

# New York State-Administered Prekindergarten Program 2023-2024 Quality Assurance Protocol (QAP) Guidance Document

## NYS Prekindergarten Quality Assurance Protocol (QAP)

Pursuant to [New York State Education Law Section 3602-ee](#) (updated in July 2022), this Quality Assurance Protocol (QAP) has been developed to assist in ensuring comprehensive, consistent, and ongoing monitoring of program quality in providers of full-day prekindergarten programs who receive or are applying for Statewide Universal Full-Day Prekindergarten funding.

The use of this QAP is a collaborative program quality self-assessment, technical assistance, support, and evaluation tool between 3602-ee-funded school districts, their sub-contracted collaborating prekindergarten providers, and the New York State Education Department.

### Definitions for NYSED Compliance Evaluation

<b>Not Applicable</b>	If “Not Applicable” is selected, an explanation must be in the agency’s self-assessment and confirmed in NYSED’s evaluation.
<b>Non-Compliance</b>	Evidence demonstrates <b>no</b> adherence to compliance requirement.
<b>Limited Compliance</b>	Evidence demonstrates <b>inconsistent</b> adherence to compliance requirement.
<b>Acceptable Compliance</b>	Evidence demonstrates <b>adequate</b> adherence to compliance requirement.

Key Terms	
LEA	Local Educational Agency
CBO	Community Based Organization

## I. Programmatic Oversight and Fiscal Management

*The school district has documented protocols for ensuring adherence to the following program oversight and fiscal management requirements in all prekindergarten program settings:*

### 1.1 Complete the chart containing the enrollment information for your LEA/program

[§3602-ee. (3)]

### 1.2 School District Provision of Oversight

[§3602-e (17)]

School district leadership has a clearly defined and sufficient infrastructure to ensure adherence to all prekindergarten program compliance requirements. Successful school district oversight aligned to prekindergarten program improvement is demonstrated across all settings by regularly:

- Monitoring, identifying, correcting, and improving upon programmatic operations and staffing resources, *and*

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- Participating in, supporting, and providing early childhood professional learning opportunities and meetings that include school district and collaborative prekindergarten provider administrators and teaching staff

## OEL Suggested Evidence:

- A schedule including the frequency and purpose of district visits across all prekindergarten programs
- Meeting minutes and observational notes from visits

## 1.3 Environmental Quality and Staff-Student Interactions

[§3602-e (17)]

School district leadership has a clearly defined and sufficient infrastructure to ensure adherence to all prekindergarten program compliance requirements. Successful school district oversight aligned to prekindergarten program improvement is demonstrated across all settings by regularly:

- Improving upon prekindergarten program environmental and teacher-student interaction quality through the use of valid and reliable measures of prekindergarten program quality during regular classroom observations and teacher performance evaluations
- Participating in, supporting, and providing early childhood professional learning opportunities and meetings that include school district and collaborative prekindergarten provider administrators and teaching staff, *and*
- Annually assessing and applying environmental and teacher-student interaction assessment results to the programmatic and staffing effectiveness of school district-operated and collaborating-operated prekindergarten programs
- Although not required, for purposes of consistent prekindergarten program evaluation, it is beneficial for school districts and their collaborating prekindergarten providers / CBOs to use the same tool to measure teacher-student interactions.

### Measuring Quality of Early Childhood:

#### Learning Environments

- The tool used by prekindergarten programs to measure the environmental quality of the prekindergarten program is valid and reliable.

#### Staff-Student Interactions

- Teacher performance and evaluation tool used by prekindergarten programs to measure the quality of teacher-student interactions is, at minimum, is valid and reliable for use in prekindergarten.

## OEL Suggested Evidence:

- Valid and reliable tools used for prekindergarten environmental quality and teacher evaluation / teacher-student interactions

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- The formal observation tool used by prekindergarten programs to measure the quality of teacher-student interactions

## Helpful Resources:

- [Early Childhood Environmental Rating Scale- ECERS-3, ECERS-R](#)
- [Classroom Assessment Scoring System \(CLASS\)](#)
- [The Fidelity Tool: The Creative Curriculum for Preschool](#)
- [High Scope Program Quality Assessment \(PQA-R\)](#)
- [Danielson Group Framework for Teaching](#)
- [New York State United Teachers \(NYSUT\) Teacher Practice Rubric](#)

**\*\*NYSED does not endorse the use of any particular assessment tool.**

## 1.4 District Prekindergarten Collaboration RFP Components and Rankings

[8 NYCRR 151-1.6 (e)]

The RFP developed by the school district includes, at minimum, a request for the following information from each eligible collaborating prekindergarten program applicant. The below criteria may be used to rank proposals when the district does not have the capacity to contract with all eligible collaborating prekindergarten program providers submitting proposals:

