



HOOOT MAIL

A NEWSLETTER FOR THE EARLY LEARN NYC COMMUNITY

FEBRUARY 14, 2014

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Self-Assessment 2014

Guidance & Checklist for Governing Boards & Program Administrators

Division of Early Care and Education
Program Development

Self-assessment Guidance & Checklist

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AN INTRODUCTION TO THE SELF-ASSESSMENT PROCESS

The Self-Assessment process is part of a broader program quality improvement system that includes the development of program improvement plans and the provision of training and technical assistance (TA), tailored to meet program needs. Because the findings obtained from the self-assessment process will drive and inform the entire quality improvement system, it is very important that the self-assessments be carried out carefully, accurately, and reliably.

This self-assessment package was designed for you -- ACS EarlyLearnNYC Governing Boards¹, program/site² administrators, and FCC program³ coordinators and directors -- and consists of the following assessment instruments and one monitoring protocol. These instruments align specific contractual and regulatory EarlyLearnNYC and Head Start requirements and will help you to appreciate the areas in which your programs are strong and those in which they need improvement. These tools are therefore very useful for developing program improvement plans.

THE SELF-ASSESSMENT INSTRUMENTS

- Environment Rating Scales (ERS)** (Harms, Clifford & Cryer; 2006): Consists of four scales, three of which will be used for this self-assessment process (see below). The scales are designed to assess process quality in an early childhood group. Process quality consists of various interactions that go on in a classroom between: staff and children; staff, parents, and other adults; among the children themselves, and the interactions children have with the many materials and activities in the environment. The scales have items to evaluate the following areas: Physical Environment; Basic Care; Curriculum; Interaction; Schedule and Program Structure; and Parent and Staff Education. The scales are also suitable for use in evaluating inclusive and culturally diverse programs and have proven reliability and validity. The first two scales are used in center-based settings while the third one is used in home settings.

- The Early Childhood Environment Rating Scale-Revised (ECERS-R)** is a thorough revision of the ECERS, designed to assess group programs for preschool-kindergarten aged children from 2 through 5 years of age. The total scale consists of 43 items. EarlyLearnNYC programs will assess using the ECERS-R in classrooms where most children are 3 years old and above.

¹“Governing Board” and “Agency” are used interchangeably in this document. ²“Program” and “site” are used interchangeably in this document.

³“FCC programs” are often referred to as “networks”.

The Infant/Toddler Environment Rating Scale-Revised (ITERS-R) is also a revision of the ITERS, designed to assess center based programs for children from birth to 2½ years of age. The total scale consists of 39 items. EarlyLearnNYC programs will assess using the ITERS-R in classrooms for children who are 2 years old and below. That is, there are no children above 2.11 years old regularly served in that room.

The Family Child Care Environment Rating Scale (FCCERS-R) is designed to assess family care programs conducted in a provider's home. The total scale consists of 40 items, including 8 supplementary items for programs enrolling children with disabilities.

New York City Program Quality Assessment Scale (PQAS). The NYC-PQAS is used by center-based and Family Child Care Network administrations. It assesses the level of compliance with New York State's Quality Rating and Improvement System (Quality Stars NY); Specific New York City EarlyLearnNYC and Head Start requirements; and the NYC Department of Education's Quality Review Framework (QR). It measures compliance within the scope of the following content areas:

- Program Design and Management (PDM)
- Health, Mental Health and Nutrition
- Education and Disabilities
- Family and Community Engagement

NOTE: One (1) PQAS score is required per site. If a site has a FCC Network and a center-based program, together these are considered as *one site*.

Classroom Assessment Scoring System - CLASS (University of Virginia and Teachstone). The CLASS provides a common lens and language in classroom observations. It focuses on and assesses classroom interactions. It is organized in a 7 point scale. It must be administered by Teachstone CLASS certified observer at least once annually. For SA 2014, each site must submit a set of CLASS scores for one (1) classroom only. If the Department of Education or ACS staff have evaluated a classroom in a site using the CLASS, please submit this score. Self-Assessment submissions that do not contain a CLASS score are considered incomplete.

- Office of Head Start On-Site Review Protocol FY 2014: Head Start and Dual Eligibility Programs Only.** This tool can be used to determine the rating scores to the pertinent subscales in the NYC PQAS for Head Start and Dually Eligible agencies. If an area of weakness is not captured in the NYC-PQAS, then the Head Start and/or Dually Eligible agency would record the area in need of improvement on the SA Program Improvement Plan form provided (PIP/Appendix H). This Protocol may be found at the following link:

<http://www.hhs.gov/eclkc/home/headstart/monitoring>:

CONDUCTING & SUBMITTING THE ANNUAL SELF-ASSESSMENT REPORT

The following is a Checklist to guide you through the Self-Assessment process. Please check off each item as you accomplish it.

STAGE 1: PLANNING THE SELF-ASSESSMENT (SA): GOVERNING BOARD REPRESENTATIVES/DESIGNEES

- The Governing Board/designee selects a **Self-Assessment (SA) Committee**. The SA Committee is comprised of Governing Board members/designees, program managers, staff, parents and community stakeholders. If the agency has a Family Child Care Network, the Family Child Care director / coordinator must also participate as part of the SA Committee.
- The **SA Committee** carefully reviews the instructions for the instruments that will be used to conduct the self-assessment process: the Environment Rating Scale (ERS) corresponding to your program model; a CLASS evaluation for one (1) Pre-K classroom conducted by a certified observer; the NYC PQAS for center-based and FCC Network administrative offices and the OHS FY 2014 Monitoring Protocol for Head Start and Dually Eligible settings.

NOTE: If DOE has conducted a CLASS observation in the last two (2) years, please submit this score. The CLASS is not used for Family Child Care settings.

- The SA Committee also establishes firm timelines for SA completion, training, check-ins with directors and submission to ACS.
- The SA Committee should note the following:
 - Sample: The designated team will assess: (a) 25% of all classrooms or a minimum of 2, whichever is greater, with the appropriate ERS scale (i.e., ECERS-R for preschool settings and ITERS-R for Infant/Toddler settings). In reporting ECERS data, scores provided by the Department of Education, for at least one (1) UPK classroom, should be part of your sample; (b) For Family Child Care Networks, the FCCRS-R is used to

assess 25% of provider homes or a minimum of 2 (whichever is greater) but a maximum of 20 homes. The sample should be representative of all age groups served.

All samples must be selected randomly; in the case of the DOE ECERS reported data, a random selection has already been conducted.

- The sample for the NYC-PQAS review of documentation should include 25% of **all children** (including FCC children, if applicable) or a minimum of 10, whichever is greater;
- The sample for the NYC-PQAS review of documentation should include 25% of **all staff** (including Family Child Care Network staff, if applicable) or a minimum of 10, whichever is greater. If the site has less than 10 staff members, then the sample should include all staff.
- Only one (1) NYC-PQAS administration is required per site. If a site contains both a center-based option and a Family Child Care Network, staff from both modalities must collaborate to produce one (1) PQAS score for that site.
- The SA Committee should also adhere to the Pre-site Document list sections of the OHS FY 2014 Protocol.
- The agency collects all the PQAS site scores to create one agency average, reflected in the Summary Profile form, Appendix G.

Websites that assist in the selection of a random sample are:

<http://www.random.org/lists/>
<http://www.randomizer.org/form.htm>
<http://stattrek.com/Tables/Random.aspx>

THE CENTER-BASED AND FAMILY CHILD CARE DIRECTORS WILL:

- Randomly select a 25% sample of classrooms (or a minimum of 2, whichever is greater). For Family Child Care homes randomly select 25% sample of provider homes or a minimum of 2 (whichever is greater) but a maximum of 20 (for assistance with the selection, see the random sampling websites above).
- Select and evaluate the Pre-K classroom the CLASS administration (Center-Based only).
- Meet with the key management/personnel to plan and organize the SA timeline, the formation of SA Teams, and the assignment of a Team Leader to each SA Team. Team Leaders will be responsible for gathering and safeguarding the information collected by the SA Team, who will administer the instruments. Four self-assessment teams (including Family Child Care

members, if applicable) are convened for the following areas:

- Team 1:** Environment Rating Scale. This team completes the ERS assessment of each classroom/home and the NYC-PQAS subscale entitled *Education and Disabilities*. Head Start and Dually Eligible sites must also use the Child Development and Education (CDE) Section of the Office of Head Start On-Site Review Protocol FY 2014 and review the CLASS Assessment tool as needed.
- Team 2:** Health, Mental Health & Nutrition. This Team completes the NYC-PQAS subscale in Health, Mental Health and Nutrition. HS and Dually Eligible sites must also use the Child Health and Safety (CHS) Section of the Office of Head Start On-Site Review Protocol FY 2014.
- Team 3:** Family & Community Engagement. This team completes the NYC-PQAS subscale in Family and Community Engagement. HS and Dually Eligible sites must also use the Family and Community Engagement (FCE); Program Governance (GOV) Section of the Office of Head Start On-Site Review Protocol FY 2014.
- Team 4:** Program Design and Management (PDM). This team completes the NYC-PQAS subscale in Program Design and Management (PDM). HS and Dually Eligible sites must also use the Management Systems (SYS) and Program Governance (GOV) Sections of the Office of Head Start On-Site Review Protocol FY 2014. The Director or a CLASS reliable observer conducts the CLASS evaluation.
- Center-based and Family Child Care Directors should provide training and guidance for all SA Teams and Team Leaders on the tools and the strategies for conducting the SA. The training will include methods for observing, interviewing, reviewing documents, and identifying strengths & challenges for each program area. Methods for ensuring confidentiality of respondents/comments will be reinforced.
- In order to ensure that all information on the SA is organized and easily accessible, the Director(s) should provide a binder to collect and “house” the documentation required for the NYC-PQAS and copies of the ERS submissions.
- Plan an informational meeting with staff, parents and Governing Board members to discuss and provide an overview of the SA process and report-writing.

