foundation Mr. Daniel Kurtz</p>
<p>United Way of New York City Ms. JoAnn Shanley</p> <p>Ms. Wanda Young</p>

ATTACHMENT B
Persons Interviewed for the Evaluation
of the Child Care and Early Education Fund
Mid-2003 – Mid-2004

Category	Organization	Person
Grantee Project Staff	Citizens' Committee for Children	Candice Anderson
	Early Childhood Strategic Group	Nancy Kolben Chuck Paprocki Betty Holcomb Attended Fall 2004 UPK Meeting
	Federation for Protestant Welfare Agencies	Alison Pepper Mary Hayes Attended ALG directors' meeting
	Low Income Investment Fund	Brian Segel Suzanne Reisman
	New York University Child and Family Policy Center	Sheila Smith Sarah Dennis
	Northern Manhattan Improvement Corporation	Andrea Vaghy Rebecca Stevenson
	South Brooklyn Legal Services	Sarah Dranoff
	Training Institute	Barbara Carlson Cynthia Centeno Attended Advisory Group Meeting and Family Care Providers meeting
City Agencies	Department of Education, Early Childhood Education,	Andree Lessey
	Regional Director, Early Education	Dorothy Cusack
	Administration for Children's Services, Deputy Commissioner	Ajay Chaudry
	Child Care Training Unit	Gloria Maranion
	Head Start	Pat Hussey

Category	Organization	Person
	Child Care Facilities	Steven Deutsch
	Human Resources Administration , Child Care	Kay Hendon
	Department of Health and Mental Hygiene , Bureau of Day Care	Andrea Batts
	Commissioner's Office	Christine Chang
Other New York City Organizations	Bank Street College of Education	Hilary Abel
	Lawyers' Alliance	Linda Manley
	Enterprise Foundation	Victoria Shire
	LISC	Amy Gillman
	United Neighborhood Houses	Susan Stamler
	Child Care, Inc.	Judy Ennes
	South Brooklyn Legal Services	Holly Chen
	Day Care Council	Andrea Anthony
	Borough of Manhattan Community College	Rachel Theilheimer
	Lehman College	Annette Digby
	Hunter College	Shirley Cohen
	Pratt Institute	Tara Siegel
Community Providers	Committee for Early Childhood Development	Mojisola Bafunso
	Ridgewood Bushwick Senior Citizens Center	Emily Karpel Kurtz
	Chinese-American Planning Council	Doris Woo
	WHEDCO	Diana Perez
	Highbridge Advisory Council	James Nathaniel

Category	Organization	Person
	Sheltering Arms Children's Services	Cordelia McNish
	Young Women's Christian Association	Margaret Doherty Rodriguez
	Leake & Watts	Linda Rosenthal
	Jewish Child Care Association	Rebecca Koffler
	Graham Windham	Charmaine Wong
	Community Life Centers	Patricia Rodriguez
	Hamilton Madison House	Renee Burke
	Miracle Makers	Deloris Pickett
New York State Agencies and Organizations	Schuyler Center for Analysis and Advocacy	Karen Schimke
	New York State Office of Children and Families	Suzanne Sennett
	New York State Office of Children and Families	Mary Ellen Deegan
	New York State Council on Children and Families	Robert Frawley
	New York Association for the Education of Young Children	Patricia Myers, Director
Other	Consultant	Patricia Zedalis
	The Annie E. Casey Foundation	Janice Nittoli

**TABLE 3.1 CITIZENS' COMMITTEE FOR CHILDREN
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: A plan for meeting the early care and education needs of NYC's young children from birth to entry into kindergarten is in place</p> <p>Indicators: 0-5 Plan is developed and endorsed by major children's advocates</p> <p>Mayor's Office and City Council are briefed on plan</p> <p>Leadership of ACS, DOE endorse plan</p>	<p align="center">✓ ✓</p>	<p>In October 2005 the Mayor put forward a strong plan for developing an integrated early care and education system, linking across ACS, DOE, and HRA.</p> <p>Elements of this plan are currently being designed, including transferring child care eligibility and payment to ACS and developing a single set of standards across all early care programs, whether center- or home-based.</p>	<p>City and state advocates give CCC (and ECSG) credit for doing the "spadework" and local organizing that has made these developments possible.</p> <p>Public agency staff report having confidence in the recommendations of CCC because they are based on solid research and reflects broad community consensus.</p>
<p>Goal: Health Department oversight and monitoring functions (licensing, renewals, inspections) are rationalized</p> <p>Indicators: Recommendations of report are accepted by DOHMH</p> <p>Recommendations of report are implemented</p>	<p align="center">✓</p>	<p>City legislation to increase public access to information on early care program compliance with regulations was enacted in February 2005.</p> <p>By June 2005 DOHMH reported reductions in number of expired licenses (due to slow action by the Department) and in length of time before responding to a complaint.</p>	<p>Report on Child Care Oversight, which focused on city and state health and safety regulations and support for professional development and quality improvement, was published in October 2004.</p> <p>Department staff reported that the report was very valuable in providing an external review of internal structure and procedures and in putting DOHMH's role in the broader early care and education context.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
		DOHMH meets quarterly with CCR&Rs to review regulations and procedures and discuss issues from the field.	<p>In addition to the report, CCC briefed the Commissioner and continues to be valued as a sounding board as the DOHMH continues to respond to these issues.</p> <p>CCC worked with DOHMH leadership to convene meetings of its Bureau of Day Care with CCR&Rs, family child care networks, and the Child and Adult Care Food Program to discuss ways to collaborate in ensuring program quality</p> <p>CCC provided testimony to City Council related to and helped draft legislation making information on early care program license and regulation status public.</p>
<p>Goal: There is commitment on part of city agencies to provide integrated child care and early education services to children with disabilities</p> <p>Indicators: Recommendations of report are accepted by DOHMH</p> <p>Recommendations of report are implemented</p>	<p>✓</p>	<p>DOHMH staff expect that the report will be examined carefully in considering possible changes in regulations or procedures.</p> <p>However, it is unclear the extent to which plans resulting from the Mayor's call for a more integrated early care and education system will explicitly consider how to serve more children with special needs.</p>	<p>CCC convened a task force on Early Care and Education Opportunities for Children with Special Needs. Early drafts of a report on available services, enrollment processes and potential barriers have been given to DOHMH staff for fact checking. The report is due to be published by late 2005 or early 2006.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: Connections between child care and early intervention systems are developed and institutionalized</p> <p>Indicators: Child care providers are trained in identifying potential developmental delays and in procedures to make referral</p> <p>Early intervention assessment includes consultation with child care provider</p>	<p>✓</p>	<p>DOHMH staff expressed great interest in the forthcoming CCC report, as the Early Intervention program affects thousands of children and consumes a large portion of the Department’s budget. Department leadership is concerned about targeting and effectiveness of EI services.</p>	<p>CCC’s task force has brought together early care and education and early intervention stakeholders in a joint planning process for the first time in many years.</p> <p>CCC staff are involved in a pilot project, headed by Sheila Smith, to create a model of inclusion for preschools.</p> <p>CCC is chairing a working group within DOHMH examining the potential value of a program to engage parents as partners with therapists.</p>
<p>The city develops capacity to use public funds to construct more child care facilities</p> <p>Indicators: State legislation is passed to allow DHPD to manage child care facility development</p> <p>City and state child care facilities funds are “transferred” to DHPD</p> <p>Facilities development contracts are awarded</p>	<p>✓</p>	<p>ACS contracted providers were allowed to accept vouchers for school-aged children whose parents wanted them to stay in that program, regardless of whether the provider received a contract from DYCD.</p> <p>City Council adopted a budget that included significant additional funding for the Beacons program as well as support for other OST programs.</p> <p>Work on the ACS facilities plan is being revived as part of the</p>	<p>CCC’s work in this area has focused on the transition of school-aged care from ACS to DYCD to ensure that sufficient quality OST services continue to be available and that capacity among early care providers who had held OST contracts was sustained.</p> <p>CCC gave testimony to City Council regarding funding for the Beacons OST program.</p> <p>CCC contributed to the development of the ACS facilities development plan, <i>Building Blocks</i>.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
		development of an integrated early care and development system and will be staffed by the same consultant as during the first two years of CCC support from the Fund, facilitating continuity with previous work.	

