



# STATE OF CONNECTICUT

## OFFICE OF EARLY CHILDHOOD



### Connecticut Administered State-Funded Program General Policy A-03 Data Submission and Reporting Requirements

- ☒ OEC Child Day Care Contractors
- ☒ OEC Competitive School Readiness Municipalities
- ☒ OEC Priority School Readiness Districts
- ☒ OEC State Head Start Supplement
- ☒ OEC Smart Start

State funded programs are required to submit data and documentation to the Office of Early Childhood (OEC) in the required formats by established deadlines. This general policy outlines specific reports and systems required for reporting programmatic data to OEC. This policy does not include requirements related to fiscal processing and reporting.

Additional reporting may be required to support the management of the grants and contracts issued to state-funded programs. For any reporting outside of the scope of this policy, OEC will endeavor to notify programs in writing at least 30 calendar days prior to the initial submission date. This notification will minimally include the required data, format, and date of submission for the report.

The first section of this General Policy (GP) outlines requirements that apply to all state-funded programs. Specific reporting requirements by type of funding are included at the end of the document. The final section of this GP includes a chart summarizing submission timelines and reporting procedures across all state funded programs. Finally, a breakdown of requirements and timing of reports is provided for each separate funding source.

### **Responsibilities of School Readiness Councils, CDC Contractors, and School Districts**

School Readiness Councils and CDC Contractors are responsible for oversight of program compliance with these requirements. Local Education Agencies (LEAs) are responsible for oversight of compliance with these requirements by individual schools/locations.

### **Program Names**

Programs must use their official, legal name (e.g., LLC) for all reporting, licensing, approvals, and accreditation. This includes OEC licensing, the CT Early Childhood Professional Registry, National Association for the Education of Young Children (NAEYC) Accreditation, National Association for Family Child Care (NAFCC) Accreditation, or Head Start approval systems, and all reports submitted directly to OEC, and Early Care and Education (ECE) Reporter.

- Licensed programs are required to use the name on their OEC Child Care License when creating a Registry account and when submitting reports and records to OEC.
- School programs that are license-exempt should use the following format for naming on all reports and in all systems: **(town) BOE at (school/program name)**. If the legal program name currently

reflected in the OEC Registry does not follow this format, use the program name currently documented in the Registry across all other systems and reports.

- Other license exempt programs should use their legal name (e.g., registered business or non-profit name) on all reports and in all systems.
- All programs must include their Program Registry ID when submitting reports or records to OEC.

### **Early Care and Education (ECE) Reporter**

*Child Day Care, School Readiness, State Head Start and Smart Start*

All State-funded programs are required to enter (or upload) child enrollment data and submit monthly reports via Early Care and Education (ECE) Reporter. Programs are required to update and confirm enrollment information for all children in state funded spaces monthly.

For School Readiness and Child Day Care funding, the information on the monthly reports is used to determine final funding amounts.

Child Day Care contractors with multiple subcontractors must review and approve all reports for subcontractors monthly and are responsible for monitoring the accuracy of the data submitted.

School Readiness Liaisons are responsible for verifying accuracy of program monthly reports for each program site included in the community's School Readiness grant and are responsible for monitoring the accuracy of the data submitted.

### **Early Childhood Professional Registry ("The Registry")**

*Individual Accounts:* Part-time and full-time teaching and administrative staff members of OEC-funded programs are required to hold active Registry accounts with applicable transcripts and diplomas from regionally accredited higher education institutions, early childhood state teaching endorsements, state administrative endorsements, and CDA Credentials. Other staff members may participate in the Registry.

*Administrative Access:* All OEC-funded programs must designate at least one leadership-level staff member to request Administrative Access (Admin Access) to the program's Registry tools to oversee compliance; this individual must be an employee of the program (consultants are not eligible).

Each OEC-funded program must identify an Operational Administrator and a Pedagogical Administrator in the Registry (see NAEYC Accreditation criteria 6C.3 and 6C.4).

