A Designation Visit is an act of indicating or identifying protocol and compliance. An appointment or selection is then made to a distinguishing STAR Level. The purpose of the Designation Visit is to “verify compliance with the Keystone STARS Standards, determine successful achievement of a Keystone STARS level and encourage Continuous Quality improvement”.
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Overview of STARS Management Cycle Process
What is a Designation Visit?

In order to better understand what a Designator is and does, we must first define what a Designation is?

Webster’s dictionary defines Designation (Designation (2003) in Merriam-Webster’s dictionary (11th ed.). Springfield, MA., Merriam-Webster) as: 1) the act of indicating or identifying 2) appointment to or selection for an office, post or service 3) a distinguishing name, sign or title 4) the relationship between a sign and the thing signed.

The Designator would be the person whom is performing said Designation Visit in an act of indicating or identifying protocol compliance. An appointment or selection is then made to a distinguishing STAR Level. The purpose of the Designation Visit is to “verify compliance with the Keystone STARS Standards, determine successful achievement of a Keystone STARS level and encourage continuous quality improvement”.

STARS MANAGEMENT CYCLE PROCESS
Planning Visit:
The cycle starts with an initial Planning visit **6-9 Months Prior** to a Designation Visit. This process actually begins at that time and is at that time the foundation of the visit is created and therefore, imperative this step is implemented and complete. In order to have a more thorough Pre-Designation visit, these steps should be followed and include the following points in this initial visit:

- Opportunity for the provider to discuss questions, concerns and resources with the STARS Manager/Specialist.
- An opportunity for the STARS Manager/Specialist to explain to the provider the role of the STARS Manager/Specialist as a coach and mentor.
- An opportunity for the STARS Manager/Specialist to take a tour of facility and environment, meet staff and observe visual parent communication.
- STARS Manager/Specialist should make sure that their approach takes into account and supports any cultural and diversity programs.
- Technical Assistance and professional development needs are discussed and mapped out at that time.
- Review appropriate STAR level worksheets together.
- Create an action plan for next steps and timeframes, renewing or moving up?
- Review Career Lattice and create Staff Qualification Waiver with Action Plan if needed.
- Perform Credential Review and Staff Placement on the Career Lattice.
- Explain Mentor Program to STAR 1 programs. Review possibility of becoming a Mentee.
- If STAR 3 or 4, review possibility or becoming a Mentor.
- If designating at a STAR 3 or 4, ensure ERS is on PA PACT. Review ERS process for further details.
- To ensure this step is completed, the STARS Manager will submit a summary report with a checklist that has been signed and dated by both practitioner and STARS Manager/Specialist stating said items had been reviewed and discussed. Completed form should be put in practitioner’s file/e-file, with a copy sent to the supervisor within 5 days of visit.

Communication Step:
The next step in the cycle is the **3-4 Months Communication Step Prior** to Designation. This step usually entails a phone call rather than a site visit for communication, although if you feel the program would benefit from a face to face encounter, we encourage you to take that time. This would be
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beneficial especially if the previous step included several questions or issues that need follow up or clarification. In that case you want to be sure and include the items discussed in the 6-9 month prior step as this will help ensure your Pre-Designation proceeds with little or no issues.

- Review financial award application request to be given at pre-designation visit. Follow up any Financial Award application questions.
- Review with the provider what expectations will need to be met at pre-designation. Provide a complete checklist (generated or formatted from SMART Summary) with Pre-Designation Letter of documentation (Staff Records Grid, Enrollment Calculation Tool, Observation/Assessment spreadsheet, most recent certificate of compliance or registration, COMPLETED IPDP’s¹/PDR’s and documentation to meet standards).
- Be sure provider doesn’t have any questions or misconceptions pertaining to process.
- Dates at this point should be set for Pre-designation and Designation visits. A letter with copy of the checklist previously discussed with practitioner should be sent to the program to confirm dates and times. Conduct a follow-up call 2-3 days prior to visit. At this point the next step will be Pre-Designation.

Initial Pre-Designation Visit, Summary and Follow Up to Visit:
Prior to the Pre-Designation Visit, the first two steps of the cycle should have been conducted.

- The STARS Manager/Specialist will review all documentation needed to meet the standards of the STAR level the program is striving to attain.
- STARS Manager/Specialist should record all Standard results in SMART
- All IPDP’s/PDR’s are reviewed in detail. A discussion will take place with the Director to give depth to some of the performance standards such as Curriculum, CQI, Partnerships with Parents and stakeholders, etc.
- At a minimum, 2 but no more than 10, of the children’s files from each classroom chosen by the Specialist/Manager (in accordance with DPW Certification) are reviewed for observations, assessments and parent conference information. Use of Observation/Assessment tool can be found at Childs Records Review
- STARS Manager/Specialist will review all staff files, yearly evaluations, 2 observations and staff self-assessments at Staff Records Review.

¹ Individual Professional Development Plan for Early Childhood and School-Age Professionals (IPDP) transition from Professional Development Record (PDR) July 1, 2014 to July 1, 2015 at which time it will be required for Keystone STARS providers. Copies of the PDR will no longer be available for ordering or downloading.
• STARS Manager will contact Designator to schedule designation visit and review expectations of the visit. (Good practice: 2 weeks between Pre-Designation and Designation visits)
• STARS Manager/Specialist will ensure the completed financial award application and enrollment calculation tool has been completed if it was not at the 6-9 month visit.
• Complete Pre-Designation process (as described in detail in the Types of Visits section of this manual) should be followed before Designation is conducted.

Final Pre-Designation Summary and Follow-Up to Visit:
• A Pre-Designation summary/Action Plan is completed in SMART and emailed to the program after visit. (Within 2 business days)
• STARS Manager/Specialist will forward all completed documentation to Designator within 2 business days to be reviewed before going to the site.
• PRIOR to the Designation visit, the Designator will review the Pre-Designation summary and documentation previously sent to Designator and discuss with STARS Manager. (This may be done on the phone or in person…but there must be a conversation to be sure all documentation was reviewed before Designation)

Initial Designation Visit:
• The Designator will review all documentation needed to meet the standards of the STAR level the program is striving to attain.
• The Lead Designator conducts two interviews with staff of the program.
• At the end of the Designation visit, the Designator will review any documentation that needs to be completed and the timeline decided upon.
A Designation Summary letter is completed in SMART and emailed to the program within 2 business days after the Designation visit. (see appendix for example of Summary Letter)

Complete Designation process (as described in detail in the Types of Visits section of this manual) should be followed before STAR level is awarded.

A program is not designated until all documentation is completed and a STAR Certificate is sent to the program. The Attestation (signed at Request for Designation) must be completed, approved and confirmed in PELICAN prior to receiving a STARS Certificate.

Final Designation Follow-Up:

- If a program is moving to a STAR 3 or 4, they will need an ERS Validation Visit following the successful Designation visit.
- There is communication between the Designator and the STARS Manager/Specialist regarding any documentation that may still need to be reviewed to complete the Designation visit. The STARS Manager/Specialist should review follow-up documentation and if approved can forward to Designator for final review.

Environment Rating Scale (ERS) Visit for STAR 3 and STAR 4:

Upon notification of the facility need for ERS assessment via PA PACT, the PA Key Regional Program Quality Assessor will claim the site and determine a tentative window to offer. For STARS Movement assessment requests, the Assessor will contact the site and establish the first available visit window (see ERS Assessment Visit Protocols)

- The ERS Assessor will notify the contact at the facility via phone call or email of the potential four-business week window for the assessment and gather any additional details needed to ensure proper scheduling (e.g. total number of classrooms/groups of children, etc.) No specific dates for the assessments within this window will be given.
- After the completion of all assessments at the site, the Regional Key and/or Preschool Programs Specialists will receive an electronic copy of the original ERS reports. They will review the reports to determine if the provider has achieved the respective ERS
score per the program’s standards or requirements and share the reports with the provider.

- If the ERS scores meet or exceed the requirements for a higher STAR level than that for which the facility was being assessed, the site may use these scores for up to six months following the ERS Effective Begin Date as noted in PELICAN to meet the ERS standard of the higher STAR. If the facility requests to move to a higher STAR level after this initial six month period, another ERS visit will need to occur.

- If a facility does not achieve the required ERS score, the Regional Key will contact the site to review the following procedures for an ERS Reassessment (refer to ERS Process in Appendix for further details).

Financial Award:

Financial awards are targeted for program improvement and maintenance of quality improvements. Reference the optional tool “Best Practice in Financial Award Spending” and discuss specific strategies the program is considering with financial rewards. How do these strategies support the CQI plan of the facility?

- A financial award is given to a program after the designation is complete, if meets eligibility requirements.
- Best practice is a 10 day timeframe to submit financial award application to the Key after a Designation is complete.
- Receipt Collection and Expense Report (see Receipts Collection Guidelines)
- After financial award is given to a program there is a follow-up process of 30 days, 60 days and 90 days communication to program to check in on progress of spending dollars, answer questions, etc.
- After financial report is received at the Key, which reflects the spending of the financial award the program may receive a grant monitoring visit performed by the STARS Manager.
- After the financial award is spent the STARS Manager/STARS Coordinator will have a discussion with the program to reflect on how the past award helped support quality and plan the financial award projections for the next fiscal year as well as next steps and resource needs for the program.

The STARS Management Cycle begins again.
Enrollment Process

**Purpose:**
The purpose of the Enrollment Process is to gather the program and contact information necessary to enter the provider in the PELICAN system, assign a Keystone STARS Manager/Specialist, and orient the provider to the Keystone STARS process. This procedure will outline the general process of enrolling a provider into the Keystone STARS program.

**Policy:**
STARS Managers/Specialist will implement enrollment procedures that meet regional operational needs as well as adhere to enrollment protocol issued by the Office of Child Development and Early Learning.

**Procedure:**
1. The program submits a [Keystone STARS Enrollment Application](#).
2. Enrollment application is received and date stamped immediately upon arrival in the Regional Key office.
3. The STARS Manager/Specialist reviews the form to verify that it is accurate and complete and that a current DPW Certificate of Compliance is attached or available on PELICAN.
4. The STARS Manager/Specialist enters site information into PELICAN.
5. Enrollment packages to include the welcome letter, Tip Sheet, and Planning Visit Protocol (copies of these forms located in the appendix).
6. The Manager/Specialist contacts the new provider within 5 business days to offer a planning visit (see Planning Visit Protocol).
7. The Manager/Specialist assists the program in achieving STAR 1 (see STAR 1 Designation).
8. Check for any Tax Liens (see Tax Liens Process) as indicated in the Financial Guidelines.
Sample Keystone STARS Enrollment Application
DPW Certified or Regulated Facilities

KEystone STars enrollment application
DPW Certified or Regulated Facilities

Instructions: Please complete this form and return to the Regional Key office. Make sure that the person who signs this form is legally authorized to represent the facility.

Name of Facility (As it appears on DPW Certificate of Compliance/Registration):

Address (As it appears on DPW Certificate of Compliance/Registration):

City/State: Zip Code: County: MPI#

☐ Place checkmark (✓) if the Regional Key should use the above as the Correspondence Address for this facility.

Phone Number (where you care for the children): Ext.: Fax: ☐

Contact Person: Title: Email: ☐

Facility Type (Check one): ☐ Center ☐ Family Day Care Home ☐ Group Home ☐ Is this a School Age Only site?: ☐ Yes ☐ No

Certificate of Compliance #: (Centers/Groups Only): ☐ Exp. Expiration Date: ☐ SGN or FEIN (Family Only):

Legal Entity Name:

Address: Phone Number: ☐

City/State: Zip Code: Contact Person: ☐

☐ Place checkmark (✓) if the Regional Key should use the above as the Correspondence Address for this facility.

Phone Number ( ): Ext.: Fax: (): Email: ☐

If neither address should be used for correspondence, please write the preferred correspondence address on the bottom of this form.

Additional Facility Location
Name and MPI#

Address
City/State/Zip Code
Email Address—REQUIRED
Phone #
Contact Person’s Name

☐ Yes ☐ No I attest that all classrooms where child care children are enrolled meet DPW compliance at all times, regardless of affiliation with other organizations, such as PA Department of Education and Head Start.

Signature of the Individual Who is Legally Authorized to Represent the Facility

Print Name
APP-01
03/20/2013

Date

Title

[Logo]
**KEYSTONE STARS ENROLLMENT APPLICATION**

**NON-DPW CERTIFIED/REGULATED FACILITIES**

Instructions: Please complete this form. Make sure that the person who signs this form is legally authorized to represent the facility. Return this form to the Regional Key office with a copy of your current license, if applicable.

<table>
<thead>
<tr>
<th>Legal Entity Name:</th>
<th>MPI# (if applicable/known):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td>City/State:</td>
<td>Zip Code: County: Contact Person:</td>
</tr>
<tr>
<td>Phone Number:</td>
<td>Ext. Fax: Email: (Required)</td>
</tr>
</tbody>
</table>

Regional Key should use the facility address or the Legal Entity address for Correspondence. (Please check one appropriate box) If neither address should be used for correspondence, please write the preferred correspondence address on the bottom of this form.

Facility Type:  
- ☐ Head Start  
- ☐ School District/LEA Pre-K Counts  
- ☐ Private Academic Nursery School (submit license with application)

<table>
<thead>
<tr>
<th>Additional Facility Location Name and MPI# (if known)</th>
<th>Address</th>
<th>City/State/Zip Code</th>
<th>Email Address-REQUIRED</th>
<th>Phone #</th>
<th>Contact Person’s Name</th>
<th># of Children Served</th>
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</table>

(Attach additional sheet if more space is needed)

☐ I attest that this information is true, accurate and complete to the best of my knowledge.

Signature of the Individual Who is Legally Authorized to Represent the Facility

Print Name  

ARP-01  

03/20/2013

Date  

Title

[Keystone STARS logo]
Types of Program Visits
6-9 months Prior to Designation Visit:

Purpose:
The STARS Specialists are a core component of the Keystone STARS program. Through the use of Keystone STARS standards, the Specialist is responsible for guiding and directing early education and school-age practitioners towards achieving quality by engaging them in a continuous quality improvement process. The Specialist acts as a resource, providing practitioners with information and support and assisting them to develop and implement appropriate plans to achieve the goals of Keystone STARS.

The primary task of the Keystone STARS Specialist is to interpret the Keystone STARS Standards, guide programs through the process of understanding the intention behind the standards; act as an expert on available resources; and make recommendations that enable practitioners to move through the STARS process. To that end, establishing and maintaining relationships with practitioners is essential. This initial encounter is a large part of what determines whether or not the facility will proceed, striving to achieve a higher STAR status in the future, or struggle to meet and maintain the expectations put forth in this program. This protocol will provide guidance on what expectations exist around conducting site visits.

Policy:
Specialists will make contact with each program on their caseload at least quarterly (four times per year.) Specialists will complete at least one on site visit prior to Initial Pre-Designation to complete planning process with practitioners. Specialist will assist the program to meet their goals and at least one planning visit per year to complete an annual plan.

Protocol and Procedure:

- Schedule visit- sends Pre-Designation Letter (see example in appendix under optional tools).
- Review Strategic Discussions for ALL Facilities (see appendix for complete document).
- Confirm the visit 24 hours prior by email or phone.
- Prepare for the visit by:
  - Dressing professionally in business casual clothing
  - Taking minimum personal belongings into the facility
  - Turning off any cell phone ring tones
  - Having identification ready
  - Bringing your laptop to enter information into SMART
- Upon arrival, greet the staff, smile and exhibit a professional demeanor.
- Briefly discuss the goal of the visit with the appointed facility person.
- If this is your first visit to the facility, request a tour. View visual communication to parents in each classroom at that time.
• Greet staff and children while walking through the facility, but be respectful of classroom routines and responsive to children’s reaction to your presence.

• Continue with the meeting keeping the following principles in mind:
  o Continuous quality improvement is a process. Meet the program where they are and provide assistance for them to reach the next level.
  o Establishing a good relationship with the program is key to their success
  o Be mindful of different work styles and preferences when providing guidance
  o Be sure to include and discuss:
    ▪ Technical Assistance (TA) Needs
    ▪ Credentials [https://www.pakeys.org/uploadedContent/Docs/PD/Career%20Advising/Director%20Credential%20Programs%20revd06.18.13ba.pdf](https://www.pakeys.org/uploadedContent/Docs/PD/Career%20Advising/Director%20Credential%20Programs%20revd06.18.13ba.pdf)
    ▪ STAR level worksheets for the year-move up
    ▪ Professional Development (PD) Needs
    ▪ ERS Visit
    ▪ Strategic Planning
    ▪ Good, Better, Best (GBB)
    ▪ Early Learning Network (ELN) assessments for STAR levels 2-4
    ▪ Navigate PA Key website-RK intranet-outreach tools to meet standards this would be helpful to new practitioners
    (All of the items listed above are available on the PA Keys website [www.pakeys.org](http://www.pakeys.org))

• Depending on the outcome, review the next steps with the owner/director

• Document the next steps in SMART (see Appendix for detailed steps in SMART). Complete time in and out and request the assigned facility person’s signature. Leave a copy with the assigned facility person if using Keystone STARS Meeting Request Form (see example located in the Appendix).

• Log the contact into PELICAN (see Tips for PELICAN User Role Request in Appendix) within 5 business days.

• Follow up as appropriate.
Communication Step

3-4 Months Prior to Designation Visit is the Communication Step.

- This step usually entails a phone call rather than a site visit for communication, although if you feel the program would benefit from a face to face encounter, we encourage you to take that time.
- This would be beneficial especially if the previous step included several questions or issues that need follow up or clarification. In that case you want to be sure and include the items discussed in the 6-9 month prior step as this will help ensure your Final Pre-Designation proceeds with little or no issues.
  - Review financial award application request to be given at pre-designation visit. Follow up any Financial Award application questions.
  - Review with the practitioner what expectations will need to be met at Initial Pre-Designation.
- Provide a complete checklist (see optional tools-Planning Visit Checklist) with Pre-Designation Letter of documentation (Staff Records Grid, ECT, Observation/Assessment spreadsheet, most recent certificate of compliance or registration, COMPLETED IPDP’s²/PDR’s and documentation to meet standards).
- Be sure provider doesn’t have any questions or misconceptions pertaining to process.
- Dates at this point should be set for Initial Pre-designation visits.
- A letter with copy of the checklist previously discussed with practitioner should be sent to the program to confirm dates and times.
- Conduct a follow-up call 2-3 days prior to visit. At this point the next step will be the Initial Pre-Designation Visit.

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² Individual Professional Development Plan for Early Childhood and School-Age Professionals (IPDP) transition from Professional Development Record (PDR) July 1, 2014 to July 1, 2015 at which time it will be required for Keystone STARS providers. Copies of the PDR will no longer be available for ordering or downloading.
Initial Pre-Designation Visit Procedure

Purpose:
The purpose of a pre-designation visit is to determine a program’s readiness for a designation or renewal visit and to prepare the program for the next steps in the process. This process is divided into two visits, the initial and final pre-designation visits. This procedure will outline the steps for completing an Initial Pre-Designation visit for a new designation.

Policy:
The Regional Key Representative contacts the facility in preparation for an Initial Pre-Designation Visit with the STARS Designator. The Final Pre-Designation visit is the follow-up visit to ensure documentation and expectations are met before the Initial Designation Visit. During the Pre-Designation contact, the Regional Key Representative reviews the facility’s documentation for meeting the STARS Performance Standards.

1. If the facility is having difficulty meeting all STARS Performance Standards, the Regional Key Representative assists the facility in determining the appropriate steps to improve quality so that the standards are met.

2. If the facility is prepared for a Designation Visit with the STARS Designator, the Regional Key Representative refers to DPW Regional Certification Office and/or the negative sanctions list to review facility’s status.

3. If the review with Certification (for DPW Regulated programs) shows that the facility does not comply with DPW regulations and the facility currently has a STAR Designation, follow the STARS Status Review, Suspension, & Removal Process (see Appendix for document). If the facility does not have a STAR currently and does not comply with DPW regulations, the facility cannot receive a STAR Designation.

4. If the review of documents for the Non DPW Regulated program (e.g. Head Start, Private Academic Nursery School, etc.) shows that the program does not comply with program specific regulations and the program currently has a STAR Designation, follow the STARS Status Review, Suspension, & Removal Process.

Procedure:
1. Specialist schedules an Initial Pre-Designation Visit with the program:
   - If the program will be eligible, email the appropriate grant applications and ask that the program complete as much as possible before the Initial Pre-Designation Visit.
   - Specialist requests that the program is prepared with their worksheet completed and their sources of evidence organized.
   - Specialist asks if the program has an updated Staff Records Grid (see example in Appendix) saved that they could email or fax ahead of time. If not, he/she request that the program is prepared with an updated Staff Records Grid to use.
Specialist explains that it will be used to make notes, so it should not be the original.

- Specialist explains that she/he will need copies of all Career Lattice documentation (See Transcript Review in Appendix).

2. Specialist prepares for the visit by:
   - Dressing professionally in business casual clothing;
   - Taking minimum personal belongings into the facility;
   - Turning off any cell phones; and
   - Having identification ready.

3. Upon arrival, Specialist greets the staff, smiles and exhibits a professional demeanor.

4. Specialist completes verification of STARS standards using SMART. Specialist will use SMART to document all findings, documentation, sources of evidence viewed, reviewed or needed. Specialist should also note where documentation is located in order to assist the Designation process. Narrative documentation should be thorough. Dates and expiration dates should be documented as necessary.

5. Specialist randomly chooses 2 children’s files per classroom to review, but no more than 10 records program-wide.

6. Using the program’s Staff Records Grid, Facility Profile and SQAP Worksheet (see example in the Appendix), Specialist reviews appropriate sources of evidence for all staff.

7. Specialist reviews any missing items with the program and establishes a way for the director to submit the items (i.e. follow up visit, email or fax) and a timeline for submission at Final Pre-Designation.

8. Specialist explains Initial Designation visit procedures

9. If an ERS assessment is required, Specialist explains the process.

10. If the program will be eligible, Specialist reviews grant request and asks that it be completed and returned to the Designator during the designation visit.

11. Specialist documents the next steps, (Keystone STARS Meeting Form or a facsimile thereof is a great tool) and leaves a copy with the director.

12. When all items have been verified within timeline limits for submission, Specialist requests an Initial Designation visit from the Designator (see Appendix for Requesting and Scheduling a Designation Visit).

13. If the visit is for renewal and not all items are verified, the Designator moves the program down to the STAR Level that can be verified (see Renewal Process).

14. If this is a move up designation to STAR 3 or 4, the Specialist enters the ERS visit request into PA PACT (see Appendix for PA PACT Tip Sheet).
Final Pre-Designation Visit

Follow-Up to Initial Pre-Designation Visit

The Final Pre-Designation visit is the follow-up visit to ensure documentation and expectations are met before the Initial Designation Visit. During the Pre-Designation contact, the Regional Key Representative reviews the facility’s documentation for meeting the STARS Performance Standards.

If the facility is having difficulty meeting all STARS Performance Standards, the Regional Key Representative assists the facility in determining the appropriate steps to improve quality so that the standards are met.

1. If the facility is prepared for a Designation Visit with the STARS Designator, the Regional Key Representative refers to DPW Regional Certification Office and/or the negative sanctions list to review facility’s status.
2. If the review with Certification (for DPW Regulated programs) shows that the facility does not comply with DPW regulations and the facility currently has a STAR Designation, follow the STARS Status Review, Suspension, & Removal Process (see Appendix for document). If the facility does not have a STAR currently and does not comply with DPW regulations, the facility cannot receive a STAR Designation.
3. If the review of documents for the Non DPW Regulated program (e.g. Head Start, Private Academic Nursery School, etc.) shows that the program does not comply with program specific regulations and the program currently has a STAR Designation, follow the STARS Status Review, Suspension, & Removal Process.

Specialist reviews any missing items with the program and establishes a way for the director to submit the items (i.e. follow up visit, email or fax) and a timeline for submission at Final Pre-Designation.

1. Specialist explains Final Pre-Designation and Designation Visit procedures.
2. If an ERS assessment is required, Specialist explains the process.
3. If the program will be eligible, Specialist reviews grant request and asks that it be completed and returned to the Designator during the designation visit.
4. Specialist documents the next steps on the Keystone STARS Meeting Form and leaves the top copy with the director.
5. When all items have been verified within timeline limits for submission, Specialist requests an Initial Designation visit from the Designator (see Appendix for Requesting and Scheduling a Designation Visit).
6. If the visit is for renewal and not all items are verified, the Designator moves the program down to the STAR Level that can be verified (see Renewal Process).
7. If this is a move up designation to STAR 3 or 4, the Specialist enters the ERS visit request into PA PACT.
Requesting and Scheduling a Designation Visit

Purpose:
The purpose of a designation visit is to verify compliance with Keystone STARS Standards, determine successful achievement of a Keystone STARS Level and encourage continuous quality improvement. This procedure will outline the steps for requesting a Keystone STARS designation visit after a Pre-Designation has been completed.