- Budget of Proposed Expenditures, including budget categories aligned to those in NYSED's FS-10 Proposed Budget, such as salaries for professional staff and support staff, employee benefits supplies and materials, travel expenses, and employee benefits;
- Program Design and Quality of Programmatic Oversight and Fiscal Management, including a detailed narrative which articulates the applicant agency's/CBO's philosophy and mission, describes how the eligible collaborating prekindergarten program proposes to provide services that meets the goals and objectives of the district's collaborative prekindergarten program for new full-day four-year-old placements:
  - i. Demonstrated experience, capacity, and effectiveness in immediately implementing an innovative, creative, developmentally appropriate, culturally responsive and sustaining full-day prekindergarten program serving four-year-old students, including those who are ability- and language-diverse;
  - ii. Effective, efficient, and collaborative administrative structure, record management and documentation procedures.
  - iii. Fiscal solvency and anticipated fiscal share and other resources that will be contributed full-day prekindergarten program for four-year-old students;
- Facility Quality, including, but not limited to, each eligible collaborating prekindergarten program applicant's documentation that all applicable health and safety codes and licensure or registration requirements are met;
- Teaching Staff Patterns, Qualifications, Performance, and Professional Learning, including, but not limited to, each eligible collaborating prekindergarten program applicant's stability of staff, rate of turnover and ability to fill vacancies in a timely manner, and capacity to provide ongoing professional learning opportunities;

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- Child Eligibility, Screening, Progress Monitoring, and Outcomes, including, but not limited to, each eligible collaborating prekindergarten program applicant's demonstrated success in assessing and meeting the needs of diverse learners, including children with disabilities in integrated settings and Emergent Multilingual Learners in English and home language development;
- Nutrition, Health, and Well-being, including, but not limited to, the applicant agency's/CBO's capacity, current funding sources (if any), resources, and structures to develop fiscal and logistical arrangements with the school district to provide students with appropriate and sufficient meals and snacks.
- Learning Environment and Curriculum, as aligned to NYSED's requirement of school districts.
- Family Engagement and Support, including, but not limited to each eligible collaborating prekindergarten program applicant's ease of utilization and accessibility of the program to families, parents, and/or guardians;
- Partnerships with Non-Profit, Community, and Educational Institutions, including, but not limited to, each eligible collaborating prekindergarten program applicant's relationship with the school district's in transitioning their four-year-old students and families to kindergarten.
- A school district must conduct outreach and issue a new RFP to solicit collaborative prekindergarten programming under the following circumstances:
  - If the program expands, and the school district and current contracted CBOs do not have sufficient space to accommodate additional students;
  - The school district and the currently contracted CBO have good cause to no longer collaborate;
- For school districts who have an approved variance for the current school year, an RFP must be released each subsequent year to solicit collaborating prekindergarten providers.
- Collaborating PreK providers/ CBOs are not permitted to charge parents for tuition or any other expenses such as uniforms, materials, supplies, etc.
- **Prior to entering a contract with a prekindergarten provider, the school district is required to conduct a minimum of at least one site visit to each collaborating prekindergarten program applicant's proposed full-day prekindergarten program.**

## OEL Suggested Evidence:

- The district RFP and rubric for scoring the RFP for the prekindergarten instructional program
- If the district did not issue an RFP, please provide the OEL approved collaboration waiver

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## Eligible Collaborating Prekindergarten Providers

[§3602-ee (3)(a)] and [8 NYCRR 151-1.2 (b)]

Eligible collaborating prekindergarten providers include Child Care and Early Education Providers, Day Care Centers, 4410 Preschool Special Education Programs, Charter Schools, Early Childhood Centers, Non-profit Organizations, Non-public Schools, Family Child Care Programs, Group Family Child Care Programs, Head Start Programs, Nursery Schools, Libraries, and Museums.

Helpful Resources:

- [\(OCFS\) Find Child Care search tool](#)
- [\(KWIC\) Interactive Map Builder](#)
- [Collaborating with Community-Based Organizations](#)

## 1.5 RFP Contracts and Board of Education Presentation

[8 NYCRR 151-1.6 (e-f)]

Upon the conclusion of a successful competitive process, the school district may award and contract with one or multiple collaborating prekindergarten program providers. The results of the competitive process to deliver collaborative prekindergarten programming are made public at a regular meeting of the school district's local Board of Education.

- If the school district has a contracted collaborative prekindergarten provider with whom the district finds satisfactory, the district can either annually renew the existing contract, or implement a multi-year contract recommended for no longer than three years so the program can be reevaluated, as necessary.

 OEL Suggested Evidence:

- The contract(s) between the district and CBO and proof that the results of the RFP process were made public at a Board of Education meeting

## 1.6 Transportation of Prekindergarten Students

[Section 3635 of NYS Education Law](#) authorizes school districts to transport prekindergarten students attending a State-administered Prekindergarten Program or another district sponsored, or district run prekindergarten program, within the mileage limits established by the district. If transportation is provided, it must be offered equally to all children in like circumstances residing in the district.

- If the district offers transportation, and partners with a CBO, it must provide transportation to CBO enrolled students as well

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- Children under the age of four must ride in properly installed, federally-certified child safety seats

## OEL Suggested Evidence:

- The district's Pre-K transportation policy, a transportation form filled out as part of the application process, or other documentation showing transportation is offered

Questions regarding transportation may be directed to NYSED's Pupil Transportation Unit at [transportation@nysed.gov](mailto:transportation@nysed.gov).

Questions regarding PreK students who are homeless may be directed to:

- The Homeless Education Program Office: [CONAPPTA@nysed.gov](mailto:CONAPPTA@nysed.gov) or (518) 473-0295
- [NYS-TEACHS](http://NYS-TEACHS), the Department's homeless technical assistance center: [info@nysteachs.org](mailto:info@nysteachs.org) or (800) 388-2014

## 1.7 Accounting and Fiscal Controls

[8 NYCRR 151-1.3 (f), §3602-e (8) (b), (c), (e)]

School district grant funds and associated expenditures are separately accounted for, and not commingled with other funds. School District funds are maintained in, and expenditures made from, a special revenue (special aid) fund.

