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# Design Options for California's Quality Rating Structure: first 4 elements

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CAEL QIS Advisory Committee

**Design, Workforce, and Parent Involvement Subcommittees**

**October 29, 2009**

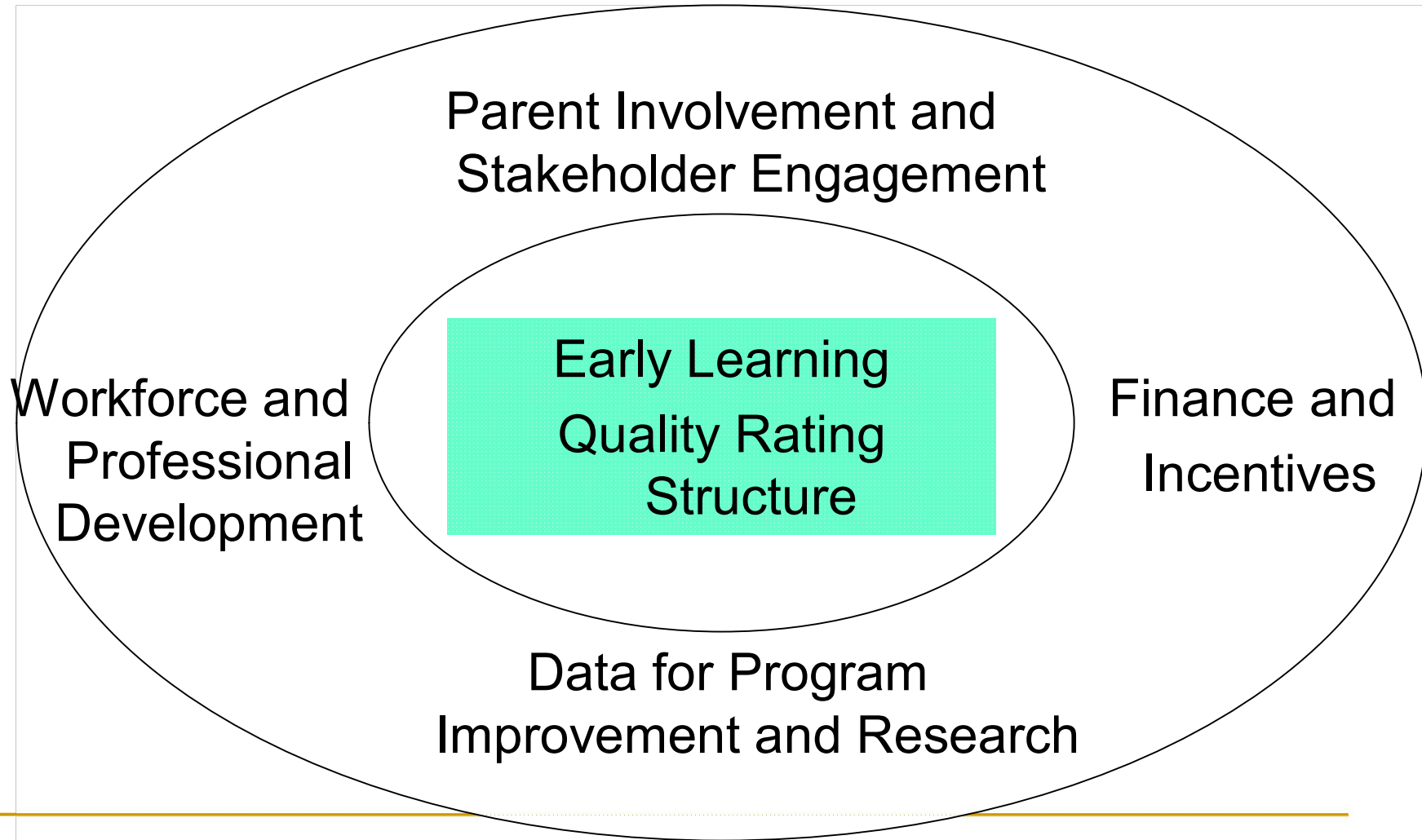
**Includes information provided by: Gail Zellman and Lynn Karoly, RAND**

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# Outline

- Review terms and framework
- Review guidance from full committee offered at August 26, 2009 meeting
- Discuss design options for first four quality elements through work of CAEL QIS Subcommittees

# Focus Today Is On Design of Quality Rating Structure



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# How Do We Get There?