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 3.2 EARLY CHILDHOOD STRATEGIC GROUP
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: Early education is recognized as critical in the NYC education agenda</p> <p>Indicators: Department presents a written statement on early education as part of an integrated preK-12 vision and agenda</p> <p>Staff are allocated to managing UPK and ensuring quality</p> <p>Department implements quality improvement initiatives in early education</p> <p>Accountability includes data on early education</p> <p>There are leadership and managerial connections among DOE, ACS and HRA re early care and education</p> <p>Department advocates for secure state funding for UPK</p>	<p align="center">✓ ✓</p>	<p>In October 2005 the Mayor put forward a strong plan for developing an integrated early care and education system, linking across ACS, DOE, and HRA.</p> <p>Elements of this plan are currently being designed, including transferring child care eligibility and payment to ACS and developing a single set of standards across all early care programs, whether center- or home-based.</p> <p>The UPK Advisory Board has been reestablished with a representative of the CBO Network having a seat.</p>	<p>ECSG is given credit by advocates and policymakers for doing the “spadework” that made the Mayor’s commitment possible.</p> <p>ECSG’s work with providers paved the way for cooperation between CBOs and DOE in implementation of standards and procedures.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>The Citywide UPK Advisory Board is reestablished with representation from CBOs</p> <p>Permanent funding for UPK is supported by broad set of other city stakeholders</p>			
<p>Goal: Community-based organizations providing early education services develop a stronger collective voice to affect program and policy decisions</p> <p>Indicators: CBO Network members develop working relationships with local and state legislators and DOE regional staff</p> <p>CBO Network develops policy statements focusing on collaboration and systems building with the DOE</p> <p>CBO Network’s policy statements receive attention at the leadership level within DOE Department seeks input from CBO</p>	<p>✓ ✓</p>	<p>The model for regional UPK collaborative advisory bodies includes committees on policy and procedures, program quality, and advocacy.</p> <p>CBO presentations at monthly UPK meetings of regional directors and community providers include attention to program quality and best practices, not just contractual issues.</p> <p>Planning for a city-wide early childhood conference was structured to promote partnerships between regional directors and community-based providers.</p> <p>CBOs and DOE early education directors in other regions are actively engaged in learning more about the collaboration in Region 2 as a model for</p>	<p>ECSG fostered and continues to support the CBO Network, which is the vehicle for providers’ collective voice with DOE.</p> <p>ECSG prepared and distributed a guide for local organizing and advocacy to community-based provider organizations.</p> <p>ECSG facilitated opportunities for other regions to learn about the successful collaboration in Region 2.</p> <p>People involved in regional UPK collaborations have been invited to join ECSG to strengthen its voice and scope.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Network with regard to UPK and other early education issues</p> <p>CBO Network establish communication relationships with local stakeholders such as Borough presidents, City Council members, and state legislators</p> <p>CBO Network representatives sit on city committees or groups concerned about early education issues</p>		<p>possible replication.</p> <p>Region 2 model for collaborative system of community-based and public school-based UPK providers is being replicated in four other regions.</p>	
<p>Goal: UPK becomes part of the core education funding formula</p> <p>Indicators: The Governor’s Commission, Regents and the CFE recommend funding for UPK on an on-going basis</p> <p>The Alliance for Quality Education includes full UPK funding in its advocacy efforts for next fiscal year</p>	<p>✓</p>	<p>In October 2005 the NYS Board of Regents recommended an increase of \$99 million to the UPK program to provide access to all 4-year-olds and to include UPK in state education aid, which would reduce its vulnerability to line-item cuts.</p> <p>Mayor Bloomberg sets a goal of universal access to preschool experiences for all 3- and 4-year-olds in the City.</p>	<p>ECSG has been a partner in state as well as local advocacy for UPK through the Winning Beginning campaign.</p> <p>ECSG will participate in preparing a paper on the NYC UPK experience in creating a diverse delivery system with both community-based and school district providers with funding from multiple sources.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: Quality standards for preschool programs are implemented for all UPK programs</p> <p>Indicators: DOE standards of quality are written, distributed as part of provider application, and training on the standards is provided</p> <p>Standards are written into provider contracts</p> <p>Standards are monitored and written feedback is provided to program</p> <p>CBOs provide feedback to the DOE on the evaluation process.</p> <p>CBOs provide feedback to the DOE on assessment tools.</p> <p>TA is available to assist programs meet standards and DOE professional development is available for all UPK providers</p>	<p>✓ ✓</p>	<p>DOE issued program standards for UPK programs, included them in provider contracts, and put in place mechanisms to monitor them.</p> <p>ACS and DOE are beginning collaboration to develop common program quality standards and auditing procedures.</p>	<p>ECSG's work to organize community UPK providers provided a vehicle for communication with DOE at the regional and city-wide levels around programmatic as well as contracting issues. DOE relied on ECSG to respond to community provider questions and concerns and to promote progress toward improvements in program quality.</p>
<p>Goal: Program providers can</p>	<p>✓</p>	<p>ACS and DOE are beginning</p>	<p>While this remains a priority for ECSG, the</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>easily create blended services across UPK, Head Start and child care</p> <p>Indicators: Agencies adopt compatible cost allocation standards</p> <p>Funding guidelines support blended programming</p> <p>Monitoring and reporting requirements are linked across programs through a unified auditing process</p>		<p>development of common standards and audit procedures for program quality.</p> <p>ACS and HRA are beginning to develop a blended contract/voucher system for funding child care. DOE programs will be considered later.</p>	<p>recent focus of their efforts has been on equitable allocation of UPK resources and participating in state-level advocacy to increase appropriations and funding rates.</p>

