Child Care and Development Fund (CCDF) Plan

For

State/Territory:

FFY 2012-2013

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2011 – 9/30/2013. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

For purposes of simplicity and clarity, the specific provisions printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

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PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

Name of Lead Agency: _____
Address of Lead Agency: _____
Name and Title of the Lead Agency's Chief Executive Officer: _____
Phone Number: _____
Fax Number: _____
E-Mail Address: _____
Web Address for Lead Agency (if any): _____

1.1.2. Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c)(1))

a) **Contact Information for CCDF Administrator:**

Name of CCDF Administrator: _____
Title of CCDF Administrator: _____
Address of CCDF Administrator: _____
Phone Number: _____
Fax Number: _____

E-Mail Address: _____
Web Address for Lead Agency (if any): _____
Phone Number for CCDF program information (for the public) (if any): _____
Web Address for CCDF program (for the public) (if any): _____
Web address for CCDF program policy manual: (if any): _____
Web address for CCDF program administrative rules: (if any): _____

b) Contact Information for CCDF Co-Administrator (if applicable):
Name of CCDF Co-Administrator: _____
Title of CCDF Co-Administrator: _____
Address of CCDF Co-Administrator: _____
Phone Number: _____
Fax Number: _____
E-Mail Address: _____
Description of the role of the Co-Administrator: _____

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2012 – FY 2013 plan period? The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2011 through September 30, 2012. (§98.13(a)).

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching): $_____
Federal TANF Transfer to CCDF: $_____
Direct Federal TANF Spending on Child Care: $_____
State CCDF Maintenance-of-Effort Funds: $_____
State Matching Funds: $_____

Reminder – Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2012 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2. Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark ☐ N/A here.

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

☐ Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

If checked, identify source of funds: _____
If known, identify the estimated amount of public funds the Lead Agency will receive: $_____

☐ Private donated funds to meet the CCDF Matching Funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

If checked, are those funds:

☐ donated directly to the State?

☐ donated to a separate entity(ies) designated to receive private donated funds?

If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact, and type _____

If known, identify the estimated amount of private donated funds the Lead Agency will receive: $_____

☐ State expenditures for pre-k programs to meet the CCDF Matching Funds requirement. If checked,

Provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%): _____

If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services: _____

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: $_____

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____

☐ State expenditures for pre-k programs to meet the CCDF Maintenance of Effort (MOE) requirements. If checked,

☐ The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1).

Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%): _____

If percentage is more than 10% of the MOE requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care: _____

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: $_____

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2012. In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Activity	Estimated Amount of CCDF Quality Funds (indicate if targeted funds will be used)	Purpose	Projected Impact and Anticipated Results

1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

☐ No, the Lead Agency will manage all quality funds directly
☐ Yes, the Lead Agency will manage some quality funds directly and distribute a portion to local entities. Estimated amount or percentage to be distributed to localities _____
☐ Yes, all quality funds will be distributed to local entities
☐ Other. Describe. ___

1.3. CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities. _____

1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. (98.11 (a) (3))

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor** (http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010).

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

_____

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

Type of Activity	**Identify Program Violations**	**Identify Administrative Error**
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	☐	☐
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	☐	☐
Run system reports that flag errors (include types)	☐	☐
Review of attendance or billing records	☐	☐
Audit provider records	☐	☐
Conduct quality control or quality assurance reviews	☐	☐
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	☐	☐
Conduct supervisory staff reviews	☐	☐
Conduct data mining to identify trends	☐	☐
Train staff on policy and/or audits	☐	☐
Other. Describe _____	☐	☐
None	☐	☐

For any option the Lead Agency checked in the chart above other than none, please describe _____

If the Lead Agency checked none, please describe what measures the Lead Agency has or plans to put in place to address program integrity:

_____

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error?

Check and describe in the chart below which strategies, if any, the Lead Agency will use for each of the following areas: Unintentional program violations (UPV), intentional program violations (IPV) and/or fraud, and administrative error as defined in your State/Territory. **The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud (98.60(i)).**

Strategy	**UPV**	**IPV and/or Fraud**	**Administrative Error**
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount _____	☐	☐	☐
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe _____	☐	☐	☐
Recover through repayment plans	☐	☐	☐
Reduce payments in subsequent months	☐	☐	☐
Recover through State/Territory tax intercepts	☐	☐	☐
Recover through other means. Describe _____	☐	☐	☐
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	☐	☐	☐
Other. Describe _____	☐	☐	☐
None	☐	☐	☐

For any option the Lead Agency checked in the chart above other than none, please describe _____

1.3.5. What type of sanction, if any, will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

☐ None
☐ Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified _____
☐ Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified _____
☐ Prosecute criminally
☐ Other. Describe. ___

1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark ☐ N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)

1.4. Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Definition*: Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments. (§§98.12(b), 98.14(a)(1))

1.4.1. Identify and describe in the table below who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
☐	**Representatives of general purpose local government (required)** This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.	
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.		
☐	State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	
☐	State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	
☐	State/Territory agency responsible for licensing (if separate from the Lead Agency)	
☐	State/Territory agency with the Head Start Collaboration grant	

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
☐	Statewide Advisory Council authorized by the Head Start Act	
☐	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
☐	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
☐	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
☐	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	
☐	State/Territory agency responsible for child welfare	
☐	State/Territory liaison for military child care programs or other military child care representatives	
☐	State/Territory agency responsible for employment services/workforce development	
☐	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	
☐	Indian Tribes/Tribal Organizations ☐ N/A: No such entities exist within the boundaries of the State	
☐	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	
☐	Provider groups, associations or labor organizations	
☐	Parent groups or organizations	
☐	Local community organizations (child care resource and referral, Red Cross)	
☐	Other	

1.4.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description should include:

a) Date(s) of notice of public hearing: _____ **Reminder** - Must be at least 20 days prior to the date of the public hearing.
b) How was the public notified about the public hearing?
c) Date(s) of public hearing(s): _____ **Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).
d) Hearing site(s): _____
e) How was the content of the Plan made available to the public in advance of the public hearing(s)? _____

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? _____

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules. _____

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

> **Definition -** *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

1.5.1. Identify and describe in the table below with whom the Lead Agency coordinates in the delivery of child care and early childhood and school-age services (§98.14(a)(1)).

Agency/Entity (check all that apply)		**Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services**	**Describe the goals or results you are expecting from the coordination** Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☐	Representatives of general purpose local government **(required)** This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.		
☐	State/Territory agency responsible for public education (**required)**		

	Agency/Entity (check all that apply)	**Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services**	**Describe the goals or results you are expecting from the coordination** Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.		
☐	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (**required**)		
☐	State/Territory agency responsible for public health (**required**) This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health		
☐	State/Territory agency responsible for employment services / workforce development (**required**)		
☐	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) (**required**)		
☐	Indian Tribes/Tribal Organizations **(required)** ☐ N/A: No such entities exist within the boundaries of the State		
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery			
☐	State/Territory agency responsible for licensing (if separate from the Lead Agency)		
☐	State/Territory agency with the Head Start Collaboration grant		
☐	Statewide Advisory Council authorized by the Head Start Act		
☐	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)		
☐	State/Territory agency responsible for		

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs		
☐	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant		
☐	State/Territory agency responsible for child welfare		
☐	State/Territory liaison for military child care programs or other military child care representatives		
☐	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21		
☐	Local community organizations (child care resource and referral, Red Cross)		
☐	Provider groups, associations or labor organizations		
☐	Parent groups or organizations		
☐	Other		

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan? Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other purposes, including fulfilling requirements of other programs.

☐ Yes. If yes,

a) Provide the name of the entity responsible for the coordination plan(s):
b) Describe the age groups addressed by the plan(s):

c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
☐ Yes
☐ No

d) Provide a web address for the plan(s), if available: _____

☐ No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs? (658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

☐ State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.
If yes, describe entity, age groups and the role of the Lead Agency
_____

☐ State Advisory Council (as described under the Head Start Act of 2007).
If yes, describe entity, age groups and the role of the Lead Agency
_____

☐ Local Coordination/Council
If yes, describe entity, age groups and the role of the Lead Agency
_____

☐ Other.
Describe _____

☐None

1.5.4. Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

☐ Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership
_____

☐ No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-XX) located on the Office of Child Care website at: http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm

1.6.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

- ☐ **Planning**. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- ☐ **Developed.** A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available: _____
- ☐ **Other. Describe: ___**

1.6.2. Indicate which of the core elements identified in the Information Memorandum are or will be covered in the Lead Agency child care emergency preparedness and response plan. Check which elements, if any, the Lead Agency includes in the plan.