Policy:
The STARS Designator will follow one of the next sections based on the STAR Designation toward which the facility is working.

1. STAR 1 Designation
   If the facility is working toward a STAR 1, an on-site Designation Visit is not required. The Regional Key will review the facility’s completed STAR 1 worksheet to verify compliance with STARS Performance Standards.
   - If the facility does not meet the STARS Performance Standards, the Regional Key Representative will assist the facility in developing a STARS action plan. The STARS action plan timeframes and specific steps may be modified based on the needs of a specific facility and/or the Regional Key.
   - If the facility meets the required STARS Performance Standards, proceed to Step 4.

2. STAR 2 Designation
   If the facility is working toward a STAR 2, an on-site Designation Visit is required to verify compliance with STARS Performance Standards.
   - If the facility does not meet the STARS Performance Standards, the Regional Key Representative will assist the facility in developing a STARS action plan. The STARS action plan timeframes and specific steps may be modified based on the needs of a specific facility and/or the Regional Key.
   - If the facility meets the required performance standards, proceed to Step 4.

3. STAR 3 or STAR 4 Designations
   If the facility is working toward a STAR 3 or STAR 4, an on-site Designation Visit and ERS Assessment are required to verify compliance with STARS Performance Standards.
   - If the facility does not meet the STARS Performance Standards other than ERS, the Regional Key Representative will assist the facility in developing a STARS action plan. The STARS action plan timeframes and specific steps may be modified based on the needs of a specific facility and/or the Regional Key. The Regional Key Representative will notify the Assessor of the facility’s status.
   - If the facility meets the STARS Performance Standards other than ERS, the Regional Key Representative alerts the Assessor of the completed Designation Visit.
The Assessor and the facility establish a time period for the ERS assessment.

The Assessor visits the facility, after which the Assessor provides reports of the assessment to the Regional Key. The Regional Key shares the ERS reports with the facility.

- If the facility does not meet the STARS Performance Standard for the ERS, the facility writes and implements an ERS Improvement Plan before the Regional Key and Assessor schedule a second ERS Assessment after 90 days, if not met the facility will be dropped to the STAR level they are able to achieve.
- If the facility meets the STARS Performance Standards including the ERS, the facility will develop an ERS Improvement Plan for potential areas of growth. Upon completion of all STARS Performance Standards, including ERS, The Designator sends a confirmation letter or email and *The Designation Tip Sheet for Directors/Owners* to the practitioner (keeping an electronic copy for the file)

**Procedure:**

After a successful Final Pre-Designation visit, and at least 30 days ahead of expiration, the Specialist submits the visit request to the Designator via an email message with the site's name in the email subject line and including the following information:

- Site’s Name
- MPI #
- Address (or address where designation will take place)
- Contact person
- Contact’s phone
- Contact’s email
- STAR level requested
- Move-up or Renewal
- Site’s current expiration
- ERS to be requested for designation (yes/no)
- Previous ERS scores being used (yes/no). If yes, date of the report
- Additional notes if necessary (specific directions to site, director changes, etc.)

1. The Designator sends an email to the program to acknowledge the request and explain that it will be scheduled shortly. A Designator is assigned to the request.
2. The Designator calls or emails the practitioner to schedule the initial designation visit. If a visit can’t be scheduled within a reasonable amount of time, the Designator makes arrangements with a back-up Designator to complete the visit
3. The Designator emails the Specialist with the scheduled date and time, logs in the contact in Pelican and enters the visit information on the *STAR Designation Data Sheet* (see appendix- optional tools).
4. The Designator sends a confirmation letter or email and *The Designation Tip Sheet for Directors/Owners* (see appendix) to the practitioner (keeping an electronic copy for the file)

5. The Specialist submits a file with at least the following via paper or electronic to the Designator:
   - The *Request for Designation*
   - The *Request for ERS Validation Visit*
   - The *STARS Worksheet* from pre-designation
   - The *Staff Records Grid*
   - The *Facility Profile*
   - *SQAP Worksheet* for the appropriate STAR Level
   - *Enrollment Calculation Tool* (if appropriate)
   - The program’s file containing all *career lattice* evidence.

6. The Designator enters the visit date into *PA Pact* if appropriate

7. The Designator calls to confirm the appointment twenty-four hours before the visit.
Initial Designation Visit

Purpose:
The purpose of a designation or renewal visit is to verify compliance with Keystone STARS Standards, determine successful achievement or maintenance of a Keystone STARS Level and encourage continuous quality improvement. This procedure will outline the steps for completing a Keystone STARS designation or renewal visit. Renewal visit will occur if there are no changes in the program and a successful visit the previous year.

Policy:
Designator will implement and practice designation procedures that meet regional operational needs as well as adhere to designation protocol issued by the Office of Child Development and Early Learning.

Procedure:
1. The Designator verifies documentation submitted for the Career Lattice standard.
2. The STARS Manager/Designator schedules visit (See Requesting a Designation)
3. The Designator confirms the visit 24 hours prior to the scheduled date
4. The Designator prepares for the visit by:
   • Dressing professionally in business casual clothing
   • Taking minimum personal belongings into the facility
   • Turning off any cell phones
   • Having identification ready
5. Upon arrival, the Designator greets the staff, smiles and exhibits a professional demeanor.
6. The Designator briefly discusses the visit schedule and process with the Director or Owner including:
   • The timeline for rendering a decision
   • The confidentiality of the visit
   • Plans for a lunch break if applicable
   • Coverage for classrooms for the staff interview portion of the visit
   • Workspace and availability of sources of evidence
   • Availability of the appointed facility person for questions
7. The Designator requests a tour. He/she greets staff and children while walking through the facility, but is respectful of classroom routines and responsive to children’s reaction to his/ her presence.
8. The Designator asks the Owner/ Director to verify that the Staff Records Grid used during pre-designation is accurate.
9. The Designator requests a record pull of child and staff files. She/ he:
• (For Centers) Uses the **Staff Records Grid** to select all new staff files plus 10% of remaining staff files to review (more can be requested at the Designator’s discretion)
• Randomly chooses 2 of children’s files per classroom, but no more than 10 total, to review
• Randomly selects one or more staff to interview

10. The Designator completes verification of STARS standards using the SMART system and the following tools:
   • Use the **Staff Records Grid** to record verification of appropriate standards:
   • Use the **Child Record Review Form** if helpful in recording child records
   • Use the **Staff Interviews** form if helpful for the appropriate STAR level to record interviews
   • Specialist /Designator will use SMART to document all findings, documentation, sources of evidence viewed, reviewed or needed. Narrative documentation should be thorough. Expiration dates should be documented as necessary.

11. The Designator reviews missing sources of evidence (if any) with the facility person
12. The Designator reviews the next steps with the facility person. Depending on the outcome, he/she:
   • Explains that no additional evidence is required and a decision will be made within 3-5 business days
   • Arranges for the program to send additional evidence to complete the designation
   • Explains that the designation will be held until the ERS visit and report are completed
   • Suggests that they continue to work with the Specialist on meeting the STAR Level goal

13. The Designator documents the next steps on the **Keystone STARS Meeting Form**. She/he completes time in and out and gets practitioner’s signature on the meeting form. He/she leaves the top white copy with the facility person.
14. The Designator explains that the program will receive a report with the next steps, timeline and also strengths and areas for improvement.
Final Designation Visit

Follow-Up to Initial Designation

Purpose:
The purpose of a designation or renewal visit is to verify compliance with Keystone STARS Standards, determine successful achievement or maintenance of a Keystone STARS Level and encourage continuous quality improvement. This procedure will outline the steps for completing a Keystone STARS designation or renewal visit. Renewal visit will occur if there are no changes in the program and a successful visit the previous year.

Policy:
Designator will implement and practice designation procedures that meet regional operational needs as well as adhere to designation protocol issued by the Office of Child Development and Early Learning.

Procedure:
1. The Designator reviews missing sources of evidence (if any) with the facility person
2. The Designator reviews the next steps with the facility person. Depending on the outcome, he/she:
   - Explains that no additional evidence is required and a decision will be made within 3-5 business days
   - Arranges for the program to send additional evidence to complete the designation (if needed)
   - Explains that the designation will be held until the ERS visit and report are completed
   - Suggests that they continue to work with the Specialist on meeting the STAR Level goal
3. The Designator documents the next steps on the Keystone STARS Meeting Form.
4. She/he completes time in and out and gets practitioner’s signature on the meeting form. He/she leaves the top white copy with the facility person.
5. The Designator explains that the program will receive a report with the next steps, timeline and also strengths and areas for improvement.
Designation Request to Move Up with ERS Process for Attaining a Higher STAR Level

Purpose:
The purpose of a designation visit is to verify compliance with Keystone STARS Standards, determine successful achievement of a Keystone STARS Level while achieving continuous quality improvement and if so warranted, move up to the next STAR Level. The Environment Rating Scales (ERS) are used to assess the classroom environment of programs participating in Keystone STARS. This procedure will outline the overall process for movement in the STARS program with ERS visits.

Policy:
Designators will practice procedures that meet regional operational needs as well as adhere to designation protocol issued by the Office of Child Development and Early Learning.

Procedure:
1. After a successful Initial Pre-Designation visit the Final Pre-Designation visit is to follow-up any outstanding action items before submitting request for Designation. This may be done via email, telephone and/or face to face visit. This step is put in place to assure the Pre-Designation is complete and ready for a successful Designation. At least 30 days ahead of expiration, the Specialist submits the visit request to the Designator via an email message with the site's name in the email subject line and including the following information:
   - Site’s Name
   - MPI #
   - Address (or address where designation will take place)
   - Contact person
   - Contact’s phone
   - Contact’s email
   - STAR level requested
   - Move-up or Renewal
   - Site’s current expiration
   - ERS to be requested for designation (yes/no)
   - Previous ERS scores being used (yes/no). If yes, date of the report
   - Additional notes if necessary (specific directions to site, director changes, etc.)

2. When the move up Designation Visit is requested (see Policy Requesting a Designation Visit located in Initial Pre-Designation Chapter), the Specialist enters the request into PA PACT (See Appendix for PA PACT Tip Sheet).

3. The Designator enters the Designation Date into the request once it is scheduled.

4. The Assessor schedules the visit with the program directly.

5. The Assessor conducts the visit(s) and generates a report.
6. The ERS Manager posts the results in PELICAN and emails the report to Regional Keys.
7. The Designation Coordinator and Designators receive the ERS report. The Designator forwards it to the Specialist.
8. The Specialist forwards the ERS report to the program. If the program did not achieve STAR Level scores, the Specialist schedules a time to discuss the results with them within 5 days.
9. The Specialist saves a copy of the report in the program’s electronic file.
10. If needed, the program submits an improvement plan to the STARS Designator.
11. The Specialist saves the improvement plan in the program’s electronic file.
Designation Process for STAR 1

Purpose:
The purpose of Designation is to recognize a program’s achievement of a particular STAR Level. The STAR Level Designation is used as an indicator of program quality. This procedure will outline the general process of designating a program at STAR 1.

Policy:
STARS Manager/Specialist will implement and proceed with designation procedures that meet regional operational needs as well as adhere to designation protocol issued by the Office of Child Development and Early Learning.

Procedure:
1. The program submits a Request for Designation (see appendix) for STAR 1 along with the Attestation form (see appendix), STAR 1 Worksheet (see STARS Standards and Worksheets), attachments, professional development history or certificates indicating core series completion, related evidence and Enrollment Calculation Tool (see Appendix)
2. The STARS Specialist reviews the documents and verifies the information provided meets STAR 1 standards. The Specialist records verification in the right-hand column of the worksheet with initials, date and any notes that clarify how the standard was verified.
3. If the review is not successful, the process ends. The Specialist continues to work with the program to meet STAR 1 Standards.
4. If all STAR 1 standards are verified, the Specialist completes the STARS Designation Data Sheet and submits it along with documentation of the core series completion, a Certificate of Compliance and other accompanying paperwork to the Designator; documenting the submission in PELICAN contact log as well as any Regional Key specific files.
5. The Manager/Specialist reviews the information, and if complete, enters the designation into Pelican. If not the Specialist is to complete any follow up.
6. The Manager/Specialist returns the completed Designation Data Sheet and any accompanying documents to the Specialist.
7. A STAR Certificate would then be issued based on a weekly “Designations Confirmed” PELICAN report.
8. The certificate is then signed by the Regional Keys Director and mailed along with an award letter and any promotional materials deemed adequate to promote the STAR level.
9. The Specialist saves the documents in the program’s electronic and/or paper files.
10. The Specialist requests the Health and Safety Resource Kit be sent to the program using the Health and Safety Resource Kit Order Form and instructions.
11. The Specialist reviews the file(s) to ensure they contain the following documentation:
• The *Request for Designation*
• The *Enrollment Calculation Tool*
• Documentation of both the Pre-Designation and Designation Worksheets
• The *Attestation*
• *Keystone STARS Meeting Forms* related to the designation
• The *Designation Data Sheet*
• A copy of the award letter
• A copy of the certificate
**Designation and Reliability Manual**

**Version 1.0**

**Designation Process for STAR 2, 3, and 4**

**Purpose:**
The purpose of Designation is to recognize a program’s achievement of a particular STAR Level. The STAR Level Designation is used as an indicator of program quality. This procedure will outline the general process of designating a program at a higher STAR Level. Some steps are outlined in further detail in other procedures.

**Policy:**
STARS Specialist and Designators will implement and proceed with designation procedures that meet regional operational needs as well as adhere to designation protocol issued by the Office of Child Development and Early Learning.

**Procedure:**

1. The program submits a Request for Designation and Attestation
2. The STARS Specialist schedules and conducts a Pre-Designation Visit (see Pre-Designation Visit Procedures); entering the verification and assessment results into SMART
3. The Specialist reviews grant paperwork, process and appropriate expenditures with program
4. The STARS Specialist requests a Designation Visit by the Designator (see Requesting a Designation Visit process)
5. If applicable, the STARS Specialist enters the ERS request into PA PACT
6. The STARS Specialist submits the file to the Designators
7. The Designator schedules and conducts a Designation Visit; entering the verification into SMART
8. If the designation is complete, the Designator picks up the grant application and Enrollment Calculation Tool (if applicable)
9. The Designator follows up and sends the Summary Report extracted from SMART
10. The ERS Assessors schedule and conduct the ERS Validation Visit
11. The Designator and Designation Coordinator receive the ERS report via email
12. The Designation Coordinator forwards the report to the Specialist
13. The Specialist sends the program the ERS report (without the ERS Assessor contact information), schedules a time to discuss the results within 5 days of the report, discusses the results with the program and saves a copy in the program’s electronic file
14. The program sends an improvement plan (if needed)
15. The Specialist or practitioner forwards the improvement plan to the Designator (if needed)
16. If the Designation is not successful, the process ends. The Designator communicates with the Specialist, who continues to work with the program.
17. If the Designation is successful, the Designator updates PELICAN and the tracking tool, completes the STAR Designation Data Sheet and returns the file to the Specialist.
18. The Keystone STARS Certificate is created and submitted to the Regional Key Director for signature and mailed to the facility.

19. The Specialist saves the documents in the program’s electronic and/or paper file.

20. The Specialist will review the file(s) to ensure they contain the following documentation (see appendix):

- A copy of the Designator Summary Letter and Report
- The Request for Designation
- The Enrollment Calculation Tool
- The Attestation Form
- Meeting forms related to the designation
- The Data Sheet
- A copy of the award letter
- A copy of the certificate
- The ERS Report (if needed)
### Designation and Environment Rating Scale Assessment Triggers

<table>
<thead>
<tr>
<th>Designation and Environment Rating Scale Assessment Triggers</th>
<th>Designation Visit Required</th>
<th>Is an ERS Visit Needed?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Provisional Certificate of Compliance</strong></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Facility Changes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>If, while the site is on a Provisional Certificate:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• STAR Designation expires, ERS scores do not:</td>
<td></td>
<td></td>
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<tr>
<td>• STAR Designation expires, ERS scores expire:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• STAR Designation does not expire, ERS scores expire:</td>
<td></td>
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</tr>
</tbody>
</table>

| **Director Turnover**                                       | Yes                         | No                      |
| If, at the time the Regional Key becomes aware of the New Director: |                             |                         |
| • The ERS scores will expire in 12 months or less:          | Yes                         | Yes                     |
| • The ERS scores will expire in 13 – 24 months:             | Yes                         | Yes                     |

| **Staff Turn Over**                                         | Yes                         | No                      |
| If, 50% + of all full-time staff are new:                   | Yes                         | Yes                     |
| If, more than 1/3 of classrooms have lost a lead teacher and:| Yes                         | Yes                     |
| • ERS scores will expire in 12 months or less:              |                             |                         |
| • ERS scores will expire in 13 – 24 months:                 |                             |                         |

| **New Age Group Added**                                     | Yes                         |                         |
| • ERS visit needed within 6 months of when the Regional Key becomes aware that a new age group of services has been added. |                             |                         |

| **New Location**                                            | Yes                         | Yes                     |
| If, LE/Tax ID are new to PELICAN:                           |                             |                         |
| If, LE/Tax ID are already known in PELICAN:                 |                             |                         |

| **Change In Ownership**                                     | Yes                         | No                      |
| • ERS scores will expire in 12 months or less:              |                             |                         |
| • ERS scores will expire in 13 – 24 months:                 |                             |                         |

| **Change of Physical Location (Same owner)**                | Yes                         |                         |

| **Change of Facility Type (Same Legal Entity)**             | Yes                         | Yes No                  |
| • Facility type change results in change in applicable ERS scale: |                             |                         |
| • Facility type change has no impact on applicable ERS scale: |                             |                         |
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Designator Reliability Visits

Purpose:  
In 2009-2010 OCDEL implemented a Designator Reliability Pilot to ensure consistency among  
designators when assessing whether or not providers are meeting STARS standards. Ongoing  
designator reliability efforts will help to assure a standard protocol across and within the  
regions for all program types (e.g. Center/Group/Family/SACC and Head Start-based, etc.) at  
STAR 2, 3, and 4 designations. This work will assist in forming the basic reliability for  
designations for all provider types at all STAR levels. This procedure will provide guidance on  
Designators’ responsibility for meeting OCDEL goals for reliability visits.

The validity and usefulness of the GBB document was also evaluated as a continued part of  
the ongoing protocol. The GBB tools are intended for use by OCDEL, STARS  
Specialist/Managers, STARS Designators and practitioners to reflect upon a program’s  
continuous quality improvement efforts beyond meeting STARS standards.

Policy:  
Designators and STARS Managers/ Specialist will implement and practice designation  
procedures that meet regional operational needs as well as adhere to designation protocol  
issued by the Office of Child Development and Early Learning.

Protocol:  
Frequency of Reliability Visits:  
Reliability visits, where one designator and a separate reliability designator, complete a  
program’s designation independently of one another, must be conducted each fiscal year. It is  
required that new designators be the reliability partner to a veteran designator (designator  
who possess one or more years of experience conducting designations). The new designator  
must conduct with the veteran designator on an official designation prior to conducting an  
independent reliability and/or designation visit (see Reliability Visits Process for complete  
protocol). Designators should complete reliability visits as soon as possible within the first  
three quarters of the fiscal year.

- Each designator should complete a minimum of 5 reliability visits with partners outside  
his/her region, one for each facility/program type, Center, Group Home, SACC, Head  
Start and Family, choosing from STAR 4/4A designations.  
Note: STAR 4A (Accredited sites) should be included in the selection for Reliability visits.
- An additional seven (7) Internal Reliability visits will be required from each Designator to  
be conducted with a Reliability Partner within his/her region, to be conducted as  
follows: three (3) Center or SACC, two (2) Group Homes, one (1) Head Starts and one (1)  
Family-based at STAR 4/4A designations. Note: For Family programs, RKs may also  
select STAR 3 in the event a STAR 4/4A is not available.
- Back-up Designators are required to conduct three (3) Reliability visits per fiscal year,  
one (1) with each Designator in same RK for a total of two (2) and one with another RK,
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to total three (3) for the fiscal year. **Note: STAR 4A (Accredited sites) should be included** in the selection for Reliability visits.

- A designator will complete at least twelve (12) reliability visits per fiscal year, but may complete more if he/she chooses. A reliability visit counts for the lead designator and the reliability partner.

**Selecting a Reliability Partner:**
- Designators should choose a different Reliability partner for each visit if possible when conducting a designation outside his/her region.
- Internal Designations should not be conducted with the same two Designators on back to back visits.

**Documentation:**
- ALL standards must be reviewed by both the lead designator and the reliability partner independently of one another.
- The lead Designator and the Reliability partner should each complete their documentation/data entry independently of one another during and after the designation visit.
- In an effort to help promote this protocol, the Lead Designator will be expected to begin the review of records from the beginning or top of the SMART database worksheets, the partner will review items starting at the end or bottom of the SMART database worksheets.
- The visit will end with the interviews to be conducted together and entered independently of one another into comments and SMART.
  **Note:** Interviews may need to be conducted at another specified time as warranted by the program Director, in which case both the Lead and partner will conduct together at that time, then resume their independent reviews once the interview completed (e.g. program staff to be interviewed will be leaving facility before completion of Designation visit, therefore the interview needs to be conducted before end of Designation visit).
- The SMART database must be updated during the visit by both the lead designator and the reliability partner independently of one another or within 5 business days of the designation visit.
- Do **NOT** compare notes prior to completing the documentation. Remember the purpose of this protocol is to determine if there is discrepancy between designators and to identify particular standards with the most inconsistency.
  **Note:** The SMART database will increase the “number of reliability visits” count by one for both the lead and reliability partner.
- If the designator verifies that a provider meets a standard, then “yes” should be entered in the verification column next to that standard.
- After entering “yes,” the Designator decides where the provider falls in the realm of GBB.
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- Under the assessment column, the Designator checks “1” if the provider is meeting the “good” criteria, “2” if the provider is meeting the “better” criteria and “3” if the provider is meeting the “best” criteria. Designators reference “Good, Better, Best: PA.’s CQI Guide to Best Practices” to make this determination.
- After checking “no”, the Designator enters notes into the “Comments Column” in SMART as to next steps for meeting standard in the future.
- Not all standards apply to all programs in all situations. If the standard does not apply to the program the Designator clicks on “N/A”.
- If a program is waiting for their ERS assessment, the Designator enters all related standards as “No” and writes “Waiting for ERS Assessment” in the “Comments Column”.

Official Designation:
The lead designator is the official designator assigned by the Regional Key to the facility. The lead designator will inform the facility that the designation visit will also serve as a reliability visit and that the purpose of the reliability visit is to improve the Keystone STARS program.

- Only the lead designator will provide feedback to the provider and be the primary contact for the provider.
- There must be no designation reconciliation discussions in front of the provider; the lead designator and the reliability partner should not discuss their findings until each has finalized the results in the SMART database.
Random Sample Designation Visits

10% Partial Designation Visits

Purpose:
To comply with OCDEL’s standards for Keystone STARS, Designators will conduct partial designation visits for no fewer than 10% of sites completing paperwork renewals during years one (1), three (3), five (5), etc. as a quality assurance measure. Regional Keys may accept the Renewal Packet or Request for Renewal and STAR level Worksheet, to meet the requirement for Renewal in lieu of the Designation Visit. Of that population, no fewer than 10% random sample designation visits should be conducted.

Policy:
Designators will partially designate 10% of paperwork renewal designations and track trends in order to support practitioners in maintaining current STAR level standards. Designators will select a random sample which will include a mixture of all program types at varied star levels ranging from STAR 2 through STAR 4. The population will not receive a full review of all Keystone STARS standards; only a select number of standards are reviewed.

Procedure:
To provide consistency throughout the state, OCDEL has issued a list of minimum STARS standards that must be reviewed when completing designations on the 10% random sample on STARS 2 through 4 paperwork renewals. In addition to that list, the Regional Keys should review any additional standards that they feel are beneficial in verifying the provider’s designation or assisting them with continuous quality improvement efforts.