STAGE 2: CONDUCTING YOUR SELF-ASSESSMENT (SA)

THE CENTER-BASED AND FAMILY CHILD CARE DIRECTORS WILL:

- Make sure that the selected sample of classrooms and provider homes are duly assigned.
- Organize and maintain an accessible and/or easily visible calendar reflecting the timeline and activities from the beginning to the completion of the SA. Be sure to plan regular check-in

meetings with Team Leaders.

- Arrange for clerical staff to support SA team members.
- Arrange for a certified Teachstone observer to collect CLASS data on at least one classroom. If DOE or ACS has conducted a CLASS observation in the last two (2) years, please submit this score.
- Guide and facilitate the Team Leaders' process of arranging and scheduling observations, interviews, and requests for documentation.
- Make sure that team members are conducting the Self-Assessment using the appropriate tools (i.e., ECERS-R for preschool settings, ITERS-R for Infant/Toddler settings, and FCCERS-R for provider homes) and are following the strategies indicated for each instrument: observations, interviews, and/or review of program documents.
- Ensure that the sample for the NYC-PQAS review of documentation includes 25% of **all children** (including children in Family Child Care homes, if applicable), or a minimum of 10, whichever is greater.
- Make certain that the sample for the NYC-PQAS review of documentation includes 25% of **all staff** (including Family Child Care staff, if applicable), or a minimum of 10, whichever is greater. If the site has less than 10 staff, then the sample should include all staff.
- Make sure that Team Leaders gather and safeguard all information collected by the team members.

STAGE 3: DATA COLLECTION AND SCORING

THE TEAM LEADERS IN CENTER-BASED PROGRAMS AND FAMILY CHILD CARE NETWORK WILL:

- Ensure that individual team members are assigned to conduct each area of the self-assessment and carefully review the instructions for administration pertaining to the instrument to be used.
- Ensure that the CLASS observation is completed in a timely manner and a coaching agreement is reached with the teacher observed.
- Make sure that selected home providers conduct the assessment while support is provided.
- Make sure that team members use the appropriate ERS-R score sheet (found in the ERS-R tool) to observe each classroom and provider home (if applicable) and that the correct score is circled for each subscale.

- Collect all ERS-R score sheets for sampled classrooms and provider homes (if applicable).
- Compute all Average Scores on the appropriate ERS-R score sheets.
- Record the average scores on the Total and Average Score section, located at the end of the tool (for ECERS-R Score Sheet, page 12; for ITERS-R, page 10, for FCCERS-R, page 12).
- Make sure that all the NYC-PQAS information is completed. The information regarding the provider homes (if applicable) should be based on records maintained at the network office.
- Make sure that team members record the NYC-PQAS subscale scores in the appropriate space of each page at the end of the subscale.
- Submit all CLASS scores, ERS-R Total and Average Score sections and the completed NYC-PQAS with the subscale scores to the Center-Based Director and Family Child Care Director (if applicable).

THE CENTER-BASED AND FAMILY CHILD CARE DIRECTORS WILL:

- Collect all CLASS scores, ERS Total and Average Score sections and the completed NYC-PQAS instrument.
- Review/check all the data for accuracy.
- Record the classroom and home scores on the respective ACS Environment Rating Scale (ERS) Program Profile form (Appendix B, C, and D, as applicable) and compute Average Classroom Scores and Home Scores (if applicable). Proceed to compute a Program Score and Network Score (if applicable) according to instructions. Sign and date the Program Profile form and Network Profile form (if applicable).
- Record the subscale scores on the NYC-PQAS Program Profile form (Appendix E) and compute a score according to instructions. Sign and date the NYC-PQAS Program Profile form.
- Content area score totals of the NYC-PQAS should be recorded and a site total presented to the Program SA committee for averaging a program score that is to be reflected in the Summary Profile, Appendix G.
- Ensure that the scores for the ERS Program Profile are computed to the nearest hundredths (the appendices all contain automated formulas).
- Bring both Program Profile and the Network Profile forms to the agency's SA Committee.

⁴ The hundredths digit is the second digit after the decimal point. E.g., to round the number 3.2345 to the nearest hundredths, the thousandths digit is examined. Since this digit is 4, we round down.

Therefore, 3.2345 rounded to the nearest hundredths is 3.23.

STAGE 4: PROGRAM IMPROVEMENT PLAN (PIP): SA COMMITTEE

- The Governing Board, in consultation with the Site Directors, FCC Director/Coordinator (if applicable) and parent representative(s) (SA Committee), reviews all submitted documentation.
- The Governing Board completes one (1) Agency Self-Assessment Summary Profile (Appendix G). This form lists all programs under the auspices of the Governing Board and their respective CLASS, ERS, NYC-PQAS Program Profile scores (Appendices B, C, & D, E, and F). The Governing Board must gather signatures and submit one Attestation (Appendix A) of all site Directors, parents, community partners and board members who participated in the self-assessment process
- SA Committee uses the Appendix J to interpret scores.
- Based on the above information, the SA Committee develops a Program Improvement Plan (PIP - Appendix H) that compiles the data collected in each of the content areas – Only one PIP is required for the entire agency. Program Improvement Plans (PIP) are based on the identified programs' strengths and weaknesses and project plans and goals for improvement/maintenance for the upcoming year; as well as revisit the progress of goals made in the prior year.
- SA Committee uses the Self-Assessment findings to inform training plan development.
- SA Committee also completes the Program Year Calendar, Appendix I.
- The Governing Board submits a preliminary Self-Assessment Report to the ACS PDU Team Leader via email for review. It should include:

- The Attestation Cover Page, Appendix A, with all signatures
- ECERS-R Center-Based Profile form, Appendix B
- ITERS-R Center-Based Profile form, Appendix C
- FCCERS Network Profile form, Appendix D
- NYC PQAS Profile form, Appendix E
- CLASS Program Profile form, Appendix F
- The Agency Self-Assessment Summary Profile, Appendix G
- The Program Improvement Plan (Appendix H), including the original signatures
- Program Year Calendar, Appendix I

Note: Upon receiving the submission, ACS staff conducts a quality control and reliability process comparing submitted scores against ACS monitoring findings and those from internal case management review. If ACS deems that a non-compliance exists, the EL agency will then be asked to provide documentation indicating compliance. If this documentation is not received within five (5) business days, the score will be lowered to reflect the non-compliance.

**STAGE 5: REVIEW SESSION - PROGRAM DEVELOPMENT UNIT (PDU),
GOVERNING BOARD REPRESENTATIVE, PARENT REPRESENTATIVE(S),
AND SITE DIRECTORS**

- A Governing Board representative, an Agency Director/Executive Director, Site/Education Directors, FCC Directors/Coordinators, a parent representative(s), and other key management staff will participate in the review session with an assigned ACS PDU Team Leader. This meeting is convened by PDU within 20 business days of receipt of the Self-Assessment report to discuss ACS' work plan to provide support to the EL agency.

- The Governing Board/Site Directors/FCC Coordinators agree to implement the revised agency plans and goals for improvement at the end of the review session by signing off on the revised PIP (Appendix J).

CHECKLIST OF WHAT TO SUBMIT. The Agency Self-Assessment Report includes:

- The Attestation Cover Page, Appendix A, with all signatures
- ECERS-R Center-Based Profile form, Appendix B
- ITERS-R Center-Based Profile form, Appendix C
- FCCERS Network Profile form, Appendix D
- NYC PQAS Profile form, Appendix E
- CLASS Program Profile form, Appendix F
- The Agency Self-Assessment Summary Profile, Appendix G)
- The Program Improvement Plan (Appendix H), including the original signatures
- Program Year Calendar, Appendix I

Submit the above-mentioned forms to ACS by:

Wednesday, April 30, 2014

By E-Mail to:

SAR@acs.nyc.gov

Please ensure that the name of your agency and Team are listed in the subject. E.g. "Wonderful Children Inc. Team G". Contact your Team Leader with questions or for technical assistance. Thank you!

Ready, Set, Kindergarten!

Have fun at the library and help your child get ready for school!

THURSDAYS at 6:30 PM
March 13, 20, 27 and April 3, 10, 17
Midwood Library
975 East 16th Street (at Ave J)
Brooklyn, NY 11230
(718) 252-0967



For children **3 to 5 years** and participating parents or caregivers.