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 3.3 FEDERATION OF PROTESTANT WELFARE AGENCIES – ACCREDITATION LEADERS GROUP
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: Agencies and programs give priority to quality improvement</p> <p>Indicators: Agency staff are assigned responsibility for monitoring and improving program quality</p> <p>Evaluation of directors' performance includes attention to program quality</p> <p>Agency and program leadership regularly participate in activities related to program improvement (technical assistance, training, professional conferences, etc.)</p> <p>There is a commitment to going through the re-accreditation process</p>	<p align="center">✓ ✓</p>	<p>Almost all agency leaders (80 to 90 percent) report increasing:</p> <ul style="list-style-type: none"> • The extent to which performance evaluations of leadership at the agency or center includes attention to program quality and improvement results • The frequency with which agency leadership reviews aspects of center quality, like staff skills, classroom practice, curriculum, and parent involvement • The frequency with which reports on program quality are made to the top agency executive or governing board <p>Two-thirds of agency leaders and 80 percent of center directors report having increased the frequency with which program quality or professional development is on the agenda and discussed at regular staff meetings</p>	<p>The ALG project has worked with 10 agencies and 45 early care and education programs (centers) from those agencies since 2001. The ALG approach to accreditation facilitation is recognized as an effective approach to expand leadership and investment in program quality improvement by large agencies.</p> <p>The new NAEYC accreditation system requires annual reports and will require all accredited programs to meet the new standards. Agencies with accredited centers will need to remain attentive to these standards. FPWA will hold general information forums on the new standards and reporting expectations.</p>
<p>Goal: Classroom staff regularly</p>		<p>Between 80 and 90 percent of agency</p>	<p>FPWA has provided and made available</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>participate in professional development activities, provided or supported by the agency</p> <p>Indicators: Program budget has allocation for professional development experiences that is sufficient to provide some for each staff member</p> <p>Eligible programs take advantage of state funds to support professional development</p> <p>Staff have professional development plans in their personnel files</p> <p>Professional development plans are periodically reviewed and updated</p> <p>Professional development opportunities are posted or otherwise made known to staff</p> <p>Each staff member has had at least one professional development experience a year</p>	<p>✓ ✓</p>	<p>leaders report increases in:</p> <ul style="list-style-type: none"> • The amount of resources the agency provides for professional development • The number of center staff who have had more than one professional development experience in the past year • The number of center staff who have an up-to-date professional development plan that they are actively working on <p>The YWCA-NYC has developed an internal career ladder system with leadership development training. Several agencies are requiring assistant teachers to become certified and several are encouraging the paraprofessionals to get their CDA or AA.</p>	<p>numerous opportunities for professional development.</p>
<p>Goal: Program directors regularly</p>	<p>✓ ✓</p>	<p>Two-thirds of agency leaders report that</p>	<p>FPWA has trained agency and center directors</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>observe and provide feedback to staff on aspects of program quality and developmentally appropriate practices</p> <p>Indicators: Program directors have a checklist or other tool for observation (use accreditation tools)</p> <p>Program directors schedule periodic observations</p> <p>Program directors schedule regular reviews with staff as a whole – using accreditation criteria as foundation</p> <p>Program directors include attention to quality practices in staff performance reviews</p>		<p>use of a checklist or written observation guide to review center quality has increased since participation in the ALG project.</p> <p>The majority of the agencies have internal performance review systems that require directors to observe teachers in the classroom and for teachers to participate in their own assessment.</p> <p>Directors are being held accountable for conducting these observations and assessments, which has brought them into a stronger collegial relationship with the teaching staff.</p>	<p>in use of program assessment tools, including the Program Administration assessment tool modeled on the ECERS. The expectation that more efficient administration will result in more time for directors to take on educational leadership roles and engage families.</p>
<p>Goal: There is a process for parent input and involvement that is actively implemented</p> <p>Indicators: Program budget and resources are</p>	<p>✓</p>	<p>The majority (80 percent) of agency leaders report that the amount of staff time and agency resources used to support parent involvement has increased.</p>	<p>FPWA has provided models for parent and staff handbooks with clear policies on parent involvement and on professional relationships between staff and parents. FPWA has also trained staff on how to respond to parent opinions and suggestions.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>allocated to parent involvement activities and strategies (to extent budget is under director's control)</p> <p>Program materials and procedures are assessed and revised if necessary to be more parent-friendly, including being available in the languages of consumers</p> <p>Parents are provided regular opportunities to give verbal and/or written feedback on the program</p> <p>Parents are actively encouraged to visit and observe Parents are provided with information on child development and parenting in easy to access and use ways</p> <p>Institute annual report assessment process (how are we doing?) with feedback from/to parents</p> <p>Continue parent input started in self-study process</p> <p>Reflective response to parent requests for changes</p>		<p>Almost 60 percent report increases in the frequency with which parents are given the opportunity to provide written or verbal feedback and with which parents are asked to serve on committees or groups to advise on program decisions.</p>	