The following steps should be completed:

1. Prior to the visit:
   a. Contact program approximately 1-2 months after paperwork renewal is complete to schedule visit window.
      • A specific date and time will not be given, but rather a window of time that visit may take place. The facility sent in paperwork attesting to the fact that they are performing at a given STAR level, therefore, they should be at that STAR level at any given day or time.
      • Talking Points for random visits:
         o “I am calling to schedule the designation window for me to stop by your program and check to see how you are meeting the Keystone STARS Standards”
         o “I know this is a paperwork renewal year for you. Our practice is to choose at random, programs that are renewing and conduct a brief site visit, reviewing a few of the performance standards for the STARS level you are maintaining”
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o “This visit is to see if you need any Technical Assistance or resources to support you on any of the performance standards that you may be having difficulty with. We want you to be successful and these visits help you to maintain the level you are currently holding.”

o “I can give you a 4 week window of time we will be in to visit. Please let me know if there are any days in particular that would not work for you.”

o “I will not be at your facility for more than 2 hours total.”

o “I will be using your renewal worksheet as my tool for the visit. At the end of my visit, I will review with you my findings and follow up with a written email of the results and/or action plan for follow up. Our goal is to help you maintain your STAR level and suggest any supports that may be utilized to help you achieve that goal.”

o “If you have any concerns or need clarifications about your visit, contact the [insert Designation Coordinator and/or the site’s STARS Specialist name].”

b. Send 10% partial visit confirmation letter and log contact in PELICAN.
c. Review the paperwork renewal worksheet the site submitted to renew in the current fiscal year.
d. Highlight on the completed renewal worksheet the Performance Standards you will want to review at the visit.
e. The Designator/Specialist conducting must use the following standards, but can also add up to three standards if he/she feels it to be beneficial in verifying the provider’s designation or assisting them with continuous quality improvement efforts.
   - Individual Professional Development Hours & Annual PD Plan
   - Career Lattice
   - Children’s screening, and observations & assessments (STAR 3 and above)
   - Lesson plans (ensure Early Learning Standards are referenced)
   - Illness/Injury tracking
   - If STAR 3 or 4/4A, review: CQI Plan, Observations/Evaluations of Teachers, and completion of Director Credential.
   - If facility is a family provider at STAR 2, review verification of family conferences.

f. Review previous designation history to see if there were any standards that the site had difficulty meeting. If there have been concerns or difficulties on the previous designations, follow-up on those areas with the provider.

g. Use PELICAN contact logs, and the previous designation summary reports, etc. Look for instances of follow-ups, action plans, CQI items etc.
2. **During Visit:**
   a. Review the documentation as thoroughly as he/she would for a Designation for the highlighted Performance Standards that were chosen on the worksheet.
   b. Create a designation in SMART and document findings (any standard that is not reviewed mark as N/A and note that it was a Partial Designation).
   c. Discuss the need of a TA consultant or additional resources to be shared, if appropriate.
   d. After you have completed your review, share your outcome with the Director or Administrator. If there is follow-up needed, let the program know you will E-mail an Action Plan and letter to them in order for them to follow-up on documentation that needs to be completed. If an Action Plan needs to be created, be sure the timeframe is short but attainable. (30-60 days)

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<tr>
<th>STAR LEVEL</th>
<th>CENTER/GROUP STANDARDS</th>
<th>FAMILY CHILD CARE STANDARDS</th>
<th>NOTES</th>
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<tr>
<td>ALL STAR LEVELS</td>
<td>REVIEW PREVIOUS DESIGNATION: If there have been concerns or difficulties on the prior designation, follow up on those areas with provider.</td>
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<tr>
<td>STAFF QUALIFICATIONS &amp; PROFESSIONAL DEVELOPMENT: Director Development – Review the Individual Professional Development Plan (IPDP) for Director and 10% random sample of staff to ensure that they meet PD requirements as defined by STAR level standard.</td>
<td>STAFF QUALIFICATIONS &amp; PROFESSIONAL DEVELOPMENT: Primary Staff Person/Owner Operator Development - Review the Individual Professional Development Plan (IPDP) for the Primary Staff Person/Owner Operator.</td>
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<tr>
<td>STAFF QUALIFICATIONS &amp; PROFESSIONAL DEVELOPMENT: Staff Qualifications – (for any NEW staff only or for any staff completing a new degree/new credentials) Review the staff credentials to ensure career lattice is being met as defined by STAR level standard. If no new staff, do not need to review.</td>
<td>STAFF QUALIFICATIONS &amp; PROFESSIONAL DEVELOPMENT: Secondary Staff/Substitutes and Assistants Qualifications - Review the staff qualifications for NEW care giving staff employed at the site. This includes staff working less than 500 hours per year and working directly with the children. Staff also includes any volunteers or substitutes working more than 500 hours per year. If no new staff, do not need to review.</td>
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<tr>
<td>LEARNING PROGRAM: Child Observation/Curriculum/Assessment - Ensure the screening/authentic assessment is completed and shared appropriately as defined by STAR level standard.</td>
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<tr>
<td>LEARNING PROGRAM:</td>
<td>LEARNING PROGRAM: Child Observation /Curriculum/Assessment - Ensure that the Learning Standards are utilized as defined by STAR level</td>
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<tr>
<td>Child Observation/Curriculum/Assessment</td>
<td>standard.</td>
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<tr>
<td>LEADERSHIP AND MANAGEMENT:</td>
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<td>CQI – Program meets illness and</td>
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<td>injury tracking standard (STAR 1).</td>
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**STAR 2**

| LEARNING PROGRAM: Environment Rating-ERS Self-Assessment of every classroom and age group must be completed annually by the director or staff member who has completed approved ERS professional development. | LEARNING PROGRAM: Environment Rating- Ensure A written Improvement Plan is developed to address any score below a 3.0 on the FCCERS-R. |

| LEADERSHIP AND MANAGEMENT: Staff Communication and Support- Each staff person must participate in a staff meeting at least once per month. Staff meeting must include discussions of quality and its impact on the Learning Program. | |

**STAR 3**

<table>
<thead>
<tr>
<th>STAFF QUALIFICATIONS &amp; PROFESSIONAL DEVELOPMENT: Director Development-Complete the PA Director’s Credential.</th>
<th>LEADERSHIP AND MANAGEMENT: Continuous Quality Improvement (CQI)-Provider develops and implements a CQI plan using multiple sources.</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEADERSHIP AND MANAGEMENT: Continuous Quality Improvement (CQI)-Provider develops and implements a CQI plan using multiple sources.</td>
<td>PARTNERSHIPS WITH FAMILY &amp; COMMUNITY: A minimum of two family conferences are offered per year to discuss the child’s progress and behavioral, social and physical needs. Authentic assessments of the child are shared with the family a minimum of two times per year.</td>
</tr>
<tr>
<td>LEADERSHIP AND MANAGEMENT: Staff Communication and Support- Annually, at least two classroom observations are conducted and feedback regarding job performance is provided to the staff member.</td>
<td>PARTNERSHIPS WITH FAMILY &amp; COMMUNITY: Transition—Families are offered a group meeting to provide information regarding a child’s transition to another educational setting and to encourage families and their children to connect to the school setting by visiting.</td>
</tr>
<tr>
<td>PARTNERSHIPS WITH FAMILY &amp; COMMUNITY: Community Resources/Family Involvement – A minimum of two family conferences are offered per year to discuss the child’s progress</td>
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</table>
and behavioral, social and physical needs. Authentic assessments of the child are shared with the family a minimum of two times per year.

### STAR 4

| PARTNERSHIPS WITH FAMILY & COMMUNITY: Transition - Program offers families an individual meeting to share specific information regarding the child's transition to another classroom or educational setting and to give families written information about the child's developmental progress. |
| PARTNERSHIPS WITH FAMILY & COMMUNITY: Community Resources/Family Involvement – If applicable to the child, provider, in conjunction with parents and service providers from public social and community service organizations, implements activities appropriate to meet IEP or IFSP goals and/or special needs plans and objectives. |
| PARTNERSHIPS WITH FAMILY & COMMUNITY: Transition – Program sends letter of introduction to appropriate community/school stakeholders outlining goal to partner in child transitioning efforts from child care to school setting. |
| PARTNERSHIPS WITH FAMILY & COMMUNITY: Transition – Program participates in community/school transition activities as available. |

### LEADERSHIP AND MANAGEMENT:

| Business Practices -- An annual independent financial review by a CPA is conducted. |

---
3. **After Visit:**
   a. Update Contact Log in PELICAN to capture visit and follow-up requirements. E-mail Designation Coordinator a copy of report listing standards not met so that trends may be identified.
   b. E-mail Director a follow-up letter and action plan within 5 business days of visit.
   c. Share results with site STARS specialist.
   d. Determine if you need to set up a time for a follow-up visit (this will depend on the type and amount of documentation you will need to review).
STARS Management Cycle - Paperwork Renewal

Introduction: Keystone STARS programs Renewal - Years 1, 3, 5, etc. If the provider is renewing its Designation during year 1, 3, 5, etc., the Regional Key may accept the Renewal Packet to meet the requirement for Renewal in lieu of a Designation Visit. The Regional Key may request additional information (written or verbal) from the provider, as needed, to process the Renewal. For specific Renewal requirements, please refer to the “Request for STAR Designation Renewal”. Note: ERS assessments are not required during this renewal cycle for STAR 3, STAR 4, or STAR 4-Accredited providers unless any of the following conditions have occurred since the last ERS Assessment:

a. Provisional Certificate of Compliance (for DPW regulated programs)
b. Provider type (for DPW regulated family, group, and center) has changed
c. Providers director has changed
d. 50% or greater turnover in full-time staff
e. More than 1/3 of classrooms have lost a lead teacher
f. Enrollment patterns (i.e. number of classrooms/classroom types) do not reflect the original ERS sample assessed

Don’t forget to remind the program that at least 10% of the programs in a paper renewal process will be monitored by receiving a full designation visit. Upon a successful review of the provider’s Renewal Packet, the Regional Key issues a new STAR Certificate with an expiration date not to exceed one year.
Planning Visit 6-9 Months Prior to Expiration:

- Opportunity for the program to discuss questions, concerns, resources with STARS Manager/Specialist.
- Be sure to review with the practitioner the role of the STARS Manager/Specialist as a coach and mentor.
- This is an excellent opportunity for the STARS Manager/Specialist to again take a tour of the program and meet/greet staff, observe visual parent communication and view the environment.
- TA needs and professional development needs are discussed and mapped out.
- There most likely is the need to review the appropriate STAR level worksheet.
- Review situations where a full designation might be required (high staff turnover, loss of lead teacher in more than 1/3 of classrooms, change in number or type of classrooms, etc.)
- An action plan is created for next steps and timeframes are agreed upon. Different for paper renewal years vs. renewal visit w/ ERS visit years
- Ideal time to review the Career Lattice and create Staff Qualification Waiver with Action Plan, if needed.
- If an ERS assessment is due this year, the ERS Validation Visit request forms are completed and STARS Manager takes completed request forms with them.
- Resource notebook is reviewed with program.

Communication Visit 3 Months Prior to Expiration:

- A phone call or site visit occurs at this point depending on the need of the program. Review of the plan and status of steps that needed to be completed as well as timeframes if they were met or need to be revised. Remind programs that a certain number of programs in the paperwork renewal cycle are randomly selected to receive an onsite designation and monitoring visit to insure the program is continuing meeting the STARS Standards.
- Gather and review financial award application request
- Review with program what documentation will need to be submitted – Request for Renewal, DPW Certificate of Compliance, appropriate STARS worksheet, etc. Discuss how meeting the each standard at all times is part of ‘living’ as a higher quality program.
- This can be an opportunity to discuss the underlying research for specific standards the program is having difficulty meeting.
Review Paperwork Renewal Packet:

- When a renewal packet is received, review items to see if all required documents have been included, signed, and dated; request for designation renewal form, complete & current STARS worksheet for the appropriate level, DPW certificate, core PD certificate for STAR 1 sites, Accreditation certificate for 4A sites.
- Look on page 2 of the Request for Designation Renewal form. Check to see if the designation visit or new ERS visit is needed.
- For STAR 1 worksheets, make sure all questions are answered. Responses may indicate that follow-up is needed. Read responses carefully to see if the practitioner may need additional support to understand the intent of the standard, or information on how to document it.
- Look over the worksheet to make sure the site has signed off on each standard to attest they are still meeting them. If the site has checked and initialed by the standard, then check the “yes” box by the standard in the designation notes column, then initial and date in the space provided.
- For STAR 2 and above sites, review the staff grid to make sure it is complete.
- If all items are completed and no follow up is needed, then go forward with processing the renewal. If additional follow-up is needed, promptly call or email the site to communicate next steps.
- Make sure to document in PELICAN that the renewal packet has been received and reviewed. Enter detailed information regarding any follow-up that is needed.

ERS Visit for STAR 3 and STAR 4 if needed:

- Upon notification of a facility’s need for ERS assessment via PA PACT, the PA Key Regional Program Quality Assessor will claim the site and determine a tentative assessment window to offer. For STARS Movement assessment requests, the Assessor will contact the site and establish the first available visit window.
- For ERS Score Renewal visits, the Assessor has flexibility in when to contact the site to offer and confirm the visit window. This enables the assessment team to respond as rapidly as possible to the need for STARS Movement visits on an ongoing basis, shifting the tentatively planned ERS Score Renewal visit window back when appropriate to accommodate more urgent requests. The intent for ERS Multiple assessments may need to be conducted depending upon the age ranges of care provided by the facility. One or more assessors may
complete these assessments on days throughout the 4 week window. Random drawings will be done when there is more than one classroom/group of children for any age range. The classroom/group of children drawn for each age range will be assessed that day or on subsequent (but not necessary consecutive) days of the ERS window. Score Renewal visit scheduling is for visit windows to occur before the current ERS Scores expire in PELICAN, assuring that valid scores are in place at all times.

- After the completion of all assessments at the site the Summary Reports for each room assessed will be reviewed, finalized and sent electronically to the appropriate Regional Key contacts within 2-3 weeks. Along with the Summary Reports, a Facility Report which provides the overall facility score, and individual classroom scores, and cover letter for the facility will be forwarded as well.

- The Regional Key will determine the appropriate method of distributing the reports to the facility including but not limited to e-mailing, hard copy mailing and/or scheduling a visit to distribute/discuss the results with the facility.

- If the facility does not achieve the scores needed for STAR 3 or 4 Designation to occur, the site may submit paperwork for a second ERS window and assessment visits as soon as they are prepared. The second window cannot be scheduled any sooner than 90 days from the date of the cover letter sent with the first set of ERS Reports. Depending on the circumstances, this could be an opportunity to advise the facility about Technical Assistance options and availability to assist in interpreting and thinking through improvements.

- The ERS Assessor will conduct the second ERS Assessment using the ERS Visit procedures. Headquarters will advise the Regional Key if further operational procedures will be necessary should a provider not achieve the respective ERS score following the repeat ERS Assessment.

- Please review the ERS Assessment Cycle – Considerations for STARS Managers/Specialist: The ERS Assessment Process, companion document for further information.

**Designation Complete:**

- A STAR Certificate with congratulatory letter is sent to program to confirm completion of designation. If the program has moved to a new STAR level, a new Window Cling is sent to the program. STAR Manager discusses with the program the marketing strategy for the program to use internally (with current parents, Board etc.) and externally (with stakeholders, in advertising, parents searching for care, phone answering etc.)

- STARS Manager/Specialist follows-up with program to obtain completed financial award application within 10 days of designation.

- STARS Manager/Specialist will create next steps with program and set goals for the following 12 months. (Thus beginning the STARS Management Cycle again.)
Regional Keys acknowledge the enrollment, progress and maintenance of STARS by sending letters to the programs legislators, posting on the website, mentioning in the RK newsletters, informing Community partners including the CCIS, LEARN, local school districts etc. (see appendix for individual references).

**Financial Award:**

- Financial awards are targeted for program improvement and maintenance of quality improvements. Reference the optional tool “Best Practice in Financial Award Spending” and discuss specific strategies the program is considering with financial awards. How do these strategies support the CQI plan of the facility?
- A financial award is given to a program after the renewal designation is complete.
- Best practice is a 10 day timeframe to submit financial award application to the Key after a renewal is complete.
- Remind programs that a certain number of programs are monitored on site to document appropriate expenses that are contained and approved on the financial award.

**Close Grant:**

- Verify expenditures are correct.
- Enter final expense report in PELICAN
- Once fiscal monitoring is complete, grant can be closed in PELICAN
- Send grant closed letter to legal entity verifying that grant is closed for fiscal year.

The STARS Management Cycle begins again.
Renewal Process

**Purpose:**
Programs are required to renew their designation at least yearly. This procedure will outline the general process of renewing a program at the same STAR Level with no changes and a successful Designation the previous year.

**Policy:**
STARS Manager/Specialist will implement procedures for renewing programs in accordance with current OCDEL guidance.

**Procedure for Renewals that do not require any visits:**

1. The Manager/Specialist conducts a six-month visit (See Planning Visit Policy) to ensure that programs are prepared for renewal and to make referrals for STARS resources as necessary (TA, Special Initiatives, Cohorts, Credit and Credential Coursework etc.)
2. The Manager/Specialist receives a PELICAN alert (90 Day Letter), creates and sends the renewal paperwork to the program including: The Request for Renewal, appropriate STAR level worksheet, Enrollment Calculation Tool, and the 90 Day Letter from PELICAN and/or email.
3. The Manager/Specialist receives the 60 day alert in Pelican. If the renewal packet is not received, the STARS Specialist emails or mails the 60 day letter, follows up with the program, logs contacts into Pelican and clears the alerts. More frequent contacts may be necessary following the 60 alert to convey the impact of delaying the renewal process to the practitioner (dropping down, losing CCIS funding, affecting contracts such as Pre K Counts and Head Start).
4. Once the paperwork is received by the Regional Key (Mail/Fax), the Specialist/Designator updates the contact log in PELICAN.
5. The Manager/Specialist receives reviews and date stamps the renewal packet no later than 30 days prior to expiration.
6. The Manager/Specialist completes the STAR Designation Data Sheet and places it along with the renewal paperwork for the Designator at least 25 days ahead of expiration, documenting the submission in PELICAN renewal log.
7. If the paperwork is complete, the Designator enters the information into PELICAN. If not, she/he forwards the packet to the Specialist to complete any follow up, documenting the return in PELICAN.
8. A STAR Certificate is created and mailed with the award letter and promotional materials to the facility Director.
9. If action has not been taken to update the program’s STARS status by 7 days prior to the expiration date, the Designators enter a “Move Out” or “Move Down” designation in PELICAN based on the documentation of STARS Standards submitted by the program.
ERS assessments are an important component of Pennsylvania’s quality early learning initiatives. For example, regularly scheduled ERS assessments are required for all providers renewing or seeking to move to STARS 3 and 4 including Head Start Supplemental classrooms enrolled in STARS, and all PA Pre-K Counts grantees. Environment Rating Scale results can be a great source of evidence for programs to use in their continuous quality improvement plans.

Providers renewing a STAR level, moving to a higher STAR level, and/or participating in PA Pre-K Counts programs are expected to be operating at the level of quality described in the program standards relevant to that initiative at all times. Since Keystone STARS Designations are awarded to a facility, all classrooms operated by the provider, including those not certified under DPW or dually certified (such as, but not limited to, Department of Education, Federal Head Start and Nursery school classrooms), are considered viable options for an ERS assessment as part of the Keystone STARS designation.

**Types of ERS Assessment Visits**
There are a number of different categories of assessment visits, which reflect the reason for the visit. The categories of visits and their reasons are:

- **STARS Movement** – supports a STARS enrolled facility in establishing ERS scores for movement to a STAR 3 or 4 Designation.
- **ERS Score Renewal** – supports a STARS enrolled facility in showing it has maintained the appropriate level of classroom practice quality for its current STAR Designation.
- **ERS Triggers** – is required when certain changes occur at a STARS enrolled facility that could affect the level of quality of classroom practices.
- **PKC Diagnostic Initial** – supports a facility that is participating in the Pre-K Counts initiative in establishing it is meeting the expectations for classroom practice quality for the first time since becoming a grantee location.
- **PKC Diagnostic Renewal** – supports a facility that is participating in the Pre-K Counts initiative in showing it has maintained the appropriate level of classroom practice quality to meet the expectations of the initiative.
Scheduling an ERS Visit:

Upon notification of the facility’s need for ERS assessment via PA PACT, the PA Key Regional Program Quality Assessor will claim the site and determine a tentative assessment window to offer.

- **STARS Movement assessments requests** - The Assessor will contact the site and establish the first available visit window.

- **ERS Score Renewal Visits** - The intent for ERS Score Renewal visit scheduling is for visit windows to occur before the current ERS Scores expire in PELICAN, assuring that valid scores are in place at all times. As notification the need for this type of assessment occurs six months before the current ERS scores expire, the Assessor has flexibility in when to contact the site to offer and confirm the visit window, enabling the assessment team to respond as rapidly as possible to the need for STARS Movement visits on an ongoing basis, shifting the tentatively planned ERS Score Renewal visit window back when appropriate to accommodate more urgent requests.

Once contact is established with a facility, the Assessor will notify the contact at the facility via phone or email of the four-business week window for the assessment and gather any additional details needed to ensure proper scheduling (e.g. total number of classrooms/groups of children, etc.). Providers are expected to cooperate with the Assessor to establish a window for assessments that is in keeping with the ERS Score effective end date, request for movement to higher STAR level and/or PA Pre-K Counts, or Head Start expectations. No specific dates for the assessments within this window will be given. Please refer to the *Determining which Environment Rating Scale to Use* section below regarding the appropriate scale for each setting and age group.

The next steps in the scheduling process include:

1. Once the four-week window is established, the provider must inform the Assessor of any days within that period that the entire facility would not be available for an assessment such as field trips, planned closures, special days, etc. The provider may have four of these “block out” days within the four week window.

2. The Assessor will inform the provider which ERS scales will be conducted, number of classrooms that will be assessed, and number of days the Assessor will be at the facility within that four-week window, and will provide contact information (including Regional Program Quality Assessment Supervisor information) in case of emergency within the established four-week window.

3. If an emergency occurs and a facility is closed on any day falling within the above timeframe, they will call the Assessor to inform them of the closure. If the facility is unable to reach the Assessor, they will call the Regional Program Quality Assessment Supervisor who will then forward the message to the Assessor.
Conducting the ERS Assessments in Keystone STARS facilities (Includes PA Pre-K Counts and classrooms within STARS facilities):

1. In full day programs, the Assessor(s) will typically arrive at the site between 8:00-9:00 a.m. In half or part day programs (such as after-school classrooms), assessment times will be established based on the operating hours. The Assessor(s) will provide photo ID for admittance to the facility. The facility contact will show the Assessor(s) all areas that parents, children and teachers have access to during facility operating hours.

2. Classroom selection - Using the classroom information gathered during the intake phone call/ e-mail, the Assessor will create a numbered listing of all potential classrooms that could be assessed for the scale selected for observation that day. The facility contact will randomly select a number and initial beside that entry to indicate agreement to the group randomly drawn. The classroom listed for the number selected will be the classroom assessed that day. A minimum of one third of all STARS rooms and at least one classroom from each scale will be assessed. The facility contact will take the Assessor(s) to the selected classroom(s) for that day and introduce her to the staff. In STARS sites with PA Pre –K Counts classrooms at least one half of all PA Pre-K Counts rooms will be assessed.

3. The Assessor(s) will spend approximately 3- 4 hours of continuous observation.

4. At the end of the observation, the Assessor(s) will need to speak with the classroom teacher for a short period –approximately half an hour–to ask some questions. The preference is this dialogue takes place in a private area outside the classroom, but it may occur in the classroom if staffing is a problem.

5. The Assessor(s) will notify the facility contact and/or classroom staff once the observation is complete.

6. Additional days of assessment will be conducted within the four -week window but may not necessarily be continuous days.

Procedures for PA Pre-K Counts sites not in STARS facilities (informational for Regional Keys)

1. In full day programs, the Assessor(s) will typically arrive at the site between 8:00-9:00 a.m. In half or part day programs (such as afternoon only classrooms) assessment times will be established based on the operating hours. The Assessor(s) will provide photo ID for admittance to the facility. The facility contact will show the assessor(s) all areas that parents, children and teachers have access to during facility operating hours.

2. Classroom selection - Using the classroom information gathered during the intake phone call/ e-mail, the Assessor will create a numbered listing of all potential classrooms that could be assessed that day. The facility contact will randomly select a number and initial beside that entry to indicate agreement to the group randomly
drawn. The classroom listed for the number selected will be the classroom assessed that day. A minimum of one half of all PA Pre-K Counts classrooms will be assessed.
The facility contact will take the Assessor(s) to the selected classroom(s) for that day and introduce her to the staff.

3. The Assessor(s) will spend approximately 3-4 hours of continuous observation. The ECERS Assessment will be conducted using 5 Subscales (Personal Care Routines and Parents & Staff subscale items will not be scored.)

4. At the end of the observation, the Assessor(s) will need to speak with the classroom teacher for a short period – approximately half an hour – to ask some questions. The preference is that this dialogue takes place in a private area outside the classroom, but it may occur in the classroom if staffing is a problem.

5. The Assessor(s) will notify the facility contact and/or classroom staff once the observation is complete.

6. Additional days of assessment, if needed, will be conducted within the four-week window but may not necessarily be continuous days.
Finalized Assessment Report Distribution

Regional Key and/or Preschool Program Specialists are responsible for determining if providers have met all Keystone STARS Performance Standards or Pre-K Counts expectations, including the ERS score. Regional Program Quality Assessment Supervisors are responsible for providing assessment report outcomes to the Regional Key and/or Preschool Program Specialist for the program. There is minimal contact between the Assessment Team and the provider following assessments; therefore, the reports are shared with the facility through the Regional Key or Pre-K Counts Preschool Program Specialist.