In this special **six session evening series**, families will enjoy stories and activities designed to encourage the development of early learning skills. Exploring literacy, science, and math through music, stories, and play will help you and your child get ready for school! Families will receive **free** materials to continue the learning and fun at home.

Ready, Set, Kindergarten is a program of BPL's First Five Years initiative and is supported by a grant from the Altman Foundation. It is made possible in part by Federal Library Services and Technology Act funds awarded to the New York State Library by the Federal Institute of Museum and Library Services, and with additional funding provided by the Edith Glick Shoolman Children's Foundation.

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Ready, Set, Kindergarten!

Have fun at the library and help your child get ready for school!

FRIDAYS at 11:00 AM
March 14, 21, 28 and April 4, 11, 18
Ryder Library
5902 23rd Ave. (at 59th St.)
Brooklyn, NY 11204
(718) 331-2962



For children **3 to 5 years** and participating parents or caregivers.

In this special **six session series**, families will enjoy stories and activities designed to encourage the development of early learning skills. Exploring literacy, science, and math through music, stories, and play will help you and your child get ready for school! Families will receive **free** materials to continue the learning and fun at home.

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SATURDAY: March 8, 15, 22, 29, April 5, 12

Bay Ridge Library @ 11:00
7223 Ridge Blvd. at 73rd St.
718-748-5709

Kings Bay Library @ 1:00
3650 Nostrand Ave.
718-368-1709

Sheepshead Bay @ 11:00
2636 E.14th St. at Ave. Z
718-368-1815

Cortelyou Library @ 11:00
1305 Cortelyou Rd. at Argyle
718-693-7763

Leonard Library @ 1:00
81 Devoe St. at Leonard St.
718-486-3365

Sunset Park Library @ 11:00
5108 4th Ave. at 51st St.
718-567-2806

Dyker Library @ 11:00
8202 13th Ave. at 82nd St.
718-748-6261

Macon Library @ 11:00
361 Lewis Ave. at Macon St.
718-573-5606

Ulmer Park Library @ 11:00
2602 Bath Ave. at 26th Ave
718-265-3443

Flatlands Library @ 11:00
2065 Flatbush Ave. at Ave. P
718-253-4409

Mill Basin Library @ 2:30
2385 Ralph Ave.
718-241-3973

Windsor Terrace Library @ 11:00
160 E. 5th St. at Ft. Hamilton Pkwy
718-686-9707

Highlawn Library @ 1:00
1664 W 13th St. at Kings
Highway 718-234-7208

New Utrecht Library @ 11:00
1743 86th St. at Bay 17th St.
718-236-4086

SUNDAY: March 9, 16, 23, 30, April 6, 13

Central Library @ 2:30
10 Grand Army Plaza
718-230-2100

Kings Highway Library @ 2:00
2115 Ocean Ave.
718-375-3037

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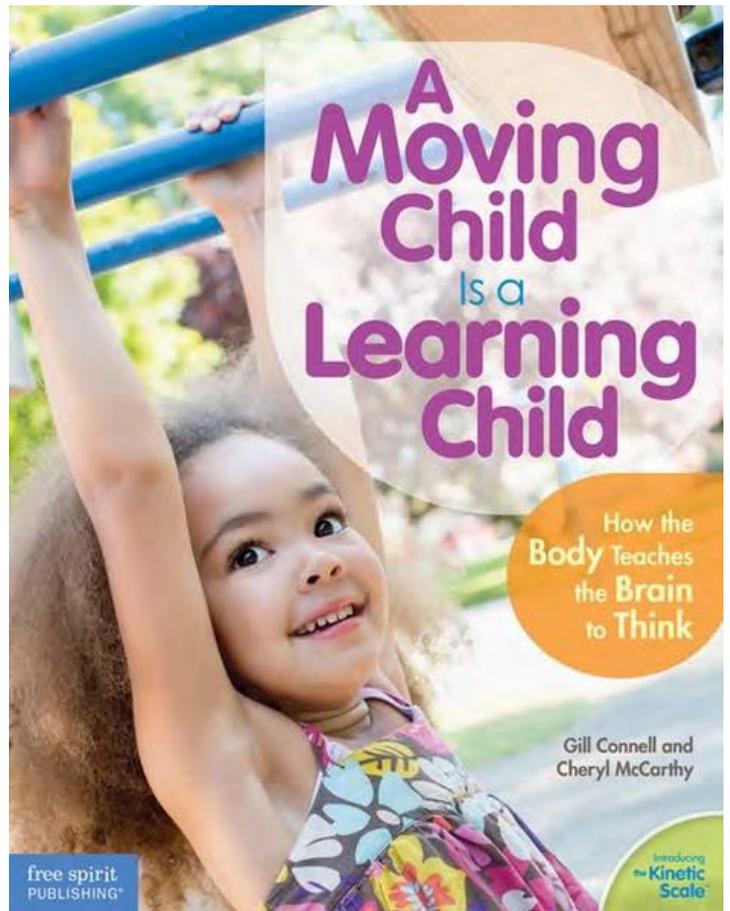
A Moving Child is a Learning Child

Librarian and Educator Workshop

Tuesday, March 11, 2014, 10:30-Noon
Brooklyn Heights Library, Auditorium

Join us for a participatory workshop with play, movement, and child development experts Gill Connell and Cheryl McCarthy, authors of *A Moving Child is a Learning Child: How the Body Teaches the Brain to Think* (Free Spirit Publishing, 2014). Learn how to help children (babies to primary graders or “snugglers” to “skedaddlers”) develop their full potential through a balanced diet of physical activity.

- Online registration required and space is limited. For more information, call 718-230-2233.
- Click the QR code to register or go to <http://bit.ly/1k7L6kv>



Bklyn
Public Library

Brooklyn Heights Library
280 Cadman Plaza West @ Tillary Street
718.623.7100

bklynpubliclibrary.org

Many thanks to Free Spirit Publishing for providing the support this program.

Please contact the Internal Revenue Service (IRS) or New York State Department of Taxation and Finance for more detailed information based on your specific situation or call 311 and ask for tax preparation assistance.

Tax Credits

Source: IRS and the New York State Department of Taxation and Finance

What are tax credits?

- Tax credits can reduce the amount of taxes you owe or you can get money back as a tax refund by claiming credits.
- Tax credits are usually based on income, number of children, age, and employment status.

What are some important tax credits for me?

The Earned Income Tax Credit (EITC) and the Child Care Tax Credits can provide significant benefits if you qualify.

What is the Earned Income Tax Credit (EITC)?

The EITC is a federal, state, and New York City tax credit for qualifying families, non-custodial parents, or singles who work full time or part time or are self-employed. For working families the credit could be worth up to \$8,159.

Basic requirements to qualify for EITC:

- Your income and marital and parental status fall within the criteria below.

Status	Income
Married	
...with qualifying children	Earning up to \$51,567
*...with no qualifying children	Earning up to \$19,680
Single	
...with qualifying children	Earning up to \$46,227
*...with no qualifying children	Earning up to \$14,340
**Non-custodial Parents (Married or Single)	Earning up to \$36,900

*You must be at least age 25 but under age 65.

**Parents not living with their children who are up-to-date on their child support payments

- You have a valid Social Security number (SSN).
- You file a tax return.
- You have investment income less than \$3,300.

What is the Child Care Tax Credit?

- The Child Care Tax Credit is a federal, state, and New York City tax credit that assists families with the cost of child care.
- Federal and state tax credits require that the qualifying child(ren) are up to (but not including) age 13. **There are no income restrictions on the federal and state credits. However, the federal credit is non-refundable.**
- The New York City Child Care Tax Credit (CCTC) requires that the qualifying child(ren) are up to (but not including) age 4. **You must earn less than \$30,000 to claim the NYC CCTC, which is worth up to \$1,733.**
- The child(ren) must have lived with you for more than 6 months.
- You can have either a SSN or Individual Taxpayer Identification Number (ITIN).
- You will need to verify child care by having your child care provider's Taxpayer Identification Number or SSN.

How do I get these credits?

- You must file your federal and New York State tax returns. See the **Tax Preparation** section on the back to learn if you're eligible for free tax preparation.

More...

- You can claim these tax credits for up to three years in the past if you didn't claim them previously.
- In some cases, you don't have to owe income tax to get the credits.

How will these tax credits affect my other public benefits?

In most cases, claiming tax credits does not affect eligibility for benefits like the Food Stamp Program, Supplemental Security Income (SSI), Medicaid, Temporary Assistance for Needy Families (TANF), or public or subsidized housing. These credits are not considered income when determining eligibility for these programs, but they may be counted as a resource for some programs if the money is not spent within a certain time frame.

Tax Preparation

Here are some important tips to remember as you prepare for the tax season.

File your taxes for free.

The City is offering eligible New Yorkers free tax filing options, including:

- FREE online tax preparation
- FREE tax preparation by a certified volunteer
(At participating sites, you may have the opportunity to open a SaveUSA account to earn an extra 50% in savings.)

For more information about these options, call 311 and ask for tax preparation assistance or visit nyc.gov and search "tax prep."