To safeguard against supplanting funds, and implement checks and balance controls mitigating fraud risks, the school district's fiscal systems have the mechanisms, processes, and adequate staffing to regularly review school district and collaborating prekindergarten program records, including, but not limited to, hours and days of operation, budgets, expenditure reports, receipts, invoices, and payroll records.

## OEL Suggested Evidence:

- School district fiscal policies and procedures specific to grant funding/prekindergarten programs
- Program administrators can describe their process to oversee, monitor, and track the use of State-Administered prekindergarten funds
- The district process for monitoring, identifying, correcting, and improving upon fiscal operations and effectiveness

Helpful Resources:

- [Blending and Braiding Funds to Support Early Childhood Education Programs: Your "How to" Guide](#).

## II. Facility Quality

***The school district has documented protocols for ensuring that all school district and collaborating prekindergarten program facilities funded by §3602-ee grant programs adhere to the following facility quality requirements:***

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## 2.1 Health and Safety Oversight (For district operated classrooms or direct contract agencies)

[§3602-ee (11)] and [8 NYCRR 151-1.7 (a-e)]

The school district provides health and safety oversight of the design, sanitation, maintenance, and repair of **district-operated** and **CBO-operated** prekindergarten buildings, classrooms, premises, equipment, and furnishings with the objective of maximizing child development and early learning while protecting the health and safety of students at all times. The school district ensures compliance with all application requirements of the Americans with Disabilities Act (ADA).

- The school district ensures that school district and collaborating prekindergarten program classrooms and buildings meet all applicable fire safety and building codes and any applicable facility requirements of a state or local licensing or registering agency, including, but not limited to those related to emergency evacuation plans, and health / medical procedures, and as recorded on documents such as day care licenses, certificates of occupancy, and health inspection reports (if meals are prepared on site.)
- Except for schools in the city of New York, buildings and classrooms located on district grounds and operated by the school district shall meet the New York State Uniform Fire Prevention and Building Code, section 155.3 of this Title or its equivalent (notwithstanding the exemption for schools in cities with populations over 125,000 persons) and section 151-2.7 of this Part. Any new construction shall also meet the standards specified in the State Education Department Manual of Planning Standards.
- Except for schools in the city of New York, buildings and classrooms operated by the school district, but located off school grounds, shall meet the New York State Uniform Fire Prevention and Building Code (9 NYCRR Parts 600 through 1250), section 151-2.7 of this Part and section 155.7 of this Title or its equivalent (notwithstanding the exemption for schools in cities with populations over 125,000 persons) and Part 418 of the regulations of the Department of Social Services (18 NYCRR Part 418).
- In the case of schools in the city of New York, buildings and classrooms operated by the school district shall meet all applicable local fire safety and building codes.
- Buildings and classrooms operated by eligible agencies shall meet all applicable fire safety and building codes and any applicable facility requirements of a State or local licensing or registering agency.

To assist school districts in fulfilling these obligations, the Office of Early Learning has developed a Health and Safety Checklist. School districts are encouraged to complete this checklist for each of its prekindergarten sites annually, at a minimum. School districts may revise the checklist to include additional items that are relevant to its specific partnership(s).

### OEL Suggested Evidence:

- A completed NYSED Prekindergarten Health and Safety checklist, building safety plans, safety inspection reports, records of site visits, fire inspections, log of fire/evacuation drills etc. **for each district run site**

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Helpful Resources:

- [Health and Safety Checklist](#)

## 2.2 NYSED's Health and Safety Checklist: School District Oversight of Collaborating Prekindergarten Provider Sites.

[§3602-ee (10-11)]

A prekindergarten program provider shall be inspected by the department, the school district with which it partners, if any, and its respective licensing, permitting, regulatory, oversight, registration or enrolling agency or entity no fewer than two times per school year, at least one inspection of which shall be performed by the eligible agency's respective licensing, permitting, regulatory, oversight, registration or enrolling agency, as applicable.

Facilities providing prekindergarten programming shall meet all applicable fire safety and building codes and any applicable facility requirements of a state or local licensing or registering agency and at all times shall maintain building and classroom space in a manner that ensures and protects the health and safety of students in all programs statewide, notwithstanding any changes in such applicable codes or requirements.

To assist school districts in fulfilling these obligations, the Office of Early Learning has developed a Health and Safety Checklist. School districts are encouraged to complete this checklist for each of its prekindergarten sites annually, at a minimum. School districts may revise the checklist to include additional items that are relevant to its specific partnership(s).