- ☐ Planning for continuation of services to CCDF families
- ☐ Coordination with other State/Territory agencies and key partners
- ☐ Emergency preparedness regulatory requirements for child care providers
- ☐ Provision of temporary child care services after a disaster
- ☐ Rebuilding child care facilities and infrastructure after a disaster
- ☐ None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, how Lead Agencies ensure continuity of care and parental choice of high quality settings for families, and sliding fee scale and payment rate policies and procedures.

2.1. Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

- ☐ Eligibility rules and policies (e.g., income limits) are set by the:
  - ☐ State/Territory
  - ☐ Local entity. If checked, provide the name(s) of the local entity _____
  - ☐ Other. Describe: _____
- ☐ Sliding fee scale is set by the:
  - ☐ State/Territory
  - ☐ Local entity. If checked, provide the name(s) of the local entity _____
  - ☐ Other. Describe: _____
- ☐ Payment rates are set by the:
  - ☐ State/Territory
  - ☐ Local entity. If checked, provide the name(s) of the local entity _____
  - ☐ Other. Describe: _____

2.1.2. How is the CCDF program operated in your State/Territory? In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility? **Note:** If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____	☐ CCDF Lead Agency ☐ TANF agency ☐ Other State/Territory agency. Describe. _____ ☐ Local government agencies such as county welfare or social services departments

Implementation of CCDF Services/Activities	Agency (Check all that apply)
	☐ Child care resource and referral agencies ☐ Community-based organizations ☐ Other. Describe. _____
Who assists parents in locating child care (consumer education)?	☐ CCDF Lead Agency ☐ TANF agency ☐ Other State/Territory agency. Describe. _____ ☐ Local government agencies such as county welfare or social services departments ☐ Child care resource and referral agencies ☐ Community-based organizations ☐ Other. Describe. _____
Who issues payments?	☐ CCDF Lead Agency ☐ TANF agency ☐ Other State/Territory agency. Describe. _____ ☐ Local government agencies such as county welfare or social services departments ☐ Child care resource and referral agencies ☐ Community-based organizations ☐ Other. Describe. _____
Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)	
Other. List and describe: _____	

2.2. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e). **Note -** For any information in questions 2.2.1 through 2.2.10 that differs or will differ for families receiving TANF, please describe in 2.2.11.

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

☐ CCDF Lead Agency
☐ TANF offices
☐ Other government offices
☐ Child care resource and referral agencies
☐ Contractors
☐ Community-based organizations
☐ Public schools
☐ Internet (provide website): ___
☐ Promotional materials

- ☐ Community outreach meetings, workshops or other in-person meetings
- ☐ Radio and/or television
- ☐ Print media
- ☐ Other. Describe: ___

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

- ☐ In person interview or orientation
- ☐ By mail
- ☐ By Phone/Fax
- ☐ Through the Internet (provide website) ___
- ☐ By Email
- ☐ Other. Describe: ___

2.2.3. Describe how the Lead Agency provides consumer education to parents applying for CCDF assistance to promote informed choices about the quality of care provided by various providers.

Lead Agencies must certify that the State/Territory will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices (658E (c)(2)(G), §98.33).

For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or informational brochures that address importance of quality and different care options available. _____

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory. For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities. _____

2.2.5. How will the Lead Agency promote access to the CCDF subsidy program? Check the strategies that will be implemented by your State/Territory.

- ☐ Provide access to program office/workers such as by:
  - ☐ Providing extended office hours
  - ☐ Accepting applications at multiple office locations
  - ☐ Providing a toll-free number for clients
  - ☐ Other. Describe: ___
- ☐ Using a simplified eligibility determination process such as by:
  - ☐ Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)

- ☐ Developing a single application for multiple programs
- ☐ Developing web-based and/or phone-based application procedures
- ☐ Coordinating eligibility policies across programs. List the program names _____
- ☐ Streamlining verification procedures, such as linking to other program data systems
- ☐ Providing information multi-lingually
- ☐ Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment). Length of time _____
- ☐ Other. Describe: ___

☐ Other. Describe: ___

☐ None

2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

☐ Provide CCDF assistance during periods of job search. Length of time _____

☐ Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

☐ Synchronize review date across programs. List programs: ___

☐ Longer eligibility re-determination periods (e.g., 1 year). Describe ___

☐ Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe ___

☐ Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe ___

☐ Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment

☐ Targeted case management to help families find and keep stable child care arrangements

☐ Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year

☐ Other. Describe _____

☐ None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

☐ Application in other languages

☐ Informational materials in non-English languages

☐ Training and technical assistance in non-English languages

☐ Website in non-English languages

☐ Lead Agency accepts applications at local community-based locations
☐ Bilingual caseworkers or translators available
☐ Other: _____
☐ None

(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered _____

2.2.8. How will the Lead Agency overcome language barriers with providers? Check the strategies, if any, that your State/Territory has chosen to implement.

☐ Informational materials in non-English languages
☐ Training and technical assistance in non-English languages
☐ CCDF health and safety requirements in non-English languages
☐ Provider contracts or agreements in non-English languages
☐ Website in non-English languages
☐ Bilingual caseworkers or translators available
☐ Other: ___
☐ None

(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered _____

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a)) Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available _____

The Lead Agency requires documentation of:	**Describe how the Lead Agency documents and verifies applicant information:**
☐ Applicant identity	
☐ Household composition	
☐ Applicant's relationship to the child	
☐ Child's information for determining eligibility (e.g., identity, age, etc.)	
☐ Work, Job Training or Educational Program	
☐ Income	
☐ Other. Describe _____	

2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

☐ Time limit for making eligibility determinations. Describe length of time _____

☐ Track and monitor the eligibility determination process
☐ Other. Describe ___
☐ None

2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

☐ Yes. If yes, describe: ___
☐ No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE**: The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

a) Identify the TANF agency that established these criteria or definitions:
State/Territory TANF Agency ___

b) Provide the following definitions established by the TANF agency.
- "appropriate child care": ___
- "reasonable distance": ___
- "unsuitability of informal child care": ___
- "affordable child care arrangements": ___

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

☐ In writing
☐ Verbally
☐ Other: ___

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

- *residing with* - _____
- *in loco parentis* – _____

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from _____ weeks to _____ years (maximum age under age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(*3*), §98.20(a)(1)(ii))

☐ Yes, and the upper age is _____. Provide the Lead Agency definition of *physical or mental incapacity* – _____
☐ No.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

☐ Yes, and the upper age is _____
☐ No.

2.3.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

a) How does the Lead Agency define "working" for the purposes of eligibility? Provide a narrative description below, including allowable activities and if a minimum number of hours is required.

Reminder – Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search and travel time. (§§98.16(f)(3), 98.20(b))

- *working* – _____

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

☐ Yes. If yes, how does the Lead Agency define "attending job training or educational program" for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

- *attending job training or educational program* – _____

☐ No.

2.3.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

☐ Yes. If yes, how does the Lead Agency define "protective services" for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. Lead Agencies may elect to include homeless children and other vulnerable populations in the definition of protective services.

Note – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are <u>not</u> working, or who are <u>not</u> in education/training activities for CCDF purposes these children are considered to be in <u>protective services</u> and should be included in this definition.

- *protective services* – _____

☐ No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☐ Yes.
☐ No.

2.3.5. Income Eligibility Criteria

a) How does the Lead Agency define "income" for the purposes of eligibility? Provide the Lead Agency's definition of "income" for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

- *income* – _____

b) Which of the following sources of income, if any, will the Lead Agency exclude from calculations of total family income for the purposes of eligibility determination? Check any income the Lead Agency chooses to exclude, if any.