Bring all relevant documents when you file your taxes at participating sites.

- Proof of identity, such as a driver's license or other photo ID
- Social Security cards for yourself, your spouse, and your dependents and/or a Social Security number (SSN) verification letter from the Social Security Administration OR Individual Taxpayer Identification Number (ITIN) letter for all names on the return (original or copies)
- Wage and earning statement from your employer(s): Form W-2, W-2G, 1099-R
- Interest and dividend statements from banks (Forms 1098 and 1099)
- Proof of any other income, e.g., lottery winnings
- Total paid for child care provider and the provider's Taxpayer Identification Number or SSN (if you are claiming the New York City Child Care Tax Credit)
- Bank account and routing numbers (if you are directly depositing your refund). You can find these numbers at the bottom of checks.
- A copy of your 2012 state and federal tax returns, if available

Know your rights.

As a tax filer, you have important rights in New York City, including:

- You must receive a copy of every tax return prepared for you signed by the tax preparer.
- You must receive an itemized receipt for each tax return, and the receipt must list the address and phone number where the tax preparer may be contacted during the year.
- The tax preparer must post a sign stating relevant qualifications, and maintain records proving the qualifications are real, including whether the preparer is an accountant or an attorney.

Beware of Refund Anticipation Loans (RALs).

A RAL is not a tax refund, but is in fact a high-interest loan against an anticipated tax refund. These loans often include high fees and high interest rates. **Important:** Even if you do not get the refund you anticipated, you will have to repay the loan.

Use direct deposit.

Be sure to use direct deposit so you can receive your federal tax refund within 21 business days. If you need a bank account, visit nyc.gov and search "safestart account" to find out how you can open an NYC SafeStart Account. The NYC SafeStart Account has no overdraft fees and no monthly fees if you maintain a minimum balance of \$25 or even less depending on the financial institution.

HEALTH AND SAFETY REVIEWS PERSONNEL ACTIONS REGARDING HEALTH FEB 2014.



DOI Clearance

NYC Department of Investigation

Finger printing : <http://www.nyc.gov/html/doi/html/fingerprint/fingerprint.shtml>

Contact Numbers: (212) 442-5070; 442-5072; 442-5076



SCR Clearance

See attached for NYS SCR On-line Clearance System PDF and SCR Database Check Form



Child Abuse and Maltreatment Certification

1. Go to : <http://www.nysmandatedreporter.org/>
2. Click on: Enter
3. Select on: "Courses Offered"
4. Click on: Self-Directed Online Training ***New***



CPR/First Aid Certification

<http://www.eventbrite.com/e/cpr-first-aid-training-tickets-9603752081?aff=eorg>



Infection Control and Reporting Infectious Disease Certification

- Online, for individuals:
<http://www.healthychildcare.org/healthyfutures.html> (free; from American Academy of Pediatrics)
<http://www.icprofessor.com/childcare.php>(cost \$40/person)
- ACS Hosted Training
<http://www.eventbrite.com/e/infection-control-reporting-training-tickets-10132581825?aff=eorg>(free)



Medication Administration Training Certification

- ACS Hosted Training

Email : TOPSCCRC@aol.com to register for training.

- Other training options

A list of trainers can be found on the MAT website:

<http://www.ecetp.pdp.albany.edu/olapps/matlookup/lookup.aspx>

New York Statewide Central Register **On-Line Clearance System (OCS)**

PLEASE NOTE THAT THE OCS REQUIRES THE USE OF WINDOWS OPERATING SYSTEM AND THE INTERNET BROWSER VERSION 6.0 OR LATER.

After completing and faxing the attached "Registration" form you will receive a User Name and Password. Access to the Online Clearance System is as follows:

- Open internet explorer on your desk top.
- Enter the following URL into the search pane:

<https://ws04.nyenet.state.ny.us/>
- You will be brought to the OCS Log-in Page where you will enter your User name and Password.
- From there you can follow the data entry instructions attached (OCS - Screen Shots – Located at the end of this document).

On-Line Clearance System (OCS)

Registration Packet

Terms and Conditions

Purpose:

- The **Online Clearance System (OCS)** is a web-based application that supports the mandate under Section 424-a of the Social Services Law to inquire of the Statewide Central Register (SCR) as to the existence of any reports of child abuse or maltreatment indicated against an applicant prior to employment, certification, or licensure. The **OCS** allows electronic submission of Database Check requests to the SCR, thereby replacing the existing paper LDSS-3370 form currently in use.

- Electronic Submission will eliminate time needed for postal delivery of hard copy of the LDSS-3370 form.

- Electronic Submission will also eliminate handwriting on the LDSS-3370 form, and therefore eliminate problems of illegibility. As such, the need for your agency to handle “send back” paper LDSS-3370 forms returned by the SCR due to illegibility is eliminated. This conserves time and resources for your agency and the SCR.

- The OCS format guides the agency worker and/or applicant step-by-step through the entry process and immediately identifies any errors or omissions on the form, thus, successfully eliminating the potential “send back” of the LDSS-3370 form due to information omission or other error. This provides another opportunity for the agency and the SCR to conserve time and resources.

- Electronic submission of the database check provides immediate acknowledgement of that submission. Additionally, the generation and mailing of hard copy of the Database Check response letters will be replaced with an electronic notification from the SCR. This further reduces the overall processing time. The electronic notification provides the same information regarding the applicant an agency receives now in response to a Database Check.

- The OCS will maintain a record of all Database Check requests submitted by your agency and the SCR’s response for 6 months. This does not eliminate the need for your agency to track and maintain SCR database check submissions and the SCR response letters as required by licensing or regulatory standards.

Legal and Regulatory References:

There are no changes in your legal mandate to submit database checks under Section 424-a of the Social Services Law.

Although the paper LDSS-3370 form will no longer be mailed to the SCR for processing, there are no programmatic changes or new data requirements associated with the Database Check process. All of the information currently required on the paper LDSS-3370 is also required in the OCS. The current LDSS-3370 form (Revision Date 4/2011- Located at the end of this document), including instructions, is attached for your reference.

Processing “Fee” Categories in OCS:

- Effective 4/15/11 the SCR is implementing a recent amendment to Section 424-a(1)(f) of the Social Services Law, which sets forth Database Check “Fee” requirements. The change in the law now requires that applicants for employment (Category F) and prospective day care providers and applicants for employment in day care programs (Categories N, P, Q & Y) be charged a \$25 fee for any database checks conducted through the SCR. These Categories are described on the enclosed Registration Sheet. The OCS screen shots located at the end of this document show required fields for “fees”.

Scope:

Submission of ALL Database Check (Non-Court) requests will be electronic via the OCS system. All notifications or response letters from the SCR will be received electronically as well.

Employee Access:

There are two ways to enter a Database Check request in the **Online Clearance System**.

- Agency workers who have been given the security rights to access the **Online Clearance System** can enter the Database Check information directly from a personal computer (PC) located in your agency and then electronically submit the request to the SCR for processing.
- OR**
- The agency workers who have been given the security right to access the **Online Clearance System** can log on to the application from a PC located in your agency and then require that the applicant/prospective employee data enter the Database Check information. Upon completion of the entry by the applicant, the agency worker would review the information for accuracy and electronically submit the Database Check to the SCR for processing.

Records Retention/Agency Responsibility:

The information in the **OCS** will be stored for six (6) months from the completion date. Information regarding Database Checks submitted by your agency will be purged from **OCS** through an automated quarterly record retention program. All Database Checks that have been in a “completed” Status for six months or greater will be expunged during the quarterly run. Completed status means that the SCR has completed the processing of the form including sending the electronic notification to the agency. If your agency is required to maintain its own copy of the letters from the SCR, they will need to be saved to the agency computer system (not the **OCS**), or printed, by your agency prior to the purge.

Reporting Problems:

Any technical problems such as system errors, login problems or for programmatic assistance regarding Database Check requests in the **OCS** please contact the SCR at 518-474-1567 between the hours of 9AM and 5PM on Monday through Friday. SCR contacts available to assist you are as follows:

Krystle Prentice (Ext.19586)
Wendy Reeves (Ext. 17791)
Mary Hamilton (Ext.17898)
Simone McKenna (Ext. 17893)

Non Disclosure Agreement:

The **Online Clearance System** can only be used in accordance with Section 424-a of the Social Services Law (see attached) where a licensing or provider agency requests a database check pursuant to that statute.

Upon completion of the registration process, OCFS will create an account for the Agency Liaison designated on the “Agency Information Registration Sheet” (attached). The Agency Liaison will have responsibility for granting access to other agency workers who need access to the **Online Clearance System**. Access must only be granted on a “need to know” basis. Only when it is determined that an employee’s job duties requires access to the **Online Clearance System** should the employee be granted access. The Agency Liaison is also responsible for terminating access when a worker leaves the agency or has a shift in job responsibility that no longer requires that they access the system.