 [OEL Suggested Evidence:](#)

- A completed Health and Safety Checklist, building safety plans, fire inspections, log of fire/evacuation drills etc. for each CBO

Helpful Resources:

- [Memo on Prekindergarten Health and Safety Checklist](#)

## 2.3 Violations by Collaborating Prekindergarten Providers/Community Based Organizations (CBO)

[§3602-ee (9)]

When seeking to collaborate with other providers, prekindergarten program providers shall take into account any record of violations of health and safety codes and/or licensure or registration requirements. In addition, any agency that is cited for a violation classified as an "imminent danger" by the office of children and family services or as a "public health hazard" by the New York city department of health and mental hygiene which is not immediately corrected and which is not of a life threatening or of a grave and serious nature shall be suspended from the program and, upon final determination of such violation by the regulating agency, suspended or



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terminated from participating in the program under this section based on the severity of the violation. Provided further, that eligible agencies with a record of other serious or critical and/or repeated violations that pose a risk to health or safety shall, upon final determination of such violations, be suspended or terminated from participating in the program under this section, and the office of children and family services shall establish statewide standards for determining such grounds for such suspension or termination based on violations issued by the applicable regulatory agency.

## OEL Suggested Evidence:

- Contract language between the school district and collaborating CBO that describes the protocol for responding to and resolving violations
- A completed [NYSED Prekindergarten Health and Safety Checklist](#) that includes an action plan and tracking form for resolving items determined to be out of compliance

## III. Staffing Patterns, Qualifications, Performance, and Professional Learning

*The school district has documented protocols for ensuring adherence to the following requirements related to staffing patterns, qualifications, performance, and professional learning in all school district and collaborating prekindergarten program settings:*

### 3.1 Teaching Certification Requirements

[§3602-ee(8)] (Updated September 2022) and [8 NYCRR 151-1.3(e)]

The school district has a mechanism, process, and adequate staffing to collect, record, maintain, verify, update, and report teacher certification compliance and data for:

#### District Prekindergarten Teacher Staffing Requirements

- All district teachers in a universal full-day prekindergarten program shall possess NYS teacher certification pursuant to [8 NYCRR 80](#) valid for service:
  - in the early childhood grades; or
  - students with disabilities in the early childhood grades

#### Eligible Agency Prekindergarten Teacher Staffing Requirements

- Teachers at eligible agencies, at minimum, must **either**
  - Have a New York State Certification valid for service in the early childhood or childhood grades
  - or students with disabilities in early childhood grades **OR**
  - A bachelor's degree in early childhood education.

If teachers at an eligible agency do not meet **either of** the criteria listed above:

- Teachers must meet the hiring requirements of the agency that oversees them (i.e., the [Office of Children and Family Services \(OCFS\)](#), the [New York City Department of Health and Mental Hygiene \(NYC DOHMH\)](#)(link is external), [charter schools](#), [non-public schools](#)), **AND**

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- The school district must submit a Staffing Qualifications Waiver to the Department as part of the annual State-Administered Prekindergarten application which indicates the number of teacher(s) not meeting the minimum staffing qualifications as identified above by **September 1st** each year. **AND**
- The agency must employ an on-site education director who is responsible for program implementation and is on-site during the hours in which prekindergarten services are provided.

## On-site Education Director

Unless **all** universal prekindergarten teachers at an eligible agency site possess a teaching license or certificate valid for services in the early childhood or childhood grades, the agencies operating such programs should employ an on-site education director during the hours the prekindergarten program runs. If one or more teachers from the eligible agency does not have certification in the early childhood grades, an on-site director is required and is responsible for program implementation.

If the on-site director does not have the required certification, the agency must employ an on-site education director who has the following:

- At a minimum, a bachelor's degree or higher in early childhood education, **AND**
- Have a study plan to become certified within 5 years upon the start date of their appointment of an on-site director.
- These study plans must be submitted to the district, who will submit to NYSED a District Oversight plan by **October 31st** of each school year through the NYSED Business Portal's Monitoring and Vendor Performance System (MVPS).

Until the on-site education director meets the requisite on-site education director qualifications as set forth in Commissioner's regulations 151-1.3(e)(2)(i), the school district must oversee prekindergarten program implementation by the eligible agency. [A visual representation showing the requirements outlined above is available on a graphic on page three of the pdf version of this memo.](#)

## Prekindergarten Teaching Assistants and Teacher Aides

- A prekindergarten *teaching assistant* providing instructional support in a prekindergarten classroom shall meet qualifications pursuant to [8 NYCRR 80-5.6 \(c\)\(2\)](#).
- A prekindergarten *teacher aide* providing support in a prekindergarten classroom shall meet the requirements prescribed by the local board of education pursuant to [8 NYCRR 80-5.6 \(b\)](#).

## OEL Suggested Evidence:

- For NYS-certified prekindergarten teachers, please upload a document with **each** teacher's name (as it appears in [New York State Teacher Certification Lookup](#)), type of certification(s) and number(s)

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- For uncertified prekindergarten personnel, please upload the OEL approved Staffing Requirement Waiver
- For the on-site education director, if certified, please upload a copy of the director's certification. If uncertified, please upload the study plan and district oversight plan

## 3.2 Pre-K Professional Learning

[8 NYCRR 151-1.3 (g)]

Professional learning shall be based on the instructional needs of children and shall be provided to prekindergarten teachers and staff in district and agency settings in which prekindergarten services are provided.

 OEL Suggested Evidence:

- Provide evidence such as the district's professional learning plan for prekindergarten teachers

## IV. Child Eligibility, Outreach, & Lottery Process

*The school district has documented protocols for ensuring adherence to the following requirements related to child eligibility, screening, progress monitoring, and outcomes in all school district and collaborating prekindergarten program settings:*

### 4.1 Student Eligibility

[§3602-e (1)(c)] and [8 NYCRR 151-1.2 (c)]

The school district verifies each eligible student's age and school district residency. Eligible child means a child who resides within the school district who is four years of age on or before December 1st of the enrolled school year, or who will otherwise be first eligible to enter public school kindergarten commencing the following school year.