☐ Adoption subsidies
☐ Foster care payments
☐ Alimony received or paid
☐ Child support received
☐ Child support paid
☐ Federal nutrition programs
☐ Federal tax credits
☐ State/Territory tax credits
☐ Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
☐ Medical expenses or health insurance related expenses
☐ Military housing or other allotment/bonuses
☐ Scholarships, education loans, grants, income from work study
☐ Social Security Income
☐ Supplemental Security Income (SSI)
☐ Veteran's benefits
☐ Unemployment Insurance
☐ Temporary Assistance for Needy Families (TANF)
☐ Worker Compensation
☐ Other types of income not listed above _____
☐ None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

☐ Children under age 18
☐ Children age 18 and over – still attending school
☐ Teen parents living with parents
☐ Unrelated members of household
☐ All members of household except for parents/legal guardians
☐ Other _____
☐ None

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the

CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

			IF APPLICABLE	
Family Size	**(a)** **100% of State Median Income (SMI) ($/month)**	**(b)** **85% of State Median Income (SMI) ($/month) [Multiply (a) by 0.85]**	**Income Level if lower than 85% SMI**	
			(c) **$/month**	**(d)** **% of SMI** [Divide (c) by (a), multiply by 100]
1				
2				
3				
4				
5				

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2011 poverty guidelines are available at http://aspe.hhs.gov/poverty/11poverty.shtml.

e) Will the Lead Agency have "tiered eligibility" (i.e., a separate income limit at re-determination to remain eligible for the CCDF program)?

☐ Yes. If yes, **provide** the requested information from the table in 2.3.5d and **describe** _____.
Note: This information can be included in a separate table, or by placing a "/" between the entry and exit levels in the above table.

☐ No.

f) SMI Year _____ and SMI Source _____

g) These eligibility limits in column (c) became or will become effective on: _____

2.3.6. Eligibility Re-determination

a) What is the re-determination period upon initial authorization of CCDF services for most families?

☐ 6 months
☐ 12 months
☐ 24 months
☐ Other. Describe _____
☐ Length of eligibility varies by county or other jurisdiction. Describe _____

b) Is the re-determination period the same for all CCDF eligible families?

☐ Yes.
☐ No. If no, **check the categories of families for whom authorizations are different and describe the redetermination period for each.**

☐ Families enrolled in Head Start and/or Early Head Start Programs. Re-determination period _____
☐ Families enrolled in pre-kindergarten programs. Re-determination period _____
☐ Families receiving TANF. Re-determination period

☐ Families who are very-low income, but not receiving TANF. Re-determination period _____
☐ Other. Describe _____

c) Does the Lead Agency use a simplified process at re-determination?

☐ Yes. If yes, describe _____
☐ No.

2.3.7. Waiting Lists

Describe the Lead Agency's waiting list status. Select **ONE** of these options.

☐ Lead Agency currently does not have a waiting list and:
- ☐ All eligible families *who apply* will be served under State/Territory eligibility rules
- ☐ Not all eligible families *who apply* will be served under State/Territory eligibility rules

☐ Lead Agency has an active waiting list for:
- ☐ Any eligible family who applies when they cannot be served at the time of application
- ☐ Only certain eligible families. Describe those families:

☐ Waiting lists are a county/local decision. Describe _____
☐ Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations _____

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. The attached sliding fee scale was or will be effective as of: _____

2.4.2. Will the attached sliding fee scale provided as Attachment 2.4.1. be used in <u>all</u> parts of the State/Territory?

☐ Yes
☐ No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.2a, 2.4.2b**, etc.

2.4.3. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option.

☐ State Median Income, Year: _____
☐ Federal Poverty Level, Year: _____
☐ Income source and year varies by geographic region. Describe income source and year: _____
☐ Other. Describe income source and year:_____

2.4.4. How will the family's contribution be calculated and to whom will it be applied? Check all that the Lead Agency has chosen to use. (§98.42(b))

☐ Fee as dollar amount and
- ☐ Fee is per child with the same fee for each child
- ☐ Fee is per child and discounted fee for two or more children
- ☐ No additional fee charged after certain number of children
- ☐ Fee per family

☐ Fee as percent of income and
- ☐ Fee is per child with the same percentage applied for each child
- ☐ Fee is per child and discounted percentage applied for two or more children
- ☐ No additional percentage applied charged after certain number of children
- ☐ Fee per family

☐ Contribution schedule varies by geographic area. Describe: _____
☐ Other. Describe _____

If the Lead Agency checked more than one of the options above, describe _____

2.4.5. Will the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

☐ Yes, and describe those additional factors:
☐ No.

2.4.6. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select **ONE** of these options.

Reminder – Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 2.3.4.a).

- ☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- ☐ NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: $_____
- ☐ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: _____

2.5. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance to children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	**Eligibility Priority (Check only one)**	**Is there a time limit on the eligibility priority or guarantee?**	**Other Priority Rules**
Children with special needs **Provide the Lead Agency definition of** *Children with Special Needs* _____	☐ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other.	☐ Yes. The time limit is: _____ ☐ No	☐ Different eligibility thresholds. Describe _____ ☐ Higher rates for providers caring for children with special needs requiring additional care ☐ Prioritizes quality funds for providers

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
	Describe _____		serving these children ☐ Other. Describe _____
Children in families with very low incomes **Provide the Lead Agency definition of** *Children in Families with Very Low Incomes* _____	☐ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other. Describe _____	☐ Yes. The time limit is: _____ ☐ No	☐ Different eligibility thresholds. Describe _____ ☐ Waiving co-payments for families with incomes at or below the Federal Poverty Level ☐ Other. Describe _____

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

☐ Use priority rules to meet the needs of TANF families (describe in 2.5.1 or 2.5.3.)
☐ Waive fees (co-payments) for some or all TANF families who are below poverty level
☐ Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
☐ Other: _____

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a))

2.6.1. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- ☐ Before parent has selected a provider
- ☐ After parent has selected a provider
- ☐ Other. Describe ___

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- ☐ Certificate form provides information about choice of providers
- ☐ Certificate is not linked to a specific provider so parents can choose provider of choice
- ☐ Consumer education materials (flyers, forms, brochures)
- ☐ Referral to child care resource and referral agencies
- ☐ Verbal communication at the time of application
- ☐ Public Services Announcement
- ☐ Agency Website: ___
- ☐ Community outreach meetings, workshops, other in person activities
- ☐ Multiple points of communication throughout the eligibility and renew process
- ☐ Other. Describe ___

c) What information is included on the child care certificate? **Attach a copy of the child care certificate as Attachment 2.6.1.** (658E(c)(2)(A)(iii))

- ☐ Authorized provider(s)
- ☐ Authorized payment rate(s)
- ☐ Authorized hours
- ☐ Co-payment amount
- ☐ Authorization period
- ☐ Other. Describe ___

d) What is the estimated proportion of services that will be available for child care services through certificates? _____

2.6.2. Child Care Services Available through Grants or Contracts

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note**: Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

- ☐ Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: _____
- ☐ No.

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following? Check the strategies, if any, that your State/Territory chooses to implement.

- ☐ Increase the supply of specific types of care
  - ☐ Programs to serve children with special needs
  - ☐ Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
  - ☐ Programs to serve infant/toddler
  - ☐ School-age programs
  - ☐ Center-based providers
  - ☐ Family child care providers
  - ☐ Group-home providers
  - ☐ Programs that serve specific geographic areas
    - ☐ Urban
    - ☐ Rural
  - ☐ Other. Describe ___
- ☐ Support programs in providing higher quality services
- ☐ Support programs in providing comprehensive services
- ☐ Serve underserved families. Specify: _____
- ☐ Other. Describe ___

c) Are child care services provided through grants or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

- ☐ Yes.
- ☐ No, and **identify** the localities (political subdivisions) and services that are not offered: ___

d) How are payment rates for child care services provided through grants/contracts determined? _____

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts? _____

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)) Check the strategies that will be implemented by your State/Territory.

- ☐ Signed declaration
- ☐ Parent Application
- ☐ Parent Orientation
- ☐ Provider Agreement
- ☐ Provider Orientation
- ☐ Other. Describe: ___

2.6.4. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

- ☐ No
- ☐ Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.
  - ☐ Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
  - ☐ Restricted based on provider meeting a minimum age requirement
  - ☐ Restricted based on hours of care (certain number of hours, non-traditional work hours)
  - ☐ Restricted to care by relatives
  - ☐ Restricted to care for children with special needs or medical condition
  - ☐ Restricted to in-home providers that meet some basic health and safety requirements
  - ☐ Other. Describe ___

2.6.5. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32) ___

2.7. Payment Rates for Child Care Services

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish adequate payment rates for child care services that ensure eligible children equal access to comparable care.

2.7.1. Provide a copy of your payment rates as Attachment 2.7.1. The attached payment rates were or will be effective as of: ___.