Facility Achieves ERS Score

If a STARS enrolled facility meets the ERS score for the corresponding STAR level goal indicated by the site, the Regional Key will mail, email, or hand deliver copies of the final reports within five (5) business days. When the ERS scores meet or exceed the requirements for a higher STAR level than that for which the facility was being assessed, the site may use these scores for up to six months following the ERS Effective Begin Date as noted in PELICAN to meet the ERS standard of the higher STAR. However, if the facility requests to move to a higher STAR level after this initial six month period, another ERS visit will need to occur.

Facility Does Not Achieve ERS Score

If a facility does not achieve the required ERS score during an ERS Score renewal visit, the scores will then be used by the Regional Key to immediately designate the facility at a lower STAR Level for which they meet all of the STAR Standards expectations including ERS. The Regional Key must contact the site within five (5) business days to notify site leadership that the standard was not met. Contact may be by phone, email, or on-site visit. Regional Key staff will offer an on-site visit (preferred) or make other arrangements for a detailed review of the reports with Regional Key personnel. Once the review appointment has been scheduled, the Regional Key will send the reports to the provider or hand deliver them prior to the review meeting. The site will be informed that once the reports are received, site leadership is expected to review them in conjunction with the ERS scales and resources such as the PA Position Statements, All About ITERS-R and All About the ECERS-R, Caring for Our Children, etc.

Prior to the review meeting, Regional Key staff will have a detailed conversation with the Regional Program Quality Assessor and/or Supervisor. The purpose of this conversation is to gain specific information about the reports including strengths observed, recurring issues between classrooms, areas where significant improvement is warranted, etc. The goal is to act as a leadership team and to work together to proactively support the provider and direct the site to professional development and/or technical assistance as a follow up. The Regional Keys will document the contact with the Program Quality Assessment staff in the PELICAN – Keys to Quality data system.

At the review meeting with the facility, Regional Key staff will provide guidance in understanding the reports, pointing out strengths as well as areas which might be addressed in
an improvement plan. Regional Key staff will serve as a conduit to the Assessment Team in obtaining answers to provider questions about ERS tool expectations and will offer assistance in drafting an action plan for improvement; however, the primary responsibility for the action plan rests with the provider. The site will be given two to three weeks to develop the action plan and submit it to the Regional Key.

**Addressing Facility Concerns about ERS Scores**

On occasion, providers have requested additional help in understanding the outcomes of an assessment visit, or dispute the scores they were given in one or more of the classrooms visited. In this instance, the Regional Keys serve as a “sounding board,” and gathers the facilities questions to take to the Assessment Team for a response.

The Regional Key can contact the Regional Program Quality Assessment Supervisor and Assessor via phone or email to discuss the facility’s questions and receive additional information to then share with the site. In most cases, facility questions and concerns can be resolved through this level of communication. Sometimes, the Regional Key staff may decide that it would be beneficial to make this initial communication more formal, asking the facility to provide their questions/concerns in writing for the Regional Program Quality Assessment Supervisor to respond to with additional written explanation/information. The Supervisor will confer with the Assessor(s) who conducted the assessment visits and prepare the written response which is then sent to the Regional Key to share with the facility.

If resolution is not achieved the Regional Key may arrange to have a conference call or meeting with the Regional Program Quality Assessment Supervisor and/or Assessor, relevant Regional Key staff and the provider at a date and time that are mutually agreed upon by all parties to have a final discussion and share any additional information that will support the facility.
Determining Which Environment Rating Scale to Use:

Child Care Centers and Head Start Programs:
The chart below provides guidance for center based and Head Start programs to use in determining which ERS professional development to attend and which scale is appropriate for an individual classroom. The chart provides guidelines for typically developing children. In classrooms where at least half of the children are experiencing significant developmental delays, the developmental age of the majority of the children will determine the appropriate scale to use.

Mixed Age Groups - To determine which scale should be used in mixed-age groupings, the program should establish the age of the majority of the children in the group and use the ERS scale developed for that age group.

In situations where there is an equal age distribution of children for the ITERS-R and for the ECERS-R, or where there is an equal age distribution of children for the ECERS-R and the SACERS, use the scale designed for the older group of children. This takes into account the emerging developmental needs of the younger children.

<table>
<thead>
<tr>
<th>CHILD STATUS</th>
<th>DPW CERTIFICATION AGE LEVEL</th>
<th>ERS SCALE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infant</td>
<td>Birth-12 months</td>
<td>ITERS-R</td>
</tr>
<tr>
<td>Young Toddler</td>
<td>13-24 months</td>
<td>ITERS-R</td>
</tr>
<tr>
<td>Older Toddler</td>
<td>25-36 months</td>
<td>ITERS-R</td>
</tr>
<tr>
<td>Preschool</td>
<td>37 months to date child enters 1st grade</td>
<td>ECERS-R</td>
</tr>
<tr>
<td>Younger School-Age</td>
<td>1st-3rd grade</td>
<td>SACERS</td>
</tr>
<tr>
<td>Older School-Age</td>
<td>4th grade through age 15</td>
<td>SACERS</td>
</tr>
</tbody>
</table>

Family Day Care:
The FCCERS-R will be used to assess all family day care homes.

Group Day Care (GDC):
The FCCERS-R will be used to assess all GDC homes that are located in a residence.

In group day care homes that are not in the provider’s residence, and the program is set up to serve one particular age group, the corresponding age appropriate scale should be used. For instance, if the group day care is located in a church and provides care for school-age children only, the appropriate scale is the SACERS.
### Group Day Care Homes

<table>
<thead>
<tr>
<th>Description</th>
<th>In a Residence</th>
<th>Out of Residence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age groups separated by room (as in Center-based Care)</td>
<td>FCCERS-R</td>
<td>ITERS-R or ECERS-R or SACERS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Age of the majority of the children enrolled will determine which training the provider should take and which scale will be used for assessment.</td>
</tr>
<tr>
<td>Settings Serving Children Grades 1-6 Only</td>
<td>FCCERS-R</td>
<td>SACERS</td>
</tr>
<tr>
<td>Settings Serving Children Ages 3 years through Kindergarten Only</td>
<td>FCCERS-R</td>
<td>ECERS-R</td>
</tr>
<tr>
<td>Settings Serving Children Ages Birth to 36 months Only</td>
<td>FCCERS-R</td>
<td>ITERS-R</td>
</tr>
<tr>
<td>Mixed Age Grouping</td>
<td>FCCERS-R</td>
<td>FCCERS-R</td>
</tr>
</tbody>
</table>

### PA Pre-K Counts Programs

Most PA Pre-K Counts grantees locate their classrooms in STAR 3 or 4 child care centers, private preschools, school district and/or Head Start agencies. As a result in most cases the ECERS-R tool is used to conduct assessment visits for participation and continuous quality improvement purposes. If a PA Pre-K Counts grantee has utilized a classroom location which falls outside of these guidelines, the Preschool Program Specialist will work with the Regional Program Quality Assessment leadership to determine which scale will be used.
Designation and Reliability Manual
Version 1.0

Canceling or Refusing ERS Assessment Windows and Refusing a Scheduled Assessment

Facilities renewing a STARS Designation, moving to a higher STAR level and/or providing PA Pre-K Counts services are to be operating at the level of quality described in the STARS standards and/or PA Pre-K Counts regulations and guidelines including the ERS standard at all times. It is expected that when it is time to schedule an ERS Assessment they will cooperate with PA Key Regional Program Quality Assessors to establish assessment windows that are in compliance with program guidance and follow through with having the assessments conducted at the agreed upon time.

Consequences for Facility Changes to ERS Assessment Window and Cancellations:
Postponing assessments, requesting changes to the assessment window and canceling assessments have negative impacts on the overall implementation of the Commonwealth’s early childhood programs and are costly to implement.

A facility that cancels or refuses an assessment, reschedules an assessment window, or denies access at the time of a previously scheduled ERS assessment without just cause might still participate in the ERS assessment process. However, prior to the visit and/or window being rescheduled and completed, the facility will be charged and must pay $700 per day for each day that was cancelled, rescheduled or denied unless just cause is established. The fees are based on actual costs and may be periodically adjusted. Some examples of unforeseeable circumstances that could justify postponement of a scheduled ERS assessment include, but are not limited to, a medical emergency removing the teacher from the class or frozen pipes causing the facility to close.

The following procedure will be used if a site cancels an assessment, requests a change to the assessment window, or postpones an assessment. The Assessor must be contacted by site leadership via telephone or email immediately or by writing if sufficient time is available for notice about the change in plans. The facility must provide the reason and number of days of the cancellation, change or postponement.

The following will then occur:

1. Regional Program Quality Assessor (PQA) will notify by email PQA Team leadership, Regional Key leadership, and/or Preschool Program Specialist, if applicable, of the contact date and type of change (i.e. cancel assessment windows, deny access on previously agreed upon assessment date or request substantive delays in the assessment window) and number of classrooms, the site name, facility contact person, MPI number, scheduled number of assessment days cancelled and program’s justification for delay or cancellation.
2. PQA Team leadership, Regional Key leadership and if applicable Preschool Program Specialist will make a recommendation to OCDEL about whether just cause has been provided. PQA Team leadership will forward documentation to OCDEL.
3. OCDEL will arrange for review of the recommendation and render a final decision to determine if just cause for the delay or cancellation is warranted. That review will occur expeditiously, generally within 5 business days of the receipt of the notice from the ERS leadership.

4. Once determined, notification of OCDEL’s decision and any resulting penalty information will be sent to the facility and/or grantee in writing by the PA Key. Should it be determined that just cause was not provided, the PA Key will send an invoice for the financial penalty based on the number of days the program scheduled assessments were not able to be completed. Until this penalty is paid, no subsequent ERS assessment will be rescheduled. Checks are the only acceptable method of payment and should be made payable to the PA Key and mailed to:

   PA Key
   Attn: ERS Project
   200 N. 3rd Street, 3rd Floor
   Harrisburg, PA 17101

Sites requesting delays in windows without just cause or refusing a scheduled visit will not be considered a priority assessment and will fall to the bottom of the assessment wait list. Consequences might include a drop in STAR level or PA Pre-K Counts non-compliance, which could result in funding reductions.
Environment Rating Scale (ERS) Triggers Protocol

Over time, Keystone STARS participating facilities may undergo programmatic changes which can affect daily classroom practices and the overall quality of care experienced by the children. As a result, when these changes occur, it is sometimes necessary to conduct an ERS assessment visit before the regular biennial assessment. The purpose of this additional visit is to support the Regional Key in assuring that the changes have not had a negative effect on the facility’s ability to maintain STARS Performance Standards associated with classroom environmental quality. The Regional Key is responsible for communicating the need for a new ERS assessment visit to the Assessment Team. The Assessors are then responsible for scheduling and conducting the assessments and providing the ERS Summary Reports to the Regional Key.

The following chart outlines the changes which may occur at Keystone STARS enrolled facilities that may affect classroom practices, and the conditions under which those changes then trigger the need for an additional ERS visit. It should be noted that for some triggers, the presence of the change for the facility always results in an ERS assessment visit, while other triggers have additional factors which must be considered to determine if an ERS assessment is necessary.

<table>
<thead>
<tr>
<th>Environment Rating Scale Assessment Trigger</th>
<th>Facility Changes</th>
<th>Is an ERS Visit Needed?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provisional Certificate of Compliance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If, while the site is on a Provisional Certificate:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• STAR Designation expires, ERS scores do not:</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• STAR Designation expires, ERS scores expire:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>• STAR Designation does not expire, ERS scores expire:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Director Turnover</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If, at the time the Regional Key becomes aware of the New Director:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The ERS scores will expire in 12 months or less:</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• The ERS scores will expire in 13 – 24 months:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Staff Turn Over</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If, 50% + of all full-time staff are new:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>If, more than 1/3 of classrooms have lost a lead teacher and:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• ERS scores will expire in 12 months or less:</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• ERS scores will expire in 13 – 24 months:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>New Age Group Added</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• ERS visit needed within 6 months of when the Regional Key becomes aware that a new age group of services has been added.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>New Location</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• If, LE/Tax ID are new to PELICAN:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>• If, LE/Tax ID are already known in PELICAN:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Change in Ownership</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• ERS scores will expire in 12 months or less:</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>• ERS scores will expire in 13 – 24 months:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Change of Physical Location (Same owner)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change of Facility Type (Same Legal Entity)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Facility type change results in change in applicable ERS scale:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>• Facility type change has no impact on applicable ERS scale:</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>
When the Regional Key determines that a facility has experienced a change which triggers an additional ERS visit, the site is entered into PA PACT to alert the Assessors to the need. When entering the site into PA PACT, the Regional Key staff should select “ERS Triggers Visit” from the Assessment Type drop down listing, and the appropriate sub-type from the secondary drop down list. Some communication of the need for these visits should occur immediately, while other situations may require some monitoring of facility readiness for a visit prior to adding the site to PA PACT.

- **Provisional Certificate:** If an enrolled facility receives a DPW Provisional Certificate of Compliance, the Regional Key staff must determine, at the time they are notified of the change in certification status, whether the facility’s current STARS Designation Certificate and/or ERS scores will expire during the period of the Provisional Certificate. Based upon the chart guidance, if an additional ERS visit is needed, the Regional Key should monitor both the expiration date of the Provisional Certificate as well as the facility’s progress toward re-establishing their full compliance with DPW Regulations. At the point at which the Regional Key determines that the site will achieve a full DPW Certificate, they may enter the site onto PA PACT to support the Assessor in initiating scheduling as soon as the full DPW Certificate is received by the site.

- **Director Turnover:** When a facility alerts the Regional Key to a new director being in place, staff must determine where in the two year cycle for regular ERS visits the facility is. If current scores will expire within the next 12 months, an additional visit is not needed, as an automatic entry to PA PACT will occur within the next 6 months, and an ERS Score Renewal visit will occur prior to the end of the 12 month period. If current ERS scores are good for an additional 13-24 months from the point that the Regional Key is made aware of the change in director, a new ERS visit must be scheduled. The Regional Key should enter the site onto PA PACT and work with the Assessor to establish a window for the site that enables the new director to acclimate his/herself to the facility prior to the visit. (Special Note: If the facility has had an ERS Visit within the last 90 days, the new window for this ERS Trigger visit cannot occur prior to the 91st day after the date of the letter accompanying the initial set of Summary Reports.)

- **Staff Turnover:** There are two types of staff turnover change that are applicable to the need for an additional ERS visit. The first type of turnover is related to full time staff. If a facility experiences a turnover of more than half of their full-time staff, a new ERS visit is needed and the Regional Key should enter the facility onto PA PACT as soon as they are made aware of this change to enable the Assessor to establish the first available window for the facility. The second type of staff turnover is specific to lead teachers. If one-third or more of the facility’s classrooms lose a lead teacher, a new ERS visit is needed and the Regional Key should enter the facility onto PA PACT as soon as they are made aware of this change to enable the Assessor to establish the first available window for the facility. (Special Note: If the facility has had an ERS Visit within the last 90 days, the new window for this ERS Trigger visit cannot occur prior to the 91st day after the date of the letter accompanying the initial set of Summary Reports.)
• **New Age Group Added**: When the Regional Key is made aware of a facility adding a new age range of care (e.g., a facility that offered care to infants, toddlers, and preschoolers, begins offering services for school age children) the site should be added to PA PACT to alert the Assessor to the need for an additional ERS visit. The Regional Key and Assessment Team should work together to determine the appropriate visit window for the site within the six months following the entry to PA PACT, providing flexibility in placing the visit within the Assessor’s schedule, as well as assuring that children are enrolled in the new group at the time of the new visit.

• **New Location**: Processing of this trigger situation is slightly different than the others, as the trigger and its specific situations result in the Regional Keys processing the change as the facility moving into a new STAR level. In the event of a new legal entity, that does not currently exist in PELICAN, opening a new location, the site would be new to the Keystone STARS program, and would be moving into STARS and seeking to be designated a particular STAR level. If this new location wishes to be designated at a STAR 3 or STAR 4, the Regional Key would enter the site into PA PACT selecting the “Movement” assessment type from the drop down list, and the Assessor would then schedule the first available ERS Visit Window with the site.

In the event of an existing legal entity that already has facilities in PELICAN, opening a new location, the site would be new to the Keystone STARS Program and would be moving into STARS and seeking to be designated a particular STAR level. If this new location wishes to be designated at a STAR 3 or STAR 4, the Regional Key would enter the site into PA PACT selecting the “Movement” assessment type from the drop down list, and the Assessor would then schedule the first available ERS Visit Window with the site.

• **Change in Ownership**: If a facility’s ownership changes, the Regional Key must determine when the facility’s current ERS Scores will expire. If the current scores expire within the first 12 months after the completion of the change in ownership, an additional visit is not needed, as an automatic entry to PA PACT will occur within the next 6 months, and an ERS Score Renewal visit will occur prior to the end of the 12 month period. If current ERS scores are good for an additional 13-24 months from the point that the change in ownership is complete, a new ERS visit must be scheduled. The Regional Key should enter the site onto PA PACT and work with the Assessor to determine an appropriate visit window for the facility.

• **Change of Physical Location**: When a facility moves from one physical location to another it is necessary for the Regional Key to establish that the facility still meets all of its STARS Standards at the new location, including those associated with the classroom environment. Once the facility is open in the new location, the Regional Key enters it onto PA PACT and the Assessor schedules the first available window for the site.

• **Change of Facility Type**: If an enrolled facility changes its provider type (Family Child Care Home, Group Child Care Home, Center) with DPW Certification, the type of ERS assessment that
would need to be used to verify the Keystone STARS Standards related to the quality of the learning environment may change. If the change in provider type results in a change in type of ERS assessment used, then a new ERS visit is needed. Once the Regional Key is notified that a change in provider type has occurred at a facility, staff enter the facility onto PA PACT, and the Assessor schedules a visit during the first available window.

Number of Assessment Visits Allowed

STARS enrolled facilities may receive up to two ERS Assessment visit windows within a given 12 month period with two exceptions:

1. ERS Trigger Visits – as this type of assessment visit must occur to address changes at the facility resulting in a need to reaffirm the level of quality existing within facility classroom practices, this type of assessment can be requested in addition to any other type of assessment during a given 12 month period.

2. If a facility attempts to:
   a. Renew its ERS scores for its current STAR 3 Designation, and is unsuccessful, it may request a second visit within a 12 month period. If, upon that second visit the facility is successful in achieving its goal, and then wishes to attempt to move up to a STAR 4 within that 12 month period a third visit may be requested.
   b. Establish ERS scores to move up to a STAR 3 and is unsuccessful, it may request a second visit within a 12 month period. If, upon that second visit the facility is successful in achieving its goal, and then wishes to attempt to move up to a STAR 4 within that 12 month period a third visit may be requested.

The additional ERS Visits within a 12 month period cannot be scheduled prior to the 91st day after the date on the cover letter sent out with the ERS Summary Reports for the previous visit.
Financial Award

Provider Eligibility for Keystone Grants and Awards

Regional Keys are responsible, upon receipt of a Grant Request, to verify initial eligibility of the Provider/Program to apply for Keystone STARS Grant or Award funds (refer to the Financial Guidelines ELS Announcement for further details). What do you need to do to verify that a Provider/Program is eligible to receive a grant or award?

Eligibility:

➢ To be eligible for the Keystone STARS Financial Awards, a Provider/Program must meet the following requirements as applicable to the type of grant or award:

✓ The Program must submit a complete grant request form to the Regional Key, postmarked within ten (10) calendar days of the designation date.

✓ For DPW Regulated programs, the Provider must hold a regular DPW Certificate of Compliance. If a provider has a Provisional Certificate of Compliance, award funds may be available upon correction of provisional issues.

✓ The Program must meet all Keystone STARS Performance Standards associated with the STAR level designation.

✓ The Program’s STAR level must maintain the STAR designation for which the Program received the grant or award during the approval and payment phase of the grant or award, and it is expected that the Program is making a commitment to maintain the awarded STAR designation.

✓ The Program must NOT have any Tax Liens (be in arrears for back taxes) if listed in the Pennsylvania Department of Revenue, Pennsylvania Tax Lien List at http://www.portal.state.pa.us/portal/server.pt/community/reports_and_statistics/17303/tax_delinquent_lists/581058. Programs that are on the listing will not be able to receive grants and awards (nor Tiered Reimbursement for DPW Regulated programs) until payment of taxes are made in full and the Program provides to the Regional Key a clearance certificate issued by the PA Department of Revenue district office.

✓ The Program must complete and submit a STARS Enrollment Calculation Tool (DES-04).

✓ The Program must have expended STARS grants and awards in previous years in accordance with the grant agreements.

✓ The Program is not on the Department of General Services Commonwealth Debarment List.

✓ The Program is not in the Official U.S. Government System for Award Management (SAM) at https://www.sam.gov/portal/SAM/.

✓ The Program must not be on OCDEL’s listing for the Office of Inspector General (OIG).
Best Practices in Keystone STARS Financial Award Spending

Background: Keystone STARS is an initiative of the Office of Child Development and Early Learning (OCDEL) to improve, support, and recognize the continuous quality improvement (CQI) efforts of Pennsylvania’s early learning and school-age programs. Providing financial awards to child care facilities serving children who are vulnerable and at risk is one strategy implemented by OCDEL to improve outcomes for children and promote CQI. This document is designed to assist programs in creating written justifications of financial award use and provides recommendations on making intentional decisions about award expenditures.

Award Justification: As a recipient of a child care STARS financial award, it is your responsibility to expend award funds in a manner that supports CQI and aligns the program with research-based quality standards and criteria. A written justification of award expenditures will assist in meeting this responsibility. Justifications should address the following concepts and be able to answer the following questions:

Rationale – How was the use of this award intentionally planned?

Rationale describes the underlying reasons and choices made in award spending. While it is not necessary to justify individual expenses, it is important to justify broad categories of award expenditures as they relate to the categories of equipment & supplies/materials, professional development, accreditation costs, staff compensation and other expenses.

Quality Standards – Which quality standards justify the projected use of award funds?

A quality standard is a research-based criterion that indicates an element of best practice within an early learning or school-age program. Using quality standards as a basis for decision making will assist in guiding the program toward higher levels of quality and best practice. Examples of appropriate sources of quality standards may include, but are not limited to:

- Keystone STARS Performance Standards
- Environment Rating Scale (ERS)
  - [http://www.fpg.unc.edu/~ecers](http://www.fpg.unc.edu/~ecers)
- Pennsylvania Learning Standards
- National Association for the Education of Young Children (NAEYC)
  - [http://www.naeyc.org/academy/primary/viewstandards](http://www.naeyc.org/academy/primary/viewstandards)
- National After School Association (NAA)
  - [http://www.naaweb.org](http://www.naaweb.org)
- Caring for Our Children (CFOC)
  - [http://nrckids.org/CFOC3](http://nrckids.org/CFOC3)
- Head Start Performance Standards
  - [http://eclkc.ohs.acf.hhs.gov/hslc/standards/Head%20Start%20Requirements](http://eclkc.ohs.acf.hhs.gov/hslc/standards/Head%20Start%20Requirements)
Outcomes – How will outcomes for children or quality of the program be improved as a result of this award? How will this be evaluated?

An outcome is the result, effect, or consequence that is expected from spending the STARS financial award. A well-defined outcome gives a benchmark against which to compare the actual changes/improvements made as a result of the STARS financial award. It is also important to develop outcomes that are measurable to assist in monitoring progress in working toward better child outcomes, higher levels of quality and best practice over time.

Spending Plan – How is the use of this award part of a long-term plan for improving outcomes for the children and quality of the program?

Keystone STARS is based on the concept of continuous quality improvement. Spending the STARS financial award should be part of long-term plan that moves the program toward higher levels of quality. Before planning new grant expenditures, it is important to verify that these expenditures are helping the program meet long-term goals. Prior to applying for grant funds, determine if previous expenditures were successful in achieving desired outcomes. Use this site-specific information to assist in planning that will improve outcomes for children and maximize future quality improvements to the program.