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
Parents are asked to serve on committees or groups that advise on program decisions			
<p>Goal: Agency and program procedures and practices are revised to support quality improvement</p> <p>Indicators: There are an agency-wide and center-specific quality improvement plans, periodically reviewed and updated</p> <p>Policies have been reviewed and revised if necessary to be more closely aligned with accreditation standards</p> <p>Agency adopts policies, standards and practices that are consistent across its program sites in areas of curriculum, staffing, learning environment</p> <p>Time at regular staff meetings is allocated to quality improvement issues and activities</p>	<p>✓ ✓</p>	<p>All agency leaders report that policies and procedures regarding staffing, professional development, curriculum, the learning environment, and classroom practices have become uniform across all centers in the agency.</p> <p>Almost all agency leaders (80 to 90 percent) report increasing:</p> <ul style="list-style-type: none"> • The frequency with which agency leadership reviews aspects of center quality, like staff skills, classroom practice, curriculum, and parent involvement • The frequency with which reports on program quality are made to the top agency executive or governing board <p>Two-thirds of agency leaders and 80 percent of center directors report having increased the frequency with which</p>	<p>Use of the Program Administration rating system (which is modeled in format on the ECERS) has been integrated into the ALG and Quality NY projects. This provided concrete feedback on administrative policies and practices as the basis for improvement plans. This tool plus the ECERS and other classroom assessment instruments now cover all dimensions of quality child care and early education.</p> <p>FPWA staff have provided numerous examples of policies and procedures that promote early care and education program quality.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Program staff make regular reports to supervisors and governing bodies about progress toward quality improvement goals</p>		<p>program quality or professional development is on the agenda and discussed at regular staff meetings</p>	
<p>Goal: Agency and accredited program staff provide regular support to other programs going through accreditation</p> <p>Indicators: Agency and program staff regularly attend ALG meetings</p> <p>Agency and program staff mentor/coach other programs during the self-study process</p> <p>Agency and program staff are “co-trainers” in workshop sessions</p>	<p>✓ ✓</p>	<p>Almost 60 percent of agency leaders report that agency and center staff more often encourage staff at other centers to consider becoming accredited. This was even more true among the leaders at the original agencies in the ALG project.</p> <p>Almost 70 percent of agency leaders report that agency and center staff are expected to assist other centers in reviewing program quality and making quality improvements, including accreditation self-study.</p> <p>Agency and veteran center directors continue to participate in ALG meetings. There was strong interest by agency leaders and center directors for regular meetings of a network of NAEYC accredited programs sponsored by Quality NY.</p> <p>Two agency leaders have become Quality Advisors for Quality NY.</p>	<p>FPWA has structured ALG project to encourage and provide opportunities for coaching and support by veteran directors to other programs within same agency and in other agencies.</p> <p>Meeting the fall 2005 deadline for submission of application speeded up the self-study process in many cases.</p> <p>The ALG concept for accreditation facilitation is being adopted broadly in New York City through Quality NY and elsewhere as well.</p> <p>Quality NY is also adopting the practice of inviting programs not ready for full accreditation to participate in trainings and in a support group for affiliate members.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: Advocacy for public support of accreditation gains support</p> <p>Indicators: FPWA’s advocacy agenda includes lobbying for tiered rates for accredited programs and for use of public professional development funds by programs for accreditation activities and support for accreditation facilitation projects</p> <p>Other local and state advocacy/policy organizations take similar stands</p>	<p>✓</p>	<p>All agency leaders report being involved in organized activities to encourage public support for child care quality, including accreditation.</p> <p>Advocacy organizations are not pursuing a tiered rate for accredited programs, as the state is developing a child care rating system, which is expected to be tied to reimbursement levels.</p>	<p>FPWA accreditation facilitation leadership is taking an active role at the state level on accreditation and the development of a quality rating system.</p> <p>Child Care Inc. is carrying out advocacy for the Quality NY partners.</p>