- Children who are age-eligible to enroll in kindergarten within the public school district are not eligible to enroll in a school district's State-administered prekindergarten program
- Once a child is enrolled and placed in a State-administered prekindergarten program, the school district's attendance policy must be applied to both school district and collaborating prekindergarten programs.

 OEL Suggested Evidence:

- Documentation including the definition of an eligible child

Helpful Resources:

- [Frequently Asked Questions Regarding Prekindergarten Eligibility](#)
- [Eligible Child FAQ's](#)

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## 4.2 Outreach

The school district coordinates and conducts all outreach, recruitment, registration, enrollment, intake, and placement of students in school district and collaborating prekindergarten programs.

### OEL Suggested Evidence:

- Examples of outreach and recruitment efforts to families

## 4.3 Random Method of Selection (Lottery)

[8 NYCRR 151-1.4 (d)]

In a given school year, when there may be more eligible children than available placements, the school district conducts a lottery on a random selection basis for prekindergarten placement.

- Enrollment in State-administered prekindergarten is **not** on a first-come, first-served basis.
- Established school district prekindergarten lottery policy and procedures for use in current and future school years are required regardless of a lottery's necessity during past school years.
- Under no circumstances can a district reserve slots or adjust lottery results to accommodate specific student demographics.
- The lottery procedure could address the incidence of multiples (twins, triplets, etc.)
- When lottery placements are filled, the lottery continues into a waitlist.

### OEL Suggested Evidence:

- Provide evidence such as the district's Lottery policy

## V. Child Screening, Progress Monitoring, and Outcomes

### 5.1 New Entrant and Prekindergarten Initial Screening

[8 NYCRR 151-1.3 (b)(1)(i-ii)] and [8 NYCRR 117]

Upon prekindergarten enrollment, the school district administers a valid and reliable screening tool that, at a minimum, assesses each student's language, cognitive, and motor development.

In New York State, diagnostic screening is used to identify whether a child is meeting their developmental milestones. This assessment is designed to evaluate a broad range of abilities, including intellectual, emotional, social, and motor abilities. The results of this screening are used to determine if further evaluation is needed.

School districts are required by Commissioner's Regulations (Part 117.3) to develop a plan for the screening of all new Prekindergarten entrants using a valid and reliable screening tool. The

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purpose of this screening is to determine which students are possibly gifted, are suspected of having a disability, and/or level of English proficiency. The screening must be conducted by appropriately trained or qualified staff, and in the student’s native language, if the language of the home is other than English.

Screening shall take place for new entrants prior to the school year, if possible, but no later than December 1<sup>st</sup> of the school year of entry, or within 15 days of student transfer.

Screening will include:

- Language and literacy skills, motor development, mathematical skills, and cognitive development
- a determination of the child’s home language ([EML Language Profile](#))
- Although not required, a screening for social emotional learning (SEL) is recommended

This table lists the most frequently used, valid and reliable screening assessment tools as reported by UPK grantees for the 2021-2022 school year. **A diagnostic screening is administered once, upon a student’s initial entry to the school district.**

EXAMPLES OF VALID AND RELIABLE EARLY CHILDHOOD SCREENING TOOLS	Language and Literacy Skills	Cognitive Skills	Motor Development	SEL <i>*optional</i>
• <a href="#">Brigance Early Childhood Screens</a>	☒	☒	☒	☒
• <a href="#">Developmental Indicators for the Assessment of Learning (DIAL) *</a>	☒	☒	☒	☒
• <a href="#">Ages and Stages (ASQ)</a>	☒	☒	☒	☒
• <a href="#">Early Screening Inventory – Revised (ESI-R)</a>	☒	☒	☒	-
• <a href="#">Battelle Developmental Inventory 3 (BDI-3) Screening Test</a>	☒	☒	☒	☒
• <a href="#">Peabody Picture Vocabulary Test (PPVT)*</a>	☒	-	-	-
• <a href="#">aimswebPlus</a>	☒	☒	-	☒ <i>*add on</i>
• <a href="#">Ages and Stages Social-Emotional Questionnaire (ASQ-SE)</a>	-	-	-	☒
• <a href="#">Devereux Early Childhood Assessment (DECA)</a>	-	-	-	☒

\* Indicates that there is more than one version of the tool.

**Please Note: NYSED does not endorse the use of any particular assessment. These assessments have been reported to NYSED’s Office of Early Learning. They are a sampling of those being used by prekindergarten programs across the State.**

 [OEL Suggested Evidence:](#)

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- A completed example of a valid and reliable screener with all personal identifiable information redacted

## 5.2 Screening for Home Language

[8 NYCRR 117]

Pursuant to [8 NYCRR 117](#), the school district screens all new entrants, including those entering school district and collaborating prekindergarten programs to identify those who may need additional diagnostic assessments that could possibly result in the determination of ability-diverse (preschool students with disabilities and/or gifted) and/or language-diverse ([Emergent Multilingual Learners in Prekindergarten](#)).