Sources of Evidence – In order to determine the most appropriate and intentional spending of child care STARS Financial Award funds, it is essential to base decisions on concrete sources of evidence. A source of evidence provides information and insight about the program strengths and helps identify weaknesses. Sources of evidence serve as data to inform the decision making. For example, a source of evidence could be annual staff surveys. If staff surveys indicate a lack of adequate provisions for staff at break times, the director may choose to purchase adult sized tables and chairs to provide a space for lunch or planning. Sources of evidence are program specific and could include the following:

- Feedback from Designation Visit and ERS Assessment (including self-assessments)
- Child Assessment Data - for example Work Sampling/Ounce
- Facility Professional Development Plan
- Program Assessment – including Family, Staff, and School-Age Surveys
- Financial Review
- Risk Management Assessment
- Site Safety Review
- Illness and Injury Tracking Review
- Technical Assistance Plans including Health Consultation/Playground Assessment
- Strategic or Business Plans and Program Monitoring
- Good, Better, Best: PA's CQI Guide to Best Practices
- Director, Staff and Parent goals for the facility based on compelling innovations in educational methods, emerging best practices in the field, and research.
Recommendations: The following recommendations were developed to provide guidance in purposefully planning for the use of the STARS financial award. Programs are encouraged to seek additional guidance from STARS management, STARS Technical Assistance, Professional Development Instructors and Higher Education faculty, Health Consultants/Playground Assessors, colleagues, Board Members, staff, parents and other appropriate sources.

Buying Time – Finding the time to engage in continuous quality improvement efforts can be a challenge. An effective use of STARS Financial Awards may be to “buy time” to enable the director to navigate quality standards/criteria and elicit ‘buy in’ from staff and Board, conduct classroom or teacher observations, conduct staff meetings, schedule family conferences and transition meetings, accommodate planning sessions with a child’s IEP/IFSP team, etc. Facilities can “buy time” through the hiring of substitutes/part-time employees or expanding the hours of existing staff. Any positions supported through Keystone STARS grant funds are supplemental and must add to the quality of the program; Keystone STARS grant funds are not intended to supplant staff salaries and should not fund in full lead teacher, assistant director or director salaries.

Technology and Computer Access – Quality early care and education extends beyond the classroom and family partnerships to include sound business practices. It is recommended that facilities consider their technology (computers, printers, etc.) and internet access needs when making decisions about the use of STARS awards. At a minimum, the facility should have a functional computer with internet access (preferably high speed) and printing capabilities. Moving toward best practice additional computer stations would be available for convenient teacher use and center wide computers would be networked. At STAR 3 and above, programs will be using web-based applications to enter required family demographic information into the Early Learning Network and child assessment data. The use of a child care management software solution can greatly enhance a program’s ability to manage data, meet reporting requirements and monitor fiscal status. A computer will assist in developing printed materials (including handbooks, letters, lesson plans, etc.), maintaining tuition and personnel records. Use of email has become increasingly important in connecting with families who more and more often use email as their primary communication method. Internet access will enable staff to use online resources such as email, E-newsletters such as BUILD, Keystone STARS information, the Professional Development Calendar, early education websites, and early childhood equipment vendors. Additionally, a location email address is a requirement for all providers. Make sure staff have adequate training and technical support to efficiently and effectively use equipment and applications.

Creating an Area of Study or Investigation – A director might review with his/her team the sources of evidence and an ‘area of study’ or a ‘question to explore’ for the coming year might emerge. How can our program ‘strengthen families’ more intentionally? How can our program improve our curriculum implementation to obtain better outcomes for the children? How could we make our outside time a deeper learning time for children? How can we incorporate the creative arts
more appropriately into our learning curriculum? How are we using technology and multi-media to enhance learning experiences? How can we use child outcomes reporting to inform our program? These questions can lead to research, investigation and become embedded as part of the CQI plan for the program. This investigation and planning in turn can end up guiding the purchases of support materials for teachers, equipment and supplies, purchase of specific professional development to support the study, purchase of cameras or supplies to document the progress. Programs could also use resources to engage families in the investigation.

Environment Rating Scales (ERS) – Use the ERS books, and the results of your self-assessments and/or PA Key Assessor provided summary reports to guide selection of appropriate classroom materials. ERS books can be obtained by attending professional development events on the tools, as well as through http://ersi.info/order.html. As there are multiple rating scales that apply to various age groups and program types, be sure to consult those which are to be used for your program. Consider the types and quantity of learning materials recommended for each age group/program type before determining what materials purchases to make; assuring that requests would support program practice improvement instead of just supplementing existing materials which already support quality practices.

Learning Program – Use award funds to strengthen and enhance the facility’s learning program. Consider purchasing curriculum guides and reference books, observation and assessment tools, and other resources that supplement the curriculum. Sometimes camera or video equipment is purchased to document and share children’s learning with parents. Resources should be developmentally appropriate and aligned with Pennsylvania’s Learning Standards. Additional guidance is available online at: http://www.pdesas.org/ocdel.

The following books, available through NAEYC at: http://www.naeyc.org/publications are valuable tools in creating developmentally appropriate learning environments.


Early Learning Environments That Work by Rebecca Isbell and Betty Exelby ISBN: 978 0 876592 56 4

Supporting Diversity and Cultural Sensitivity: Many high quality programs assess how the program is meeting the needs of all families and representing diversity found in society. Awards can be used to insure that materials for parents are available in the home language of the parent, supports for the English language learner are available, and that staff have materials and professional development to support all families and children. Insuring there are sufficient and varied materials and equipment to reflect the families in the program and the diversity found in society including age, race, gender, socio-economic, ability, and language lays a foundation for maximizing culturally sensitive practices. There are many excellent books, resources and materials available to support program development in this area. OCDEL has published an ELL Toolkit for Providers, located on the PA Key and Regional Key websites, and this valuable resource can help inform additional needs for cultural and linguistic competency.
Supporting Inclusive Practices: Often programs will purchase materials, adaptive equipment, additional staff time or professional development to support inclusion of children with disabilities, social-emotional needs or challenging behaviors. This type of expenditure can certainly enhance the quality and enrich the program for all children and families. A good resource for information about inclusion can be found at the PaTTAN website http://www.pattan.net including this specific site: http://www.pattan.net/category/Resources/PaTTAN%20Publications/Browse/Single/?id=4d09560cd69f9ac7f4b0000.

Durability and Cost Comparison – When selecting equipment and materials, it is important to consider the quality and durability of the items selected. Equipment and materials should be designed for use in a group setting and able to hold up under daily use. Purchase of quality items that have greater longevity is recommended over purchasing larger quantity of items that need frequent replacement. Compare prices among early childhood equipment vendors to obtain the best prices and ensure a wise use of resources.

Professional Development –

- Funding is available through the PA Keys Rising STARS Tuition Assistance program and CDA Assessment Voucher to support the professional development of early learning and school-age practitioners. Access STARS financial award to support professional development to meet Career Lattice requirements and Keystone STARS Performance Standards after exhausting other resources.
- STARS financial awards can be used to attend early learning or school-age conferences and/or arrange for a PQAS instructor to provide specifically identified on-site professional development for staff.

Staff Compensation – Maintaining, supporting, and growing a highly qualified staff is an integral part of achieving high quality learning environments. Award funds may be used to increase staffing hours to cover paid breaks, planning time, classroom observations, child assessments, family conferences, and other staffing needs. Programs may also choose to use award funds to supplement staff benefits or promote employee retention or as a compliment to fill in the gaps not covered by the Education and Retention Awards. Make sure a compensation policy rewards what you want to encourage. An example of a misguided bonus system rewards employees for longevity, without regard to performance, level of continuing professional development or outcomes of children. When using award funds in this category, it is important to have a well-developed personnel policy to guide the intentional spending of funds. Any positions supported through Keystone STARS grant funds are supplemental and must add to the quality of the program; Keystone STARS grant funds are not intended to supplant staff salaries and should not fund in full lead teacher, assistant director or director salaries.

Creating Communities of Support - Programs might consider pooling resources and collaborating to accomplish objectives difficult for smaller programs to fund individually. Examples include starting a substitute pool, bidding and sharing custodial/lawn/maintenance services, bulk purchasing together to obtain better pricing and negotiating power, sharing professional development events and expenses (less travel and enough participation to afford high quality experts), purchase expensive items that can be shared between centers such as an LCD projector or video camera, rent event facilities together for special events (Strengthening

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Families opportunities including family educational activities, professional development events, share a bus rental etc.). It might be beneficial to network and discuss these ideas as a starting point to discover other ways pooling finances could improve programs for children and families.

**Accreditation** - Keystone STARS supports the continuous quality improvement of learning programs working toward accreditation. Awards may be used to fund accreditation costs associated with the National Association for the Education of Young Children, the National After School Association, National Association for Family Child Care, and other accreditation types.

**Health and Safety** – Adequate provision for the health and safety needs of the children is essential to creating a high-quality learning environment. Programs are required to meet basic health and safety guidelines as outlined in the child care regulations appropriate to the facility type. Building on the basics, programs are encouraged to use STARS financial awards to support and implement best practices in health and safety. Programs have begun to use the Keystone STARS awards to purchase health consultation. Child care health consultation is a relatively new field of work. Nevertheless, longitudinal evidence is mounting to demonstrate that child care health consultation is an effective means to improve early childhood environments and the health of children in those settings. Health consultation can improve provider knowledge; elicit behavior changes such as more effective hand washing; assist in recommending and implementing policy and environmental changes. Early learning environments are ideal settings to teach children about healthy behaviors that will help them lead healthier lives. For suggestions on how to choose a health consultant visit the Healthy Child Care PA portion of the ECELS website for the PDF pamphlet titled “How to Choose and Use a Child Care Health Consultant”

Another area of health consultation can include playground audits. Programs might want to review the status of their playground protective surface covering and use awards as part of implementing a long term solution. More information about this specific regulation can be found at [http://www.pabulletin.com/secure/data/vol39/39-19/840.html](http://www.pabulletin.com/secure/data/vol39/39-19/840.html). Some programs are updating or enhancing their security and access systems to improve safety for children, families and staff.

**Healthy & Green** – The PA ECE Healthy & Green Initiative encourages early learning programs in Pennsylvania to go beyond what is required by regulation and to implement additional research-based, best practices to further assure the health and safety of Pennsylvania’s children. OCDEL has developed the companion [PA Reference Pages for Eco-Healthy Child Care](http://www.pakeys.org) found on the PA Key website to assist programs in understanding what is required for each of the 16 Eco-Healthy Child Care© environmental health categories. These reference pages also offer a summary of the Caring for Our Children: National Health & Safety Performance Standards (3rd Edition) that relate to each environmental health category.


If there are questions about planning the use of STARS financial awards or allowable expenses, please contact your Regional Key.
APPENDIX
Child Record Review Form

STARS Staff will select two child records per classroom for review.

<table>
<thead>
<tr>
<th>Child</th>
<th>Observation</th>
<th>Assessment</th>
<th>Getting to Know</th>
<th>Parent</th>
<th>Copy Of</th>
<th>Results From</th>
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<td>STAR 2 - 45 days, once yearly after that STAR 3 – 45 days, three times during the year</td>
<td>of the child is completed and shared with parents twice per year (STAR 4)</td>
<td>STAR 2 – one parent conference</td>
<td>STAR 3 – two parent conferences</td>
<td>IEP/IFSP (if applicable)</td>
<td>Observations Are Used For Individual Planning (STAR 3)</td>
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Designation and Reliability Manual
Version 1.0

Designation Tip Sheet for Directors/Owners

The Designation visit is part of the process of demonstrating ongoing quality and accountability of the Keystone STAR system. It is your opportunity to shine! We recognize that anticipating this visit may cause some unease. The Director/Owner can help by keeping staff relaxed and calm. Encourage teachers to stick with normal classroom routines, and reassure them that this is simply part of being engaged in a continuous quality improvement process. Please be aware, the Designator will usually not be able to render a final decision during the Designation visit. This tip sheet is designed to help you understand the Designation process, and provides suggestions of things you can do ahead of time to make the visit go as smoothly as possible.

Prior to visit:
All Regional Keys use a pre-designation process facilitated by the STARS Manager to help Directors/Owners insure they are prepared for the Designation visit. This ‘practice’ run will give you a better idea of what to expect during your Designation visit and know what areas may still need work.

Please review the STARS worksheet to ensure that the relevant sources of evidence are present for each standard. Sources of evidence for EVERY standard need to be viewed at the Designation visit. Please keep in mind that we need to see evidence of implementation of the standards, not merely blank forms. You may want to utilize the Good, Better, Best document to assist you in this process. Organize the sources of evidence to ensure they are easily accessible to the Designator. Programs use a variety of tools to build this portfolio such as a binder, file box or individual folders. Below are examples of items the Designator will need to review:

*Please note that not all of these sources of evidence are required at every STAR level or for every provider type. Please see worksheets for clarification.

1. Professional Development hours
2. All Individual Professional Development Plans (IPDP) which will need to be on site
3. Parent Handbook
4. Employee Handbooks (List of benefits)
5. Policy and Procedure Manual
6. Transcripts or other documentation of staff credentials
7. WSS/Ounce Assessment and ELN Data
8. Child/family and staff files
9. Staff meeting minutes/agenda with sign-in sheets for one year (will vary by STAR level).
10. CQI Plan
11. Strategic Plan
12. Risk Management Plan
At the visit:
Prior to the tour of the facility, the Designator will review the Designation Attestation signed by the Director/Owner or authorized representative. They will then tour the facility with the Director/Owner to look for examples of how the program meets the STARS Standards, meet the staff and understand the program operation. The Designator will need a table or desk to work on while reviewing materials. There will be times when the Designator will need to ask the Director/Owner to clarify materials or retrieve additional materials. The Designator will spend some time independently reviewing materials and files.

A staff interview is part of the Designation process. One or two randomly chosen staff will be asked to meet with the Designator for a few minutes outside of the classroom. As it is not our intention to disrupt the classroom routine, this interview will be conducted at the teacher’s convenience. Please remember that classroom coverage will need to be provided during these interviews.

All records must be available; however, the Designator will review a random selection of the records. The Designator will choose random samples of IPDP’s, child observations, and staff records. Please have all staff and child records easily accessible. You will be asked to provide your staff record grid and enrollment list of children with dates of enrollment.

Remember that the Designator is bound by an ethics code to treat the information learned about the program operation, staff, children or families with confidentiality. The one exception is, for child care facilities, if the Designator observes a suspected regulatory violation at which time the Designator will discuss the concern with the Director/Owner.

Thank you for participating in Keystone STARS. We look forward to working with you in this next step of your continuous quality improvement process. Please call your STARS Manager/Specialist with ANY questions.
# Designation and Reliability Manual

**Version 1.0**

## STAFF INTERVIEWS

### STAR 2

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<th>Interview Questions:</th>
<th>Staff Initials:</th>
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<th>Notes:</th>
<th>Staff Initials:</th>
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<td>Program creates, with input from parents, a list of community/school stakeholders regarding child transition.</td>
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<td>Organizational structure and job descriptions are included in a personnel policy manual that is shared with staff.</td>
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<td>Director meets with each staff member using the plan developed in STAR 1. For new staff, this meeting is held within 90 days of start of employment.</td>
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<td>At least 2 employee benefits* to full time staff.</td>
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<td>Results from observations are used for curriculum, individual child planning, and referral to community resources.</td>
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<tr>
<td>Director meets with each staff member using the plan developed in STAR 1. For new staff, this meeting is held within 90 days of start of employment.</td>
<td>Verified: Yes ☐ No ☐</td>
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<td>Notes:</td>
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<tr>
<td>Interview Topics: Teacher/Assistant Teacher is provided paid curriculum and lesson planning/preparation time away from children monthly.</td>
<td>Staff Initials: Age Group: Length of Service:</td>
<td>Staff Initials: Age Group: Length of Service:</td>
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<tr>
<td>Verified: Yes ☐ No ☐ Notes:</td>
<td>Verified: Yes ☐ No ☐ Notes:</td>
<td>Verified: Yes ☐ No ☐ Notes:</td>
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</tr>
<tr>
<td>Annually, at least two classroom observations are conducted and feedback regarding job performance is provided to the staff member.</td>
<td>Verified: Yes ☐ No ☐ Notes:</td>
<td>Verified: Yes ☐ No ☐ Notes:</td>
<td></td>
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</tr>
<tr>
<td>At least 3 employee benefits* to full time staff.</td>
<td>Verified: Yes ☐ No ☐ Notes:</td>
<td>Verified: Yes ☐ No ☐ Notes:</td>
<td></td>
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</tbody>
</table>
**Designation and Reliability Manual**

**Version 1.0**

**STAFF INTERVIEWS**

**STAR 4**

<table>
<thead>
<tr>
<th>Interview Topics:</th>
<th>Staff Initials:</th>
<th>Staff Initials:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Age Group:</td>
<td>Age Group:</td>
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<td></td>
<td>Length of Service</td>
<td>Length of Service:</td>
</tr>
</tbody>
</table>

| Learning Standards are used as a resource for staff in classroom planning and documentation of children’s learning. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

| Results from observations are used for curriculum, individual child planning, and referral to community resources. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

| Program creates, with input from parents, a list of community/school stakeholders regarding child transition. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

| Program participates in community/school transition activities as available. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

| Organizational structure and job descriptions are included in a personnel policy manual that is shared with staff. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

| A policy and procedure manual is developed and is available to the staff at all times. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

| Program establishes a written code of professional conduct for staff | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |

<p>| Each staff person must participate in a staff meeting at least once per month. Staff meeting must include discussions of quality and its impact on the Learning Program. | Verified: Yes ☐ No ☐ | Verified: Yes ☐ No ☐ |
| Notes: | | Notes: |</p>
<table>
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<tr>
<th>Interview Topics</th>
<th>Staff Initials:</th>
<th>Staff Initials:</th>
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<td>Age Group:</td>
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<td>Length of Service</td>
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<tr>
<td>Director meets with each staff member using the plan developed in STAR 1. For new staff, this meeting is held within 90 days of start of employment.</td>
<td>Verified: Yes ☐ No ☐</td>
<td>Verified: Yes ☐ No ☐</td>
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<td>Notes:</td>
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<tr>
<td>Teacher/Assistant Teacher is provided paid curriculum and lesson planning/preparation time away from children weekly.</td>
<td>Verified: Yes ☐ No ☐</td>
<td>Verified: Yes ☐ No ☐</td>
</tr>
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<td>Notes:</td>
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<tr>
<td>Annually, at least two classroom observations are conducted and feedback regarding job performance is provided to the staff member.</td>
<td>Verified: Yes ☐ No ☐</td>
<td>Verified: Yes ☐ No ☐</td>
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<tr>
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<td>Notes:</td>
<td>Notes:</td>
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<tr>
<td>Staff members are offered time and space away from children at least 15 minutes in each 4 hour period worked.</td>
<td>Verified: Yes ☐ No ☐</td>
<td>Verified: Yes ☐ No ☐</td>
</tr>
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<td></td>
<td>Notes:</td>
<td>Notes:</td>
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<tr>
<td>At least 4 employee benefits* to full time staff.</td>
<td>Verified: Yes ☐ No ☐</td>
<td>Verified: Yes ☐ No ☐</td>
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<td>Notes:</td>
<td>Notes:</td>
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Additional Notes:
Keystone STARS Designation Protocol & Tip Sheet

Planning Ahead

Below is estimated Designation visit time allocations based on experience. This estimate could vary based on renewal/move up or first Designation and also size of the program.

**STAR 2**: 2.5 - 3 Hours  
**STAR 3**: 3 - 4 Hours  
**STAR 4**: 4 - 4.5 Hours

**Pre-Designation:**

Many Regional Keys use a process of pre-designation to ensure that the program is adequately organized and prepared for the Designation. A review of all records is completed and many issues are resolved prior to Designation.

The STARS Specialist/Manager will ensure that the ERS, grant paperwork and any other details are completed and ready for Designation. The STARS Manager may print out Location Demographics Screens from PELICAN so location information, ECT/FTE, DPW certification status, etc. is readily available with other Designation materials.

**Setting up The Visit:**

1. Identified person at each Regional Key makes contact with provider to schedule Designation appointment.
3. Twenty-four (24) hours before the visit, the Designator contacts site to confirm visit and set framework for the visit (time, what materials will be needed, etc. which were stated in the Designation Preparation Sheet)
4. If the visit needs to be rescheduled, make a new appointment during the call and discuss how cancellations could jeopardize the program maintaining or moving to a higher STAR level

**Arrival:**

1. Dress for the visit professionally in business casual (no jeans, sneakers, etc.).  
2. Take minimum personal belongings into the facility.  
3. Turn off your cell phone.  
4. Be prepared to provide identification for entry into the facility if requested  
5. Greet the Director/Owner, smile and exhibit a professional demeanor. Remember to put the provider at ease and be cordial and pleasant.  
6. Briefly review the designation schedule and process for the visit with the Director/Owner. Explain the timeline for rendering a decision.
7. Discuss confidentiality of the visit.
8. Make plans for a lunch break and leave the facility if possible.
9. Tour the facility. Greet staff and children as you walk through.
10. Confirm with the Director that coverage for classrooms is available during the staff interview portion of the visit.

Visit:
1. Request a private/quiet workspace. Participation by the Director/Owner is optional, but he/she will need to be available for questions.
2. Request record pull of child and staff records. Ask the Director/Owner if there are any staff changes.
3. Complete verification of STAR level standards using appropriate worksheets.
4. Give list of missing sources of evidence to director for opportunity to produce/review.
5. If still missing, establish when/how these items will be submitted.
6. Complete Staff interviews. Staff will need coverage during this time as they will be out of the classroom (May not be applicable for family practitioners).
7. Complete a second tour if additional information needs to be verified (i.e. Lesson plans, communication boards, learning standards, etc.)

Wrap Up:
1. Closing Meeting - verbal review of visit, recap on CQI aspect of the work, reminder that the decision should be expected within 3-5 days after any follow up items are provided.
2. If applicable, review and leave a copy of the follow up items with the Director/Owner and forward a copy to STARS Specialist/Manager.
3. Pick up grant if available and return to Regional Key.

Follow-up/Next Steps After the Visit:
1. Review the paperwork, render a decision and send the appropriate paperwork to the Director (i.e. designation summary, certificate, decal).
2. Designators and STARS Specialists/Managers should share any lessons learned within the Regional Key team especially if they impact professional development or TA needs of providers or Regional Key staff.
3. Designator will provide feedback to the STARS Specialist/Manager about the preparedness of the provider for Designation, issues/concerns that arise and follow up needed after the designation visit.
If a program does not meet the Keystone STARS Performance Standards related to Staff Qualifications due to staff turnover, a waiver with action plan may be granted. The following criteria are to be used to determine if a waiver should be granted.

1. The waiver is used only to maintain a current STAR level. It is not used to facilitate moving up a STAR level.

2. The Keystone STARS Staff Qualification Waiver with Action Plan form will be completed when implementing this policy.

3. The Regional Key must evaluate the total number of staff at a center versus the number if staff needing waivers before approving a waiver. The following chart indicates the number of waivers permitted in relation to the number if staff.

<table>
<thead>
<tr>
<th>Number of Facility Staff</th>
<th>Number of Waivers Permitted</th>
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</thead>
<tbody>
<tr>
<td>2-5</td>
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<td>6-10</td>
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<td>35-38</td>
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<td>39-43</td>
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</tbody>
</table>

4. A staff member can only be granted a waiver for one year (365 calendar days), except to obtain the Child Development Associate (CDA). The action plan must be written so that the staff member obtains the next level on the Career Lattice within one year. The action plan can be written for up to eighteen (18) months when obtaining the CDA.

5. The individual with the waiver will be counted at the level on the Career Lattice to which they are aspiring.

6. A waiver can only be written to achieve one step above the individual’s current level on the Career Lattice. The individual must meet prerequisites guidelines and demonstrate “good effort” as defined in the chart below.
## Career Lattice Guidelines

<table>
<thead>
<tr>
<th>Level on the Career Lattice</th>
<th>Prerequisite Guidelines</th>
<th>How Long</th>
<th>Good Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level II to Level III</td>
<td></td>
<td>1 year</td>
<td>6 credits</td>
</tr>
<tr>
<td></td>
<td></td>
<td>18 months</td>
<td>CDA/SA PC</td>
</tr>
<tr>
<td>Level III to Level IV</td>
<td>Must have 15+ credits</td>
<td>1 year</td>
<td>6-15 credits per year</td>
</tr>
<tr>
<td>Level IV to Level V</td>
<td>Must have 45 credits</td>
<td>1 year</td>
<td>15 credits per year</td>
</tr>
<tr>
<td>Level V to Level VI</td>
<td>Must be within 15 credits of Bachelor’s Degree (18 credits must be ECE)</td>
<td>1 year</td>
<td>15 credits per year</td>
</tr>
</tbody>
</table>

a. Regional Keys will monitor progress two times per year, checking course completion, successful academic progress and enrollment

### Staff Qualifications for Centers with Three of Fewer Staff (STAR 3)

The equivalency for small centers in achieving the STAR 3 standard of “75% of Assistant Teachers/Assistant Group Supervisors at Level III or above” is as follows:

a. **Centers with Three (3) Staff** - If a center provider only has three (3) staff members to calculate in determining the percentage, the provider meets this standard with 66% of Assistant Teachers/Assistant Group Supervisors at Level III or above.

b. **Centers with Two (2) Staff** - If a center provider only has two (2) staff members to calculate in determining the percentage, the provider meets this standard with 50% of Assistant Teachers/Assistant Group Supervisors at Level III or above.