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 3.4 NEW YORK UNIVERSITY – BEST PRACTICE IN EARLY CHILDHOOD EDUCATION
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: Programs have the capacity to conduct self-assessments and develop quality improvement plans</p> <p>Indicators: Budgets include funds for professional development Time is allocated during the year for assessment and planning Staff meetings include time for self-reflection on quality and improvement UPK and ACS contracts allow for staff training days</p>	<p align="center">✓ ✓</p>	<p>There is strong interest in a tool and resources to improve early childhood classroom practices to support social-emotional development.</p> <p>Programs that used the SELA and SSEGA in the context of more global program improvement efforts have been more able to continue use of these tools.</p> <p>Fund-supported work on the SELA and SSEGA helped NYU leverage two major federal grants (Centers of Excellence and Early Reading First).</p> <p>Note: UPK and ACS contracts already include staff development days</p>	<p>Programs involved in the training programs for both the SELA and the SSEGA showed modest to moderate increases in program quality.</p> <p>Program staff report finding the materials easy to use and consistent with other approaches to improving quality.</p>
<p>Goal: Programs incorporate tools and materials from Best Practices project into ongoing professional development & quality improvement</p> <p>Indicators:</p>	<p align="center">✓ ✓</p>	<p>Other NYC professional development and program quality improvement projects use Best Practices tools and procedures (Quality NY, FPWA ALG project, Bank Street Community of Learners, NYU Centers of Excellence and Early Reading First projects)</p>	<p>Programs are continuing to use early literacy materials and resources, especially the SELA and the parent/home activity resource book.</p> <p>Project staff and products are seen as excellent resources in the field, both locally and</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Training participants report continuing to use Best Practice methods and materials 6 months later</p> <p>Quality NY and FPWA accreditation facilitators report working with programs to incorporate methods and materials</p>		<p>Program staff continued use of some Best Practices tools and procedures, but not as part of a program-wide quality improvement process.</p> <p>The SELA is being used in research and program improvement activities elsewhere (e.g. New Jersey and Miami.)</p>	<p>nationally</p> <p>Project has not been able to institutionalize the use of its materials and approach into specific programs, but is a major component of other program improvement and staff development projects (such as Quality NY, ALG and Community of Learners)</p>
<p>Goal: A cadre of trainers/ staff developers/ program consultants is equipped to provide extended support to programs</p> <p>Indicators: Quality NY and FPWA accreditation facilitators report confidence in using methods and materials</p> <p>ACS early childhood consultants report confidence in using methods and materials</p> <p>Head Start education directors use methods and materials in their early literacy initiative</p>	<p>✓</p>	<p>NYU training enabled staff in other program quality improvement projects (see above) to carry out assessment and improvement activities in early literacy and social-emotional development practices in early childhood classrooms.</p> <p>The SSEGA is being used in the development of a preschool inclusion model.</p> <p>ACS child care and Head Start staff have been trained in the use of the SELA and the SSEGA and are encouraged to use them as supplements to the ACS/Head Start program assessment tools.</p> <p>DOE Early Childhood Education uses</p>	<p>The project has trained supervisory staff in both private and public agencies and developed a train-the-trainer model and materials.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
		another consultant for assessing classroom supports and providing teacher training around social-emotional development. This limits DOE interest in using the SSEGA.	
<p>Goal: Practitioners use a standard tool to assess classroom supports for children’s social-emotional development.</p> <p>Indicators: Practitioners familiar with SELA report interest in using such a tool</p> <p>Pilot test site staff report satisfaction with information from tool</p>	✓	<p>ACS child care and Head Start staff have trained in the use of the SELA and the SSEGA and are encouraged to use them as supplements to the ACS/Head Start program assessment tools.</p> <p>DOE Early Childhood Education uses another consultant for assessing classroom supports and providing teacher training around social-emotional development.</p>	<p>NYU staff reputation and experience with the SELA has lent credibility to the tool under development.</p> <p>ACS and DOE early childhood program quality is assessed using other tools, but programs are told that doing well on the SELA and SSEGA is a good indicator of doing well on those more global assessments.</p>
<p>Goal: Public agency leadership gives attention to developing infrastructure to support quality improvements</p> <p>Indicators: Program monitoring occurs routinely on a schedule and follow-</p>	✓	<p>ACS and DOE are embarking on an effort to develop a common set of standards, monitoring/ supervision procedures, and technical assistance supports.</p>	<p>Experiences of this project as well as those of the FPWA ALG project confirm the need for sustained attention to program quality, commitment by the provider organizations, involvement of provider agency/center leadership, and resources for on-site technical assistance.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>up contact is provided based on monitoring results</p> <p>Program monitors systematically assess quality of curriculum and instruction against standards/ goals</p> <p>Program monitors provide feedback to agencies on quality issues and advice on improvement activities</p>			

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 3.5 LOW INCOME INVESTMENT FUND – CHILD CARE SEED FUND
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: A facilities development pipeline is established such that slots are added annually</p> <p>Indicators: Providers involved in the project make continuing progress toward opening new slots</p> <p>Non-profit intermediaries commit funds to the projects</p>	<p>✓</p>	<p>Several facilities projects are going forward more quickly and smoothly because of the assistance provided by LIIF.</p> <p>Programs that have been assisted through the project are promoting it to other agencies, for example through meeting of providers involved in Quality NY.</p>	<p>The Child Care Seed Fund is seen as critical to development of such a pipeline by both private and public sector stakeholders. The long lead time in developing child care facilities projects and the often short turnaround of available funding is recognized as the reason for continuing to provide training and predevelopment support.</p> <p>LIIF and the Child Care Seed Fund provide a resource and meet a need that no other organization or group has the capacity to fill.</p>
<p>Goal: An infrastructure for child care facilities development is built</p> <p>Indicators: Collaboration among LIIF and Child Care Inc. creates a replicable training and TA program</p> <p>Seed Fund Advisory Committee identifies barriers to project completion and develops solutions</p>	<p>✓ ✓</p>	<p>LIIF has brought together financial, legal and architectural experts to develop training programs and to provide technical assistance to projects receiving predevelopment grants.</p> <p>Training curricula and materials have been developed and modified to meet specialized needs.</p> <p>Intermediaries that work in other areas (housing, economic development) are able to use their connection with the</p>	<p>LIIF is credited with bringing together “competitor” financial intermediary organizations to work collaboratively. In addition, ACS and DOHMH are now involved in the Seed Fund Advisory Committee.</p> <p>The project staff have become increasingly recognized as trusted experts. For example, LIIF was asked to prepare testimony for City Council on the need for facilities to implement universal preschool. LIIF staff have also been asked to join the revitalized ACS facilities work group.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>LIIF proposes strategies for resource expansion and procedural efficiency</p>		<p>Seed Fund to incorporate child care into their plans because of the expertise and support available through LIIF.</p>	<p>LIIF also responded to possible child care facility loss due to inability to meet new city lead paint abatement regulations. While unable to modify these regulations, it engaged DOHMH leadership in orienting providers to the requirements and prepared a set of guidelines approved by DOHMH. LIIF also gained approval from the Seed Fund Advisory Board to make unused funds available to assist centers in investigating and remediating lead paint problems.</p>
<p>Goal: City agencies modify policies and procedures to ease the facility development process</p> <p>Indicators: ACS representative regularly attends quarterly Seed Fund Program Advisory Committee meetings</p> <p>Provider contracts provide more flexibility to pay debt service costs</p> <p>Contract terms support longer term loans</p> <p>City capital investment in child care facilities is linked to operational</p>	<p>✓</p>	<p>The ACS facilities plan included recommendations related to contracting and leasing. Until very recently, ACS leadership changes and other priorities focused attention elsewhere so there was little progress on the facilities plan. In the fall of 2005 ACS reinstated its facilities work group under senior leadership.</p>	<p>LIIF staff were asked to comment on the ACS facilities plan. Their involvement gave ACS a better understanding of the value of fiscal intermediaries in facilities development. LIIF staff have been invited to participate in the new ACS facilities work group.</p> <p>LIIF is preparing materials and training for providers to assist them in taking on the responsibilities of lease negotiation and facility maintenance.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
contracts			
<p>Goal: Private financing is available for future projects through a core set of institutions</p> <p>Indicators: Advisory Committee members have indicated that financing in the form of loans construction and permanent loans will be available for feasible projects</p>	<p>✓</p>	<p>The Child Care Seed Fund made available funds to assist child care programs investigate and if necessary, remediate lead paint problems.</p>	<p>Seed Fund's inability to provide private financing is seen as a reflection of the lengthy timetable for such projects, reluctance by providers to take on major debt, and the lack of movement by the public sector on contracting and funding issues.</p>