- Examine other states' QRSs, but don't just copy
  - California is unique; differences must be incorporated
- Learn from other states' successes and failures
- Draw on research data on QRSs and their components
- Conduct feasibility analyses using available data
- Pilot less-developed aspects of the QRS
- Integrate QRS with California's licensing and regulatory processes
- Evaluate system implementation and outputs

# QRIS Guidance Approved

by Advisory Committee on 8/26/09

- Use a block system, perhaps in combination with point system. *Note: In a block system, all elements in Tier 1 need to be met before the program can move to the Tier 2; and the progression continues in that way until Tier 5 is reached.*
- Account for weighting in system design
- Incorporate some structural elements in revised licensing standards and then exclude those structural elements from rating system
- Use four or five levels where level one includes licensing
- Include licensing in entry tier but may require revised licensing standards

# QRS Design in Block System Requires Completing a Matrix of Standards by Tier

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Ratios					
Group size					
Classroom staff education, training & experience					
Director education, training & experience					
Environment (structure, process or both) rating scale (ERS)					
Etc.					

***Standards***

Potential Application: of QRS (quality rating structure) and QIS (quality improvement systems such as professional development and parent education) by setting and child age

Setting	Child Age	
	Infants/Toddler	Preschool-Age
Licensed centers	QRS / QIS	QRS / QIS
Licensed family child care homes	QRS / QIS	QRS / QIS
License-exempt home-based care	QIS	QIS

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# Additional QRIS Guidance Approved by Advisory Committee on 8/26/09

- Emphasize quality components in rating system that show stronger links to child outcomes (e.g., process components)
- Aim for fewer rather than more components
- Explore possible inclusion of options for third-party accreditation, even with issues of alignment and inter-organizational complexity
- Pilot and further evaluate components generally viewed as important but with limited research
- Experiment in pilot phase with alternative cut points for continuous measures
- Explore using independent assessors for higher rating levels

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# □ Parent involvement

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# Parent Involvement: Issues in Design

- Typically not included in ECE licensing standards but elements may be part of specific ECE program standards
- The field has not reached consensus on what to assess or even whether to assess parent engagement in QRSSs
- No consensus on measure to use; existing measures somewhat ad hoc
- Highly positive parent ratings argue for more behavioral measures, but these may be more costly to collect
- Differences between center-based and family care need to be considered and reconciled

# Parent Involvement in QRS:

## Examples from Other States and CA

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Pennsylvania (BS) "Partnership w/ Family and Community"	–	<ul style="list-style-type: none"> <li>Families receive info. on community &amp; transitions</li> <li>Orientation meeting held within 60 days of enrollment</li> </ul>	Tier 2 + provide: <ul style="list-style-type: none"> <li>Info. on child's day shared with parents</li> <li>Parents offered yearly conference</li> <li>Program requests copy of any IEP</li> </ul>	Tier 3 + provide: <ul style="list-style-type: none"> <li>Written referral plan to community resources</li> <li>Offer family group activity</li> <li>Parents offered two conferences &amp; group meeting on transition</li> <li>Program participates in K transition</li> </ul>	Tier 4 + provide: <ul style="list-style-type: none"> <li>Parent engagement &amp; partnership activities</li> <li>Parents offered a private transition meeting</li> <li>IEP/FSP activities implemented</li> </ul>
New Mexico (BS) "Family Involvement"	–	–	<ul style="list-style-type: none"> <li>PI support statement in parent handbook</li> <li>Children &amp; parents acknowledged at arrival &amp; departure</li> </ul>	Tier 3 + provide: <ul style="list-style-type: none"> <li>Program provides at least two FI activities</li> </ul>	Tier 4 + provide: <ul style="list-style-type: none"> <li>At least 3 FI activities incl. newsletter or other communication</li> <li>Meetings/socials</li> <li>Child development milestone information</li> <li>Volunteer opportunities</li> </ul>
Colorado (PS) "Family Partnership"	<ul style="list-style-type: none"> <li>Tool asks for feedback from parents on orientation, home &amp; volunteer activities, events</li> <li>It also includes observer documentation of parent policies, child development info, home learning activities, information sharing re child</li> </ul>				
CA: San Diego County (BS) "Engaging Families as Partners"			<ul style="list-style-type: none"> <li>2 annual conferences</li> <li>Open-door policy</li> <li>2+ volunteer oppor.</li> <li>Organized volunteer opportunities</li> <li>Monthly communication including parent tips</li> <li>Annual develop. profile</li> </ul>	Tier 3 + provide: <ul style="list-style-type: none"> <li>Learning-at-home activities offered</li> </ul>	Tier 4 + provide: <ul style="list-style-type: none"> <li>Active Parent Advisory Committee</li> <li>Parent education workshops</li> <li>Community collaboration</li> </ul>
<b>NOTE: BS = Block System; PS = Point System.</b>					