It is not the intent of this standard to require a center provider with three (3) or less staff to have 100% of these staff at Level III or above.

### Staff Qualifications for Centers with Three of Fewer Staff (STAR 4)

The equivalency for small centers with three (3) or less staff in achieving the STAR 4 standard of “100% of Teachers/Group Supervisors (GS) at Level V or above and 50% of Teachers/Group Supervisors (GS) at Level VI or above on Career Lattice; 50% of Assistant Teachers/Assistant Group Supervisors (AGS) at Level IV or above and 25% of Assistant Teachers/Assistant Group Supervisors (AGS) at Level V or above on Career Lattice; and 50% of Aides at Level II or above on Career Lattice” is as follows:

a. **STAR 4 Centers** must have a Lead Teacher at Level VI on the Career Lattice. The second staff person can be at Level III if they are matriculating six (6) credits per year and have an Action Plan to get to Level IV. If there is a third person, that person must be at Level IV.
**Staff Qualification Waiver and Action Plan**

**Instructions**

Complete all relevant information in Part 1 and Part 2 of this form and return signed copy to your STARS Manager/Specialist at the Regional Key. List all courses you plan to take including the semester and year you plan to take the course, the number of credits, expected completion date. Once complete record the grade. If course is not completed please provide an explanation.

**Action Plan**

Today’s Date: __________________________ Agency Name: __________________________

Total # of Staff at facility: ___________ Total Number of Staff at facility with Action Plans: ______

Practitioner Name: _____________________ Position: ____________________________

Current Degree: ________________________ Major: ____________________________

Current Level on Career Lattice: __________ Career Lattice Level Goal ______ by __/__/____

Anticipated # of credits needed to obtain next level of Career Lattice: _________________

College/University Name: _____________________ Enrollment Date in program: __________

Name of Degree Program: (If applicable) ____________________________________________

<table>
<thead>
<tr>
<th>Semester &amp; Year</th>
<th>Course Number and/or Name</th>
<th>Credits</th>
<th>Completion Date</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

If courses were not completed, provide an explanation below.
Reason for request for Waiver and Action Plan:
(Refer to section 3.7 for the Teacher Quality Document)

- Director enrolled in a Master’s Degree Program
- New Director enrolled in approved Director Credential program
- College Student pursuing Bachelor’s degree
- Staff Qualifications (1 year)
- Staff Qualifications (CDA)

I affirm that this Action Plan is correct and I agree to complete this Action Plan as described.

__________________________________________  ___________________________
Signature of Applicant                      Date

I acknowledge that this Action Plan is correct and I acknowledge responsibility for assisting the individual to attain required qualifications by identified date. I am requesting a waiver for this individual’s qualification.

__________________________________________  ___________________________
Signature of Director/Administrator          Date

For Use by Regional Key                      Date of Review:___________

Waiver and Action Plan Reviewed by: ________________________________

- Waiver and Action Plan Approved
- Waiver and Action Plan NOT Approved
  Reason:

Follow up review
Date: _____  Name: ____________________________  Disposition:   □  Continued  □  Discontinued
Date: _____  Name: ____________________________  Disposition:   □  Continued  □  Discontinued

Confirmation that Action Plan Completed
Transcript Review

Regional Keys will use procedure below and the policies stated in the Early Childhood Education Teacher Quality: Recognizing High Quality Core Content in Pennsylvania guidance when reviewing transcripts. Regional Keys should follow the steps below when reviewing transcripts for Career Lattice placement.

1. Verify that the college/university is accredited by one of the approved accrediting organizations listed in Section 3.1: Verifying accreditation of degree granting institution.
   a. If the institution is not found on the databases, check to make sure that the name of the institution has not changed.
   b. If the name has not changed and the accreditation cannot be verified, the credits from that institution cannot be counted.

2. Check the documentation provided by the practitioner. Ask for more documentation if needed. If a foreign degree/transcript, follow the guidance regarding translation requirements in Section 3.3 Foreign degrees.
   a. Is there documentation that a degree was granted?
   b. Is the major clear?
   c. Does the transcript or diploma have the practitioner’s name listed?
      
      If the answer to the above questions is yes and the degree is clearly an early childhood degree or equivalent, then the review can stop here. Otherwise proceed to the next step. Guidance related to degrees is found in the following sections:

      Section 3.4 Related and Equivalent Degrees
      Section 3.5 Degrees Earned from Business and Technical Schools

   d. Was this practitioner’s transcript reviewed during a designation visit previously? The Career Lattice determination may be grandfathered, but documentation is needed.
      
      If the answer to the above questions is yes and documentation of the transcript review exists then the review can stop here. Otherwise proceed to the next step.

   e. Are there course descriptions, syllabi or other supplemental information from the college/university included (for coursework that is not clearly labeled as Early Childhood Education)?

   f. Are there any special circumstances about the practitioner’s role or the population they serve that should be considered?

3. Determine if credits need to be counted using the guidelines.

4. If credits need to be counted, use the guidelines to determine if full or partial credit can be granted in Section 3.6: Counting Credits.

5. Complete the ECE College Credit Calculation Tool and Listing of Courses and Credits form.

6. The Regional Key will file the completed ECE College Credit Calculation Tool and supporting documentation according to Regional Key procedures.
7. If the Regional Key is unable to make a determination, further transcript review may be requested by the PA Key.
   a. Submit a Transcript Review Request, transcripts and supporting documentation including the ECE College Credit Calculation Tool and Listing of Courses and Credits form indicating the courses counted and amount of credit counted for each course.
   b. Submit via email to Kris Madden at krimad@berksiu.org.
   c. Please allow two weeks to process the request.

7. The Reviewer returns the transcripts, ECE College Credit Calculation Tool and the Listing of Courses and Credits form.

8. If the PA Key is unable to make a determination, the PA Key may seek guidance from the ECE Credit Advisory Group.

9. If a practitioner seeks re-evaluation, the process outlined above is used to submit the request to the PA Key.

Reference Documents:

- Early Childhood Education Teacher Quality: Recognizing High Quality Core Content in Pennsylvania
- Career Lattice
- Description of Positions and Roles by Career Lattice Level
- ECE College Credit Calculation Tool
- Listing of Courses and Credits form
**Staff Records Review Protocol**

1. The Designator will review all new staff records plus a minimum of 10% of remaining staff, taking into consideration levels and room assignments.
2. Use staff records including IPDP’s, PD Hours, professional growth activity, transcripts, credentials, observations and annual reviews to complete Staff Records Grid (examples listed below)
3. Verify all hire dates and job positions.
4. Review IPDP’s for identification of professional development needs and annual plans signed by director; checking that plan meets needs.
5. Review Career Lattice and Waivers as applicable.

**STAFF RECORDS GRID – STAR 4**

*Instructions*: This form will assist you in completing the STARS Worksheet – STAR 4. You will notice that there is a letter at the top of each column. These letters appear throughout the STARS Worksheet – STAR 4. Use this grid to track the professional development (PD) needs of your staff. Where the staff has completed an item on the grid, please indicate the item is complete by filling in the appropriate information in the box. Make copies of this form for additional staff.

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Date of Hire</th>
<th>Position Title*</th>
<th>Part or Full Time</th>
<th>Current Education Level</th>
<th>Needs in PDR/IPDP</th>
<th>Annual Prof Dev Plan</th>
<th>New Staff Orientation</th>
<th>List Expiration Date</th>
<th>List Number of Annual Clock Hours Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Jane Doe</td>
<td>1/1/04</td>
<td>T</td>
<td>FT</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

*Position Titles: D = Director; T = Teacher/Group Supervisor; AT = Assistant Teacher/Assistant Group Supervisor; A = Aide.
**Instructions:** This is the second page of the *Staff Records Grid – STAR 4*. Place the same employee in line #1 as you placed on the first page of this form. Where the staff has completed an item on the grid, please indicate the item is complete by filling in the appropriate information in the box. Make copies of this form for additional staff.

<table>
<thead>
<tr>
<th>A</th>
<th>Q</th>
<th>R</th>
<th>S</th>
<th>T</th>
<th>U</th>
<th>V</th>
<th>W</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employee Name</strong></td>
<td>List Date of Professional Development</td>
<td>List Date of Professional Development** (Teacher/Asst Teacher)</td>
<td><strong># of Professional Growth Activities</strong></td>
<td></td>
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</tr>
<tr>
<td><strong>Example: Jane Doe</strong></td>
<td>2/15/12</td>
<td>6/25/12</td>
<td>3/1/12</td>
<td>2/5/12</td>
<td>4/25/12</td>
<td>5/15/12</td>
<td><strong>2</strong></td>
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</tr>
</tbody>
</table>

**A** professional development course must be taken annually in at least one of the topic areas.
PROTOCOL FOR STAFF RECORDS REVIEW

1. The Designator will review all new staff records plus a minimum of 10% of remaining staff, taking into consideration levels and room assignments.
2. Use staff records including PDR’s, PD Hours, professional growth activity, transcripts, credentials, observations and annual reviews to complete STAFF RECORDS GRID.
3. Verify all hire dates and job positions.
4. Review PDR’s for identification of professional development needs and annual plans signed by director, checking that plan meets needs.
5. Review Career Lattice and Waivers as applicable.

Staff Records Grid for STAR 3 and 4

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Observation Date</th>
<th>Observation Date</th>
<th>Self Assessment</th>
<th>Annual Review Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>2</td>
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No matter what level of education you are seeking to achieve, choosing to be a lifelong learner serves as an example to the children, parents, and team in your program. To maximize your success, be sure to seek the information you need, realistically evaluate your options, set short and long term goals, and get started!

Points to consider:

Points to consider:

Personal logistics:

1. Do you have personal circumstances that could be assets or barriers? What are they? How will you maximize your assets and reduce your barriers?
2. Where will you take classes?
3. Do you have reliable transportation to the class location? Are there public transportation options? Can you carpool with other local practitioners who are taking the same courses?
4. Will your work and family schedule affect your decision to schedule your classes during the day or at night?
5. Is your learning style more suited to online learning or classroom-based instruction? Which will fit better into your life: online classes or classroom-based instruction or hybrid?

Career planning:

5. What are your educational goals? Can you identify the steps you will need to achieve those goals?
6. What area(s) are you most interested in studying?
7. Where can you find out information about your goals and plans? Colleges/universities, Regional Key, PA Key, other teachers or professionals?
8. Refer to your Professional Development Record (PDR) to assess your strengths/gaps related to the Core Body of Knowledge.
9. In a journal, write down questions, ideas, and action steps.

Paying for your Education:

10. How will you fund your education?
12. Are there financial aid options available to you?
   a. Vouchers from the PA Key (for more information, please visit www.pakeys.org/profdev/FinancialSupport.aspx)
   b. Educational benefits at Employer (program benefit, Merit/Education and Retention Award (MERA) funded)
   c. College/University scholarships
   d. Personal educational loans

Notes:

- “Effort” when seeking a degree is considered 6 credits annually.
- If you have a written educational plan with an Academic Advisor at a College or University, you may use that plan.
Example: Director's Credential Action Plan For New Directors Form

Instructions
Complete all relevant information in Part 1 and Part 2 of this form and return signed copy to your STARS Manager/Specialist at the Regional Key. List all courses you plan to take including the semester and year you plan to take the course, the number of credits, expected completion date. Once complete record the grade. If course is not completed please provide an explanation.

Action Plan
Today’s Date: ____________________ Agency Name: __________________________
Total # of Staff at facility: ____________________ Total Number of Staff at facility with Action Plans: ______
Practitioner Name: ____________________ Position: __________________________
Current Degree: ____________________ Major: __________________________
Current Level on Career Lattice: ___________ Career Lattice Level Goal ______ by __/__/____
Anticipated # of credits needed to obtain next level of Career Lattice: __________________________
College/University Name: ____________________ Enrollment Date in program: __________
Name of Degree Program: (if applicable) ___________________________

<table>
<thead>
<tr>
<th>Semester &amp; Year</th>
<th>Course Number and/or Name</th>
<th>Credits</th>
<th>Completion Date</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

If courses were not completed, provide an explanation below.
Expiration and Renewal of the PA Director Credential Certificate:

A director/practitioner with a Pennsylvania Director Credential Certificate is responsible for maintaining a current Director Credential Certificate. The director/practitioner will be given a courtesy notice by the PA Key at least 6 months prior to certificate expiration based on contact information maintained by the practitioner in the PA Keys User Registry. The Regional Key will be copied on this notification and will be available to provide support and resources as requested by the practitioner.

The Regional Key will review the Pennsylvania Director Credential certificate during the facility’s designation or renewal. Effective July 1, 2012, if a director fails to renew the Pennsylvania Director Credential certificate prior to the expiration, upon designation the facility STAR level will be reduced to a STAR 2 until the director obtains a renewal certificate. To avoid a lapse in the certificate, a Director Credential Renewal application should be submitted to the Pennsylvania Key prior to the certificate expiration date. Pennsylvania Director Credential Renewal applications should be postmarked 90 days prior to expiration.

Out-of-State Director Credential:

OCDEL has received questions regarding the comparability of other state’s Director Credentials to the PA Director Credential. The National Association for the Education of Young Children (NAEYC) has published a list of NAEYC-recognized Director Credential programs across the nation. Please refer to http://www.naeyc.org/academy/state_director_credentials.asp for the listing.

In order to obtain the PA Director Credential, a candidate must submit with the application the NAEYC-recognized Director Credential certificate, and appropriate documentation for meeting Pennsylvania’s early learning or school-age program director qualifications.
Requesting and Facilitating Technical Assistance

Purpose:

STARS Technical Assistance (TA) is an intensive, one-on-one service provided to early learning and school-age facilities to help the facility achieve specific Keystone STARS quality performance standards and movement in STAR levels. The goal of TA is to:

- Assist eligible STARS facilities to achieve specific quality performance standards and achievement of higher STAR levels using an established action plan.
- Enhance, but not duplicate, the services provided by other parts of the early childhood education system including the STARS management process, professional development, and the initiatives of the Department of Welfare and the Department of Education.
- In conjunction with the STARS manager and other partners, promote a team approach to addressing the needs of practitioners and programs.

This procedure will provide guidance for STARS Specialists in requesting and facilitating TA.

Policy:

STARS Specialist and Designators will implement the procedures for the administration of STARS Technical Assistance that meet regional operational needs as well as adhere to protocol issued by the Office of Child Development and Early Learning.

Protocol and Procedure:

1. Specialists identify a need for Technical Assistance in collaboration with a program on their caseload.
2. Specialists use the *STARS Technical Assistance (TA) Intake and Referral Process* to make a request.
3. Specialists attend the first visit in order to facilitate communication of the identified need and clarify roles for the program.
4. Specialists review PELICAN contact notes from the TA consultant.
5. Specialists maintain communication with the program and consultant as the process progresses in order to coordinate appropriate support for the program’s goals.
Use of STARS Management and Reliability Tracking (SMART) Database

Purpose:
To ensure that STARS Specialist, Designators and Managers utilize the STARS Management and Reliability Tracking (SMART) Database for tracking pre-designations visits, designation visits and designation reliability visits.

Policy:
STARS Specialist, Designators and Managers will implement and proceed with the use of STARS Management and Reliability Tracking (SMART) Database for Pre-Designations, Designations and Reliability Designation visits as specified in the following policy and procedures that meet regional operational needs as well as designation protocol issued by the Office of Child Development and Early Learning.

Protocol and Procedures:

Use of SMART Database for Pre-Designation
STARS Specialists/Managers are required to enter the pre-designation and GBB results in the SMART database within 5 business days of the pre-designation visit.

If the STARS Specialist/Manager verifies that a provider meets a standard, then “yes” should be checked in the verification column next to that standard. After checking “yes,” the STARS Specialist/Manager determines at which GBB continuum level the program is meeting the standard. This placement should mirror the prior goal level set with the program in prior reflective conversations held with the program administrator. As the GBB is reflective in nature, there could be indicators spread across the continuum. The STARS Specialist/Manager, in collaboration with site leadership, will make the determination based upon what sources of evidence show as well as base it upon prior conversations and goal setting with the practitioner before pre-designation. STARS Specialists/Managers will reference “Good, Better, Best: PA’s CQI Guide to Best Practices v. 2.1” to make this determination.

If the STARS Specialist/Manager determines that a provider does not meet a particular standard, then “no” should be checked in the verification column next to that standard. If the STARS Specialist/Manager cannot determine if the program meets the standard because there is follow up necessary, then comments should be included in the follow-up column. The resolution to follow up items should be tracked on the resolution tab by using the action plan, review at designation, resolution date (which is defined as the date on which pending items were received from the provider) and comments fields. It is the responsibility of the STARS Specialist/Manager to track their follow up items in the SMART database and record any additional information/verification received using the comments section of the resolution tab to prepare the designator for completing the designation.
If it is determined that a standard will not be met prior to designation, the “review at designation” checkbox should be selected. This will allow the STARS Specialist/Manager to finalize the pre-designation while alerting the designator of any items that will require the designator to follow up with the provider.

Note: if sites are awaiting their ERS assessment, the STARS Specialist/Manager should select “no” for that standard and enter in the comments that the ERS visit has not yet been conducted. The STARS Specialist/Manager should check the ERS Intranet Scheduling Tool on the PA Key Website to find the scheduled ERS visit window and enter the start date for the ERS window in the resolution date field on the resolutions tab. If the ERS visit window has not been scheduled, the STARS Specialist/Manager should enter the designation date to allow follow up by the designator.

If the STARS Specialist/Manager finds that a standard is not applicable, such as in the case of 10% partial designations or special OCDEL programs requiring select standards, they should do not need to be completed by the pre-designator as they have a “null sign” in the three columns in the database.

After completion of data-entry into the SMART database, the results must be finalized by the STARS Specialist/Manager by selecting the “finalize resolutions” checkbox in the upper left portion of the database.

Note: The finalize resolutions checkbox must be selected during pre-designation data entry before the designation results are entered into the database.

Use of SMART Database for Designation
For every designation visit conducted, a STARS designator is required to enter the designation results in the SMART database within 5 business days of the designation visit.

The SMART database will populate the pre-designation results into the designation results if pre-designation data exists for the provider. The designator can modify the designation results depending on verification received during their designation visit. If the designator verifies that a provider meets a standard, then “yes” should be checked in the verification column next to that standard. If the designator cannot determine if the program meets the standard because there is follow up necessary, then comments should be indicated in the follow-up column. The resolution to follow up items should be tracked on the resolutions tab by using the action plan, resolution date (which is defined as the date on which pending items were received from the provider) and comments fields. It is the responsibility of the designator to track their follow up items in the SMART database and record any additional information/verification received using the comments section of the resolution
Note: if sites are awaiting their ERS assessment, the designator should select “no” for that standard and enter in the comments that the ERS visit has not yet been conducted. The designator should check the ERS Intranet Scheduling Tool on the PA Key Website to find the scheduled ERS visit window and enter the start date for the ERS window in the resolution date field on the resolutions tab. If the ERS visit window has not been scheduled, the designator should enter an estimated resolution date of no later than 90 days after the designation visit.

If the designator finds that a standard is not applicable, such as in the case of 10% partial designations or special OCDEL programs requiring select standards, they should choose “N/A” for a given standard.

After completion of data entry into the SMART database, the results must be finalized by the designator for use by the OCDEL research team by selecting the “finalize resolutions” checkbox in the upper left portion of the database.

Notes about SMART Database Counts

- The number of hours spent completing the pre-designation or designation (not including staff travel hours) must be manually entered in the “Total Time” field of the database.

- The “number of lead designations” and “number of reliability visits” fields will be automatically calculated by the SMART database. The number of lead designations count will increase by one when staff select that they are the lead designator on a designation or reliability visit. The number of reliability visits count will always increase by one for both the lead and reliability partner.

**Designation Reliability Protocol**

**Frequency of Reliability Visits:**
Reliability visits, where one designator and a separate reliability designator, complete a provider’s designation independently of one another, must be conducted each fiscal year. It is required that new designators be the reliability partner to someone else’s official designation prior to conducting a reliability visit independently (see Reliability Visits Process for complete protocol). Regular designators should complete a reliability visit as soon as possible within the first quarter of the fiscal year.

- Each designator should complete a minimum of 5 reliability visits with partners outside your region, one for each facility/program type, Center, Group Home, SACC, Head Start and Family, choosing from STAR 2, 3, and 4 designations, but not to be all of one STAR level. For example, you may choose to conduct a Reliability visit on a STAR 3 Center, a STAR 2 Group Home, a STAR 3 SACC, a STAR 4 Family and a STAR 4 Head Start. Each facility/program type has been selected and not all are representing the same STAR level. **Note: STAR 4A (Accredited sites) should be included** in the selection for Reliability visits.
An additional 7 Internal Reliability visits will now be required from each Regional Key to be conducted with a Reliability Partner within your region, to be conducted as follows: 3 Center or SACC, 2 Group Homes, 1 Head Starts and 1 Family-based at STAR level 2, 3 or 4 designations. Note: STAR 4A (Accredited sites) should be included in the selection for Reliability visits. Back-up Designators are required to conduct 3 Reliability visits a year, 1 with each Designator in same RK for a total of 2 and one with another RK, to total 3 for the year.

A designator is not obligated to complete more than 12 reliability visits per year, but may complete more if he/she chooses. A reliability visit counts if you are the lead designator or the reliability partner.

Selecting a Reliability Partner:
Designators should choose a different reliability partner for each visit if possible when conducting a designation visit outside your region. Internal Designations should not be conducted with the same two Designators on back to back visits.

Documentation:
The lead designator and the reliability partner should each complete their documentation/data entry independently during and after the designation visit. In an effort to help promote this protocol, the Lead Designator will be expected to begin the review of records from the beginning or top of the SMART database worksheets, the partner will review items starting at the end or bottom of the SMART database worksheets.

- ALL standards must be reviewed by both the lead designator and the reliability partner independently of one another.
- The lead Designator and the Reliability partner should each complete their documentation/data entry independently of one another during and after the designation visit.
- In an effort to help promote this protocol, the Lead Designator will be expected to begin the review of records from the beginning or top of the SMART database worksheets, the partner will review items starting at the end or bottom of the SMART database worksheets.
- The visit will end with the interviews to be conducted together and entered independently of one another into comments and SMART.
- Note: Interviews may need to be conducted at another specified time as warranted by the Director, in which case both the Lead and partner will conduct together at that time, then resume their independent studies once interview completed. (example: staff to be interviewed will be leaving facility before completion of Designation visit, therefore, needs to be conducted before end of Designation visit)
- The SMART database must be completed by both the lead designator and the reliability partner independently of one another within 5 business days of the designation visit.
- Do NOT compare notes prior to completing the documentation. Remember the purpose of this protocol is to determine if there is discrepancy between designators and to identify particular standards with the most inconsistency.
Designation and Reliability Manual
Version 1.0

- Note: the SMART database will increase the “number of reliability visits” count by one for both the lead and reliability partner.
- If the designator verifies that a provider meets a standard, then “yes” should be entered in the verification column next to that standard.

**Official Designation:**
The lead designator is the official designator assigned by the Regional Key to the facility. The lead designator will inform the facility that the designation visit will also serve as a reliability visit and that the purpose of the reliability visit is to improve the Keystone STARS program. Only the lead designator will provide feedback to the provider and be the primary contact for the provider. The feedback from the official designator can include information from the reliability partner; however, there must not be designation reconciliation discussions in front of the provider and the lead designator decision takes precedence in the official process with the provider. Reminder: the lead designator and the reliability partner should not discuss their findings until each has finalized the results in the SMART database.
**Guidance for Data Entry**

**Data Entry**
There are two ways that you can start up the STARS Designations software.

1. If you have a STARS Designations Startup shortcut on your Desktop, simply double click on it
2. If you do not have an STARS Designations Startup shortcut on your Desktop, then click on the Start menu
   - Select Programs
   - Select STARS Designations Startup from the menu choices available

When you select STARS Startup, the computer will automatically start the STARS Designations software and place you at the Password screen.
   - You may then type in your password. (Note: The password field is case sensitive.)
To complete the log-on process, simply click the OK button
   - When you click on the OK button, the STARS Designations logo screen will appear

**Working on Designations**
To add or edit Designations in the database, pull down the File menu (from the logo screen)
   - Select Work on Designations
When you select Work on Designations from the File menu, the Designation List screen will appear (Figure 6 next page)
From the Designations List, you may begin adding or editing records.
   - To add a record to the database, click once on the Add New Designation button.
   - To edit an existing record, simply double click on the line of the record that you wish to work on.