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 3.6 NORTHERN MANHATTAN IMPROVEMENT CORPORATION –
FAMILY CARE REGISTRATION PROCESS
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: DOHMH registration procedures become more rationalized</p> <p>Indicators: Eligibility criteria are clearly described</p> <p>Procedures at DOHMH are described in writing and contact information for DOHMH staff is made available</p> <p>Networks are regularly updated in writing regarding changes in policy or procedures</p> <p>DOHMH adheres to specified procedures and timelines</p> <p>DOHMH provides for walk-in applicants and for Spanish interpreters</p>	<p>✓</p>	<p>DOHMH staff report a better understanding of the demands that different interpretations of the regulations places on providers.</p> <p>DOHMH was to have produced a brochure for applicants and provide orientation in both English and Spanish. These changes have not been confirmed.</p>	<p>Public sector stakeholders at both state and city levels recognize the contribution of the project to surfacing issues and responding to a need for easy-to-use materials for family care provider applicants.</p>
<p>Goal: Technical assistance and training in support of the registration process become institutionalized</p> <p>Indicators: Manual is adopted with training guide and tools</p>	<p>✓</p>	<p>Information and clarification about the application process and provider eligibility requirements was useful to network staff involved in the project.</p> <p>An early version of the</p>	<p>The project produced a manual that was approved by OCFS.</p>



SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Model policies and practices are made available for applicants</p> <p>Networks adopt similar procedures and practices to support applicants</p> <p>Networks have the capacity to provide training and technical assistance on the application process</p> <p>Information is available on sources of training and technical assistance on application process</p>		<p>manual was posted to the Early Childhood Professional Development Institute web site. However, in its present form, project staff do not believe the manual provides the kind of guidance and assistance that many family child care applicants need.</p> <p>Project staff believe that a more valuable approach would be to develop a training curriculum and materials similar to that of the SBLs project. NMIC's provider network has developed such a training that it uses with groups of applicants, rather than one-on-one assistance.</p>	
<p>Goal: Opportunities for regular communication between DOHMH and family providers are available</p> <p>Indicators: DOHMH staff with contact information are identified for specific issues/topics</p> <p>Working group of networks/providers continues to remain in communication through</p>	<p>✓</p>	<p>The working group for this project is now combined with an SBLs-DOHMH working group. This combined group continues to meet regularly to work on issues related to home-based child care.</p> <p>DOHMH contact information has been kept up-to-date. However, DOHMH does not routinely notify</p>	<p>NMIC engagement of a broad range of stakeholders (with support from SBLs, another grantee) is recognized as having created a new level of communication and coordination.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
meetings or list serve		networks of changes in policies and procedures.	

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 3.7 SOUTH BROOKLYN LEGAL SERVICES –
FAMILY CARE PROVIDER RECORDKEEPING AND TAX PREPARATION
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: A replicable training and technical assistance program on tax preparation for family care providers is widely available</p> <p>Indicators: Training and technical assistance materials are developed that are user-friendly and widely applicable</p> <p>Materials are made available through easily accessible means to providers</p>	<p align="center">✓ ✓</p>	<p>SBLS has provided tax training sessions to providers and networks beyond those participating in the project. These staff were then able to use the materials to train their member providers.</p> <p>Organizations supporting small/ micro business development have also partnered with SBLS for training around child care business issues.</p>	<p>Curriculum and materials have been developed for training providers and for turnkey (train-the-trainers) training.</p> <p>SBLS is credited with developing the most comprehensive and usable set of materials and training for family providers on recordkeeping and tax preparation.</p> <p>Plans for replication include dissemination of the materials and links with trainings provided by the Business Outreach Center (a micro-enterprise development organization).</p>
<p>Goal: Child care networks provide support on tax preparation to member providers</p> <p>Indicators: Network staff report being able to provide information and assistance to member agencies on tax-related issues</p> <p>Networks regularly offer workshops and technical assistance on tax preparation and related</p>	<p align="center">✓ ✓</p>	<p>Networks participating in the project have incorporated the information and materials into their ongoing training.</p> <p>Network staff report that the curriculum and materials are easy to use and that, when trained by SBLS, they feel confident in delivering the curriculum</p>	<p>SBLS trained network staff in all seven of the participating networks and for six other organizations working with family care providers as well.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
issues			
<p>Goal: A core group of tax preparers are prepared to provide their services to family care providers</p> <p>Indicators: Tax preparers in the project report intent to continue their relationship with networks and providers</p> <p>Tax preparers in the project are interested in more family care provider clients</p>		<p>Organizations that provide free tax preparation assistance have had limited if any experience with filing by persons providing child care out of their homes. FoodChange staff have been trained and their availability promoted, but early response by providers was quite low. FoodChange is offering this assistance year-around, which may increase visibility and utilization.</p> <p>Some networks have their own lists of tax preparers to which they refer providers. One network will provide its members with no-cost electronic filing.</p>	<p>SBLS was not able to interest many for-profit tax preparers in partnering to provide pro bono or low cost tax preparation assistance for family child care providers.</p> <p>SBLS has worked with FoodChange to encourage providers to take advantage of free tax preparation services.</p>
<p>Goal: Mechanism for continuing tax preparation and other tax-related support to child care providers is developed</p> <p>Indicators: Need/Demand for such support is documented</p> <p>Options, challenges and opportunities are identified</p>		<p>It has been the experience of this project that many family care providers already have established relationships with tax preparers and others do not meet the income guidelines for free services. For those that qualify and need these services, there are other barriers, including location and time, transportation, and language.</p>	<p>SBLS continues to respond to questions forwarded by the networks from their training of providers. This is valued by network staff as an additional support beyond the curriculum and materials.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Recommended mechanism is proposed</p> <p>Recommended mechanism is implemented</p>			