# Parent Involvement: Possible Design Options for California

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Option I	Provide: <ul style="list-style-type: none"> <li>■ Orientation meeting</li> <li>■ Open-door policy</li> <li>■ Annual developmental profile</li> <li>■ Monthly communication</li> </ul>	Tier 1 + provide: <ul style="list-style-type: none"> <li>■ Annual conference</li> <li>■ Daily information on child's day</li> <li>■ Community resource referrals list</li> </ul>	Tier 2 + provide: <ul style="list-style-type: none"> <li>■ 2-way daily communication on child's day</li> <li>■ Monthly parent tips related to curriculum</li> </ul>	Tier 3 + provide: <ul style="list-style-type: none"> <li>■ Monthly learning-at-home activity</li> <li>■ Twice yearly conference</li> <li>■ Request for input regarding child's strengths and needs</li> </ul>	Tier 4 + provide: <ul style="list-style-type: none"> <li>■ Collaboration with other institutions around transitions</li> <li>■ At least one yearly parent-generated class or workshop</li> <li>■ Request for family product of at-home activity</li> </ul>
Option II	Minimum score on PE measure(s) to be piloted	Higher score on PE measure(s) to be piloted	Higher score on PE measure(s) to be piloted	Higher score on PE measure(s) to be piloted	Higher score on PE measure(s) to be piloted

# Parent Involvement/Communication

## Element: Engagement and Design Subcommittees

Tiers of Parent Engagement with menu (to be developed) of strategies that are appropriate to different program settings.

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Parent Involvement Subcommittee	Inform Parents		Involve Parents	Engage Parents	Partner and Advocate with parents
Design Subcommittee	Inform Parents	Educate Parents	Involve Parents	Engage Parents	Partner with Parents

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# Parent Involvement:

## Subcommittees' Factors to move forward:

- Plan to develop white paper on goals, expected outcomes, and the support systems needed
- Support for pilots, especially for cultural and language appropriateness, effective measures, and inclusive practice for children with special needs. Also to check that the steps roughly equal in difficulty.
- Family desires, needs, and capacity must be considered.
- Clarity on whether programs “offer parents opportunities” or if “parents must participate” to meet a goal
- Be clear about the scope of work (what is expected of the early education and care provider).
- The system should be equitable for both center and home based early education and care providers.

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# September and October meetings:

## QRIS Factors for Parent Involvement

- **Communication and Input Plan for parents and families.**
  - Provide information in multiple languages and formats and in locations parents frequent.
  - Use non-written communication forms (e.g., radio, television) to reach specific communities, particularly in the morning hours.
  - Collaborate with state, county, and community-based agencies and groups that have parents as a client base.
- **Attributes:**
  - Recognize that all families have things to contribute.
  - It must be convenient for parents to participate relative to time, location, transportation, language translation, child care
  - Present clear and meaningful messages that respect the cultures and languages of the families within the communities.