2.7.2. Are the attached payment rates provided in Attachment 2.7.1 used in all parts of the State/Territory?

- ☐ Yes.

☐ No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.2a, 2.7.2b**, etc.

2.7.3. Which strategies, if any, will the Lead Agency use to ensure the timeliness of payments?

☐ Policy on length of time for making payments. Describe length of time _____

☐ Track and monitor the payment process
☐ Other. Describe ___
☐ None

2.7.4. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2009). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): ___.

b) Attach a copy of the **MRS instrument** and a **summary of the results** of the survey **as Attachment 2.7.4.** For Lead Agencies that use an administrative provider database, provide a copy of the intake form as the instrument. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

2.7.5. Will the Lead Agency use the local Market Rate Survey identified in 2.7.4a (i.e., the most recent MRS) to set its payment rates?

☐ Yes
☐ No
If no, list the MRS year that the payment rate ceiling is based upon _____

2.7.6. At what percentile of the most recent local MRS are or will payment rates be set? Provide the percentile for your payment rate ceiling in relation to the most recent survey and **describe**_____.

Note: Identify the percentile where payment rates fall according to the most recent local MRS (identified in 2.7.4a) regardless of whether or not you use the most recent survey to set rates. If the percentile(s) varies across categories of care (e.g., different for centers and family child care homes), regions or ages of children, provide the range of the highest and lowest percentile in relation to the most recent survey.

2.7.7. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement.

☐ Differential rate for nontraditional hours. Describe _____
☐ Differential rate for children with special needs as defined by the State/Territory. Describe _____
☐ Differential rate for infants and toddlers. Describe _____
☐ Differential rate for school-age programs. Describe _____
☐ Differential rate for higher quality as defined by the State/Territory. Describe _____
☐ Other differential rate. Describe ___
☐ None.

2.7.8. Will the Lead Agency allow providers to charge parents any additional fees? Check the policies, if any, the Lead Agency has chosen to establish regarding additional fees.

☐ Providers are allowed to charge the difference between the maximum reimbursement rate and their private pay rate
☐ Providers are allowed to charge registration fees
☐ Providers are allowed to charge for transportation fees
☐ Providers are allowed to charge for meals.
☐ Providers are allowed to charge additional incidental fees such as field trips or supplies
☐ Policies vary across region, counties and or geographic areas. Describe ___
☐ No, providers may not charge parents any additional fees
☐ Other. Describe ___
☐ None

2.7.9. Describe how payment rates are adequate to ensure equal access to the full range of providers based on the Market Rate Survey.

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) _____

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)) _____

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) _____

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access _____

2.7.10 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices) _____

Part 3

Health and Safety and Quality Improvement Activities

In this section, Lead Agencies are asked to describe their goals and plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through the State/Territory's child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both programs and the staff who work in them are a core element of CCDF. Lead Agencies have been reporting on their efforts to support program quality improvement and professional development since their initial Plans in 1999. This section allows Lead Agencies to continue to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options across settings for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency has the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

Part 3 is organized around a template of four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies over the past decade:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care programs through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2012-2013 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be

submitted until December 31, 2012.

Based on information reported in past plans, it is expected that the Lead Agency will describe in these first two steps how they will continue to make systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully implemented and integrated. Each State/Territory is expected to fall on a continuum of progress as a result of these first two steps. Lead Agency's individual progress will reported using the Quality Performance Report.

3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements. The CCDBG statute and the CCDF regulations address health and safety primarily in two ways.

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF.

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) Section 3.1 asks the State/Territory to identify and describe the components of both the licensing and CCDF health and safety requirements, indicate which providers are subject to the requirements, and describe compliance and enforcement activities. (658E(c)(2)(F), §98.41)

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

☐ Yes.
☐ No. Please identify the State or local (if applicable) entity/agency responsible for licensing _____

b) **Provide a brief overview** of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory. At a minimum, describe whether the State/Territory's licensing requirements serve as the CCDF health and safety requirements.
_____

c) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. Within each CCDF category of care, please identify which types of providers are exempt from licensing in your State/Territory in the chart below.

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are exempt from licensing in your State/Territory _____ For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.
Group Home Child Care ☐ N/A. Check if your	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other	Describe which types of group homes are exempt from licensing _____

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
State/Territory does not have group home child care.	than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. **Reminder** - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are exempt from licensing _____
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. **Reminder** - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing _____

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at http://nrckids.org/ to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's**. ☐

d) **Indicate** whether your State/Territory licensing requirements include any of the following four indicators for each category of care*.

*Source: National Resource Center for Health and Safety in Child Care and Early Education. (2003) Stepping Stones to Using Caring for Our Children: National Health and Safety Performance Standards, 2nd Ed. Health Resources and Services Administration, Maternal and Child Health Bureau. Available online: http://nrckids.org/stepping

Indicator	For each indicator, check all requirements for **licensing** that apply, if any.			
	Center-Based Child Care	**Group Home Child Care**	**Family Child Care**	**In-Home Care**
Do the licensing	☐ Child:staff	☐ Child:staff	☐ Child:staff	☐ Child:staff

requirements include **child:staff ratios and group sizes**? If yes, specify age group, where appropriate.	ratio requirement: ☐ Group size requirement: ☐ No requirements.	ratio requirement: ☐ Group size requirement: ☐ No requirements.	ratio requirement: ☐ Group size requirement: ☐ No requirements.	ratio requirement: ☐ Group size requirement: ☐ No requirements.
Do the licensing requirements identify specific experience and educational **credentials for child care directors**?	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:
Do the licensing requirements identify specific experience and educational **credentials for child care teachers**?	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:
Do the licensing requirements specify that directors and caregivers must attain a specific number of **training hours per year**?	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:

e) Do you expect the licensing requirements for child care providers to change in FY2012-2013?

☐ Yes. Describe _____
☐ No

3.1.2. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and which also may be covered by the licensing requirements. (658E(c)(2)(F), §98.41)

a) **Describe** the Lead Agency's health and safety requirements for prevention and control of infectious disease in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(i), §98.41(a)(1))

The Lead Agency requires:	**For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.**			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☐ Physical exam or health statement for providers	☐	☐	☐	☐
☐ Physical exam or health statement for children	☐	☐	☐	☐
☐ Tuberculosis check for providers	☐	☐	☐	☐
☐ Tuberculosis check for children	☐	☐	☐	☐
☐ Provider immunizations	☐	☐	☐	☐
☐ Child immunizations	☐	☐	☐	☐
☐ Hand-washing policy for providers and children	☐	☐	☐	☐
☐ Diapering policy and procedures	☐	☐	☐	☐
☐ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☐

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☐ Other. Describe _____	☐	☐	☐	☐

b) **Describe** the Lead Agency's health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	**Family child care home providers**	**Group home child care providers**	**In-home child care providers**
☐ Fire inspection	☐	☐	☐	☐
☐ Building inspection	☐	☐	☐	☐
☐ Health inspection	☐	☐	☐	☐
☐ Inaccessibility of toxic substances policy	☐	☐	☐	☐
☐ Safe sleep policy	☐	☐	☐	☐
☐ Tobacco exposure reduction	☐	☐	☐	☐
☐ Transportation policy	☐	☐	☐	☐
☐ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☐
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☐ Other. Describe _____	☐	☐	☐	☐

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which

assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3))

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	CPR		
	First aid		
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		
	Behavior management		
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		
Group Home Child Care	CPR		
	First aid		
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		
	Behavior management		
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		
Family Child Care Providers	CPR		
	First aid		
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		
	Behavior management		
	Nutrition		

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		
In-Home Child Care Providers	CPR		
	First aid		
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		
	Behavior management		
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		

d) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii))(A))

☐ All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
☐ Relative providers are NOT required to meet <u>any</u> health and safety requirements as described in 3.1.2a-c, as appropriate.
☐ Relative providers are subject to certain requirements. Describe the different requirements _____

e) Provide a web address for the State/Territory's health and safety requirements, if available: _____

3.1.3 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.3a through 3.1.3e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

a) Does your State/Territory include **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the licensing requirements?

☐ Yes. If "Yes" please refer to the chart below and check all that apply.
☐ No

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
☐ Center-Based Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____
☐ Group Home Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____
☐ Family Child Care Home	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____
☐ In-Home Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe _____

b) Does your State/Territory have any of the following procedures in place for effective enforcement of the licensing requirements? If procedures differ based on the category of care, please indicate how in the "Describe" box.