Important Data Entry Reminder:

Please take caution when data entering information into the Online Clearance System. A data entry error in the name of the applicant or person age 18 or older living in the home, DOB or address may result in an inaccurate search of the CONNECTIONS Database. This may result in clearing an individual who may have an indicated case. Please make sure you are entering all the family member's and addresses listed on the 3370. Before Saving and Submitting the request please review the entire request for accuracy. Once this request has been submitted to the SCR the request is frozen and cannot be changed by the agency or the SCR. All Current address information needs to be typed out completely. Please DO NOT ABBREVIATE the Street, City or State.

Statewide Central Register Online Clearance System

Agency Information Registration Sheet

Please complete and fax to the attention of Wendy Reeves at 518-486-3424

Agency Name: _____

Agency Address: _____

Agency Liaison Name: _____

Agency Liaison Email Address: _____

Agency Liaison Telephone Number: _____

Agency Liaison HSEN USER ID: _____ (If not applicable leave blank).

Liaison Personal Information

Liaison's Date of Birth: _____

Liaison NYS Drivers License Number: _____

Liaison NYS License Document Number: _____

Liaison's Last 4 digits of SSN #: _____

Liaisons Zip Code (from NYS Drivers License): _____



Please record the appropriate Identification Number associated with your agency. For guidance please use the attached document titled “Organizations Entitled to Conduct Database Checks under Section 424-a of the Social Services Law.” A valid number is required. Please provide only ONE of the following:

Resource Identification Number (RID#) _____

Child Care Facility System Number (CCFS#) _____

Child Care Activities Tracking System (CCAT#): _____

Categories: (Please check all that apply)

See Guidelines in attached “Organizations Entitled to Conduct Database Checks under Section 424-a of the Social Services Law” for assistance. All Categories with an “*” Require payment of a \$25.00 fee effective 4/15/11.

<input type="checkbox"/> E	Current employee.
<input type="checkbox"/> J	Over 18 Household Member
<input type="checkbox"/> S	Provider of Goods/Services
<input type="checkbox"/> Y	Prospective <u>Day Care</u> employee, * Group family day care <u>assistant applicant</u>.*
<input type="checkbox"/> Z	Prospective volunteer/Prospective consultant.

Liaison Signature: _____ Date: _____
 Director Signature: _____ Date: _____

Your Signature indicates you have read and understood the terms and conditions of the attached Registration Packet.

(4/2011)

**ORGANIZATIONS ENTITLED TO CONDUCT DATABASE CHECKS UNDER SECTION
424-A OF THE SOCIAL SERVICES LAW**

Child day care centers, including head start programs, and school-age child care programs licensed or registered by the NYS Office of Children and Family Services (OCFS)

If you operate a day care center or school-age child care program licensed or registered by OCFS, please use the CCFS number assigned to your program. If you have questions about your CCFS number, please contact your day care licensing representative. (If you do not know the name of your licensing representative or do not know how to contact your licensing representative, please see the attached list that shows contact information for the OCFS day care regional offices. Please contact the appropriate regional office for the county in which your day care program is located.)

Child day care centers, including head start programs, licensed by the New York City Department of Health and Mental Hygiene

If you operate a day care center licensed by the New York City Department of Health and Mental Hygiene and do not have a CCFS number or RID, please record "DOH" in the Agency Code field and use your Child Care Activities tracking system number (CCAT#), which can be located on your current license issued by the New York City Department of Health and Mental Hygiene.

The following organizations are authorized to clear and must submit an LDSS-3370 with a valid Resource Id (RID) Number for the Database Check to be processed by the SCR:

Authorized Agencies must clear prospective foster parents, prospective adoptive parents, and persons age 18 or older who reside in the homes of those applying to be foster parents or adoptive parents.

Adoption Agencies from states other than New York may clear prospective adoptive parents where such agencies will place into New York for adoption a foreign born eligible orphan child with non-quota immigrant status under applicable federal law.

The New York State Department of Health and county departments of health must clear applicants to operate *summer camps* in New York.

Child care resource and referral programs may conduct database checks on persons to be included in a list of substitute child day care caregivers where the child care resource and referral program maintains such a list.

The New York State Office of Mental Health (OMH) or New York State Office for People with Developmental Disabilities (OPWDD) must clear applicants to operate a family care home which will serve children.

OCFS must clear applicants to be providers of family or group family day care, assistants to such providers, and persons age 18 or older who reside in homes where family or group family day care will be provided. These clearance requests are submitted by ***OCFS Regional Office staff to the SCR.***

Family and group family day care homes have no authority to conduct their own database checks and should not submit database check forms directly to the SCR.

OCFS must clear applicants to receive, board or keep children in foster homes or family homes certified or approved by OCFS, and persons age 18 or older who reside in such homes. These clearance requests are submitted by the ***Division of Juvenile Justice and Opportunities for Youth (DJJOY) to the SCR.***

OCFS must clear applicants to operate day care centers and school-age child care programs where such centers and programs will be operated by individuals. These clearance requests are submitted by ***OCFS Regional Office staff to the SCR.*** Individuals proposing to operate day care centers and school-age child care programs may not submit clearance requests concerning themselves directly to the SCR. (Individuals proposing to operate day care centers and school-age child care programs will submit clearance requests concerning their staff directly to the SCR; see below.)

The entities listed below must submit database checks on prospective employees of and providers of goods and services to residential facilities operated by the program where such employees and providers have the potential for regular and substantial contact with children cared for by the center or program. There must be a valid Resource Id (RID) Number for the Database Check to be processed by the SCR.

Residential facilities for children operated by authorized agencies and certified by OCFS

Juvenile detention facilities certified by OCFS

Runaway and homeless youth shelters and programs certified by OCFS

Residential schools operated, supervised or approved by the State Education Department

Early intervention services programs established pursuant to Section 2540 of the Public Health Law

Preschool services programs established pursuant to Section 4410 of the Education Law

Special Act school districts

Programs and facilities licensed by the New York State Office of Alcoholism and Substance Abuse Services

Residential facilities and non-residential programs licensed or operated by the OMH or OPWDD

Residential facilities operated by OCFS (Clearance requests will be submitted through DJJOY)

If you operate any of the program types listed above other than a day care program and do not have a RID, please send an electronic e-mail request to the Office of Children and Family Services at ocfs.sm.conn_app@ocfs.state.ny.us. Please include the following information so we can determine if issuance of a RID is appropriate: The name, address and telephone number of your organization and a contact person within your organization;

1. A statement of which of the categories listed above your organization falls under;
2. The name and telephone number of a contact person in your licensing agency who can verify the status of your organization; and

3. A copy of your license, certification or other official documentation of approval by the relevant State or local agency.

If you do not fall within any of the categories described above but believe you are legally authorized to access the database check process, please contact your licensing agency listed below for assistance in determining if your organization may legally access the database check process. If your licensing agency asserts you are legally entitled to access the database check processes of the SCR, please obtain from your licensing agency a written explanation of the legal rationale for that view and provide that to the above e-mail address with your request for a RID.

Office of Children and Family Services

Capital View Office Park, 52 Washington Street, Rensselaer, New York 12144-2796 (518) 473-7793

New York State Office of Mental Health

44 Holland Avenue, Albany, New York 12229 1-800-597-8481 (toll-free)

New York State Office for People with Developmental Disabilities

44 Holland Avenue, Albany, New York 12229 (518) 473-9689 / 1-866-94NYSDD (1-866-946-9733)

New York State Education Department

89 Washington Avenue, Albany, New York 12234 Phone: (518) 474-3852

New York State Office of Alcoholism and Substance Abuse Services

Albany Office, 1450 Western Avenue, Albany, NY 12203-3526 Phone: 518-485-1768

Daycare Centers and School-Age Child Care Programs should contact the appropriate licensing agency listed below for assistance regarding the correct CCFS/RID number to use on database check forms they submit to the State Central Register.

ALBANY REGIONAL OFFICE –

52 Washington Street, Room 309 S, Rensselaer, NY 12144 (518) 402-3038

Serving the counties of: Albany, Clinton, Columbia, Delaware, Essex, Franklin, Fulton, Greene, Hamilton, Montgomery, Otsego, Rensselaer, Saratoga, Schenectady, Schoharie, Warren, Washington

BUFFALO REGIONAL OFFICE

295 Main Street, Room 545, Buffalo, NY 14203 (716) 847-3828

Serving the counties of: Allegany, Cattaraugus, Chautauqua, Erie, Genesee, Niagara, Orleans, Wyoming

LONG ISLAND REGIONAL OFFICE (For Day care issues only)

Courthouse Corporate Center, 320 Carlton Avenue, Suite 4000, Central Islip, NY 11722
(631) 342-7100

Serving the counties of: Nassau and Suffolk

NEW YORK CITY REGIONAL OFFICE

80 Maiden Lane, New York, NY 10038 (212)-383-1834

Serving the New York City Boroughs: Bronx, Brooklyn (Kings), Manhattan, Queens, and Staten Island (Richmond)

ROCHESTER REGIONAL OFFICE

259 Monroe Avenue, 3rd Floor, Monroe Square, Rochester, NY 14607 (585) 238-8531

Serving the counties of: Chemung, Livingston, Monroe, Ontario, Schuyler, Seneca, Steuben, Wayne, Yates

SYRACUSE REGIONAL OFFICE

The Atrium, 100 S. Salina Street, Suite 350, Syracuse, NY 13202 (315) 423-1202

Serving the counties of: Broome, Cayuga, Chenango, Cortland, Herkimer, Jefferson, Lewis, Madison, Oneida, Onondaga, Oswego, St. Lawrence, Tioga, Tompkins

SPRING VALLEY REGIONAL OFFICE (Yonkers Regional Office)

11 Perlman Drive, Spring Valley, NY 10977 (845) 708-2498

Serving the counties of: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester

NYC Department of Health – Family Daycare and Group Family Daycare Programs

Bronx	(718) 579-7771
Brooklyn/Staten Island	(712) 222-6323
Manhattan	(212) 676-2444
Queens	(718) 393-6257

NYC Department of Health – School Age Childcare Programs in all Boroughs

(212) 676-2444



**3370 - Revised
4-2011.docx**



OCS_Screenshots_4
152011(2).ppt

Instructions for Completing the Statewide Central Register Database Check Form**LDSS-3370**

- **ALL** information on the form must be easily read so that data entry and results are accurate. Each SCR Database Check submitted should be reviewed for completeness and legibility by the program/agency liaison. If the form is incomplete or illegible, it will be returned to the agency for corrections.