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# Action Items for Parent Involvement

- Develop 5 tiers for Parent Involvement with menu of effective strategies that are appropriate to different program settings and California's cultural and language groups.
- Approve factors for Parent Involvement outlined on slides 14-15 and provide direction to Subcommittees to continue work.

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## ▣ Ratios and group size

# Ratios and Group Size: Issues in Design

- Thresholds typically included in ECE licensing requirements and other ECE program standards (e.g., Head Start, Title 5)
- Existing standards typically vary with child age and setting
- Research evidence suggest ratios matter more than group size
- Teacher: Child ratios usually imply a maximum group size
- Limited discrete options between standards used in licensing and those associated with high quality programs

# Ratios and Group Size: Existing Center Standards

	Infants	Toddlers	Preschool
<b>Child–Adult Ratio</b>			
NAEYC	4:1 (0–15 mos)	4:1 (12–18 mos) 6:1 (21–36 mos)	10:1 (2.5–5 years)
HS	4:1	4:1	8.5:1 (3-year-olds) 10:1 (4-year-olds)
Title 5	3:1 (0–18 mos)	4:1 (18–36 mos)	8:1 (3–5 years)
Title 22	4:1 (0–24 mos)	6:1 (toddler component)	12:1 (2–5 years)
<b>Group Size</b>			
NAEYC	8 (0–15 mos)	12 (12–36 mos)	20 (2.5–5 years)
HS	8	8	17 (3-year-olds) 20 (4-year-olds)
Title 5	n.a. (effectively 18*)	n.a. (effectively 16*)	n.a. (effectively 24*)
Title 22	n.a. (effectively 12*)	n.a. (effectively 12* for toddler component)	n.a. (effectively 24*)

**\*Based on child–teacher ratio.**

# Ratios and Group Size in QRS:

## Examples from Other States and CA

		Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
North Carolina (PS)	Infant: Toddler: Preschool:	5:1 and 10 6:1 and 12 10:1 and 20 15:1 and 25	5:1 and 10 6:1 and 12 9:1 and 18 10:1 and 20 13:1 and 25	5:1 and 10 6:1 and 12 9:1 and 18 10:1 and 20 13:1 and 25	5:1 and 10 6:1 and 12 9:1 and 18 10:1 and 20 13:1 and 25	4:1 and 8 5:1 and 10 8:1 and 16  9:1 and 18 12:1 and 24
New Mexico (BS)	Infant: Toddler: Preschool:	6:1 10:1 12:1	6:1 10:1 12:1	6:1 10:1 12:1	5:1 and 10 8:1 and 16 10:1 and 24	Nationally accredited
CA: San Diego County	Preschool:			8:1 and 24	8:1 and 24	10:1 and 20
CA: San Mateo County	Preschool:			10:1 and 20	10:1 and 20	10:1 and 20

**NOTE: BS = Block System; PS = Point System.**

# Ratios and Group Size:

## Design Subcommittee's Possible Design Option

		Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Option I	Infant: Toddler: Preschool:	4:1 and 12 12:1 and 24 12:1 and 24	4:1 and 12 12:1 and 24 12:1 and 24	3:1 and 18 4:1 and 16 8:1 and 24	3:1 and 18 4:1 and 16 8:1 and 24	3:1 and 8 4:1 and 12 10:1 and 20

**NOTE: Infant (0–18 months), Toddler (18–36 months), Preschool (3–5 years).**

**Group size based on child–teacher ratio.**

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# Action Item for Ratios and Group Size:

- **All 5 tiers will continue to be refined in relation to research, effective practice, and costs including facility costs**
- **Title 22 standards become the Tier 1 with annual visits and opportunity to revise licensing standards**
- **Title 5 standards become Tier 3**
- **Same levels maintained for Tiers 1-2 and for Tiers 3-4**
- **Improved Tier 5 beyond NAEYC for infants and toddlers to incorporate PITC standards for infants and toddlers:**
  - **3:1 ratio for infants; max group size of 8 (PITC)**
  - **4:1 ratio for toddlers; max group size of 12 (PITC)**
  - **10:1 ratio for preschoolers; max group size of 20 (NAEYC). Note that change in ratios reflects increased professional development at Tier 5.**