**Adding a new Designation**
Once you click on the Add New Designation button
   - An Add New Designations dialog box will appear .(Figure 7 next page)
   - All fields listed on this dialog box (Location MPI, PELICAN Location Name, Provider Type, Reliability Designation, Designation STAR Level, Your CWOPA ID, and Initial Visit Date) must be entered in order to begin working on the Designation.
   - To move from field to field within this dialog box, use the tab key on your keyboard or you may click your mouse button to select the field you want to work on.
Field Definitions for New Designation dialog box

Required Fields for adding a New Designation Explanation

Location MPI is a 13 digit number.
- The first 9 digits are the MCI number of the Provider
- Followed by the 4 digit location code.
- When entering in the Location MPI number, you do not need to enter the dash (-).
- Once you have entered in the Location MPI, the software will require you to reenter the number as confirmation.

PELICAN Location Name is a required field.
- The PELICAN Location Name for each Provider can be found in your PELICAN database.
- The Provider Type can be selected by either typing the first letter of the desired Provider Type
- Or by clicking on the pop-up menu and selecting from the displayed choices.

Reliability Designation is a required field.
- You can either type a “Y” for Yes
- Or “N” for No.
- You may also use the “Yes” and “No” Radio buttons.

Designation STAR Level is a required field.
- You must select which STAR level designation you are completing.
- You may enter in the number or click on the individual star buttons to pick the appropriate level.

CWOPA ID is a required field
- Automatically entered when you log in to the software.

Initial Visit Date is a required field.
- You may enter in the date by typing it into the appropriate space
- Or you may click on the calendar icon to pick the date from the popup calendar.
- Once you click on the Calendar icon next to Initial Visit Date, you will be able to select the date from the pop-up calendar feature

Completing the Designation Form

Once you have completed entering all of the data needed into the Add New Designation dialog box, click the OK button. The OK button will not be available until all of the information for the Designation has been completed. (Figure 9 next page)

Next, The Designation Data Entry Screen will appear (Figure 10 next page) There are two parts to each Designation Screen.
Figure 9 – Completed Add New Designation dialog

Figure 10 – Designation Data Entry Screen
The top section (Title Info) provides some general information about the Designation you are completing.

1. The bottom section is where you will complete all the information about what you found during your Designation visit(s).

To complete the Top section:
- fill in the Other Designator CWOPA ID (if applicable),
- the Provider Region
- the Reason for Visit
  - answer the two questions regarding the number of designations
  - And reliability visits you have completed this year.

Once you have completed the Top section of the Designation Date Entry screen, you may then complete the bottom section. Each STARS Performance Standard is grouped by section according to which STARS level you selected in the New Designation dialog box. For each STARS Performance Standard listed, enter a Verification choice by clicking in the “Yes”, “No”, or “n/a” cell in the Verification Field next to the appropriate STARS Performance Standard.
- Clicking the “Yes” cell will place a check mark
- Clicking the “No” cell will place a red X
- Clicking the “n/a” cell will place a red circle with a line through the middle, into the Verification Choice area.
- You may also use the Radio buttons or Keystrokes equivalents to enter in your Verification Choice for each Standard. The Radio button choices are located at the bottom of the Designation Date Entry screen.

If you are completing a Reliability Designation and “Yes” is selected, then you must select an Assessment Value of either (1) Good, (2) Better, or (3) Best.
- For “Regular Designations”, it is not required for you to select an Assessment Value for every “Yes” Verification.
- To select an Assessment rating, simply click into the (1), (2), or (3) cell adjacent to the Standard you are assessing
- You may also use the Radio buttons or Keystrokes equivalents to enter in your Assessment Choice for each Standard. The Radio button choices are located at the bottom of the Designation Date Entry screen.
If “No” is selected in the Verification field, then you must enter a statement in the Follow-up/Comments section (Figure 17).

In order to enter data into the Follow-up/Comments section, you can click in the Follow-up/Comments cell and then begin typing your comments. The comments will be entered into the Follow-up/Comments text field located at the bottom right corner of the Designation Data Entry screen. (Figure 18)

Once you have completed filling in all of the data for your Designation, you can click the close button at the top left corner of the Designation screen (Figure 19).

NOTE: The STARS Designations software automatically saves all of your data after every data entry field has been completed. Therefore, you do not have to remember to save the work that you have completed.

Adding/Editing/Deleting a Designation
When you have completed work in the Designation software and closed a single Designation, you will be taken to the Designation List screen. From here, you can create additional Designations.
by clicking the Add New Designation button
or you can open up a current Designation by double-clicking anywhere on the row of the Designation you wish to open

There is also a menu choice under the Designation Window that will allow you to Add or Delete a New Designation.

- To add a New Designation, pull down the Designation menu and select Add New Designation
- To Delete a New Designation, pull down the Designation menu and select Delete Selected Designation.
  - Upon selecting this choice, a warning will appear asking if you are certain you want to delete the highlighted designation.
  - To confirm that the designation should be deleted, click the Delete button.
  - If you do not wish to delete the designation, click the Cancel button

Using the To-Do List
The STARS Designation software has a built-in To-Do List that will provide you with a pull down menu of all the items that are missing from a complete Designation.

- To use the To-Do List simply click on the To-Do List button in the upper right corner of the Designation Data Entry screen
- You can move to any of the listed items in the To-Do List menu by selecting an item in the list and clicking on it with your mouse button

Exiting out of the software
To Exit out of the STARS Designation software

- Pull down the File menu while on the Keystone STARS Logo screen
- Select Exit.
- You may also use the keystroke equivalent Ctrl + Q
Sample STAR 3 Center Designation Form

STAR 3 Center

Location: 11111111-0001  Sample Designation
Designator ID: b-mesh
lead designations this year: 2
reliability visits this year: 0

Initial Visit Date: 03/14/2014
Other Designator:
Provider Region:
Reason for Visit: Move Up

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Verification</th>
<th>Assessment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Director Qualifications</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Director completes the STARS Orientation within 90 days of enrollment in Keystone STARS</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Complete professional development on the Pennsylvania Core Knowledge Competencies for Early Childhood and School Age Professionals (CKC)/Pennsylvania Big Ideas Framework (Big Ideas) and Individual Professional Development Plan for Early Childhood and School Age Professionals (IPDP) and Foundations of the Environment Rating Scale (ERS).</td>
<td>✗</td>
<td></td>
<td>not achieved</td>
</tr>
<tr>
<td>3. Complete professional development on Continuous Quality Improvement (CQI) and the Learning Standards.</td>
<td>✓</td>
<td>✓</td>
<td>achieved</td>
</tr>
<tr>
<td>4. Complete professional development in the ERS scales appropriate to age groups in the facility.</td>
<td>✓</td>
<td>✓</td>
<td>achieved</td>
</tr>
<tr>
<td>5. Attend child abuse mandated reporter professional development that reflects the most current laws in Pennsylvania.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>7. Level V or above on the Career Lattice</td>
<td>✓</td>
<td>✓</td>
<td>achieved</td>
</tr>
</tbody>
</table>

**Director Development**

<table>
<thead>
<tr>
<th></th>
<th>Verification</th>
<th>Assessment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Annual professional development plan is developed based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP).</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>2. Annually participate in 2 professional growth and development activities.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>3. Complete 21 annual clock hours of professional development based on the Big Ideas and IPDP, including the Director's section.</td>
<td>✗</td>
<td></td>
<td>not achieved</td>
</tr>
<tr>
<td>4. Complete the PA Director's Credential.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
</tbody>
</table>

**Staff Qualifications**

<table>
<thead>
<tr>
<th></th>
<th>Verification</th>
<th>Assessment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. New Staff Orientation completed by all aides and new staff within 60 days of start of employment.</td>
<td>✗</td>
<td></td>
<td>not achieved</td>
</tr>
<tr>
<td>2. 100% of Teachers/Group Supervisors (GS) at Level V or above on Career Lattice; 75% of Assistant Teachers/Assistant Group Supervisor (AGS) at Level III or above and 25% of Assistant Teachers/Assistant Group Supervisor (AGS) at Level IV or above on Career Lattice; and 25% of Aides at Level II or above on Career Lattice.</td>
<td>✓</td>
<td>✓</td>
<td>achieved</td>
</tr>
</tbody>
</table>

**Staff Development**

<table>
<thead>
<tr>
<th></th>
<th>Verification</th>
<th>Assessment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Annual professional development plan is developed for each staff member based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP) and documented on the Professional Development plan in the IPDP.</td>
<td>✓</td>
<td>✓</td>
<td>achieved</td>
</tr>
<tr>
<td>2. All staff must have two hours of health and safety professional development annually.</td>
<td>✓</td>
<td>✓</td>
<td>achieved</td>
</tr>
</tbody>
</table>
## Standards Achieved Report

### Director Qualifications

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Director completes the STARS Orientation within 60 days of Enrollment in Keystone STARS.</td>
<td>achieved</td>
</tr>
<tr>
<td>3. Complete professional development on Continuous Quality Improvement (CQI) and the Learning Standards.</td>
<td>achieved</td>
</tr>
<tr>
<td>4. Complete professional development in the ERS scales appropriate to age groups in the facility.</td>
<td>achieved</td>
</tr>
<tr>
<td>6. Attend child abuse mandated reporter professional development that reflects the most current laws in Pennsylvania.</td>
<td>achieved</td>
</tr>
<tr>
<td>8. Complete STARS Orientation Part 2.</td>
<td>achieved</td>
</tr>
<tr>
<td>7. Level V or above on the Career Lattice.</td>
<td>achieved</td>
</tr>
</tbody>
</table>

### Director Development

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Annual professional development plan is developed based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP).</td>
<td>achieved</td>
</tr>
<tr>
<td>2. Annually participate in 2 professional growth and development activities.</td>
<td>achieved</td>
</tr>
<tr>
<td>4. Complete the PA Director's Credential.</td>
<td>achieved</td>
</tr>
</tbody>
</table>

### Staff Qualifications

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. 100% of Teachers/Group Supervisors (GS) at Level V or above on Career Lattice; 75% of Assistant Teachers/Assistant Group Supervisor (AGS) at Level III or above and 25% of Assistant Teachers/Assistant Group Supervisor (AGS) at Level IV or above on Career Lattice; and 25% of Aides at Level I or above on Career Lattice.</td>
<td>achieved</td>
</tr>
</tbody>
</table>

### Staff Development

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Annual professional development plan is developed for each staff member based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP) and documented in the Professional Development Plan.</td>
<td>achieved</td>
</tr>
<tr>
<td>2. All staff must have two hours of health and safety professional development annually.</td>
<td>achieved</td>
</tr>
<tr>
<td>3. All staff must attend at least two hours of professional development annually on child observation, inclusive practices, and/or ERS.</td>
<td>achieved</td>
</tr>
<tr>
<td>4. All staff must have current pediatric first aid certification.</td>
<td>achieved</td>
</tr>
<tr>
<td>5. For each Teacher/Assistant Teacher, 18 annual clock hours of professional development based on Big Ideas and IPDP; each Aide, 12 total hours based on IPDP.</td>
<td>achieved</td>
</tr>
<tr>
<td>6. Teachers/Assistant Teachers must attend at least two hours of professional development annually on curriculum, program or child assessment, the age-appropriate Learning Standards and/or ERS.</td>
<td>achieved</td>
</tr>
<tr>
<td>7. Annually, all staff involved in one professional growth and development activity.</td>
<td>achieved</td>
</tr>
</tbody>
</table>

### Child Observation/Curriculum/Assessment

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Site obtains and maintains copies of the appropriate Learning Standards for all age groups in the program.</td>
<td>achieved</td>
</tr>
<tr>
<td>2. Learning Standards are used as a resource for staff in classroom planning and documentation of children's learning.</td>
<td>achieved</td>
</tr>
</tbody>
</table>
Sample STAR 2 Family Pre-Designation Form

### STAR 2 Family Pre-Designation

**Location:** 22222222.0002  
**Initial Pre-Designation Visit Date:** 9/14/2014

**Sample Pre-Designation**  
**Pre-Designator ID:** 5-mash

**Pre-designations this year:** 3

<table>
<thead>
<tr>
<th>Primary Staff Person/Owner Operator Qualifications</th>
<th>Verification</th>
<th>Assessment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Level II or above on the Career Lattice.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>2. Complete professional development on the Pennsylvania Core Knowledge Competencies for Early Childhood and School Age Professionals (CKC)/ Pennsylvania Big Ideas Framework (Big Ideas) and Individual Professional Development Plan for Early Childhood and School-Age Professionals (IPDP) and FCCERS.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>3. Current pediatric first aid certification.</td>
<td>×</td>
<td></td>
<td>not achieved</td>
</tr>
<tr>
<td>4. Primary Staff Person completes the Family Child Care Home STARS Orientation within 90 days of enrollment.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>5. Complete professional development on Continuous Quality Improvement (CQI) and the Learning Standards.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
<tr>
<td>6. Attend child abuse mandated reporter professional development that reflects the most current laws in Pennsylvania.</td>
<td>✓</td>
<td></td>
<td>achieved</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Primary Staff Person/Owner Operator Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Completion of Family Child Care Home Provider Self-Evaluation provided by DFY in the self-study packet.</td>
</tr>
<tr>
<td>2. All staff must have two hours of health and safety professional development annually.</td>
</tr>
<tr>
<td>3. Annual professional development plan is developed based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP) and documented on the professional development plan in the IPDP.</td>
</tr>
<tr>
<td>4. 12 annual clock hours of professional development based on the Big Ideas and IPDP.</td>
</tr>
<tr>
<td>5. 3 annual clock hours in management, professionalism, supervision, leadership, and/or administration.</td>
</tr>
<tr>
<td>6. All staff must attend at least two hours of professional development annually on child observation and/or inclusive practices.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Secondary Staff/Substitutes and Assistants Qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Current pediatric first aid certification.</td>
</tr>
<tr>
<td>2. High School Diploma or Generalized Education Development (GED) certification.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Secondary Staff/Substitutes and Assistants Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. 6 annual clock hours of professional development, based on Big Ideas and IPDP, taken by each staff member.</td>
</tr>
<tr>
<td>2. Annual professional development plan is based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP).</td>
</tr>
<tr>
<td>3. All staff must have two hours of health and safety professional development annually.</td>
</tr>
</tbody>
</table>
## Follow-up Action Report

**Location:** 11111111-0001  
**Sample Designation:**  
**Lead Designator ID:** b-mash  
**Initial Visit Date:** 08/14/2014  
**Provider Region:**

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Director Qualifications</strong></td>
<td></td>
</tr>
<tr>
<td>2. Complete professional development on the Pennsylvania Core Knowledge Competencies for Early Childhood and School Age Professionals (CKC)/Pennsylvania Big Ideas Framework (Big Ideas) and Individual Professional Development Plan for Early Childhood and School-Age Professionals (IPDP) and Foundations of the Environment Rating Scale (ERS).</td>
<td>not achieved</td>
</tr>
<tr>
<td><strong>Director Development</strong></td>
<td></td>
</tr>
<tr>
<td>3. 31 annual clock hours of professional development based on the Big Ideas and IPDP, including the Director’s section.</td>
<td>not achieved</td>
</tr>
<tr>
<td><strong>Staff Qualifications</strong></td>
<td></td>
</tr>
<tr>
<td>1. New Staff Orientation completed by all aides and new staff within 90 days of start of employment.</td>
<td>not achieved</td>
</tr>
<tr>
<td><strong>Child Observation/Curriculum/Assessment</strong></td>
<td></td>
</tr>
<tr>
<td>7. Based on ongoing child observations, developmentally appropriate authentic assessments of the child are completed and reported electronically into an OCDEL approved assessment tool following the tool’s specified timeframes.</td>
<td>not achieved</td>
</tr>
</tbody>
</table>
## Sample Designation Summary Report

### Summary Report

**Location:** 11111111-0001  
**Sample Designation:**  
**Lead Designator ID:**  
**Initial Visit Date:** 08/14/2014  
**Provider Region:**

<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director Qualifications</td>
<td></td>
</tr>
<tr>
<td>1. Director completes the STARS Orientation within 90 days of Enrollment in Keystone STARS.</td>
<td>achieved</td>
</tr>
<tr>
<td>2. Complete professional development on the Pennsylvania Core Knowledge Competencies for Early Childhood and School Age Professionals (CKC) and Individual Professional Development Plan (IPDP) and Foundations of the Environment Rating Scale (ERS).</td>
<td>not achieved</td>
</tr>
<tr>
<td>3. Complete professional development on Continuous Quality Improvement (CQI) and the Learning Standards.</td>
<td>achieved</td>
</tr>
<tr>
<td>4. Complete professional development in the ERS scales appropriate to age groups in the facility.</td>
<td>achieved</td>
</tr>
<tr>
<td>5. Attend child abuse mandated reporter professional development that reflects the most current laws in Pennsylvania.</td>
<td>achieved</td>
</tr>
<tr>
<td>6. Complete STARS Orientation Part 2.</td>
<td>achieved</td>
</tr>
<tr>
<td>7. Level V or above on the Career Lattice.</td>
<td>achieved</td>
</tr>
</tbody>
</table>

**Director Development**

| Annual professional development plan is developed based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP). | achieved       |
| Anually participate in 2 professional growth and development activities.                  | achieved       |
| 21 annual clock hours of professional development based on the Big Ideas and IPDP, including the Director's portion. | not achieved   |
| Complete the PA Director's Credential.                                                    | achieved       |

**Staff Qualifications**

| New Staff Orientation completed by all aides and new staff within 90 days of start of employment. | not achieved   |
| 100% of Teachers/Group Supervisors (GS) at Level V or above on Career Lattice, 75% of Assistant Teachers/Assistant Group Supervisor (AGS) at Level III or above and 25% of Assistant Teachers/Assistant Group Supervisor (AGS) at Level IV or above on Career Lattice, and 25% of Aides at Level II or above on Career Lattice. | achieved       |

**Staff Development**

| Annual professional development plan is developed for each staff member based on needs identified in the Big Ideas and Individual Professional Development Plan (IPDP) and documented on the Professional Development plan in the IPDP. | achieved       |
| All staff must have two hours of health and safety professional development annually.       | achieved       |
| All staff must attend at least two hours of professional development annually on child observation, inclusive practices, and/or ERS. | achieved       |
| All staff must have current pediatric first aid certification.                               | achieved       |
| For each Teacher/Assistant Teacher, 18 annual clock hours of professional development based on Big Ideas and IPDP; each Aide, 12 total hours based on IPDP. | achieved       |
| Teachers/Assistant Teachers must attend at least two hours of professional development annually on curriculum, program or child assessment, the age-appropriate Learning Standards and/or ERS. | achieved       |
## Pre-Designation Follow-up Action Report

**Location:** 22222222-0002  
**Pre-Designator ID:** b-mash  
**Visit Date:** 8/14/2014

### STARS Performance Standard  
<table>
<thead>
<tr>
<th>STARS Performance Standard</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary Staff Person/Owner Operator Qualifications</td>
<td>not achieved</td>
</tr>
<tr>
<td>3. Current pediatric first aid certification.</td>
<td>not achieved</td>
</tr>
<tr>
<td>Primary Staff Person/Owner Operator Development</td>
<td></td>
</tr>
<tr>
<td>6. 8 annual clock hours in management, professionalism, supervision, leadership, and/or administration.</td>
<td>not achieved</td>
</tr>
<tr>
<td>Secondary Staff/Substitutes and Assistants Qualifications</td>
<td></td>
</tr>
<tr>
<td>1. Current pediatric first aid certification.</td>
<td>not achieved</td>
</tr>
<tr>
<td>Community Resources/Family Involvement</td>
<td></td>
</tr>
<tr>
<td>9. At a minimum of once per year, written information on topics including health and human services, wellness, nutrition and fitness, and/or child development is given and explained to families and staff.</td>
<td>not achieved</td>
</tr>
<tr>
<td>Business Practices</td>
<td></td>
</tr>
<tr>
<td>6. Provider has a signed copy of an established professional Code of Ethics.</td>
<td>not achieved</td>
</tr>
</tbody>
</table>
Tax Lien Process

Purpose:
The STARS Specialist must review all grant requests within 7 calendar days of the date stamp. As part of the review, Specialists verify that the requesting program does not have a tax lien for delinquency in state or federal taxes.

Policy:
STARS Specialist and Designators will implement and proceed with designation procedures that meet regional operational needs as well as adhere to designation protocol issued by the Office of Child Development and Early Learning. Checks on both the state and federal sites must be complete at the following check points: designation, after receiving a grant request, and after the grant request is approved and before the award check is sent to the program.

Procedure:
   - Click on “Search Records”
   - Enter the location name in the Quick Search field
   - If no records appear, click on “Print” or take a screen shot of the page and paste it onto a Word document. Place a copy in the grant file.
   - Repeat the process with the legal entity name
   - If a record does appear, submit the request to the Manager for verification

   o Check for PA state tax liens go to this website: http://www.revenue.pa.gov/GeneralTaxInformation/News%20and%20Statistics/Pages/Reports%20and%20Statistics/Tax-Delinquent-Lien-Listings.aspx and click the PDF titled Complete Lien List Sorted by County in the top right of the page. If you find yourself using the Revenue homepage http://www.revenue.pa.gov/pages/default.aspx please follow these steps: From the homepage, click on the link titled News and Statistics at the bottom center of the page then click Tax Delinquent Lien Listings. From there you will again click the PDF titled Complete Lien List Sorted by County in the top right of the page. Scroll to the bottom of the page and click on “Complete Lien List Sorted by County”
   - Click on “Edit”, then “Find”
   - Enter the location name in the search field
   - If no records appear, indicate that it was checked on the grants checklist
   - Repeat the process with the legal entity name
   - If a record does appear, submit the request to the Manager for verification
STARS Status Review, Suspension, & Removal Process Flowchart

Based on STARS Status Review, the Regional Key decides on a course of action:

1. Can the non-compliance with STARS Performance Standards be corrected within 90 days (including loss of accreditation)?
   a. YES - proceed to STARS Action Plan
   b. NO - proceed to STAR Suspension

2. Did the non-compliance with DPW Certification Regulations lead to an Injunction, Downgrade, Provisional Certificate, Refuse to Renew, or Revocation of the Certificate of Compliance?
   a. YES - proceed to STAR Suspension
   b. NO - proceed to STARS Action Plan

3. Did the non-compliance with DPW Certification Regulations lead to an Emergency Removal or Closure of a Facility due to non-operation?
   a. YES - proceed to STAR Removal
   b. NO - proceed to STARS Action Plan

4. Did the non-compliance stem from infractions with other state or federal regulations?
   a. YES - proceed to STAR Suspension
   b. NO - proceed to STARS Action Plan

STAR Suspension

1. Key issues notification of STARS Suspension letter
2. Key & provider develop STAR Suspension Action Plan (With Certification if required)
3. Does provider complete Action Plan & meet requirements?
   a. YES - Key issues STAR Certificate with original expiration date
   b. NO - Key suspends provider's STAR

STAR Reduction

1. Key verifies STAR Standards to determine eligible STAR level
2. Key lowers the provider's STAR level
3. (Optional) Key & provider develop a STARS Action Plan
4. (Optional) Key arranges for STARS TA to assist provider

STAR Action Plan

1. Key & provider develop STARS Action Plan (With Certification if regulatory)
2. Key issues designation expiration date coinciding with timeframe of STARS Action Plan
3. Does provider complete Action Plan & meet requirements?
   a. YES - Key issues STAR Certificate with original expiration date
   b. NO - Key suspends provider's STAR

STAR Removal

1. Key issues Notification of STAR Removal letter
2. Key sends Notification of STAR Removal letter
3. Key sends Notification of STAR Removal letter
4. Facility designated "No STAR Level" and "Inactive" in PELICAN - Keys to Quality

7/1/2014

- Key OCDEL reinstates the provider's STAR with original expiration date, if applicable.
- If original expiration date expired while provider was suspended, facility designated "No STAR Level" and "Inactive" in PELICAN - Keys to Quality until re-designation is complete.
- In the case where the STAR is suspended due to tax lien and the provider failed to inform the Keys, such lien/Certification, OCDEL will extend the suspension, past the date a clearance certificate is received by the Key from the provider, for the period of time the provider did not notify the Key of the liability.
STARS Status Review, Reduction, Suspension, Removal, & Appeal Process

The intent of this process is to provide a consistent mechanism for addressing noncompliance issues in early learning programs participating in Keystone STARS. However, the Department of Public Welfare (DPW), the Office of Child Development and Early Learning (OCDEL) and/or the Regional Key reserve the right to take action for other types of program non-compliance not specifically listed henceforth. A change in a program’s STAR level designation status will impact quality subsidy add-on rates (for DPW regulated programs) and/or Keystone STARS Grants and Awards for programs that are eligible for these funding opportunities. The Resource and Restrictions chart at the end of this section details the impacts to a program’s access to various Keystone STARS resources as a result of the process. The program will be informed by the Regional Key in writing of any action taken to a program’s STAR level designation.

During this process, it is essential that all communication with the program is recorded in the PELICAN–Keys to Quality system and copies of all correspondence are maintained as part of the program’s file.