☐ Yes. If "Yes" please refer to the chart below and check all that apply.
☐ No

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend	☐ Yes. Describe _____

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
or participate in training relating to opening a child care facility prior to issuing a license.	☐ No.
	☐ Other. Describe _____
Licensing staff has procedures in place to address violations found in an inspection.	☐ Providers are required to submit plans to correct violations cited during inspections.
	☐ Licensing staff approve the plans of correction submitted by providers.
	☐ Licensing staff verify correction of violation.
	☐ Licensing staff provide technical assistance regarding how to comply with a regulation.
	☐ No procedures in place.
	☐ Other. Describe _____
Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	☐ Provisional or probationary license
	☐ License revocation or non-renewal
	☐ Injunctions through court
	☐ Emergency or immediate closure not through court action
	☐ Fines for regulatory violations
	☐ No procedures in place.
	☐ Other. Describe _____
The State/Territory has procedures in place to respond to illegally operating child care facilities.	☐ Cease and desist action
	☐ Injunction
	☐ Emergency or immediate closure not through court action
	☐ Fines
	☐ No procedures in place.
	☐ Other. Describe _____
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	☐ Yes. Describe _____
	☐ No.
	☐ Other. Describe _____

c) Describe what types of licensing violations, if any, would make a provider ineligible to participate in CCDF _____

d) Does your State/Territory use **background checks** as a way to effectively enforce the licensing requirements?

☐ Yes. If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency. Please **also provide a brief overview** of the State/Territory's process for conducting background checks for child care. For example, describe what types of violations would make providers ineligible for CCDF, funding for background checks, and the process for providers to appeal background check findings. _____

☐ No

CCDF Categories of Care	Types of Background Check	Frequency
☐ **Center-Based Child Care** Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers _____	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ State/Territory Criminal Background	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
☐ **Group Child Care Homes** Who is subject to background checks for group homes? For example, provider, non-provider residents of the home _____	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ State/Territory Criminal Background	☐ Initial Entrance into the System ☐ Checks Conducted Annually

CCDF Categories of Care	Types of Background Check	Frequency
		☐ Other. Describe _____
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
☐ **Family Child Care Homes** Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home _____	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ State/Territory Criminal Background	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____

CCDF Categories of Care	Types of Background Check	Frequency
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
☐ **In-Home Child Care Providers** Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home _____	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ State/Territory Criminal Background	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe _____

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? _____ (658E(c)(2)(E), §98.40(a)(2))

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other "search tools," about child care program licensing status and compliance records?

☐ Yes. Describe _____
☐ No

3.1.4 Describe the State/Territory's policies for effective enforcement of the health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described above for licensed providers, please describe the health and safety enforcement measures in place. Include in this description whether and how the State/Territory uses on-site visits (announced and unannounced) and background checks and any other enforcement policies and practices for the health and safety requirements. _____

3.1.5. Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs? Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities.

☐ Yes. Describe _____

a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

b) If yes, are resources and supports provided to programs to help them understand how families are referred to indicated services and how to work with the health, mental health, and developmental disabilities agencies to support children when follow-up to screening is needed?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

☐ No
☐ Other. Describe _____

3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance – What data elements, if any, does the State/Territory currently have

access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) Data on licensing and health and safety. Indicate if the Lead Agency or another agency has access to data on:

☐ Number of licensed programs. Describe (optional) _____
☐ Numbers of programs operating that are legally exempt from licensing. Describe (optional) _____
☐ Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) _____
☐ Number of injuries and fatalities in child care as defined by the State/Territory. Describe (optional) _____
☐ Number of monitoring visits received by programs. Describe (optional) _____
☐ Caseload of licensing staff. Describe (optional) _____
☐ Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional) _____
☐ Other. Describe _____
☐ None

b) **Performance measurement**. What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements? _____

c) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. _____

3.1.7 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section of 3.1. What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-

compliances?) _____

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines include the expectations for what children should know (content) and be able to do (skills). The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These guidelines are voluntary in that States/Territory are not mandated to develop such guidelines or implement them in a specified manner.

3.2.1 Has the State/Territory developed voluntary early learning guidelines for children? Check any early learning guidelines the State/Territory has developed.

☐ Birth-to-three
☐ Three-to-five
☐ Five years and older
☐ None. **Skip to 3.2.6.**

If yes, insert web addresses, where possible: _____

Which State/Territory agency is the lead for the early learning guidelines? _____

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Domains	**Birth-to-Three ELGs**	**Three-to-Five ELGs**	**Five and Older ELGs**
Physical development and health	☐	☐	☐
Social and emotional development	☐	☐	☐
Approaches to learning	☐	☐	☐
Logic and reasoning (e.g., problem-solving)	☐	☐	☐
Language development	☐	☐	☐
Literacy knowledge and skills	☐	☐	☐
Mathematics knowledge and skills	☐	☐	☐
Science knowledge and skills	☐	☐	☐
Creative arts expression (e.g., music, art, drama)	☐	☐	☐
Social studies knowledge and skills	☐	☐	☐
English language development (for dual language learners)	☐	☐	☐
List any domains not covered in the	☐	☐	☐

Domains	**Birth-to-Three ELGs**	**Three-to-Five ELGs**	**Five and Older ELGs**
above _____			
Other. Describe _____	☐	☐	☐

3.2.3 To whom are the early learning guidelines disseminated and in what manner? Check all audiences and methods that your State/Territory has chosen to use in the chart below.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	☐	☐	☐
Parents using child care more broadly	☐	☐	☐
Practitioners in child care centers	☐	☐	☐
Providers in family child care homes	☐	☐	☐
Practitioners in Head Start	☐	☐	☐
Practitioners in Early Head Start	☐	☐	☐
Practitioners in public Pre-K program	☐	☐	☐
Practitioners in elementary schools	☐	☐	☐
Other. List _____	☐	☐	☐

3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

☐ To define the content of training required to meet licensing requirements
☐ To define the content of training required for program quality improvement standards (e.g., QRIS standards)
☐ To define the content of training required for the career lattice or professional credential
☐ To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
☐ To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
☐ To develop State-/Territory –approved curricula
☐ Other. List _____
☐ None.

3.2.5 Are voluntary early learning guidelines aligned with into other parts of the child care system? Check the standards, if any, with which the

State/Territory aligns its early learning guidelines.

- ☐ Cross-walked to align with Head Start Outcomes Framework
- ☐ Cross-walked to align with K-12 content standards
- ☐ Cross-walked to align with State/Territory pre-k standards
- ☐ Cross-walked with accreditation standards
- ☐ Other. List _____
- ☐ None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In this section, assessment is framed with two distinct purposes/tools – 1) ongoing assessment of children's progress within the classroom to improve and individualize instruction (this corresponds to 3.2.6a) and 2) assessments conducted at kindergarten entry to inform policymakers about the school readiness of children across the State on a broad range of domains, used to guide program initiatives (this corresponds to 3.2.6b).

In the description for each Yes response, please include a) who administers, and b) how often assessments are conducted, and c) what assessment tools are used.

a) Are programs required to conduct ongoing assessments of children's progress of children using valid, reliable and age-appropriate tools aligned with the early learning guidelines or other child standards?

- ☐ Yes. Describe _____

  b-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?

  - ☐ Yes. Describe _____
  - ☐ No
  - ☐ Other. Describe _____

  b-2) If yes, is information on child's progress reported to parents?

  - ☐ Yes. Describe _____
  - ☐ No
  - ☐ Other. Describe _____
- ☐ No
- ☐ Other. Describe _____

b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children as they enter kindergarten?

- ☐ Yes. Describe _____

  c-1) If yes, do the tools cover the developmental domains identified in 3.2.2?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

c-2) If yes, are the tools used on all children or samples of children?

☐ All children. Describe _____
☐ Samples of children. Describe _____
☐ Other. Describe _____

c-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

☐ No
☐ Other. Describe _____

c) Is school readiness information linked to the statewide longitudinal data system (SLDS, program of the Department of Education)?