The program's Admin Access Designee is required to perform the following Registry responsibilities:

- Ensure newly hired eligible staff members have a Registry account linked to the program within 30 days of hire, including submission of up-to-date documents;
- Update the *Staff Confirmation* page monthly, completing all fields with current data including salaries and information regarding those employees actively matriculating toward a degree in early childhood education;
- In *Edit Program Details*: Enter an active work email address for the Operational Administrator, and confirm details at least twice a year and as program data changes;
- In *Building / Managing Rooms*: Identify every classroom or group regardless of funding, each classroom's hours of operation and age range;
- In *Building / Managing Rooms* and *Edit Staff*: Identify every classroom or group's funding source(s), all associated staff and designated roles, and one Qualified Staff Member (QSM) from the drop down for that room; and
- In Program Files: upload all applicable program documents required for OEC funding

- Recent Environmental Rating Scale (ECRS-3, ITES-3) report required under General Policy B-05
- NAEYC Decision Reports and Certificates
- NAEYC 72-Hour Notification Form
- NAEYC portal screen shots that include program name to document the following:
  - Completion of Enrollment
  - Application
  - Candidacy
  - Submission of Annual Reports for Y1, Y2, Y3, and Y4
  - Renewal Submission
- Head Start Grant Award Letter
- Head Start CLASS Review Document
- Head Start FA1 Review Document
- Head Start FA2 Review Document
- NAFCC accreditation certificate
- Documentation of application for NAFCC accreditation renewal

Use the Resource Documents: Instructions - Program Administrators (located under the log in section) and the QSM Instructions > Step-By-Step Instructions (My Resources > Program Administration > QSM Instructions) for details and guidance on the items above.

Note: The Registry includes a NAEYC report generating feature. OEC-funded programs are encouraged to utilize this Registry report when submitting education qualifications in the NAEYC portal in lieu of uploading each individual's education documents there.

### ***School Readiness***

Liaison Role: Each School Readiness Liaison (SRL) is required to have a Registry account that will be linked by the OEC to the relevant funded programs for monitoring purposes. The SRLs are required to complete a quarterly check of each funded program's education qualifications and keep documentation of each program's progress toward meeting and maintaining compliance with both NAEYC Accreditation / Head Start Approval and the state-legislated education requirements (via Designated QSM Summary Report; note: extended detail is included in the Designated QSM Compliance Report).

The SRL is required to work with the Designated Operational Administrator and/or Pedagogical Administrator to create action plans for those programs that do not meet and maintain NAEYC Accreditation and/or do not meet the legislated education requirements. Updated action plans must be reviewed quarterly by the Liaison.

The OEC may request updates from the Liaison at any time.

### ***Child Day Care Contractors***

Child Day Care Contractors are responsible for ensuring that all programs providing services under their contract (including programs operated by the contractor and those who are providing services through a subcontract) hold a Registry account and are meeting the requirements outlined in the section of this policy entitled "Early Childhood Professional Registry."

***Head Start/Early Head Start:*** Any federal Head Start program receiving state funds (State Head Start, School Readiness, Child Day Care) is responsible for ensuring that all Head Start and Early Head Start site(s) where children are served that share a license with sites that accept state funds enter information for all classrooms into the Registry. If a Head Start is license-exempt, they must enter all classrooms into the Registry if any children at the Head Start or Early Head Start site receive state funding.

**Smart Start:** Information for all infant/toddler and preschool classrooms operated by the board of education at a school/site that receives Smart Start funds must have accurate and updated information in the Registry.

### **Assessment of Children's Progress**

The OEC is moving toward a systematized approach to child assessment.

Programs are required to use a child assessment tool aligned to the CT Early Learning and Development Standards to monitor children's learning and development and communicate with each family about their child's learning and development. Use of this, and other assessments should be based upon the Key Considerations for Assessment in Early Childhood outlined in the OEC's white paper [Early Childhood Screening and Assessment in Connecticut](#).

Annually, programs must identify the assessment tool used in a manner determined by the OEC.

Programs are required to provide written documentation of the child assessment processes and tool(s) to families. This documentation should include a family-friendly description of the connection between learning standards, the curriculum, and assessment practices in the program. For more information on the connection between standards, curriculum and assessment you can review [OEC's guidance](#).

Program assessment practices will include:

- Ongoing assessment of children's learning and development using a tool designed to inform curriculum and instruction.
- Twice annually, the program will review assessment data and summarize each child's learning and development, reported in a format specified by the user's manual for the selected tool
- Twice annually, the program will provide an opportunity for families to meet to discuss their child's development and goals for learning.
- Twice annually, the program will provide a family-friendly written summary of each child's learning and development to their family

Written documentation of children's learning and development shall be available for inspection by OEC Program Managers and liaisons upon request, inclusive of family summaries and family meeting dates over a two-year period.