- To identify Emergent Multilingual Learners (EML) in Prekindergarten programs, NYSED recommends the use of [the EML Language Profile](#) and [Process](#)

### OEL Suggested Evidence:

- A completed example of a home language questionnaire with all personal identifiable information redacted
- Describe the process in place for identifying PreK EML students in school district and collaborating prekindergarten provider settings whose family speaks a language other than English at home

### Helpful Resources:

- [OEL Website: Supporting Special Populations](#)

## 5.3 Progress Monitoring Assessments

[§3602-e (17)] and [8 NYCRR 151-1.3 (b)(2)]

In New York State Administered Prekindergarten programs, progress monitoring refers to the interim progress monitoring that takes place two to three times per year. More frequent progress monitoring (formal or informal) may occur throughout the year as needed.

A child's developmental baseline is typically established by the first administration of the interim progress monitoring tool. This provides a comprehensive evaluation of the level of skills, abilities and/or knowledge that a child possesses prior to the beginning of formal instruction. The last administration of the interim progress monitoring tool for the year can also be used as the summative/outcome assessment showing how much learning has occurred at a point in time. Its purpose is to measure the level of child, school, or program success.

According to Commissioner's regulations 151-1.3, school districts shall establish a process for assessing the progress of all children participating in the UPK program. This process must provide for on-going assessment throughout the year in the development of language, cognitive, and social skills. The tools used for assessment must be valid and reliable.

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This table lists the most frequently used, valid and reliable progress monitoring assessment tools as reported by UPK grantees for the 2021-2022 school year.

EXAMPLES OF VALID AND RELIABLE EARLY CHILDHOOD PROGRESS MONITORING TOOLS	Language and Literacy Skills	Cognitive Skills	Social-Emotional Skills
• <a href="#">Brigance Inventory of Early Development</a>	☒	☒	☒
• <a href="#">Teaching Strategies GOLD Developmental Continuum</a>	☒	☒	☒
• <a href="#">Work Sampling System (WSS)</a>	☒	☒	☒
• <a href="#">CIRCLE Progress Monitoring</a>	☒	☒	☒
• <a href="#">HighScope Child Observation Record (COR)</a>	☒	☒	☒
• <a href="#">Battelle Developmental Inventory</a> *	☒	☒	☒
• <a href="#">STAR Early Literacy</a>	☒	☒	-
• <a href="#">Phonological Awareness Literacy Screening (PALS) Mid-Year</a>	☒	-	-
• <a href="#">Devereux Early Childhood Assessment (DECA)</a>	-	-	☒
• <a href="#">Peabody Picture Vocabulary Test (PPVT)</a> *	☒	-	-
• <a href="#">aimswebPlus</a>	☒	☒	☒

\* Indicates that there is more than one version of the tool.

*Please Note: NYSED does not endorse the use of any particular assessment. These assessments have been reported to NYSED's Office of Early Learning. They are a sampling of those being used by prekindergarten programs across the State.*

### OEL Suggested Evidence:

- A completed example of a valid and reliable progress monitoring tool with all personal identifiable information redacted

## 5.4 Sharing assessment data with families

It is recommended to share assessment data with each student's family and to use assessment data to inform instruction, address the needs of individual children, improve prekindergarten program practice, and inform professional learning.

### OEL Suggested Evidence:

- Describe the process in place to share assessment data with families

## 5.5 Sharing assessment data with next year's teacher

New York State Education Department's Office of Early Learning (OEL), 89 Washington Ave., Albany, NY 12234  
<http://www.nysed.gov/early-learning>

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It is recommended to share assessment data with each student's teacher for the upcoming school year and to use assessment data to inform instruction, address the needs of individual children, improve prekindergarten program practice, and inform professional learning.

## OEL Suggested Evidence:

- Describe the process in place to share assessment data with each student's teacher for the upcoming school year

## VI. Child Nutrition, Health, and Well-being

*The school district has documented protocols for ensuring adherence to the following requirements related to child nutrition, health, and well-being in all school district and collaborating prekindergarten program settings:*

### 6.1 What meals or snacks are provided to Pre-K students?

[8 NYCRR 151-1.3 (c)(2)]

Prekindergarten students' nutritional needs are sufficiently met through the provision of appropriate meals and snacks. Meals and snacks shall be provided for sufficient time for eating in an environment conducive to meaningful student-student and student-staff interactions.

## OEL Suggested Evidence:

- The classroom daily schedule(s) and menus.

Helpful Resources:

- [Eligibility of State-Administered PreK Programs for Child Nutrition Programs](#)
- [Guidance Regarding Mealtimes as part of the Instructional Day](#)

### 6.2 Are mealtimes included in the calculation of the Pre-K instructional day?

[8 NYCRR 151-1.3 (c)(2)]

Prekindergarten students' nutritional needs are sufficiently met through the provision of appropriate meals and snacks. Meals and snacks shall be provided for sufficient time for eating in an environment conducive to meaningful student-student and student-staff interactions.

## OEL Suggested Evidence:

- Mealtime policies and/or procedures

New York State Education Department's Office of Early Learning (OEL), 89 Washington Ave., Albany, NY 12234  
<http://www.nysed.gov/early-learning>



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## 6.3 Physical Activity

[§3602-ee (2)(g)] and [8 NYCRR 100.3 (a)(3)(ii)(vi)]

The school district ensures prekindergarten programs provide students with a variety of daily opportunities to engage in developmentally appropriate fine and gross motor activities in both indoor and outdoor environments.