☐ Yes. Describe _____
☐ No
☐ Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines – What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children's attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for dissemination and implementation of the early learning guidelines? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) **Data on voluntary early learning guidelines**. Indicate if the Lead Agency or another agency has access to data on:

☐ Number/percentage of child care providers trained on ELG's for preschool aged children. Describe (optional) _____
☐ Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional) _____
☐ Number of programs using ELG's in planning for their work. Describe (optional) _____
☐ Number of parents trained on or served in family support programs

that use ELG's. Describe (optional) _____

☐ Other. Describe _____

☐ None

b) **Performance measurement**. What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines? _____

c) **Evaluation**. What are the State/Territory's plans, if any, for evaluation related to early learning guidelines and the progress of children in child care? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. _____

3.2.8 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for using voluntary early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make related to early learning guidelines? _____

3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

Many States have chosen to use targeted quality funds and other resources to develop a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs (i.e. QRIS). States and Territories will provide a self-assessment on current program quality improvement activities by responding to questions in this section and then describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to a Quality Rating and Improvement System (QRIS) framework. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize

this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities. _____

3.3.1 Element 1 – Program Standards

Definition – For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. Minimum licensing standards and health and safety requirements provided in section 3.1 are also program standards but in this section, we focus on those standards that build upon and go beyond those minimum requirements.

a) Does your State/Territory's have quality improvement standards that include indicators covering the following areas beyond what is required for licensing? Check any indicators, if any, that your State/Territory has chosen to establish.

☐ Ratios and group size
☐ Health, nutrition and safety
☐ Learning environment and curriculum
☐ Staff/Provider qualifications and professional development
☐ Teacher/providers-child relationships
☐ Teacher/provider instructional practices
☐ Family partnerships and family strengthening
☐ Community relationships
☐ Administration and management
☐ Developmental screenings
☐ Child assessment for the purposes of individualizing instruction and/or targeting program improvement
☐ Cultural competence
☐ Other. Describe _____
☐ None. If checked, skip to 3.3.2.

b) Does your State/Territory have quality improvement standards with provisions about the care of any of these groups of children? Check any provisions your State/Territory has chosen to establish.

☐ Children with special needs as defined by your State/Territory
☐ Infants and toddlers
☐ School-age children

☐ Children who are dual language learners
☐ None

c) How do your State/Territory's quality standards link to State/Territory licensing requirements? Check any links between your State/Territory's quality standards and licensing requirements.

☐ Licensing is a pre-requisite for participation
☐ Licensing is the first tier of the quality levels
☐ State/Territory license is a "rated" license.
☐ Other. Describe _____
☐ Not linked.

d) Do your State/Territory's quality improvement standards align with or have reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory's quality standards and other standards.

☐ Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
☐ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
☐ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
☐ Other. Describe _____
☐ None

3.3.2 Element 2 –Supports to Programs to Improve Quality

Definition – For purposes of this section, supports to programs to improve quality refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

a) Check which types of and for what purposes the State/Territory uses supports to child care programs, if any, in the following chart. If none, skip to 3.3.3.

Types and Purposes of Support	**Information or Written Materials**	**Training**	**On-Site Consultation**
☐ Attaining and maintaining licensing compliance	☐	☐	☐
☐ Attaining and maintaining quality improvement standards beyond licensing	☐	☐	☐

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
☐ Attaining and maintaining accreditation	☐	☐	☐
☐ Providing targeted technical assistance in specialized content areas:			
Health and safety	☐	☐	☐
Infant/toddler care	☐	☐	☐
School-age care	☐	☐	☐
Inclusion	☐	☐	☐
Teaching dual language learners	☐	☐	☐
Mental health	☐	☐	☐
Business management practices	☐	☐	☐
Other. Describe _____	☐	☐	☐
☐ None. Skip to 3.3.3.			

b) Methods used to customize quality improvement supports to the needs of individual programs include:

☐ Program improvement plans
☐ Technical assistance on the use of program assessment tools
☐ Other. Describe _____

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

☐ Yes. Describe _____
☐ No
☐ Other. Describe _____

3.3.3 Element 3 – Financial Incentives and Supports

Definition – For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory chooses to offer. If none, skip to 3.3.4.

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
☐ Grants to programs to meet or maintain licensing	☐	☐	☐
☐ Grants to programs to meet QRIS or similar quality level	☐	☐	☐
☐ One-time awards or bonuses on	☐	☐	☐

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
completion of quality standard attainment			
☐ Tiered reimbursement tied to quality for children receiving subsidy	☐	☐	☐
☐ On-going, periodic grants or stipends tied to maintaining quality	☐	☐	☐
☐ Tax credits tied to meeting program quality standards	☐	☐	☐
☐ Other. Describe _____	☐	☐	☐
☐ None. Skip to 3.3.4.	☐	☐	☐

3.3.4 – Element 4 - Quality Assurance and Monitoring

Definition – For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
☐ Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. _____	☐ Infant/Toddler ☐ Preschool ☐ School-Age	☐	☐
☐ Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. _____	☐	N/A	☐
☐ Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. _____	☐	☐	☐
☐ Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning	☐	☐	☐

Center programs Describe, including frequency of assessments.			
☐ Other. Describe _____	☐	☐	☐
☐ None. Skip to 3.3.5.	☐	☐	☐

b) What steps, if any, has the State/Territory taken to align quality assurance and monitoring across funding streams and sectors in order to minimize duplication?

☐ Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
☐ Include QRIS or other quality reviews as part of licensing enforcement
☐ Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
☐ Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
☐ Other. Describe _____
☐ None

3.3.5 – Element 5 - Outreach and Consumer Education

Definition – For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may communicated to parents about licensing status and licensing compliance as reported in 3.1.3? (e.g. stars, or gold/silver/bronze levels).

☐ Yes. If yes, how is it used?
- ☐ Resource and referral/consumer education services use with parents seeking care
- ☐ Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
- ☐ Searchable database on the web
- ☐ Voluntarily, visibly posted in programs
- ☐ Mandatory to post visibly in programs
- ☐ Used in marketing and public awareness campaigns
- ☐ Other. Describe _____

☐ No. If no, skip to 3.3.6.

b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

- ☐ Print
- ☐ Radio
- ☐ Television
- ☐ Web
- ☐ Telephone
- ☐ Social Marketing
- ☐ Other. Describe _____
- ☐ None

c) Describe any targeted outreach for culturally and linguistically diverse families. _____

3.3.6. Quality Rating and Improvement System (QRIS)

a) **Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5,** does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?

- ☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.
  - ☐ Participation is voluntary for _____
  - ☐ Participation is mandatory for _____
- ☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.
- ☐ No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.
  - ☐ State/Territory is in the development phase
  - ☐ State/Territory has no plans for development
- ☐ Other. Describe _____

b) If yes to 3.3.6a, **CHECK** the types of providers eligible to participate in the QRIS:

- ☐ Child care centers
- ☐ Group child care homes
- ☐ Family child care homes
- ☐ In-home child care
- ☐ License exempt providers
- ☐ Early Head Start programs
- ☐ Head Start programs
- ☐ Pre-kindergarten programs
- ☐ School-age programs
- ☐ Other. Describe _____

3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above, please describe _____

3.3.8 Data & Performance Measures on Program Quality – What data elements, if any, does the State/Territory currently have access to related to the quality of programs? What, if any, does the State/Territory use for performance measures on program quality improvement? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) **Data on program quality**. Indicate if the Lead Agency or another agency has access to data on:

- ☐ Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional) _____
- ☐ Number of programs that move program quality levels annually (up or down). Describe (optional) _____
- ☐ Program scores on program assessment instruments. List instruments: _____ Describe (optional) _____
- ☐ Classroom scores on program assessment instruments. List instruments: _____ Describe (optional) _____
- ☐ Qualifications for teachers or caregivers within each program. Describe (optional) _____
- ☐ Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) _____
- ☐ Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- ☐ Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional) _____
- ☐ Other. Describe _____
- ☐ None

b) **Performance measurement**. What, if any, are the Lead Agency's performance measures on program quality? _____

c) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or

assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. _____

3.3.9 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems? _____

3.4 Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. adult educators such as consultants, technical assistance providers, trainers, and higher education faculty). In this section, States and Territories provide a self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to five key elements for workforce systems:

1) Core Knowledge and Competencies
2) Career Pathways (or Career Lattice)
3) Professional Development Capacity
4) Access to Professional Development
5) Compensation, Benefits and Workforce Conditions

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities. _____

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition – For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

a) Has the State/Territory developed core knowledge and competencies (CKCs) for practitioners working with and/or on behalf of children?