### **Child Day Care Reporting Requirements**

The Contractor shall provide the Agency with reports and submit the following forms to the Agency:

*OEC-CDC Program Contact List:* Submitted annually and within 30 days of any change. This form must include a full listing of contact information for Contractors and subcontractors and all corresponding facilities at which spaces are provided. It is the responsibility of the Contractor to ensure the Program Contact list is maintained and updated within 30 days of any changes.

*OEC-CDC Program Space List:* Submitted at initial term of contract, and within 30 days of any change. The Contractor will provide a full listing of subcontractors and all corresponding facilities at which spaces are provided, if applicable, to include the following information for each facility at which spaces are provided: Connecticut Child Care Center license number, facility address, and the number of spaces by type at each facility. It is the responsibility of the Contractor to update the Program Space List as needed and submit to the CDC Program Managers.

*OEC-CDC Community Collaboration:* Submitted at initial term of contract, the Contractor shall provide documentation that demonstrates that it collaborates with any local School Readiness Council or other Early Childhood Council serving a community or regional school district that is also served under this contract and shall describe how each grant/program listed interfaces with the Child Day Care Program. Programs that also provide services under School Readiness will be considered in compliance with this reporting requirement through the submission of the local School Readiness application.

*OEC-CDC Weeks of Full-Time Care:* If the Contractor proposes to provide full-time care for wraparound infant and toddler child care spaces, wraparound preschool spaces or full-time school-age child care spaces as identified in the CDC contract, annually it shall identify on the form and consistent with the spaces listed on the contract, the fourteen (14) weeks, from Sunday through Saturday, when full-time care will be provided. At the end of the fiscal year, the Contractor will attest, on a form provided by the OEC, that fourteen (14) weeks of full-time care for allocated space types were made available for children enrolled in each space type.

- The number of weeks of full-time and part-time school-age or preschool wraparound care can be adjusted across the contracted allocation in response to community needs, particularly for weather-related, public health-related, or planned school closures. Singular days of full-time care may be provided and added together to equal a full week of care.
- Monthly reimbursement will be based upon 1/12th of the aggregate sum of full-time and part-time care provided annually (14 weeks for full-time and 38 weeks of part-time or wraparound care).

Reconciliation will be conducted annually for any significant variances.

The allocation of additional weeks of full-time care is contingent upon OEC approval; documentation maintained by the program; and that reimbursement after adjustment does not exceed the total maximum contract value.

*OEC-CDC Subcontractor Monitoring Plan for Contractors that have subcontracted services:* At the initial term of the contract, the Contractor shall submit a monitoring plan that indicates how the Contractor monitors subcontractors and approves subcontractors' compliance with this contract's requirements for monthly Program Status Reports, NAEYC Accreditation requirements, child and family eligibility, and compliance with quality requirements. The Contractor shall provide evidence of annual subcontractor monitoring of the subcontractor(s) for review by the Agency promptly upon request.

*OEC-CDC Annual Program Schedule:* Annually, the Contractor shall submit their annual program schedule, not to exceed a combined total of four weeks per calendar year for programs operating for forty-eight (48) weeks a year.

*OEC-CDC Program Improvement Plan:* The Contractor shall maintain an annual written program improvement plan based on data collected from accreditation tools and reports and other data including but not limited to licensing inspections, environment rating scales, and/or Program Administration Scale. The written plan shall identify timelines, responsible parties, progress and goals. The Contractor shall provide evidence of program improvement planning for review by the OEC promptly upon request.

The Contractor shall submit such reports in accordance with the following table:

Reporting Form	Due Date	Frequency
Program Contact List	As established and published by the OEC no later than December 30	Annual and within 30 days of any change
Program Space List		Once per term of contract and within 30 days of any change

Dates of Closure		Annually for planned closures and within 15 business days of an event for unplanned closures
Community Collaboration		Once per term of contract
Subcontractor Monitoring Plan		Once per term of contract
Program Improvement Plan		Once per term of contract
Planned Weeks of Full-Time Care		Annual
Weeks of Full-Time Care Final Attestation	July 31 <sup>st</sup> after completion of fiscal year	Annual

### **Smart Start Reporting Requirements**

Per C.G.S. 10-506, Smart Start Grantees must submit an annual report regarding the status and operation of the preschool program. This annual report will be submitted to OEC in conjunction with the plans for operation of the Smart Start program in the following fiscal year, if applicable. Smart Start grantees will receive information regarding deadlines and submission processes for this annual report and plan.

