CA-QRIS Common Data File
Upload Validation Rules for FY 2016-17

Upon upload, First 5 California will review and verify the CA-QRIS Common Data File fields and codes using the automated file validation rules listed below. In descriptions, field names are identified in quotes. Site records not passing this validation check may not be credited to the county/consortia for annual reporting, accountability, program compliance, data system reimbursement funding, or First 5 IMPACT incentive layer eligibility.

1. **Upload file must be in XML format**

    XML schema and upload directions will be available in June 2017. Exceptions to XML format may be reviewed on a case-by-case basis.

2. **General Rules for All Sites**

    All site records must have:

    - "County Code"
    - At least 1 of the following fields complete:
        - "Site UI"
        - "License Number Preschool Center"
        - "License Number Infant Center"
        - "License Number Family Child Care"
    - "Site Name"
    - "Facility Type"
    - 1 or more "Funding Source" identified
    - If "Funding Source - F5IMPACT" = 1 (Yes), then "IMPACT Step" must be identified
    - If "Funding Source - F5IMPACT" = 1 (Yes) and "IMPACT Step" = 2 or 3 then 1 or more "Languages Spoken (in Instruction)" identified
    - If "Funding Source - CSPP QRIS Block Grant" = 1 (Yes) then 1 or more "Languages Spoken (in Instruction)" identified
    - A value of 1 or more in at least one of the following fields:
        - "Number of Preschoolers Served"
        - "Number of Toddlers Served"
        - "Number of Infants Served"
        - "Number of Children Served, Alternative Sites"
    - If "Facility Type" = C (Center) or F (Family Child Care), then "Number of Teachers" must = 1 or more
    - If "Facility Type" = C (center), "Number of Classrooms" must = 1 or more

3. **QRIS Data Rules for Rated Sites**

In addition to the fields in GENERAL, all IMPACT Step 3 or Block Grant recipient sites must include the following data:

- If "IMPACT Step" = 3 OR if "Funding Source - CSPP QRIS Block Grant" = 1 (Yes), then "QRIS Rating Status" must = 1 (Complete) or 2 (In Progress)
- If "Funding Source - CSPP QRIS Block Grant" = 1 (Yes), then "QRIS Rating Status" must = 1 (Complete)
- If "QRIS Rating Status" = 1 (Complete) and "Facility Type" = C (Center) , then the following fields must be complete:
    - "Overall QRIS Tier/Rating"
    - "Cumulative QRIS Score Total"
    - "Detail QRIS Score: Child Observation"
    - "Detail QRIS Score: Developmental and Health Screenings"
    - "Detail QRIS Score: Minimum Qualifications for Lead Teacher/FCCH"
    - "Detail QRIS Score: CLASS Observation (PreK, Toddler, and Infant)"
    - "Detail QRIS Score: Ratios and Group Size"
    - "Detail QRIS Score: Environment Rating Scale"
    - "Detail QRIS Score: Director Qualifications"
- If "QRIS Rating Status" = 1 (Complete) and "Facility Type" = F (Family Child Care), then the following fields must be complete:
    - "Overall QRIS Tier/Rating"
    - "Cumulative QRIS Score Total"
    - "Detail QRIS Score: Child Observation"
    - "Detail QRIS Score: Developmental and Health Screenings"
    - "Detail QRIS Score: Minimum Qualifications for Lead Teacher/FCCH"
    - "Detail QRIS Score: CLASS Observation (PreK, Toddler, and Infant)"
    - "Detail QRIS Score: Environment Rating Scale"
- If "QRIS Rating Status" = 1 (Complete) and "Detail QRIS Score: CLASS Observation" = 4 or 5, one of the following must be complete:
    - "Detail QRIS Score: PreK-CLASS Observation (Emotional Support)" and "Detail QRIS Score: PreK- CLASS Observation (Instructional Support)" and "Detail QRIS Score: PreK -CLASS Observation (Classroom Organization)"
    - "Detail QRIS Score: Toddler CLASS Observation (Emotional & Behavioral Support)" and "Detail QRIS Score: Toddler CLASS Observation (Engaged Support for Learning)"
    - "Detail QRIS Score: Infant CLASS Observation (Responsive Caregiving)"
- If "QRIS Rating Status" = 1 (Complete), then "QRIS Start Date" and "Rating Date" must be complete, and "Rating Date" must be on or after the "QRIS Start Date"
- If "QRIS Rating Status" = 2 (In Progress), then "QRIS Start Date" must be complete