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 4.1 EARLY CHILDHOOD PROFESSIONAL DEVELOPMENT INSTITUTE
PROGRESS TOWARD SYSTEM CHANGE GOALS
Mid-2004 through 2005**

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>Goal: City agencies provide regularized support for ECE professional development and program quality improvement</p> <p>Indicators: Agencies increase staff involved in ECE quality assurance and improvement activities</p> <p>Agencies send supervisory and management staff to professional development and technical assistance workshops to gain knowledge and skills re ECE best practices</p> <p>Agencies offer more professional development opportunities to ECE staff in provider agencies</p> <p>Agencies include requirements to meet program and staff quality standards in contracts</p> <p>Agencies fund and participate in city-wide</p>	<p>✓</p>	<p>ACS and DOE are beginning collaboration to develop common program quality standards and auditing procedures.</p> <p>NOTE: DOE had already issued program standards for UPK programs, included them in provider contracts, and put in place mechanisms to monitor them. ACS also has in place contractual requirements re program quality and a program assessment/monitoring process.</p>	<p>The Institute’s oversight and advisory groups include representatives of ACS, DOE and HRA. ACS and DOHMH staff have participated in Institute convenings.</p> <p>The Institute’s work on identifying training and professional development needs of different sectors of the early care and education system may be valuable to ACS and DOE as they consider how to support improvements in program quality.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>professional development, training, and information dissemination activities (such as university forums, the Professional Development Institute, hosting professional association meetings, etc.)</p>			
<p>Goal: Quality Set-Aside funds allocated for NYC are available for more sustained professional development and program improvement activities</p> <p>Indicators: Public and private agencies and organizations develop a policy agenda statement regarding use of CCDF quality set-aside funds</p> <p>Public agency leadership pursues discussions on this issue with OCFS staff and others</p> <p>NYC ECE advocacy organizations pursue discussions on this issue with OCFS staff and others</p> <p>OCFS policy changes to permit applications</p>		<p>None to date. Conversations with OCFS are being pursued.</p>	<p>Institute staff have not yet engaged OCFS in discussions about EIP funds. One possible partner – NYSAEYC – is not currently pursuing this issue.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>for quality set-aside funds to support organizations to facilitate professional development and career planning for individual ECE staff and program quality improvement planning and implementation for ECE providers</p>			
<p>Goal: Articulation agreements exist among NYC IHEs that support credit accumulation for ECE staff</p> <p>Indicators: CUNY campuses commit leadership and resources to identifying and overcoming internal barriers to articulation in undergraduate and graduate credit accumulation</p> <p>CUNY campuses sign articulation agreements re undergraduate and graduate credit accumulation</p> <p>A broad array of NYC IHEs participate in and commit leadership to identifying and overcoming barriers to articulation in undergraduate and graduate credit</p>	<p>✓</p>	<p>Deans of Education in the CUNY four-year institutions made a commitment to pursue articulation issues together with the two-year colleges. The new CUNY Central Dean of Education appears to be a strong champion of this work. An initial meeting of representatives from the colleges held a first meeting in September 2005.</p> <p>NOTE: Some CUNY institutions already have articulation agreements with each other related to teacher preparation in early childhood education.</p>	<p>The Institute organized an initial convening of a variety of stakeholders to identify the barriers presented to early childhood education staff in pursuing teacher certification across institutions in the CUNY system and discuss ways to move forward on this issue. Subsequently, the Institute acted as a catalyst for CUNY leadership to organize to work on articulation and has provided staff support to the group. The Institute's role as catalyst and the value of its support is applauded and given credit for the progress that has been made on addressing this issue systemically.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>accumulation</p> <p>A broad array of NYC IHEs participate in and support the development of quality standards for professional development opportunities</p> <p>A broad array of NYC IHEs participate in discussions about providing undergraduate and graduate credits to non-university based professional development opportunities</p>			
<p>Goal: There is a comprehensive and coordinated array of quality professional development opportunities available for NYC ECE staff</p> <p>Indicators: A comprehensive list of professional development opportunities and providers is made available via a web site, with links to further information and other resources</p> <p>Information on the degree to which professional</p>	<p>✓</p>	<p>The website has been visited about 29,000 times since its launch in April 2005. Having a Spanish language version provides access to the information for an audience that is not reached otherwise.</p> <p>Prior to an outreach campaign launched in October 2005, most center programs and family care networks contacted for this evaluation did not yet know about or use this resource.</p> <p>The CCR&Rs also provide information on trainings they offer to providers. It appears that the website and the hotline have stimulated</p>	<p>The Institute launched its website with information on training and professional development opportunities and teacher certification programs.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>development opportunities and providers meet agreed upon quality standards is made available on the web site</p> <p>Needs for expanding and strengthening professional development opportunities in NYC are identified and a plan for filling these needs is endorsed by a wide array of public and private constituencies</p>		<p>these organizations to become more organized in how they present this information, keep their training schedules up-to-date and use websites as a means of publicizing the supports they can offer providers.</p>	
<p>Goal: There is an institutional home and stable funding for an entity for information dissemination, research, and career development support</p> <p>Indicators: ECE Professional Development Institute executes multi-year MOUs with public agencies and CUNY</p> <p>ECE Professional Development Institute receives 2nd year funding from CCEEF</p> <p>ECE Professional Development Institute receives grants from other private funders for 2nd year of</p>	<p>✓</p>	<p>ACS, DOE and HRA have provided financial support for the Professional Development Institute for a second year.</p> <p>CCEEF provided a grant of \$250,000 for the Institute's second year of operation.</p>	<p>The Institute was successful in accomplishing its first year objectives and laying a solid foundation for its ongoing work and new goals.</p>

SYSTEM CHANGE GOAL & INDICATORS	DEGREE OF PROGRESS	RESULTS TO DATE	CONTRIBUTIONS OF THE GRANT
<p>operations</p> <p>ECE Professional Development Institute budget is diversified (not more than 20 percent from one source) within 5 years</p> <p>ECE Professional Development Institute work plan and staff expands to enable it to fulfill the originally conceived mission</p>			