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# □ Environment

# Environment Rating Scale (ERS) in QRS: Examples from Other States and CA

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
North Carolina (PS) (birth to 5)	–	–	F: ERS ≥ 4.0	F: ERS ≥ 4.5	F: ERS ≥ 5.0
Pennsylvania (BS) (birth to 5)	–	Learning environ. checklist	Self* ERS  QI plan if any subscale < 3.0	F: ERS ≥ 4.25 C: ERS ≥ 3.50  QI plan if any subscale < 3.5	F: ERS ≥ 5.25 C: ERS ≥ 4.25  QI plan if any subscale < 4.25
CA: Los Angeles County (preschool)			ECERS ≥ 4.0 (no subscale < 3.0)	ECERS ≥ 5.0 (no subscale < 3.0)	ECERS ≥ 6.0 (no subscale < 3.0)
CA: San Diego County (preschool)			ECERS ≥ 4.0	ECERS ≥ 4.5	ECERS ≥ 5.0
CA: San Mateo County (preschool)			ECERS ≥ 4.0 then ≥ 5.0 w/in 24 mos.	(no additional requirements)	(no additional requirements)

**NOTE: F = Facility average; C = Classroom score; BS = Block System; PS = Point System; QI = quality improvement. ERS = ECERS or ITERS depending on age group.**

**\* Conducted by director or lead teacher who has received some training on ERS.**

# Environment Rating Scale (ERS): Possible Design Options for California

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Option I: ERS only	<i>Licensing (new Title 22)</i>	Self* ERS  QI plan if any subscale < 3.0	F: ERS ≥ 4.0 C: ERS ≥ 3.5  QI plan if any subscale < 3.5	F: ERS ≥ 4.5 C: ERS ≥ 4.0  QI plan if any subscale < 4.0	F: ERS ≥ 5.0 C: ERS ≥ 4.5  QI plan if any subscale < 4.5
Option II: Option I plus CLASS (CLS)	<i>Licensing (new Title 22)</i>	Self* CLS  QI plan if any item < 4.0	F: CLS** ≥ 5.0 C: CLS** ≥ 4.5  QI plan if any item < 4.5	F: CLS** ≥ 5.5 C: CLS** ≥ 5.0  QI plan if any item < 5.0	F: ERS ≥ 6.0 C: ERS ≥ 5.5  QI plan if any item < 5.5

**NOTE: F = Facility average; C = Classroom score; QI = quality improvement. ERS = ECERS or ITERS depending on age group; CLS = CLASS.**

**\* Conducted by director or lead teacher who has received some training on ERS / CLASS.**

**\*\* Cutoff is applied separately for each CLASS subscale: Emotional Support (ES), Classroom Organization (CO), and Instructional Support (IS). Cutoff for IS is 2.0 points lower.**

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# Environment Rating Scale

## Design Subcommittee Responses

- ERS needs to be core of QRS and include:
  - Teacher/child interactions at higher levels/tiers
- Tier 1 is entry level
- Tier 1 needs to include each of the following:
  - Health and safety standards
  - Curriculum
  - Evidence that staff is trained in the curriculum
  - Lesson planning

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# Environment Rating Scale

## Design Subcommittee Responses

- **Prefer Option 2 with:**

- Level 1: health and safety with some quality components (revised Title 22 Licensing Stds)
- Level 5: Appropriate subscales for ECERS-R and CLASS for prek; ITERS and PARS/PITC for Infant/Toddlers; FCCERS or PARS for FCCH
- Intermediate steps to motivate improvement
- Need to analyze levels for ERS scales at each Tier
- Long term option to develop own, non-proprietary scale that aligns with Foundations and Framework

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# Environment Rating Scales:

## More Discussion Issues by Subcommittees

- **Which ERSs should be used and in what combination and which subscales (e.g., ECERS and CLASS in center-based programs)?**
- **Should there be self-assessment at lower tiers? If so, how should these scores be treated compared to those from independent assessors?**
- **Should scores be averaged across assessed classrooms, or must all classrooms meet the standard? Should subscale minimums be applied within a classroom?**
- **How many classrooms should be assessed at each age level?**