☐ Yes
☐ No, the State/Territory has not developed core knowledge and competencies. Skip to question 3.4.2.
☐ Other. Describe _____

If yes, insert web addresses, where possible: _____

b) Check which of the following teaching and learning topics, if any, are covered in the CKCs.

☐ Child growth, development and learning
☐ Health, nutrition, and safety
☐ Learning environment and curriculum
☐ Interactions with children
☐ Family and community relationships
☐ Professionalism and leadership
☐ Observation and assessment
☐ Program planning and management
☐ Diversity
☐ Other. Describe _____
☐ None

c) Are the CKCs incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its CKCs into other parts of the child care system.

☐ To define the content of training required to meet licensing requirements
☐ To define the content of training required for program quality improvement standards (as reported in section 3.3)
☐ To define the content of training required for the career lattice or credential
☐ To correspond to the early learning guidelines
☐ To define curriculum and degree requirements at institutions of higher education
☐ Other. Describe _____
☐ None

d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

☐ Cross-walked with the Child Development Associate (CDA) competencies

☐ Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, Head Start SOLAR staff skills indicators)
☐ Cross-walked with apprenticeship competencies
☐ Other. Describe _____
☐ None

e) Check for which roles, if any, the State/Territory developed supplemental or specialized competencies.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____
☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____
☐ Administrators in centers (including educational coordinators, directors). Describe _____
☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____
☐ Other. Describe _____
☐ None

f) Check if the State/Territory has developed any supplemental or specialized competencies for practitioners/providers working with the following ages.

☐ Birth-to-three
☐ Three-to-five
☐ Five and older
☐ Other. Describe _____
☐ None

3.4.2 Workforce Element 2 - Career Pathways

Definition – For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

a) Does the State/Territory have a career pathway which defines the sequence of qualifications related to professional development (education, training and technical assistance) and experience required to work with children?

☐ Yes. Describe _____
☐ No, the State/Territory has not developed a career pathway. Skip to

question 3.4.3.

Insert web addresses, where possible: _____

b) Check for which roles, if any, the career pathways include qualifications, specializations or credentials.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____
☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____
☐ Administrators in centers (including educational coordinators, directors). Describe _____
☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____
☐ Other. Describe _____
☐ None

c) Does the career pathways (or lattice) include specializations or credentials, if any, for working with any of the following children?

☐ Infants and toddlers
☐ Preschoolers
☐ School-age children
☐ Dual language learners
☐ Children with disabilities, children with developmental delays, and children with other special needs
☐ Other. Describe _____
☐ None

d) In what ways, if any, is the career pathway (or lattice) used?

☐ Voluntary guide and planning resource
☐ Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
☐ Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
☐ Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
☐ Required placement for participation in scholarship and/or other incentive and support programs
☐ Required placement for participation in the QRIS or other quality improvement system
☐ Other. Describe _____
☐ None

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice?)?

☐ Yes. If yes, describe _____
☐ No

3.4.3 Workforce Element 3 – Professional Development Capacity

Definition – For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children.

a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

☐ Yes. If yes, describe _____
☐ No

b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

☐ Yes. If yes, describe _____
☐ No

c) What quality assurance mechanisms, if any, are in place for the degree programs and courses offered by the State/Territory institutions?

☐ Standards set by the institution
☐ Standards set by the State/Territory higher education board
☐ Standards set by program accreditors
☐ Other. Describe _____
☐ None

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

☐ Training approval process. Describe _____
☐ Trainer approval process. Describe _____
☐ Training and/or technical assistance evaluations. Describe _____

☐ Other. Describe _____
☐ None

e) Does the State/Territory have articulation agreements in place across and within institutions of higher education?

☐ Yes. If yes, describe _____
☐ No

f) Does the State/Territory have articulation agreements that translate training and/or technical assistance into higher education credit?

☐ Yes. If yes, describe _____
☐ No

3.4.4 Workforce Element 4 – Access to Professional Development

Definition – For purposes of this section, access to professional development (training, education and technical assistance) refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

a) Does the State/Territory have professional development opportunities accessible for professionals in various or all sectors of the early childhood and school-age field?

☐ Yes. If yes, for which sectors?
- ☐ Child care
- ☐ Head Start/Early Head Start
- ☐ Pre-Kindergarten
- ☐ Public schools
- ☐ Early intervention/special education
- ☐ Other. Describe _____

☐ No

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about professional development opportunities available to all members of the early childhood and school-age workforce? Lead Agencies are not required to have a professional development system, but States/Territories may develop such clearinghouses to promote access to professional development opportunities.

☐ Yes. If yes, describe _____
☐ No

Insert web addresses, where possible: _____

c) What supports, if any, does the State/Territory provide to promote access to training and education activities?

☐ Scholarships. Describe _____
☐ Free training and education. Describe _____
☐ Reimbursement for training and education expenses. Describe _____
☐ Grants. Describe _____
☐ Loans. Describe _____
☐ Loan forgiveness programs. Describe _____
☐ Substitute pools. Describe _____
☐ Release time. Describe _____
☐ Other. Describe _____
☐ None

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

☐ Yes. If yes, describe _____
☐ No

e) Does the State/Territory have mentors, coaches, consultants, and/or other specialists available to provide technical assistance to the workforce?

☐ Yes. If yes, describe _____
☐ No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

Definition – For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

a) Does the State/Territory have a salary or wage scale for various professional roles?

☐ Yes. If yes, describe _____
☐ No

b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

☐ Yes. If yes, describe _____
☐ No

c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

☐ Yes. If yes, describe _____
☐ No

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

☐ Yes. If yes, describe _____
☐ No

3.4.6 Data & Performance Measures on the Child Care Workforce – What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

a) **Data on the child care workforce**. Indicate if the Lead Agency or another agency has access to data on:

☐ Data on the size of the child care workforce. Describe (optional) _____
☐ Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) _____
☐ Records of individual teachers or caregivers and their qualifications. Describe (optional) _____
☐ Retention rates. Describe (optional) _____
☐ Records of individual professional development specialists and their qualifications. Describe (optional) _____
☐ Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) _____
☐ Number of scholarships awarded . Describe (optional) _____
☐ Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) _____
☐ Number of credentials and degrees conferred annually. Describe (optional) _____
☐ Data on T/TA completion or attrition rates. Describe (optional) _____
☐ Data on degree completion or attrition rates. Describe (optional) _____
☐ Other. Describe _____
☐ None

b) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks workforce demographics, compensation, and qualifications and ongoing professional development for practitioners working with children birth to age 13?

Definition– For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

☐ Yes.

b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____

☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____

☐ Administrators in centers (including educational coordinators, directors). Describe _____

☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____

☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____

☐ Other. Describe _____

☐ None

b-2) Does the workforce data system apply to:

☐ all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?

☐ all practitioners working in programs that receive public funds to serve children birth to age 13?

☐ No

c) **Performance measurement**. What, if any, performance measures does the State/Territory use related to its workforce and professional development systems? _____

d) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative,

validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. _____

3.4.7 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.4. What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above? _____

AMENDMENTS LOG

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: _____
FOR THE PERIOD: 10/1/11 – 9/30/12

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a "substantial" change in the Lead Agency's approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-01/pi2009-01.htm

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

Appendix 1

Quality Performance Report

This annual report will be submitted to ACF no later than December 31, 2012 and the first submittal will reflect the period October 1, 2011 through September 30, 2012. Lead Agencies will leave this report blank when the Plan is initially submitted.

In this report, Lead Agencies are asked about the State/Territory's progress in meetings its goals as reported in the FY 2012-2013 CCDF Plan, and provide available data on the results of those activities. At a minimum, Lead Agencies are expected to respond to the first question in each section of the Quality Performance Report (QPR) which asks for their progress toward meeting their goal(s) articulated in Part 3 of the CCDF Plan for this Biennium. Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. Lead Agencies may provide narrative updates in the subsequent data sections, including any plans for reporting data in the future, if actual data is not currently available.

The purpose of this annual report is to capture State/Territory progress on improving the quality of child care. Specifically, this report will:

- Provide a national assessment of State's and Territory's progress toward improving the quality of child care, including a focus on program quality and child care workforce quality;
- Track State's and Territory's annual progress toward meeting high quality indicators and benchmarks, including those that they set for themselves in their CCDF Plans and those that are of interest to the U.S. Department of Health and Human Services in measuring CCDF program performance;
- Assist national and State/Territory technical assistance efforts to help States/Territories make strategic use of quality funds; and
- Assist with program accountability and compliance efforts tied to quality investments.