THE PROPER WAY TO COMPLETE THE FORM:**AGENCY INFORMATION****TOP LINE OF FORM:**

- The three-digit agency code must be placed in the top left-hand box, followed by the Resource I.D. (RID) in the next box to the right. (Contact the licensing agency if there are any questions about these.)
- Daycare providers must place their Child Care Facility System (CCFS) Number in the box next to Resource ID (RID), in lieu of Resource ID number. (Contact your licensing agency/Regional Office if you have any questions).
- Clearance Category letter code (see back of Form LDSS-3370) must be placed in the middle box.
- Phone number (with area code) enables the SCR to contact the agency liaison if this becomes necessary.
- The Request ID Box is for SCR use only.

AGENCY ADDRESS AREA:

- Agency Name: Please use full name, no abbreviations
- Agency Liaison is the contact person at the inquiring agency. (*The SCR response will be addressed to the liaison.) **The liaison cannot be the applicant or a relative of the applicant.**
- Agency Address: Must include street, city

APPLICANT INFORMATION**APPLICANT/HOUSEHOLD MEMBER AREA:**

- **ALL HOUSEHOLD MEMBERS, ADULTS AND CHILDREN, WHETHER RELATED TO THE APPLICANT OR NOT, ARE TO BE LISTED IN THIS AREA OF THE FORM.**

- Remember to **write clearly** or **type** all information in order to assist in obtaining an accurate response. Record all names with the last_name first, then the first name, and middle name.
- First line: Applicant's name. If there is more than one applicant place the additional name(s) on the lines below the maiden name line.
- Second line: Any maiden names, previous married names, or aliases by which the applicant is or has been known. Use additional lines if there is more than one maiden/married/alias name to be listed.
- Remaining lines: Names of all other household members. (Attach an additional page if needed.)

If there are no other household members, indicate NONE on the line below "Maiden/Alias".

- First column: indicate the relationship to the applicant of each person listed. (Spouse, son, daughter, mother, father, friend, etc.)
- Sex M/F column: fill in either M (Male) or F (Female) for every person listed.
- Date of Birth column: fill in complete date of birth (mm/dd/yy) for everyone listed on the form.

ADDRESS AREA:

The information required varies depending on the particular category:

- For Adoption, Foster Care and Family and Group Family Day Care (see back of form for categories), provide addresses for the applicant and any household member who is 18 and older. **We need this information for the last 28 years.** Attach supplemental pages if necessary, but **do not use** another LDSS-3370 form to list this additional information. Be sure to associate address histories with particular individuals (i.e., indicate which addresses are for which household members).
- For all other categories, only the applicant's address history is required – for the last 28 years.
- Complete addresses are required. Include street name and city/town/village. Also include street number and apartment number. **Post Office Box numbers are not acceptable.** If the applicant has lived abroad, indicate country and dates of residence. If the applicant has spent time in the military, list base names and locations along with dates. **Be sure that there are no periods of time unaccounted for.**
- The top line is for the current address. The previous address should be listed on the second line downward, and so on to the back of the form for the last 28 years. Staple the attached supplemental page to the form if more space is needed, but do not use another copy of the LDSS-3370 for this additional information.

SIGNATURE AREA:

Signatures required depend upon the particular category:

- For Adoption, Foster Care and Family and Group Family Day Care (see back of form for category), signatures are needed from the applicant and any household member who is 18 or older.
- For all other categories, only the applicant's signature is required.
- All signatures must correspond to the names recorded in the Applicant/Household Member Area-for example; Mary Smith should not sign Mary Ann Smith. Victoria Smith should not sign Vicki.
- Applicants must sign in the boxes marked "Applicant's Signature", household members over 18 who are not applicants must sign in the boxes at the extreme bottom of the page marked "Signature".
- All signatures must be dated (mm/dd/yy). **The SCR will not accept a form with a signature date more than 6 months old.**

If you have questions regarding proper completion of this form, **please call the SCR at 518-474-5297.**

MAIL YOUR COMPLETED LDSS-3370 FORM TO:

**STATEWIDE CENTRAL REGISTER
P.O. BOX 4480
ALBANY, N.Y. 12204-0480**

TO ORDER A SUPPLY OF LDSS-3370 FORMS:

Please access the (OCFS-4627) **Request for Forms and Publications**, from the Intranet: <http://ocfs.state.nyenet/admin/forms/SCR/>
Internet: <http://www.ocfs.state.ny.us/main/forms/cps/> and mail the completed OCFS-4627 Request for Forms and Publications, to:

THE OFFICE OF CHILDREN AND FAMILY SERVICES, RESOURCE DISTRIBUTION CENTER, 11 FOURTH AVE, RENSSELAER, NY 12144.

NEW YORK STATE
OFFICE OF CHILDREN AND FAMILY SERVICES
STATEWIDE CENTRAL REGISTER DATABASE CHECK
Agency Use Only

SCR USE ONLY
REQUEST I.D.:

ALL INFORMATION MUST BE COMPLETE. PLEASE PRINT OR TYPE

AGENCY CODE:	RESOURCE I.D. (RID)	CHILD CARE FACILITY SYSTEM (CCFS) NUMBER:	CATEGORY USE ALPHA CODE:	PHONE NUMBER (Area Code): () -
PRINT BELOW THE ADDRESS ASSOCIATED WITH YOUR RID/CCFS NUMBER:			The particular classifications of persons who must or may be screened are set forth on the reverse side of this document. The alpha codes to complete the "Category" box above are also on the reverse side of this form <u>FOR ALL CATEGORIES:</u> Complete the following for yourself, your spouse, your children and any other person(s) in your home at the present time. MAKE SURE YOU COMPLETE ALL MAIDEN NAME/ALIAS SECTIONS THAT APPLY. IF NONE, STATE "NONE" List <i>RELATIONSHIP</i> in the fields below (see reverse side for instructions) Attach additional page if necessary.	
AGENCY NAME:				
AGENCY LIAISON:				
STREET ADDRESS:				
CITY:	STATE:	ZIP CODE:		

The purpose of collecting the demographic data on *other persons in your household* who are not screened pursuant to Section 424-a of the Social Services Law is to enable the N.Y.S. Office of Children and Family Services to identify with the greatest degree of certainty whether the person(s) being screened is the subject of an indicated child abuse or maltreatment report. The utilization of this information in a discriminatory manner is contrary to the Human Rights Law.

APPLICANT/HOUSEHOLD MEMBER AREA *PLEASE TYPE OR PRINT CLEARLY

RELATIONSHIP TO APPLICANT	LAST NAME	FIRST NAME	SEX M/F	DATE OF BIRTH
APPLICANT				
MAIDEN/ALIAS				

Please provide your current address and any other addresses at which you have resided for the last 28 years, including street, city and state. For Adoption, Foster Care, Family and Group Family Day Care, also include the same address history for household members 18 of age and older.

CURRENT STREET ADDRESS	APT #	CITY	STATE	ZIP	FROM	TO
PREVIOUS STREET ADDRESS	APT #	CITY	STATE	ZIP	FROM	TO
PREVIOUS STREET ADDRESS	APT #	CITY	STATE	ZIP	FROM	TO
PREVIOUS STREET ADDRESS	APT #	CITY	STATE	ZIP	FROM	TO
PREVIOUS STREET ADDRESS	APT #	CITY	STATE	ZIP	FROM	TO

I affirm that all the information provided on this form is true to the best of my knowledge. I understand that if I knowingly give false statements, such action could be grounds for denial or dismissal from employment or denial or revocation of a license, certificate, permit, registration or approval.

APPLICANT'S SIGNATURE	DATE	APPLICANT'S SIGNATURE	DATE
-----------------------	------	-----------------------	------

EIGHTEEN YEARS OLD OR OVER:

I understand that as a person eighteen years of age or over in a home of an applicant to become an Adoptive or a Foster Parent or a Family or Group Family Day Care provider, the information I have provided will be used to inquire of the Statewide Central Register to determine if I am the subject of an indicated report of child abuse or maltreatment.