- ✓ indicates evidence of at least some progress toward this goal
- ✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 5.1 THE CHILD CARE AND EARLY EDUCATION FUND
PROGRESS TOWARD INTERIM SYSTEM CHANGE GOALS**

INTERIM SYSTEM CHANGE GOALS	PROGRESS	EVIDENCE OF SUCCESS
<p>Project innovations are replicated, lessons applied to new situations, and related policies and practices improved</p>	<p align="center">✓ ✓</p>	<p>Approaches to program quality improvements supported by the Fund have been found to be sound and are being disseminated and replicated in NYC and elsewhere.</p> <p>Materials developed by new grantees for family care providers and for centers considering facility expansion have also been well-received and are likely to be used more widely.</p> <p>The importance of program-wide approaches to improving classroom environments and instruction has been reinforced.</p>
<p>Public agencies and private organizations with responsibility for early care and education are strengthened or new entities created</p>	<p align="center">✓ ✓</p>	<p>With ECSG’s assistance, community-based UPK providers established a support and information network and a trade association that continue to be actively engaged with DOE.</p> <p>Regions within DOE are developing collaborative partnerships with CBO UPK providers.</p> <p>The DOE UPK advisory group was revitalized as was the ACS facilities work group.</p> <p>The Early Childhood Professional Development Institute was established at CUNY, with financial support from ACS, DOE, HRA, and the Fund. The Institute launched a website with information on training and teacher preparation requirements and opportunities.</p>

INTERIM SYSTEM CHANGE GOALS	PROGRESS	EVIDENCE OF SUCCESS
		<p>The Department of Health and Mental Hygiene has become engaged more fully with the early care and education community, particularly with regard to serving children with special needs.</p> <p>The Child Care Seed Fund brought together financial intermediaries with other stakeholders; ACS and DOHMH now participate in the group's meetings.</p> <p>With encouragement and support from the Fund, ACS, DOE and HRA are embarking on joint projects related to program quality and blended funding.</p>
<p>Demand for more coherent early care and education system and increased investments is broadened</p>	<p>✓ ✓</p>	<p>City agencies have been directed to restructure administration and funding of child care programs.</p> <p>The Fund encouragement has stimulated collaborative system-building projects among agencies.</p> <p>City Council gathered information on infrastructure and facilities requirements of expanding early childhood education for 3- and 4-year olds.</p> <p>Through the work of CCC and ECSG, consumer demand for continuing UPK funding is mobilized and linked to state-level advocacy.</p> <p>Mixed delivery models for UPK in one DOE region are being replicated in other regions.</p>
<p>The Fund itself makes more connections within the early care and education field, expands its members and</p>	<p>✓</p>	<p>The Fund has been particularly successful in strengthening relationships and building partnerships across the early care and education field. Specific strategies that</p>

INTERIM SYSTEM CHANGE GOALS	PROGRESS	EVIDENCE OF SUCCESS
funds additional projects to promote systemic change		<p>have contributed to this success include:</p> <ul style="list-style-type: none"> • Initial and ongoing emphasis on systemic change as a goal for the grantee projects • Use of its influence to bring public sector stakeholders to the table and introduce them to each other and to the grantees • Opportunities for grantees to meet among themselves for general sharing and with other stakeholders around specific topics. • Using private dollars to leverage public resources and stimulate collaborative work across agencies to develop a more coherent approach to programming and funding. <p>The Fund expanded the areas in which it funded system change projects to include development of a pipeline of programs able to take on and finance facility construction or renovation projects and training in business practices and recordkeeping for family care providers.</p> <p>While membership has declined, the Fund has added a national foundation and continued to raise funds. It has sustained and strengthened its partnership with public agencies (ACS, DOE, and HRA).</p>

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal

**TABLE 5.2 THE CHILD CARE AND EARLY EDUCATION FUND
PROGRESS TOWARD LONGER-TERM SYSTEM CHANGE GOALS**

LONGER-TERM SYSTEM CHANGE GOALS	PROGRESS	EVIDENCE OF SUCCESS
<p>A wide array of stakeholders are well-informed for advocacy and decision-making, with both political champions and a broad-base of public will supporting investment in early care and education for New York City’s young children</p>	<p>✓</p>	<p>The CFE plan includes early education as part of overall education reform.</p> <p>The Mayor makes universal access to early childhood education for 3- and 4-year olds a major part of his agenda.</p> <p>The Board of Regents recommended a \$99 million increase in UPK funding and making a part of the state education budget.</p>
<p>Policies are adopted supporting expansion of child care opportunities and improvement in quality, with the necessary infrastructure and resources in place to implement these policies</p>	<p>✓</p>	<p>The Mayor charged ACS and HRA with development of a more flexible child care funding system.</p> <p>ACS and DOE began development of a common set of early care and education standards and auditing procedures.</p> <p>ACS revived its facilities work group and City Council sought expert testimony on increases in facilities capacity needed for a universal early education system.</p> <p>Community-based providers and parents of UPK participants have been organized for advocacy at the state level. Providers and parents have also been involved in task forces studying early care and education issues.</p> <p>The Early Childhood Professional Development Institute has convened stakeholders to work on two systemic issues:</p>

		<ul style="list-style-type: none"> Standards of quality for training and professional development programs in early care and education Articulation of course and other requirements in early education and teacher certification programs within CUNY
Private dollars are coordinated strategically to leverage effective public funds and to support innovative collaborative efforts for systemic change	✓ ✓	<p>The Fund has used its resources to leverage cross-agency public sector commitments.</p> <ul style="list-style-type: none"> ACS, DOE and HRA have committed to a total of \$200,000 for each of two years for the Professional Development Institute. The Fund supplied the funds (\$50,000) for the Institute’s design and initial work plan. It required that public sector funds be committed before allocating its resources for the Institute (\$250,000 for each of two years). The Fund issued an invitation to ACS, DOE and HRA to submit funding requests for collaborative projects for early care and education system change. The proposed projects were approved for funding and requests for proposals for consultant services to carry them out were issued.

✓ indicates evidence of at least some progress toward this goal

✓ ✓ indicates evidence of substantial progress toward this goal