For all other data fields:

Data must be submitted in the format and range as described in the CA-QRIS Common Data File detail document (http://www.ccfc.ca.gov/pdf/programs/qris/CA-QRIS_Common_Data_File_FY2016-17.pdf). It is preferable for data files to be submitted with data in each field; however, if a record is submitted with a blank field (other than the fields identified above), it will be counted as a zero.
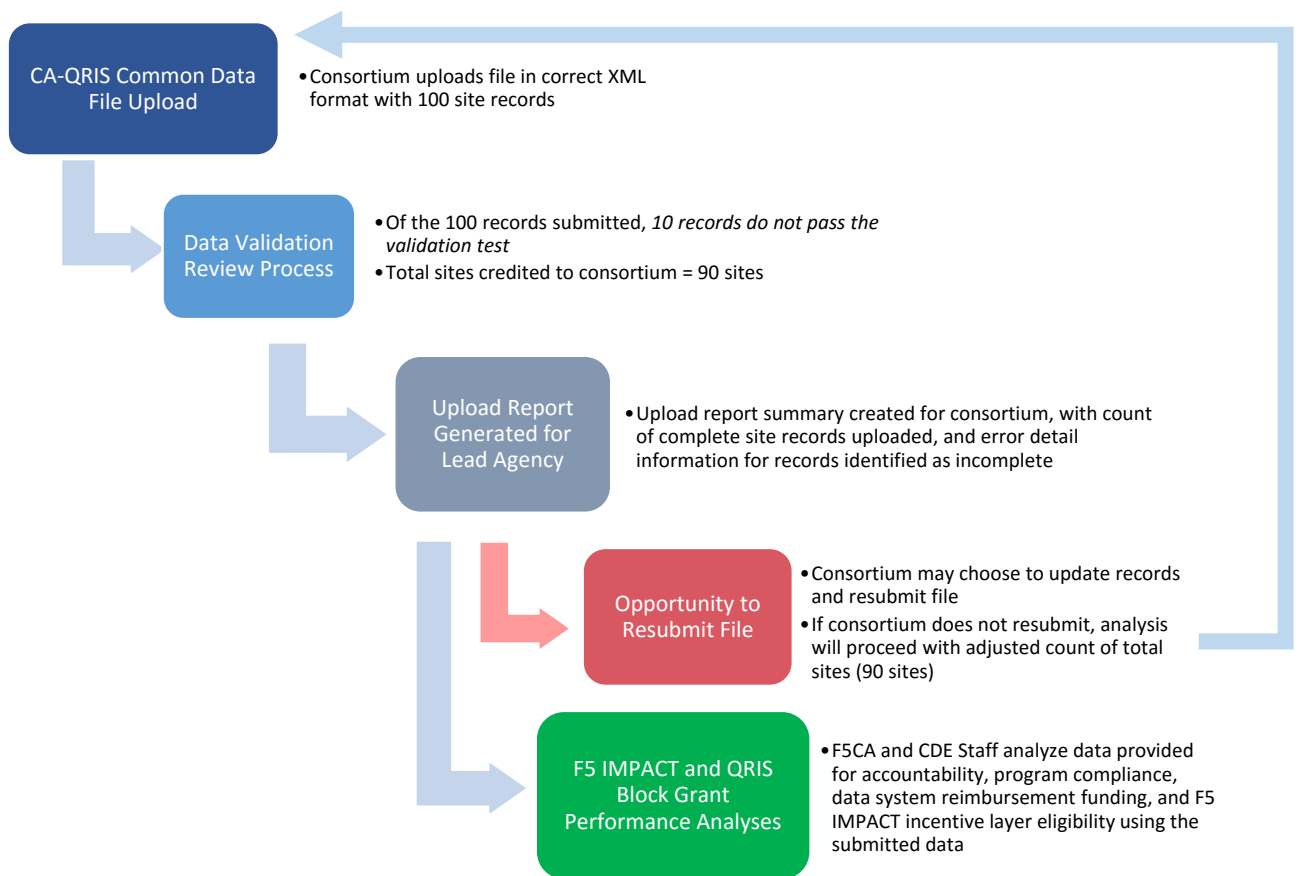
Information about the upload:

After the data upload and validation process is complete, counties may access a system-generated report via the CA-QRIS Common Data File system upload dashboard. This report will contain information about the upload transaction, including number of sites uploaded, number of sites that passed file validation rules, and, if applicable, information on the individual sites identified with errors and information on what the specific errors were.