SIGNATURE	DATE	SIGNATURE	DATE
-----------	------	-----------	------

AGENCY LIAISON INSTRUCTIONS

Please verify that each form is completed. Incomplete forms will be returned to the sender. For ADOPTION, FOSTER CARE, and FAMILY and GROUP FAMILY DAY CARE, if both spouses are applicants, both are to sign. Persons eighteen years old and over residing in the home of applicants for ADOPTION, FOSTER CARE and FAMILY AND GROUP FAMILY DAY CARE also must sign the form.

AGENCY CODE

Record your 3-digit agency code. **NOTE:** Day Care, Family and Group Family Day Care and Camps must provide the agency code of the agency or office which issues your license or certificate. Verify your Alpha or Alpha/Numeric 3 digit code with your licensing agency.

DAYCARE PROVIDERS

Must place their Child Care Facility System (CCFS) Number in the box next to Resource ID (RID), in lieu of Resource ID (RID) number. (Contact your licensing agency/Regional Office if you have any questions).

RESOURCE I.D. (RID)

Record your RESOURCE I.D. (RID) in this field. OCFS, OMH, OMRDD, DOH, OASAS and SED licensed agencies and programs, and Local Departments of Social Services, have RID'S as of 9/01. Verify your RID with your licensing agency. If you need assistance, email: ocfs.sm.conn_app@ocfs.state.ny.us

CLEARANCE CATEGORIES

Record the appropriate category.

- F - Prospective/new employee other than day care employees. (fee required - see below)*
- D - Prospective employee (Local DSS district - bill against reimbursement)**
- Y - Prospective Day Care employee (fee required - see below)*
- S - Provider of goods/services
- Y - Applying to be a group family day care assistant. (fee required - see below)*
- Q - Applying to be group family day care provider. (fee required - see below)*
- Z - Prospective volunteer/consultant.
- X - Applying to be adoptive parents pursuant to an application pending before the inquiring agency.
- W - Applying to be foster parents or family care home providers.
- R - Applying to be kinship foster parents.
- P - Applying to be family day care provider. (fee required - see below)*
- N - Applying for a license to operate a day care center. (To be submitted by authorized licensing agency only.) (fee required - see below)*
- M - Director of a summer camp, overnight camp, day camp or traveling day camp.
- E - Current employee.

AGENCY LIAISON

Record the name of the person to whom the response should be sent (**cannot be the same as applicant or related to the applicant**).

APPLICANT/HOUSEHOLD MEMBER AREA INSTRUCTIONS- This information is to be provided by the applicant/employee/provider. See front of form.

APPLICANT (S) (at least one person must be so designated)-USE FIRST LINE

MAIDEN NAME/ALTERNATIVE/AKA: must be completed for every applicant. Record **ALL** previous names used. Start with second line. Use as many lines as needed (One last name per line)

OTHER HOUSEHOLD MEMBERS: describe relationship to applicant, e.g., son, daughter, father, mother, friend, etc. on remaining lines (ATTACH ADDITIONAL PAGE IF NECESSARY)

IF NO OTHER HOUSEHOLD MEMBERS, record NONE on line below MAIDEN/ALIAS.

*Social Service Law 424-a requires the collection of a \$25.00 fee for certain categories. A certified check, postal or bank money order, teller's check, cashier's check or agency check made payable to "New York State Office of Children and Family Services" in the amount of twenty-five dollars, is to accompany the form. The check also is to include the applicant's name and the agency code.

N.B.: **a separate check must accompany each form.**

**Social Service Law 424-a, allows local DSS to bill against their reimbursement the charge collected for screening prospective employees.

If you have questions regarding proper completion of this form, please call the SCR at 518-474-5297.

MAIL YOUR COMPLETED LDSS-3370 FORM TO:

**STATEWIDE CENTRAL REGISTER
P.O. BOX 4480, Attention: Service Center Unit
ALBANY, N.Y. 12204-0480**

TO ORDER A SUPPLY OF LDSS-3370 FORMS:

Please access the (OCFS-4627) **Request for Forms and Publications**, from the Intranet: <http://ocfs.state.nyenet/admin/forms/SCR/> Internet: <http://www.ocfs.state.ny.us/main/forms/cps/> and mail the completed OCFS-4627 Request for Forms and Publications, to:

THE OFFICE OF CHILDREN AND FAMILY SERVICES, RESOURCE DISTRIBUTION CENTER, 11 FOURTH AVE, RENSSELAER, NY 12144. If you have difficulty accessing a form on either site, you can call the automated forms hotline at 518-473-0971.

Steps to Preparing Your Center for Medication Administration

In accordance with the ELNYC contract, all EarlyLearn NYC contracted programs shall ensure that all children that require medication while in care receive it. To accommodate children that require medication during hours of operation programs must be certified to administer medication, which includes having designated staff trained and certified to administer medication to children and having the programs DOHMH Permit amended to indicate the centers is certified to administer medication.

Programs may:

- Work with parents/legal guardians to determine if it is possible for the child's physician to arrange the dose schedule so that the child can receive medication outside of the program's hours of operation.
- Work with parents/legal guardians to make arrangements with the parents/appropriate designee to provide their child's medication during program hours.

If these arrangements above are not possible the need for medication cannot be a barrier to the child receiving early child care services and the child medication administration need is to be accommodated by the program.

How do designated staff become certified to administer medications?

- 1) Select staff to become Medication Administrants.
- 2) Locate a certified Medication Administration (MAT) Trainer and arrange a training: <http://www.ecetp.pdp.albany.edu/olapps/matlookup/lookup.aspx>
- 3) These selected staff will also need to have CPR/First Aid Training. They do not need CPR/First Aid Training to take the MAT course but will need it to administer medication and for your program to be certified to administer medication.

How does the Program become certified to administer medication?

- 1) Each early child care setting (center/home provider) needs to be certified as its own entity.
- 2) Complete all items on the Medication Administration Health Care Plan (template attached).
- 3) The Medication Administration Health Care Plan is signed by both the Program Director and a qualified Health Care Consultant.
- 4) The Program Director also reviews and signs the Emergency Waiver.
 - a. This allows non-MAT Certified staff to administer emergency medications if necessary.
- 5) The completed Medication Administration Health Care Plan and the Emergency Waiver are faxed to the appropriate DOHMH Borough office.
- 6) The Borough office will then amend the Permit to indicate that the Program is 'certified to administer medication'.

Frequently Asked Questions for: **Medication Administration in general**

We don't dispense medications. Why should we be certified?

Increasingly, children are coming to child care programs needing occasional and in some cases, daily medication. Whenever possible, parents/caretakers will administer medication at home – as that is the safest practice. However, if the child's health care provider's prescription for medication requires that it be provided during child care hours, the provider must accommodate the child's needs, to meet both the EarlyLearnNYC contract requirements and the Americans for Disabilities Act.

What about liability?

Liability for medication errors is no different than liability for any accident or incident and should be covered by your insurance provider. With most common medications the risks are very low. And the liability for a program refusing to administer medication can be high. Programs have been successfully sued because they would not accept a child into the program who needed medication on a regular basis.

How many staff members should be certified?

The number of MAT-certified staff must be appropriate to the needs of the children in that setting. The likelihood of having to administer medications is low, so having two or three certified staff is often sufficient. These MAT-certified staff have also been trained in the process for administering medication: the consent forms necessary, the procedures that need to be developed with the parent for the specific medication, plans to ensure a MAT-certified staff member is available when the medication is to be given, etc. This includes determining if additional staff members need to become MAT-certified.

Frequently Asked Questions for: **How Staff become Certified to Administer Medication**

Who can be certified to administer medication?

Any staff member, who is at least 18 years of age, can be certified.

However, prior to administering any medication the staff member must:

- a. Have a current Cardio-Pulmonary Respiration (CPR) certificate;
- b. Have a current First Aid certificate;
- c. Have a current Medication Administration Training (MAT) certificate;
- d. Be listed on the child care provider's approved Health Care Plan as a Medication Administrant.

How do I find a trainer?

The list of trainers can be found on the MAT website:

<http://www.ecetp.pdp.albany.edu/olapps/matlookup/lookup.aspx> Trainers are listed by County and includes their contact information, their cost, and sometimes additional information, such as length of training, where training is provided, etc.

ACS has made arrangements with a certified MAT trainer to offer the trainings for a set cost of \$100. Programs interested should contact TOPSCCRC@aol.com to make payment arrangements and register for a session. Registration and payment arrangements will be directly with this trainer.

How much does the training cost?

MAT Trainers are independent contractors, and charges will vary.

Who pays?

The Early Child Care Agency/Program pays. New York State Office of Children and Family Services (OCFS) will **reimburse the Program's costs up to \$100 per participant**.

Reimbursement only applies to participants who successfully pass the MA training and receive a Certificate from the MAT certified trainer. Once payment is received by the trainer, and a receipt is provided, the program completes the reimbursement forms and submits them to the NYS OCFS. The forms and instructions can be downloaded here:

<http://www.ecetp.pdp.albany.edu/matgrant.shtm>

How long is the training?