### OEL Suggested Evidence Guidance:

- Classroom daily schedule(s), *and/or* classroom lesson plan(s) that promote physical activity

## VII. Learning Environment & Curriculum

***The school district has documented protocols for ensuring adherence to the following requirements related to learning environment and curriculum in all school district and collaborating prekindergarten program settings:***

### 7.1 Schedule and Activities for Student-Centered Learning and Development

[8 NYCRR 151-1.3 (a)(2-3)] and [8 NYCRR 100.3 (a)(2-3)]

Activities shall be learner-centered and shall be designed and provided in a way that promotes the child's total growth and development, and ensures that:

- children are encouraged to be self-assured and independent through a balanced schedule of teacher-initiated and child-initiated learning activities;
  - instructional materials and equipment shall be arranged in learning centers that promote a balance of individual and small group activities; and
  - teachers shall use intentional planning to focus instruction to meet differentiated learning styles of students.
- 
- Indicators of best practices and quality of student-centered learning include, but are not limited to:
    - Program resources (materials, space, technology, instructional supports) aligned to, and support the program's goals
    - A private space for each child's possessions
    - A space for whole-group meetings, and opportunities for peer interactions and conversations
    - An area set aside where an individual student or a small group of students can engage in a small group or independent activity
    - A daily schedule that is posted, represented in pictures and words, and is displayed at the children's eye-level

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- The daily schedule allows morning and afternoon activities that balance teacher-directed (2/3 of day) and child-initiated (1/3 of day) play, indoor and outdoor gross motor activities, and individual and small group activities
- Classroom displays and exhibited student work are authentic, student-created, process-driven, and reflective of an inclusive, culturally, and linguistically diverse classroom environment where students demonstrate understandings and/or questions of their world and surroundings

## OEL Suggested Evidence:

- A daily schedule, classroom lesson plan(s), classroom floorplan, pictures and/or samples of student work and displays

## Helpful Resources:

- [March 2021 Guidance for Nap Time of Prekindergarten Students](#)

## 7.2 Learning Centers

[8 NYCRR 151-1.3 (a)(3)]

The school district ensures school district and collaborating prekindergarten programs arrange classrooms with clearly defined, well-equipped learning centers that promote a balance of individual and small group activities.

Qualities of an engaging learning center environment may include, but are not limited to:

Blocks and construction	Media/ Technology
Creative Arts	Music / Movement
Dramatic play	Sand and Water play / Sensory
Mathematics and Manipulatives	Science and Nature
Literacy (Language Arts, Reading/Writing, Library, including Home Language Library)	

- Centers designed, equipped, and supplied to align with theme-based instruction.
- Learning centers and components labeled with pictures and words in English and students' home language(s).
- Each learning center:
  - Includes an assortment of theme-based materials for small group and independent inquiry and exploration.
  - Is well-equipped with an appropriate number and variety of accessible age-appropriate materials (e.g., dolls, puppets, books, food, pictures, etc.).
  - Promotes literacy development with appropriate and accessible reading and writing materials.
  - Reflects diverse cultures, languages, and abilities.

## OEL Suggested Evidence:

- Classroom floor plan(s), classroom lesson plan(s), *and/or* school district policy or procedure pertaining to prekindergarten learning centers

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Helpful Resources:

- [Learning Center Setup Tip Sheets](#)
- [A Look at Quality Prekindergarten Learning Environments](#)

## 7.3 Curriculum and Instruction

[8 NYCRR 100.3 (a)(1-3)] and [8 NYCRR 151-1.3 (a)]

The school district and its collaborating prekindergarten program will adopt and implement a developmentally appropriate written curriculum that:

- Aligns to [NYSED's Prekindergarten Early Learning Standards](#);
- Is evidenced-based.
- Emphasizes language, emergent literacy, early mathematics skills, social and emotional development, physical abilities, and structured and unstructured play.
- Facilitates and supports individualized, differentiated, and responsive and sustaining instruction for diverse abilities, cultures, and languages.
- Integrates with the school district's Kindergarten-Grade 12 instructional program.
- Early literacy and emergent reading instruction based on effective, evidence-based instructional practices with essential components of this program shall include:
  - Background knowledge,
  - Phonological awareness,
  - Expressive and receptive language,
  - Vocabulary development,
  - Phonemic awareness,
  - Fluency; and
  - Comprehension
- Quality prekindergarten curriculum and instruction include, but are not limited to the following:
  - Incorporates the key domains of child development as outlined in
  - Using theme-based instruction, teachers use multiple strategies to facilitate student engagement, participation, and learning experiences that cohesively develop skills and concepts in language, math, social-emotional learning, and science.
  - Transitions are thoughtfully planned and minimize students' wait time.
  - Students participate in social conversations with peers and adults.
  - Students are given opportunities to respond to open-ended questions that generate higher order thinking.