This report collects data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2012-2013:

1. Ensuring health and safety of children through licensing and health and safety standards
2. Establishing early learning guidelines
3. Creating pathways to excellence for child care programs through program quality improvement activities
4. Creating pathways to an effective, well-supported child care workforce through professional development systems and workforce initiatives.

Ensuring the Health and Safety of Children (Component #1)

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30, 2012.

A1.1 Progress on Overall Goals

Based on the goals described in the Lead Agency's CCDF Plan at Section 3.1.7, please report your progress using the chart below. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., revised licensing regulation to include elements related to SIDS prevention, Lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

Note: If your licensing standards changed during this period, please provide a brief summary of the major changes and submit the updated regulations to the National Resource Center for Health and Safety in Child Care (www.nrckids.org.)

A1.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. For example, the number of programs with licensing violations will be affected by how stringent the licensing standards are. States with more stringent standards may be more likely to report more violations than those with less stringent licensing standards. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A1.2.1 Number of licensed programs

a) How many licensed center-based programs operated in the State/Territory as of September 30, 2012? _____ or ☐ Data not available

b) How many licensed home-based programs operated in the State/Territory as of September 30, 2012? _____ or ☐ Data not available

c) Does the State/Territory have data on the number or percentage of programs (i.e., paid care provided on a regular basis by an unrelated caregiver outside of the child's own home) operating in the State/Territory that are subject to licensing regulations?

☐ Yes. If yes, include the number/percentage of programs and describe _____

☐ No

A1.2.2 What percentage of programs received monitoring visits, and at what frequency, for each provider category during the last fiscal year?

a) What percentage of licensed center-based programs were visited as of the end of the last fiscal year? _____ What was the average number of visits? _____

b) What percentage of licensed family child care programs were visited as of the end of the last fiscal year? _____ What was the average number of visits? _____

c) What percentage of legally exempt providers, receiving CCDF were visited as of the end of the last fiscal year? What was the average number of visits? _____

☐ Data not available

A1.2.3 How many programs had their licenses suspended or revoked due to licensing violations as defined in your State/Territory during the last fiscal year?

	Suspended	**Revoked**
Licensed Centers		
Licensed Homes		
☐ Data not available		

A1.2.4 How many programs were terminated from participation in CCDF subsidies due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?

Child Care Centers _____
Group Child Care Homes _____
Family Child Care Homes _____
In-Home Providers _____
☐ Data not available

A1.2.5 How many previously license-exempt providers were brought under the licensing system during the last fiscal year? _____

A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year? Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

A1.2.6 How many fatalities occurred in child care as of the end of the last year? Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

Establishing Early Learning Guidelines (Component #2)

A2.1 Progress on Overall Goals

A2.1.1 Did the State/Territory make any changes to its voluntary early learning guidelines (including guidelines for school-age children) as reported in 3.2 during the last fiscal year?

☐ Yes. Describe _____
☐ No

A2.1.2 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.2.8, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELG's, Aligned the ELG's with Head Start Outcomes Framework). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A2.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A2.2.1 How many programs were trained on early learning guidelines (ELG's) or standards over the last fiscal year?

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's
How many center-based programs were trained on ELG's over the past year? How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____ _____	_____ _____	_____ _____
How many family child care programs were trained on ELG's over the past year? How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____ _____	_____ _____	_____ _____
How many legally exempt providers were trained on ELG's over the past year? How many children are served in programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____ _____	_____ _____	_____ _____
☐ Data not available			

Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

A3.1 Progress on Overall Goals

A3.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.3.9, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs included in the QRIS, Aligned the QRIS standards with Head Start performance standards, or expanded the number of programs with access to an on-site quality consultant). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A3.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A3.2.1 How many programs received targeted technical assistance in the following areas during the last fiscal year?

Health and safety _____
Infant and toddler care _____
School-age care _____
Inclusion _____
Teaching dual language learners _____
Understanding developmental screenings and/or observational assessment tools for program improvement purposes _____
Mental health _____
Business management practices _____
☐ Data not available

A3.2.2 How many programs received financial support to achieve and sustain quality during the last fiscal year?

a) One-time, grants, awards or bonuses:
Child Care Centers _____
Family Child Care Homes _____
☐ Data not available

b) On-going or Periodic quality stipends:
Child Care Centers _____
Family Child Care Homes _____
☐ Data not available

A3.2.3 What is the participation rate (number and percentage) in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year? When reporting the percentages, please indicate the

universe of programs on which the percentage is based (e.g., licensed providers, CCDF providers, or all providers).

Child Care Centers QRIS _____ or Other Quality Improvement System _____

Family Child Care Homes QRIS _____ or Other Quality Improvement System _____

License-Exempt Providers QRIS _____ or Other Quality Improvement System _____

☐ Data not available

A3.2.4 How many programs moved up or down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year? If quality threshold is something other than QRIS, describe the metric used, such as accreditation.

Child Care Centers _____

Family Child Care Homes _____

License-Exempt Providers _____

☐ Data not available

A3.2.5 How many programs are at each level of quality? Describe metric if other than QRIS, such as accreditation.

Child Care Centers _____

Family Child Care Homes _____

License-Exempt Providers _____

☐ Data not available

A3.2.6 What percentage of CCDF subsidized children were served in a program participating in the State or Territory's quality improvement system during the last fiscal year? What percentage are in high quality care as defined by the State/Territory? **Note**. If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

Percentage of CCDF children served in participating programs

Percentage of CCDF children served in high quality care (May define with assessment scores, accreditation, or other metric, if no QRIS.)

☐ Data not available

Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)

A4.1 Progress on Overall Goals

A4.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.4.7, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation

agreements). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A4.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A4.2.1 How many teachers/caregivers had the following qualifications as of the end of the last fiscal year?

	Child Care Center Teachers	Family Child Care Providers
Child Development Associate (CDA)		
State/Territory Credential		
Associate's degree		
Bachelor's degree		
Graduate/Advanced degree		
☐ Data not available		

A4.2.2 How many teachers/caregivers were included in the State/Territory's professional development registry during the last fiscal year?

Staff in child care centers _____
Family child care home providers _____
License-exempt practitioners _____
☐ Data not available

A4.2.3 How many teachers/caregivers received credit-based training and/or education as defined by the State/Territory during the last fiscal year?

Staff in child care centers _____
Family child care home providers _____
License-exempt practitioners _____
☐ Data not available

A4.2.4 How many credentials and degrees were awarded during the last fiscal year? If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	Type of Credential	Type of Degree
Staff in child care centers	List and provide number	List and provide number
Family child care home providers	List and provide number	List and provide number
License-exempt practitioners	List and provide number	List and provide number
☐ Data not available		

A4.2.5 How many teachers or other professionals received technical assistance such as coaching, mentoring or consultation during the last fiscal year? Describe any data you track on coaching, mentoring, or specialist consultation. If possible, include in what type of setting the practitioner worked.

Setting	Type of Technical Assistance
Staff in child care centers	List and provide number
Family child care home providers	List and provide number
License-exempt practitioners	List and provide number
☐ Data not available	

A4.2.6 What financial supports were funded over the past fiscal year to support teachers and caregivers in meeting and maintaining standards and qualifications as of the end of the last fiscal year?

☐ Scholarships. How many teachers received? _____
☐ Reimbursement for Training Expenses. How many teachers received? _____
☐ Loans. How many teachers received? _____
☐ Wage supplements. How many teachers received? _____
☐ Other. Describe _____
☐ Data not available

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

(1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))

(2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))

(3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))

(4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))

(5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))

(6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))

(7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

(1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

(2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))

(3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))

(4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))

(5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

(6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

(7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

1. **Assurance of compliance with Title VI of the Civil Rights Act of 1964:**
   http://www.hhs.gov/forms/HHS690.pdf

2. **Certification regarding debarment:**
   http://www.acf.hhs.gov/programs/ofs/grants/debar.htm

3. **Definitions for use with certification of debarment:**
   http://www.acf.hhs.gov/programs/ofs/grants/debar.htm

4. **HHS certification regarding drug-free workplace requirements:**
   http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm

5. **Certification of Compliance with the Pro-Children Act of 1994:**
   http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm

6. **Certification regarding lobbying:**
   http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If the there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.