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# Action Items for

## Environment Rating Scales (ERS):

- Develop Option 2 with combination of subscales for ERS that focuses on structural quality at entry levels and moves to process quality (such as teacher-child interactions) at higher levels and will include updating licensing standards for Tier 1
- Approve continued work on factors outlined on slides 26-27

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- Staff education and training

# Staff Education and Training: Existing Center Standards

	Director	Lead Teacher	Assistant Teacher
NAEYC	<ul style="list-style-type: none"> <li>12c ECE (3c GE) &amp; 4 yrs exp.</li> </ul>	<ul style="list-style-type: none"> <li>AA</li> <li>75% w/ BA by 2020</li> </ul>	<ul style="list-style-type: none"> <li>50% w/ CDA or equiv. or enrolled to obtain CDA</li> </ul>
HS	<ul style="list-style-type: none"> <li>12c ECE (3c GE) &amp; 4 yrs exp.</li> </ul>	<ul style="list-style-type: none"> <li>CDA or AT Permit</li> <li>100% w/ AA by 2011</li> <li>50% w/ BA by 2013</li> </ul>	<ul style="list-style-type: none"> <li>HSG</li> <li>100% CDA by 2013</li> </ul>
Title 5	<ul style="list-style-type: none"> <li>SS or PD Permit, or</li> <li>Elem. teaching credential w/ 6c in ECE admin. &amp; 12c in ECE/CD or 2 yrs exp.</li> </ul>	<ul style="list-style-type: none"> <li>AT Permit, or</li> <li>Elem. teaching credential w/ 12c in ECE/CD or 2 yrs exp.</li> </ul>	<ul style="list-style-type: none"> <li>HSG</li> </ul>
Title 22	<ul style="list-style-type: none"> <li>SS or PD Permit, or</li> <li>BA in ECE &amp; 1 yr exp., or</li> <li>AA in ECE &amp; 2 yrs exp., or</li> <li>HSG or GED, 15c ECE (3c admin) &amp; 4 yrs exp.</li> </ul>	<ul style="list-style-type: none"> <li><u>Entry</u>: A Permit or 6u ECE</li> <li><u>Full</u>: AT Permit or 12u ECE &amp; 6 mos. exp.</li> </ul>	<ul style="list-style-type: none"> <li>HSG</li> </ul>

**NOTE: AA = Associate's degree; BA = Bachelor's degree; HSG = high school graduate; c = credits (or units); CD = child development; ECE = early care and education; GE = general education; CDA = Child Development Associate; I = Infant; T = Toddler; P = Preschool. For California ECE permits: A = Assistant Teacher; AT = Associate Teacher; T = Teacher, MT = Master Teacher, SS = Site Supervisor; PD = Program Director.**

# Staff Education and Training:

## Title 5 Family Child Care Home Education Networks and Independent Licensed Providers

	<u>Title 22</u>	<u>Title 5</u>
<b>Title 5 Network Providers</b>	Yes <ul style="list-style-type: none"><li>■ Requires CA Emergency Medical Services Authority Approved Health and Safety Training (15 hours)</li></ul>	Yes <ul style="list-style-type: none"><li>■ Title 22 staff education and training requirements for Network Providers (no Title 5 requirements)</li><li>■ Program Director Permit Required of Network Contractor</li></ul>
<b>Independent Providers</b>	Yes <ul style="list-style-type: none"><li>■ Requires CA Emergency Medical Services Authority Approved Health and Safety Training (15 hours)</li></ul>	No  Information provided by the CDE/CDD.