### **State Head Start Supplement Reporting Requirements**

State Head Start grantees are required to submit an annual report regarding the goals and outcomes of their programming based on their approved grant application. Grantees are also required to submit quarterly reports to report on the status of goals and outcomes of their programming based on their approved grant application. State Head Start grantees will receive information regarding deadlines and submission processes from OEC.

**For further information concerning this GENERAL POLICY please contact the OEC program manager.**

**If you're not sure who that is, visit: <https://www.ctoec.org/contact-us/>**

Funding Source				OEC State-Funded Early Childhood Grants and Contracts Required Reporting Guidance	
SR	CDC	SHS	SS	OEC PROFESSIONAL REGISTRY	
X	X	X	X	<b>Staffing and Programmatic Information:</b> Programs must maintain accurate staff and program information in the OEC Registry. Staff information must be confirmed on a monthly basis.	
X	X	X	X	<b>Quality Assurance Requirements:</b> All State-funded programs must have either NAEYC Accreditation or Head Start Approval and must submit applicable documentation of ongoing compliance with these requirements. Specific documents to be submitted are listed below	
				Recent Environmental Rating Scale (ERS)*	<p>All programs receiving state funding are required to upload the applicable documents for each program site using the Program File Manager tool located in the OEC Early Childhood Professional Registry at <a href="https://www.ccacregistry.org">https://www.ccacregistry.org</a></p> <p>The Program File Manager tool is used to upload PROGRAM documents or to view PROGRAM documents already on file. Admin / Multi Site Administrative (MSA) access users log in and click on Program Administration on the left menu, then Program File Manager for individual sites. Instructions for uploading documents are available in the Submitting Documents tab on the home page. Remember that NAEYC portal screen shots must include the program name.</p> <p>For program sites receiving funding from multiple sources, please upload documentation ONLY once per site.</p>
				NAEYC Decision Reports and Certificates	
				NAEYC 72-Hour Notification Forms	
				NAEYC Annual Report Submission Screen Shots (Y1, Y2, Y3, Y4)	
				NAEYC portal screen shots of completion of Enrollment, Application, Candidacy / Renewal Submission	
				Head Start Grant Award Letter	
				Head Start CLASS Review Document	
				Head Start FA1 Review Document	
				Head Start FA2 Review Document	



SR	CDC	SHS	SS	ECE REPORTER					
X	X	X	X	<b>Child Enrollment Data:</b> Child enrollment data should be entered and updated on a regular basis. Enrollment data must be confirmed on a monthly basis.					
X	X		X	<b>Monthly Reports:</b> Once the enrollment data (i.e., the roster) is confirmed, programs are able to complete the monthly report in ECE Reporter. <b>Programs will need to confirm fields that are automatically completed, and</b> additional data must be entered, and monthly report must be submitted by the due date(s) provided by OEC Program Managers.					
				Other Reporting Requirements					
SR	CDC	SHS	SS	Reporting Requirement	Submission Timing	School Readiness submit to	Child Day Care submit to	State Head Start submit to	Smart Start submit to
X	X	X	X	Contact Information Updates	Within 72 hours of change	Submit online form: <a href="https://www.ctoec.org/state-funded-programs/contact-list-updates/">https://www.ctoec.org/state-funded-programs/contact-list-updates/</a>			
		X		Quarterly Progress Reports	Quarterly			Qualtrics link sent by PM	
		X		Annual Report	Annually			Qualtrics link sent by PM	
	X			CDC Community Collaboration	Due dates established by OEC		Qualtrics link sent by PMs		
	X			CDC Subcontractor Monitoring Plan	Due dates established by OEC		Qualtrics link sent by PMs		
	X			Planned Weeks of Full-Time Care	Due dates established by OEC		Qualtrics link sent by PMs		
	X			Weeks of Full-Time Care Final Attestation	Due dates established by OEC		Qualtrics link sent by PMs		
	X			CDC Program Improvement Plan	Due dates established by OEC		Qualtrics link sent by PMs		