The curriculum is fixed, and completed in 8 hours. However, the skills demonstrations and the testing can extend this time beyond the 8 hours. Some trainers break it up into two days.

Is there a Certificate?

At the completion of the training, and in some cases after payment has been received, the MAT trainer will give each successful participant two original, stamped, Certificates. One is for the participant, and the other is for the Program. A successful participant is one who attends the full session and passes the test.

Are there differences between MAT and ACS or DOH requirements?

Yes. The training curriculum was developed by the New York State Office of Children and Family Services (OCFS), which does not directly regulate most NYC child care programs. The MAT Certificate is good throughout the State of New York. There are three notable differences between OCFS and NYC DOHMH or ACS ELNYC or Head Start regulations or requirements:

- 1) OCFS allows verbal permission in certain circumstances. NYC DOHMH does not. All Medication Consents must be in writing, from both the parent and the health care provider. The only exception is for over-the-counter topical ointments, which only require written parent consent.
- 2) OCFS does not require medication be kept locked, with the exception of controlled substances. ACS follows the Head Start Performance Standards which require all medications be “stored under lock and key”, with the exception of emergency medications such as EpiPens, which should be stored out of reach of the children but easily accessible for adults who will be assisting the child in an emergency.
- 3) Both OCFS and NYC DOHMH stress the importance of returning expired or discontinued medication to the parent. However, if this can't be done, the MAT guidelines provide some recommendations for disposal. ACS recommendation is that the program contact the NYC Poison Center (212- POISONS) for instructions on how to dispose.

Does the Medication Administration Certificate expire?

The MAT Certificate is good for three years.

How is the Certificate renewed?

Four to six months prior to expiration of the Certificate, the MAT program will notify the individual and send a username and password for the (free) online renewal test. If the individual does not pass in two attempts, completion of a full MAT course is required.

Will the program be notified when a Certificate is expiring?

No. Notice is only sent to the individual.

What if the individual is not notified that the Certificate is expiring?

If not notified, it is the individual's responsibility to contact the MAT program prior to the expiration date, at mat@albany.edu and include the individual's name, program name and NYC DOH permit number, and contact number.

Frequently Asked Questions for: **How a Program Site becomes Certified to Administer Medication**

What is the ‘Medication Administration Health Care Plan?’

This is a supplement to the NYC DOHMH Bureau of Child Care Child Care Service Safety Plan. The Medication Administration Health Care Plan template must be completed and submitted to NYC DOHMH Bureau of Child Care in order for the Permit to be amended and the Program be ‘certified to administer medication’. This form is adapted from the NYS OCFS Health Care Plan, and is attached. It can also be obtained from your Health Specialist.

The Medication Administration Health Care Plan must be signed by both the Program Director and a qualified Health Care Consultant.

A separate Plan must be submitted for each permitted site/location.

What is a qualified Health Care Consultant?

A Health Care Consultant must have a valid New York State license to practice as a physician, physician assistant, nurse practitioner, or registered nurse.

The Health Care Consultant reviews and approves the Medication Administration Health Care Plan, as well as the documentation provided by staff designated to administer medication, which includes verifying the completion of required trainings and possession of current certifications (MA, CPR, First Aid). The Health Care Consultant must also visit the Program at least once every two years.

How do I find a Health Care Consultant?

Programs can reach out to their community providers to identify someone who would be willing to serve as their Health Care Consultant (HCC). ACS Division of Early Care and Education is currently working to develop a list of qualified HCC’s, and will disseminate that list when completed.

Child Care Resource and Referral Agencies (CCR&R’s) provide Health Care Consultant services, which include review and approval of MA Health Care Plans, for licensed child care programs. These services are based on availability. Call 888-469-5999 for more information. In addition, CCR&R’s administer a limited grant program that can help offset the cost of MAT trainings they provide, as well as providing materials and other trainings, such as CPR/First Aid. Call 888-469-5999 for more information.

What if I have a Nurse on site?

Your nurse can serve as your Health Care Consultant and approve and sign the Medication Administration Health Care Plan (MAHCP). The nurse can administer medication without needing MAT certification of course, but must be listed on the MAHCP in the designated section.

How do I submit the Plan to the Department of Health?

Mail or Fax the completed Plan to your ECEC at the appropriate Borough office to the attention of your ECE Consultant:

Brooklyn and Staten Island:

195 Montague Street, 4th Floor, Brooklyn NY 11201

Fax: (347) 396-8957

Phone (347)396-8957

Bronx:

1309 Fulton Avenue, 4th Floor, Bronx NY 10456

Fax: 347-396-8959

Phone: (718)579-7775

Manhattan:

22 Cortlandt Street, 34th Floor, New York, NY 10007

Fax: (347) 396-8953

Phone: (212)313-5294

Queens:

90-27 Parsons Blvd., 3rd floor, Jamaica, NY 11432

Fax: (347) 396-8955

Phone: (718)480-2263/2265

What will they do with it?

Your Bureau of Child Care Early Childhood Education Consultant will verify the professional license of your Health Care Consultant, by checking online at

<http://www.op.nysed.gov/opsearches.htm>, and will then amend your Permit.

How do I know if the Permit is amended?

You can find the status of the certification by checking the DOHMH Bureau of Child Care website at <https://a816-healthpsi.nyc.gov/ChildCare/ChildCareList.do> Locate your site, click on

‘more info’, and look at the ‘certified to administer medication’ category to see that it reads ‘yes.’ You can also call your Borough office (see above for phone #s).

Where do we keep the MAT-Certificates and the Medication Administration Health Care Plan?

When a Program’s NYC DOHMH Bureau of Child Care ECEC, or ACS/EarlyLearn Health Specialist, monitors the Program they may ask to see the following:

- 1) The Medication Administration Health Care Plan, along with any approved updates, as an attachment to the Safety Plan.
- 2) An original (stamped and signed) and current MAT Certificate for each MAT-certified staff member.
- 3) A copy of the MAT-certified staff member’s current CPR and First Aid certifications.

Having these together, in one location, is recommended.

What happens when the MAT-Certified staff member leaves, or a new staff member becomes certified?

If there are any changes, the Medication Administration Health Care Plan is updated by completing a new ‘Medication Administrant’ page and faxing to the appropriate DOHMH Borough office. Keep both the fax cover sheet and the new page with the Medication Administration Health Care Plan for review during monitoring visits. Make sure that your permit number, name of center and explanation of why you are revising your MAHCP is indicated in your fax.

How often does the Medication Administration Health Care Plan need to be updated?

It is updated whenever there are changes to a Program’s procedures or MAT-certified staff, and/or when the Safety Plan is updated. In addition it must be reapproved if the Health Care Consultant’s license or registration has expired.

Frequently Asked Questions for: Emergency Waivers

What is the Emergency Waiver?

The Emergency Waiver allows non MAT-certified staff to administer certain emergency medications. Currently only EpiPens, Diphenhydramine (when prescribed in conjunction with EpiPens), and quick relief asthma medications are covered by the waiver.

My program is already certified to administer medication. Do I still need to submit a Waiver request?

Yes, because it allows non MAT-certified staff to administer emergency medications.

If my program is not yet certified to administer medication, do I still submit a Waiver request?

All EarlyLearn programs are expected to become certified to administer medication. However, while completing the steps necessary to become fully certified, a program should submit a Waiver request and be able to administer emergency medications.

Where do I get the Emergency Waiver?

The waiver (a one-page form) can be downloaded here:

<http://www.ocfs.state.ny.us/main/childcare/waivers/Waiver%20-%20Administration%20of%20Emergency%20Medications-Revised.pdf>

What do I do with it?

Review and sign it at the bottom, and fax it to the appropriate DOHMH borough office.

How do I know if the Waiver request has been approved?

Approval is automatic, on submission of the Waiver request. Programs may or may not receive any notification from DOHMH that it has been formally approved. Keep documentation on file that the Waiver request was submitted.

The Waiver form says it is from “OCFS”, not DOHMH

The NYC DOHMH has agreed to accept the OCFS requirements for the program in full. So you can ‘ignore’ the references to OCFS regulations, and just know that each reference has a corresponding DOHMH Article 47 regulation for your modality (School Age Child Care, Group Family Day Care, Family Day Care, and Day Care Center), and check the appropriate box.

The Waiver has links to the required forms on the OCFS website. These are the same forms required by DOHMH.

Are the medication administration procedures for Emergency Medications the same as for MAT?

The documentation requirements (Written Medication Consent Forms and Logs) are the same. Thus, it is strongly recommended that a MAT-certified staff review all documentation to ensure it meets MAT standards.

Training for administering the specific medication to the specific child must be provided by the child's parent, guardian, or health care provider.

The waiver recommends that those who will be administering these medications attend a course in their use.



FOR MORE INFORMATION ON MEDICATION ADMINISTRATION AND FOR RESOURCES GO TO : www.ocfs.state.ny.us/main/childcare/mat/matadaguidance.asp