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# Staff Education and Training

Three components to define 'qualified teacher' by Workforce Subcommittee:

- **Meets standards of formal education (units earned)**
- **Demonstrates competence through supervised practical experience**
- **Continues to meet professional growth requirements over time, including mentoring and advisement**

***Integrate Early Childhood Educator Competencies into unit-bearing coursework and professional growth plan, then into career ladder and revisions to ECE Permit. Integrate I/T and PreK Foundations, Curriculum Framework, and child development screening and assessment.***

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# Staff Education and Training

## **Responses from Workforce and Design Subcommittees:**

- One set of professional qualification standards that are applicable for Centers and Family Child Care Home (FCCH) staff with longer phase-in period for FCCH staff
- Current program-specific professional qualification standards will be combined, so there is one set for all early learning and care programs
- Financial incentives, including subsidies, should provide incentives for moving up to higher tiers for individuals and programs
- Encourage many gateways to enter ECE workforce
- License-exempt providers need to have access to extensive training and support. Since licensing is included in the entry tier, they are not in the 'quality rating structure.'

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# Staff Education and Training

## **Other responses by Design Subcommittee:**

- Set qualifications in QRS for head teachers, as it's clear and easier to explain
- Build high quality professional development system for all providers; we can't achieve quality without it
- Flexible, effective system of supports and incentives with mixed delivery for professional development

## **QRIS workforce components (Workforce Subcommittee):**

- ❑ Workforce/professional development standards with measurement tools to determine if standards are met
- ❑ Quality training for assessors and those being assessed
- ❑ Accountability via data in registry
- ❑ Competency not tied to employer/program

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# Staff Education and Training: Factors in establishing Tiers (Workforce Subcommittee)

- Staff education and training needs to vary at each tier with progressively higher teacher qualifications and sufficient funding to incentivize additional education and training
- Standards need to be equally high to meet the needs of children 0-5 (or 0-9); not acceptable to have different qualifications for various age groups in early learning programs
- Teachers need to be qualified to work with the age group of children they are teaching
- Quality standards need to apply to all staff in a program – not a percentage
- Demonstrated competence is important to a qualified workforce in education, experience, and ongoing professional development

# Staff Education and Training

## ■ Initial Ideas for Tiers

	Tier 1	Tier 2	Tier 3	Tier 4	Tier 5
Work-force Subc	12 units at accredited college (Licensing Title 22)				ECE credential for lead teacher
Design Subc	12 units at accredited College (Licensing Title 22)	24 Units in ECE	AA in ECE	BA in ECE	ECE credential for lead teacher

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# Action Items for Professional Development Element:

- Continue to work on tiers for Early Educator Professional Development with consideration of Early Educator Competencies and California's career ladder, including the delivery system for professional development.
- Approve inclusion of Early Educator Professional Development in the QRS with continued work on factors outlined on slides 33-36.

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# Other Possible QRS Quality Components for Future Discussion

- Curriculum, child assessment, and program evaluation
- Administrative policies & procedures
- Staff compensation/ professional development
- Health & safety measures
- Health & developmental screenings
- Approaches to children with special needs
- Approaches to cultural competence

# Materials on Which Presentation is Based

- Forrey, Nicole, Jessica Vick, and Tamara Halle, *Evaluating, Developing, and Enhancing Domain-Specific Measures of Child Care Quality*, 2009-16, Washington, D.C.: Child Trends, 2009.  
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- Karoly, Lynn A., *Preschool Adequacy and Efficiency in California: Issues, Policy Options, and Recommendations*, Santa Monica, CA: RAND Corporation, MG-889, 2009.  
<http://www.rand.org/pubs/monographs/MG889/>
- Mitchell, Anne, Kristen Kerr, and Juana Armenta, "Comparison of Financial Incentives in States' Quality Rating and Improvement Systems," New York, NY: Early Childhood Policy Research, November 2008.  
[http://www.earlychildhoodfinance.org/ArticlesPublications/QRISFinancialIncentives\\_UPDATED\\_Nov2008.pdf](http://www.earlychildhoodfinance.org/ArticlesPublications/QRISFinancialIncentives_UPDATED_Nov2008.pdf)
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- Zellman, Gail L., and Michal Perlman, *Child-Care Quality Rating and Improvement Systems in Five Pioneer States: Implementation Issues and Lessons Learned*, Santa Monica, CA: RAND Corporation, MG-795, 2008.  
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