 [OEL Suggested Evidence](#):

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- Examples of classroom lesson plans, a curriculum map, and school district curriculum policies and procedures

Helpful Resources:

- [NYSED’s Planning for High Quality Prekindergarten Programs](#)
- [NYSED’s Resource Guide School Success in Prekindergarten](#)
- [NYSECAC Developmentally Appropriate Briefs](#)
- [The NYS Early Learning Standards Introduction](#)
- [A Look at Quality Prekindergarten Learning Environments](#)
- [NYSECAC Developmentally Appropriate Briefs](#)

## 7.4 Prekindergarten Students with Disabilities

[8 NYCRR 151-1.4 (e)]

The school district ensures that school district and collaborating prekindergarten programs implement adequate and appropriate accommodations, modifications, and supports to enable preschool students with disabilities effective and equitable access, inclusion, and integration in the full range of the program’s curriculum, instruction, activities, goals, and objectives.

 OEL Suggested Evidence:

- Documentation of adequate and appropriate accommodations, modifications, and supports to meet the needs of students with disabilities
- Documentation of continuity of services from Prekindergarten through the early elementary grades
- District approved Committee of Preschool Special Education (CPSE) policy/procedure for referral
- Lesson plans including differentiated instruction
- Teacher and related service provider schedules that illustrate the level of services (frequency, duration, and intensity) provided
- An individual student schedule (name redacted) that reflects delivery schedule of related services

Helpful Resources:

- [July 2021 NYSED Memo: School District Responsibilities for Preschool Inclusion in Publicly Funded Prekindergarten Programs](#)
- [Blueprint for Improved Results for Students with Disabilities](#)
- [New York State Pyramid Model Partnership](#)
- [Resource to Support Special Education Services Birth to Third Grade](#)

## 7.5 Emergent Multilingual Learners (EML)

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[8 NYCRR 151-1.4 (f)]

The school District ensures that prekindergarten programs implement adequate and appropriate accommodations, modifications, and supports to enable language-diverse [Emergent Multilingual Learners \(EML\)](#) with effective and equitable access, inclusion, and integration in the full range of the program's curriculum, instruction, activities, goals, and objectives.

## OEL Suggested Evidence:

- Documentation of adequate and appropriate accommodations, modifications, and supports to meet the needs of Emergent Multilingual Learners (EMLs)
- District policies/procedures demonstrating how language-diverse students who have been identified as EMLs are integrated into the prekindergarten program
- Examples of how the district supports language-diverse PreK Emergent Multilingual (EML) students and their families in prekindergarten programs

Helpful Resources:

- [Blueprint for English Language Learners Success](#)
- [Encouraging the Development and Achievement of Dual Language Learners in Early Childhood](#)
- [Young Dual Language Learners: A Guide for PreK-3 Leaders](#)
- [A Look at Quality Prekindergarten Learning Environments](#)
- [Building on Emergent Multilingual Learners' Language Practices in Pre-School and Kindergarten Programs](#)
- [Parent Brochure- Supporting the Home Language](#)

## VII. Family Engagement and Support

*The school district has documented protocols for ensuring adherence to the following requirements related to family engagement and support, and partnerships with non-profit, community, and educational institutions in all school district and collaborating prekindergarten program settings:*

### 8.1 Family Engagement Policy and Practice

[8 NYCRR 151-1.3 (h)] and [8 NYCRR 100.3 (a)(4)]

The school district's written policies and procedures ensure active engagement of families, parents, and/or guardians in the education of their children enrolled in prekindergarten programs.

School district policy reflects outreach strategies and how families are engaged free-of-charge in the languages they understand.

- Examples of active engagement may include, but are not limited to, written communication with families, one-on-one meetings, parent workshops and training on such topics as child development, language development, multilingualism, educational disabilities, and the special education referral process; opportunities for families to

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volunteer and participate in program- and school-level decisions and program improvement.

## OEL Suggested Evidence:

- Policy/procedure for family engagement and support
- A copy of completed end-of-year family surveys
- End of year survey

## Helpful Resources:

- [End of year survey](#)
- [New York State Parent Portal](#)
- [Parent Brochure- Supporting the Home Language](#)
- [Communicating and Engaging with Families of Multilingual Learners](#)

## 8.2 Community Partnerships / Comprehensive Support Services

[8 NYCRR 151-1.3 (i)]

Within school district and collaborating prekindergarten programs, the **school district** provides non-academic services to children and their families, directly or through partnerships with **health and human service providers**, that support each child's participation in the prekindergarten program. Whenever possible, comprehensive services are provided in collaboration with other community organizations in a non-duplicative manner. Services are provided to the maximum extent practicable in the language or mode of communication which the parents and/or guardians and the child best understand.

- Some examples of community partnerships that deliver on-site and off-site services to students and families include, but are not limited to those with locally available and accessible:
  - social service agencies such as a social worker assigned or accessible to prekindergarten families,
  - libraries,
  - non-profit organizations,
  - food banks, food backpack services,
  - community centers,
  - dental clinics,
  - health clinics,
  - mental health service providers,
  - Women, Infants, and Children (WIC) clinics,
  - Home Energy Assistance Program (HEAP)
- Please note that this does not include partnering with community based organizations to provide prekindergarten programming.

## OEL Suggested Evidence:

- A list and description of community partnerships

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## 8.3 Transitioning

How the LEA prepares students and families for the transition to the next school year such as orientation materials and visits to classrooms/buildings.

[8 NYCRR 100.3 (a)(4)]

### OEL Suggested Evidence:

- Orientation materials documenting the transition to the next school year
- A schedule of visits to classrooms/buildings for the next school year
- A description of how students and families are prepared for the transition to the next school year