If desired, a county will be able to resubmit its file after making edits to the fields or files found with errors.

File Validation Scenario Example:

Consortium XYZ submits the CA-QRIS Common Data File to report on both QRIS Block Grants and First 5 IMPACT sites. A total of 100 sites are included in the file uploaded for validation. Upon data file validation review, 90 of the total 100 sites pass the data validation rules. After receiving the data upload and validation report, the consortium may choose to update the data file and resubmit to F5CA or proceed with analysis using the adjusted count of sites with complete information. (See flow chart below)

Diagram of the Common Data File upload and data validation processes

CA-QRIS Common Data File Upload
- Consortium uploads file in correct XML format with 100 site records

Data Validation Review Process
- Of the 100 records submitted, *10 records do not pass the validation test*
- Total sites credited to consortium = 90 sites

Upload Report Generated for Lead Agency
- Upload report summary created for consortium, with count of complete site records uploaded, and error detail information for records identified as incomplete

Opportunity to Resubmit File
- Consortium may choose to update records and resubmit file
- If consortium does not resubmit, analysis will proceed with adjusted count of total sites (90 sites)

F5 IMPACT and QRIS Block Grant Performance Analyses
- F5CA and CDE Staff analyze data provided for accountability, program compliance, data system reimbursement funding, and F5 IMPACT incentive layer eligibility using the submitted data

Upload function testing will be available during Summer 2017. This will allow consortia and data system vendors to test their ability to create compatible XML files and verify that field values are consistent with the designated reporting format and that minimum field content is included.

Importance of File Information for Monitoring

First 5 California and the California Department of Education Early Education and Support Division will use the CA-QRIS Common Data File for the following:

- Verify QRIS Block Grant and First 5 IMPACT program compliance
- Verify QRIS participation and rating of CDE EESD-contractors' sites
- Evaluate CDE and First 5 IMPACT QIS/QRIS investment
- Development of ongoing reporting to the California Department of Finance, Legislative Analyst's Office, the California State Legislature, First 5 California Commission, and other stakeholders
- Determine data system reimbursement funding to Regional Coordination and Training and Technical Assistance Hub fiscal lead agencies
- Determine First 5 IMPACT incentive layer funding eligibility

Specifically for First 5 IMPACT performance reporting purposes, First 5 California will review each consortium's submission to verify the following:

- On-time submission of the CA-QRIS Common Data File
- Meeting First 5 IMPACT target sites, per the Lead Agency's Local Area Agreement
- Meeting infant/toddler and family child care thresholds, per the First 5 IMPACT Request for Application
- For all counties, not exceeding maximum thresholds of California State Preschool (CSPP) funded sites also served with First 5 IMPACT funds (no more than 50 percent of original target sites)
- For First 5 IMPACT Step 3 counties, 51 percent or more must be rated, and of those rated, no more than 50 percent are CSPP funded
- For consortium that have submitted a Letter of Intent for IMPACT Incentive Funding, the following Priority Site participation counts will be reviewed:
  - Tribal and Migrant Sites ("Funding Type – Migrant Head Start", "Funding Type – Tribal Head Start", and "Funding Type – State Migrant"; and "Program Type – Tribal")
  - Centers serving Infants and/or Toddlers ("Number of Infants Served"/"Number of Toddlers Served")
  - Count of sites serving at least one child with an Individual Family Service Plan ("Number of Children with an IFSP") or Individualized Education Plan ("Number of Children with an IEP") *** Please note these fields are optional for FY 2016-17 for most consortia, but are required if consortia are seeking Incentive Layer Funds via Option 1***

(http://www.ccfc.ca.gov/pdf/programs/impact/F5_IMPACT_IncentiveLayer Funding_Guidance.pdf)

- o Count of Family Child Care Homes ("Facility Type" = F)
- For data system reimbursement to Hub fiscal lead agencies, total site records successfully uploaded without error