STARS STATUS REVIEW

The intent of the STARS Status Review is to provide a maximum of 30 days for the Regional Key to make a determination regarding the appropriate action to take upon a program’s Keystone STARS designation status. The Regional Key will verify area(s) of a program’s noncompliance and will work with Certification (Bureau or Regional Office for DPW Regulated programs) or other program governing bodies (such as the federal Office of Head Start) as needed to help the program correct the noncompliance. If the Regional Key needs more than 5 business days to make a determination regarding the appropriate course of action, then the Regional Key will move forward with the STARS Status Review process as detailed in the following paragraph. If the Regional Key requires less than 5 business days to make a determination, then the Regional Key may move directly to the Suspension or Removal sections of this process.

The Regional Key initiates STARS Status Review by sending to the program the letter of “Notification of STARS Status Review” pending a review of the program’s noncompliance with DPW Regulations, STARS Performance Standards, or loss of accreditation. STARS Status Review may also be used in response to complaints from parents and/or other community stakeholders. Based on the STARS Status Review, the Regional Key has a maximum of 30 days to decide if a course of action is necessary using the guidance contained below.

During STARS Status Review, the Regional Key will work with the program in the development of a STARS action plan (not to exceed 90 days) if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards, but can meet STARS Performance Standards within a 90-day timeframe.
- For DPW Regulated programs, the program has area(s) of noncompliance with DPW Regulations that do not lead to a Provisional Certificate of Compliance (i.e. areas of noncompliance on a Licensing Inspection Summary).
- A STAR 4–Accreditation program loses its accreditation status, but can meet STARS Performance Standards within a 90-day timeframe.

After the program meets the requirements of the STARS action plan, the Regional Key
reissues a STAR Certificate with the original expiration date.

If the program does not meet the requirements of the STARS action plan, the Regional Key proceeds with one of the following:

→ **STAR Reduction** – The program agrees to a reduced STAR level for which the program meets all STARS Performance Standards.
→ **STAR Suspension** – The program refuses a STAR Reduction but does not meet the STARS Performance Standards for its current STAR designation.

**STAR REDUCTION**

The STAR Reduction will occur if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards and the area(s) of noncompliance cannot be corrected within a 90-day timeframe.
- A STAR 4–Accredited program loses its accreditation status.

A program will receive a STAR Reduction to the appropriate STAR level in which the program meets all of the standards. It is important to assist the program through the process, such as providing STARS Technical Assistance, professional development opportunities, and other supports. If the program refuses a STAR Reduction, the program will receive a STAR Suspension.

**STAR SUSPENSION**

The STAR Suspension will occur as a result of any of the following conditions or for other types of program non-compliance not specifically listed henceforth:

**For DPW regulated programs in Keystone STARS**

- DPW Certification initiates an Injunction, Negative Sanction or issues a Provisional Certificate of Compliance for areas of regulatory noncompliance.
- The program consistently has multiple incidents of noncompliance with DPW Regulations.
- The program fails to implement, complete, and/or maintain a STARS action plan.
- The program is under investigation by Certification for egregious circumstances. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- DPW Subsidy Bureau takes action related to the provider’s subsidy agreements.

**For all programs including DPW Regulated Programs in Keystone STARS**

- The GRANTEE/Sub Grantee cannot be determined a Responsible Contractor as outlined in the commonwealth’s Management Directive 215.9 which could include but not limited to the following:
  - Suspension or debarment by the Commonwealth within the past 5 years.
  - Suspension or debarment by the federal government or any other state or governmental entity within the past 5 years.
  - Liabilities owed to the Commonwealth and/or federal government, including tax liabilities.

  Notifying the Regional Key of liens/liabilities is a requirement of receiving Keystone STARS funds. If GRANTEE/Sub Grantee does not inform the Regional Key of such liens/liabilities, OCDEL will extend the suspension, past the date a clearance certificate is received by the
Regional Key from the GRANTEE/Sub Grantee, for the period of time the program did not notify the Regional Key of the liability. The extension will affect the quality add on/tiered reimbursement given to DPW regulated programs. Dependent upon the availability of grant/award funds, the GRANTEE/Sub Grantee could be eligible for grants/awards upon reinstatement back into STARS.

- Unsatisfactory or deficient performance in past or current Commonwealth contracts as determined by the Commonwealth in its sole discretion.
- Capacity and ability to perform within the established time schedule and in accordance with the plans and specifications of the contract.
- False, misleading, or incomplete information submitted to the Commonwealth.
- Default on a Commonwealth contract as determined by the Commonwealth in its sole discretion.
- The commission of any state or federal offense or criminal charges.
- Investigation pending by a federal or state agency or under investigation by a federal or state agency within the past 5 years.
- Facility health and safety related issues.
- General business integrity.
- The GRANTEE/Sub Grantee is under investigation for egregious circumstances by the program’s specific governing body/authority. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- The GRANTEE/Sub Grantee fails to submit to the Regional Key, OCDEL or other requesting state/federal agency an approvable final expense report and/or corresponding original receipts/documentations validating compliance with state and federal requirements for the use of state and federal funds. Failure to account for or appropriately use all funds received through Keystone STARS financial grants and awards may also result in a referral to the commonwealth’s Office of Inspector General.

During this phase, all correspondence with the program should be in the form of a certified letter with return receipt. The following steps apply to STAR Suspension:

**a) Notification of STAR Suspension**

Immediately after the program’s STAR Suspension is recorded in PELICAN-Keys to Quality, OCDEL will notify the Regional Key to send to the program one of the following letters: Notification of STAR Suspension, Notification of STAR Suspension Due to Tax Liability, or Notification of STAR Suspension Due to State or Federal Investigation. The Regional Key will send this letter to the program within 3 business days of notification. In the letter, the Regional Key will manually enter the effective STAR Suspension date as it appears in PELICAN-Keys to Quality. If the program disputes the suspension, it has 10 days from the mailing date of the suspension notification letter to respond with a letter of disagreement to the Regional Key. Because the suspension is effective before the mailing of the letter, the program’s STAR Suspension will continue to be in effect during the 10 day dispute time period.

**b) Further Notification**

If the program responds to the Regional Key with a letter of disagreement regarding the suspension, the Regional Key will respond with one of the following letters as appropriate:

“Notification of STAR Suspension - Continuation” Letter

This letter is sent if the Regional Key finds cause for continuation with
Designation and Reliability Manual
Version 1.0

the STAR Suspension after review of the program’s letter of
disagreement.

“Notification of STAR Suspension Extension- Continuation” Letter
This letter is sent if the Regional Key finds cause for continuation with
the STARS Suspension after review of the program’s letter of
disagreement on a program that was suspended due to nondisclosure
of liens/liabilities that resulted in receiving tiered reimbursement or
grants/awards when the program would have otherwise been
ineligible.

-OR-

“Notification of STAR Reinstatement” Letter
This letter is sent if the Regional Key finds cause to restore the STAR
designation after review of the program’s letter of disagreement.

Note: If the program was initially suspended due to a state or federal
investigation, the Regional Key must send the program the “Notification of STAR
Suspension – Continuation” Letter once notified by OCDEL that a final
determination has been reached.

c) Designation Action
The Regional Key or OCDEL records the STAR Suspension into PELICAN–Keys to
Quality the day of being notified of the non-compliance. If the Regional Key cannot
record the STAR Suspension the day of being notified, the Regional Key must inform
OCDEL.

The Regional Key records the date the suspension notification letter was sent to the
program in the Location Contact Log section of PELICAN-Keys to Quality.

d) STAR Suspension Action Plan
After a program’s STAR designation has been suspended, the Regional Key
contacts the program to develop a STAR Suspension action plan, not to exceed
90 days, to correct the area(s) of noncompliance. For DPW regulated programs,
where the case of noncompliance is with DPW Regulations, the Regional Key
consults as needed with Certification regarding the corrective action plan
submitted by the program. The program’s DPW corrective action plan, including
applicable timeframes, may substitute for the STAR Suspension action plan.
After the timeframe of the STAR Suspension action plan has ended, one of the
following will occur:

→ STAR Reinstatement - If the program meets the requirements of the STAR
Suspension action plan, the Regional Key reinstates the program’s STAR
by issuing a STAR Certificate with the original expiration date, if
applicable. If the original expiration date expired while the program was
suspended, the Regional Key will move the program to active, No STAR
Level and re-designate the program to the appropriate STAR Level.

→ STAR Removal - If the program fails to implement, complete, and/or
maintain a STAR Suspension action plan, the Regional Key will remove the
program from Keystone STARS based on the STAR Removal procedures.

STAR REMOVAL

STAR Removal will occur for any of the following conditions:
The program closes.

For DPW regulated programs, Certification initiates an Emergency Removal or action to Refuse to Renew or Revoke the program’s Certificate of Compliance.

The program fails to submit a “Request for Designation Renewal” to renew its current STAR designation.

The program does not meet the requirements of the STAR Suspension action plan.

**During this phase, all correspondence with the program should be in the form of a certified letter with return receipt.** The following steps apply to STAR Removal:

### a) Notification of STAR Removal

Immediately after the program’s STAR Removal is recorded in PELICAN–Keys to Quality, OCDEL will notify the Regional Key to send to the program the “Notification of STAR Removal” letter. The Regional Key will send this letter to the program within 3 business days of notification. In the letter, the Regional Key will manually enter the effective STAR Removal date as it appears in PELICAN–Keys to Quality. If the program disputes the removal, it has 10 days from the mailing date of the removal notification letter to respond with a letter of disagreement to the Regional Key. Because the removal is effective before the mailing of the letter, the program’s STAR Removal will continue to be in effect during the 10 day dispute time period.

### b) Further Notification

If the program responds to the Regional Key with a letter of disagreement regarding the removal, the Regional Key will respond with one of the following letters as appropriate:

- **“Notification of STAR Removal - Continuation” Letter**
  This letter is sent if the Regional Key finds cause for continuation with the STAR Removal after review of the program’s letter of disagreement.

- **“Notification of STAR Reinstatement” Letter**
  This letter is sent if the Regional Key finds cause to restore the STAR designation after review of the program’s letter of disagreement.

If the program files an appeal with Certification in regards to a Provisional Certificate, Emergency Removal, Refuse to Renew, or Revocation action, and continues to operate, the Regional Key will proceed with STAR Removal pending the results of the appeal.

### c) Designation Action

The Regional Key or OCDEL records the STAR Removal into PELICAN–Keys to Quality the day of being notified of the non-compliance. The program is designated as “No STAR Level.” If the Regional Key cannot record the STAR Removal the day of being notified, the Regional Key must inform OCDEL.

The Regional Key records the date the removal notification letter was sent to the program in the Location Contact Log section of PELICAN–Keys to Quality.

**EXCEPTIONS**
The intent of STARS Status Review, Suspension, & Removal is to provide a consistent process
for addressing noncompliance issues in Keystone STARS participating programs. In the event of circumstances not addressed in this document, please contact OCDEL for guidance.

**Notifications and Appeals**

The program will be informed by the Regional Key in writing of any action taken to the program’s STAR level designation. If the program disputes the action outlined in the notification letter, it has 10 days from the mailing date of the letter to respond with a letter of disagreement to the Regional Key.

Appeals will be handled in accordance to 1 Pa. Code (§ 35.9., § 35.10., § 35.20., § 35.35., § 35.111., and § 35.112.).

The program may appeal the Regional Key’s final decision to OCDEL by submitting in writing a letter to:

Office of Child Development and Early Learning  
Pennsylvania Departments of Education and Welfare  
333 Market Street, 6th Floor  
Harrisburg, PA 17126  
Attention: Bureau of Early Learning Services

If further action is necessary, the appeal will move to the Commonwealth’s Bureau of Hearings and Appeals.

**RESOURCES AND RESTRICTIONS**

During STARS Status Review, Suspension, & Removal the following restrictions and resources apply. A check mark (✓) indicates the resource is available to the program:

<table>
<thead>
<tr>
<th>Resources/Restrictions</th>
<th>Under Review</th>
<th>Suspension</th>
<th>Removal</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Programs eligible for STARS Financial Awards</td>
<td>Eligibility resumes upon satisfactory completion of STARS Status Review</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Program posts STAR Certificate and advertises as a STARS program</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>For DPW Regulated programs eligible for tiered subsidy reimbursement (STAR 1 – STAR 4)</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Program’s STAR listed with CCIS and/or COMPASS</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Program access to STARS Representative for help with Performance Standards</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Program access to STARS Technical Assistance</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Program’s Staff Prioritized for Vouchers/tuition assistance</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Resources/Restrictions</td>
<td>Under Review</td>
<td>Suspension</td>
<td>Removal</td>
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<tr>
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<tr>
<td>Program access to other special opportunities such as Mind in the Making, Early Childhood Mental Health Consultation, etc.</td>
<td>✔</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Program eligible to attend professional development opportunities</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
</tbody>
</table>
PELICAN KTQ Facility Contacts Tracking Process

Context:
- PELICAN Keys To Quality (KTQ) provides a system for tracking facility information, such as Grant information, Technical Assistance and all contacts made with them.
- PELICAN KTQ assists a new STARS Specialist with picking up where the previous Specialist left off by sharing up to date information about the site.
- PELICAN KTQ clearly documents RK activities and communications; this is important particularly if a provider challenges a RK’s recommendation or finding.
- If a meeting form is not present, Specialists can access PELICAN KTQ to determine goals that were previously assigned and additional information.
- Use of PELICAN KTQ prevents repetition in RK’s contact with practitioners.
- Details in PELICAN KTQ contacts logs demonstrate performance on PRI deliverables for RK management and provide OCDEL a method of verification.

Contact Log Procedures
(PRI requires that contact instance be entered within 7 days or 5 business days.)
- Contacts log entries should be added for all communication with the practitioners; phone calls, site visits, and written communication (i.e. emails, faxes, U.S. mail)
- Communication about a practitioner that occurs with TA consultant or Grant Specialist should be documented when the communication assists with:
  - All communications regarding goals for STARS Management.
  - Communications regarding Grant paperwork.
  - Information regarding STARS-related documents collected from providers at site visits into PELICAN (i.e. enrollment calculation tool, grants, and/or renewal paperwork)
  - Document site visit cancellations to track number of cancellations and trends in provider participation. Cancellations and their repercussions can be discussed with providers during the next meeting.
- Include information regarding STARS-related documents collected from providers at site visits into PELICAN (i.e. enrollment calculation tool, grants, and/or renewal paperwork).
- Remember to document site visit cancellations to track number of cancellations and trends in provider participation. Cancellations and their repercussions can be discussed with providers during the next meeting.
- Specialist should have PELICAN KTQ open and running while making calls or emails—once contact is completed then immediately document it in Contact log for the facility.

Internal Tracking
- Internal Tracking notes can be logged in PELICAN KTQ to capture significant correspondence about a program with a Regional Key Staff person or a Regional Key Partner. Internal Tracking notes can also be logged in PELICAN to record a step in a process or a transition.
- Examples of Internal Tracking notes include but are not limited to: Correspondence with a TA about a program or Transfer of a file to another Regional Key Staff Person.
- Internal Tracking notes are never used to record direct correspondence with a provider. Direct correspondence with a provider should be recorded as described above in the Contact Log Procedures.
When creating an internal tracking note select **Other** as the Contact Person. In the Other Contact Person box please write **Internal Tracking**.

- Select Contact Method as Other
- Document the Contact Reason and add your Contact Name
- Write a description of the type of contact and save.

**Tips for Contacts**

- Important & lengthy contacts need to be detailed and specific but abbreviations and bullet points should be used instead of narrative.
- Update site information in PELICAN (i.e. changes in director, email address, site telephone number and fax number) when you hear from a contact or at least every 3 months.
- Create a personal system for entering site visit notes (i.e. first ½ hour of day, last ½ hour of day, or during office time on Wednesday)... **be consistent**. Consider using a check mark on the meeting for to serve as a note that it has been entered.
- Copying and pasting email communication can be a time saver
Using PELICAN Alerts

Purpose:
“PELICAN is a statewide network that links early learning programs serving the Commonwealth's youngest citizens. PELICAN also creates the opportunity to collect child outcome data from the first day a child participates in an early learning program to the day they receive their college degree.” (Pennsylvania PELICAN, 2010)

The Regional Key uses Pelican to track and record information about programs participating in Keystone STARS. One feature of Pelican that is useful in STARS Managements is “alerts”. This procedure provides guidance in how Specialists use alerts to track and manage programs on their caseload.

Policy:
RK will use Pelican alerts to track and manage information about participating programs in the Region.

Procedure:
Specialists receive alerts pertaining to programs on their caseload when they log into Pelican, take appropriate action on the alert and then clear them.

The following is a summary of common types of alerts:

1. 90 Day Letter Alert: Prompts the Specialist that it is time to send out the renewal package (See Renewal Process)
2. 60 Day Letter Alert: Prompts the Specialist that the renewal has not been processed (See Renewal Process)
3. In 5 days this location will automatically be given a No STAR Rating Alert: Prompts the Specialist that the renewal has not been processed (See Renewal Process)
4. Technical Assistance Alerts: Informs the Specialist when action has been taken on a request for technical assistance. No action is usually required.
5. Grant Alerts: Informs the Specialist when action has been taken on a grant request. No action is usually required.
6. Alert that the DPW Standard Non-Compliance is set to “yes”: Informs the Specialist that there is an issue with certification. The Specialist submits the alert to his/her supervisor to check the status of certification. If appropriate, follow the STARS Status Review, Suspension and Removal Process
7. Assigned Alerts: Users have the ability to assign alerts to other users to inform them an action has been taken or to alert them that action needs to be taken. Specialists take appropriate action depending on the nature of the alert
Communicating Assessment Need through the Pennsylvania Program Assessment Communication Tool (PA PACT)

The Pennsylvania Program Assessment Communication Tool, located on the PA Keys website, provides a statewide communication and monitoring tool for use by all relevant partners. Access to PA PACT is limited to designated Regional Key, PA Key, and OCDEL staff members who use it for assessment notification and approval, and for window scheduling purposes. Use of PA PACT provides a consistent system for gathering information for all OCDEL ECE quality initiatives including PA Pre-K Counts assessment, STARS renewal, and/or STARS movement to a higher STAR level. STARS facilities that need to have their ERS scores renewed are automatically populated in PA PACT on the first day of every month. All other types of assessments are identified by the Regional Key or, for Pre-K Counts sites, by the Preschool Program Specialists and are manually entered. Regional Program Quality Assessors claim the sites, schedule the assessment window, and complete the assessment process. In addition, each Regional Key assigns a staff person as the primary contact for the Assessment Team regarding program assessments. Once selected, the Regional Keys will notify the Regional Program Quality Assessment Supervisors regarding the contact person. Detailed guidance on PA PACT use can be found in the Pennsylvania Program Assessment Communication Tool User’s Manual and Core Elements Guide, which will be located on the Help tab within the Tool upon its release.
Mandated Reporting

Purpose:
The purpose of this policy is to specify the guidelines for mandated reporters and to establish uniform procedures for reporting incidences involving children in Keystone STARS participating facilities to the Office of Child Development and Early Learning (OCDEL). Mandated reporters are defined as persons who, in the course of their employment, occupation, or practice of a profession, come into contact with children and are required by law to report when they suspect child abuse. As such, all RK employees who regularly visit early childhood education and Out-of-School time programs as a primary function are mandated reporters. This includes when a person has reasonable cause to suspect on the basis of medical, professional, or other training and experience that a child is a victim of child abuse. The term child abuse is defined as any of the following when committed upon a child less than 18 years of age:

1. Any recent act or failure to act which causes non-accidental serious physical injury.
2. An act or failure to act which causes non-accidental serious mental injury, sexual abuse or sexual exploitation.
3. Any recent act, series of such acts or failures to act which creates an imminent risk of serious physical injury, sexual abuse or sexual exploitation.
4. Serious physical neglect which endangers a child’s life or development or impairs the child’s functioning.

For purposes of the definitions above, recent act is defined as an act committed within the preceding two years. Further explanations of these terms can be found in the Child Protective Services Law (Title 23 Pa. C. S., Chapter 63) at § 6303.

Reports are to be made regardless of the relationship between the alleged perpetrator and the child. The requirement of reporting regardless of the relationship between the child and the alleged perpetrator was a change in 2007. Previously, mandated reporters were only required to report when the alleged perpetrator met the criteria within the Child Protective Services Law (CPSL). If the alleged perpetrator does not meet the definition of a CPSL perpetrator, the report will be forwarded by ChildLine to the appropriate law enforcement agency for investigation.

Certification regulations administered through regional offices of Child Development and Early Learning are intended to ensure the health and safety of all children in the program. Mandated reporters must also report incidents of non-compliance with certification, even when abuse against a particular child as defined above is not witnessed.
Policy:
Reports of suspected child abuse must be made immediately to assigned supervisors and to ChildLine, which is the Pennsylvania Statewide Child Abuse Hotline. Reports of non-compliance with Certification regulations must be made immediately to assigned supervisors and the Office of Child Development and Early Learning.

Procedure:
Issues of suspected child abuse:
1. Specialists report the suspected abuse to their assigned supervisor immediately.
2. Specialists report the suspected abuse to ChildLine immediately at 1-800-932-0313. Reports meeting criteria of suspected child abuse are then forwarded to the appropriate county children and youth agency for investigation. The county children and youth agency has sole responsibility for investigating reports of suspected child abuse. A mandated reporter who makes a report of suspected child abuse is entitled to the final status of the child abuse report following the investigation, whether it be indicated, founded or unfounded, and any services provided, arranged for or to be provided by the county children and youth agency to protect the child.
3. Specialists document the incident in the PELICAN contact log
4. Specialists and Keystone STARS Managers and Coordinators follow up as needed using the STARS Status Review, Suspension and Removal Process

Incidents of non-compliance with certification regulations:
1. Specialists report the incident of non-compliance to their assigned supervisor immediately.
2. Specialists report the suspected violation to the Office of Child Development and Early Learning at 1-800-346-2929.
3. Specialists document the incident in the PELICAN contact log
4. Specialists and Keystone STARS Managers and Coordinators follow up as needed using the STARS Status Review, Suspension and Removal Process

Overview of Changes to Child Protective Services Law Effective Date May 2007-Appendix LL
Assistance in Researching an Early Childhood or School-age Degree Program at a College or University in Pennsylvania

When developing an educational plan, practitioners should consider the following: type of program, traditional versus non-traditional scheduling and financial aid options available. Below is a list of agencies and related websites or documents to assist practitioners in selecting an institution of higher education that meets the varied needs of the individual.

Pennsylvania Association of Colleges and Universities  
http://www.pacu.org/campuses/alfalist.html
An alphabetical list of all two and four year colleges and universities in Pennsylvania

Pennsylvania Community Colleges  
https://www.pakeys.org/uploadedContent/Docs/PD/ECPD.pdf
Locate a community college in Pennsylvania that offers early childhood or school-age specific programming

Pennsylvania State System of Higher Education (PASSHE)  
http://www.passthe.edu/answers/Pages/what.aspx
Locate a state supported four year college or university that offers early childhood or school-age specific programming

Association of Independent Colleges & Universities of Pennsylvania (AICUP)  
http://www.aicup.org/
For a list of all of the private colleges or universities in Pennsylvania and to access the college/university websites to find types of degrees offered, go to the Association of Independent Colleges & Universities of Pennsylvania (AICUP)

Certification  
http://www.education.state.pa.us
Locate a Pennsylvania Department of Education (PDE) approved teacher certification program in Pennsylvania

Non-Certification Degree Programs/ECE Equivalent Degrees  
http://www.pakeys.org
For a list of approved institutions of higher education with degrees with ECE core content and equivalent to an ECE degree

Accredited Postsecondary Institutions and Programs  
http://ope.ed.gov/accreditation/
U.S. Department of Education listing for additional Pennsylvania business, technical and trade colleges
Clarification Regarding Degrees Earned from Business, Technical and Trade Schools

Purpose:

The purpose of this announcement is to:

1) Provide clarification to Regional Key staff in making determinations for Career Lattice placement, STARS Designation, and Education and Retention Awards (ERA) when an individual has a specialized associate degree from a business, technical or trade college; and

2) Provide clarification to Child Care Certification staff when evaluating staff qualifications under the regulations found at § 3270.34 relating to Director qualifications, § 3270.35 relating to Group supervisor qualifications, § 3270.36 relating to Assistant group supervisor qualifications for child care centers and at § 3280.34 relating to Primary staff person qualifications for group child care facilities for individuals with a specialized associate degree from a business, technical or trade college.

Background:

The Office of Child Development and Early Learning (OCDEL) identified a need to provide clarification to Child Care Certification and Regional Key staff regarding the acceptance of Associate of Specialized Business (ASB) or Associate of Specialized Technology (AST) with a focus in Early Childhood Education (ECE).

Currently the Keystone STARS program does not recognize ASB or AST degrees with a focus in ECE as eligible degrees on the Career Lattice. Additionally, there has been inconsistent career advisement provided to practitioners who are seeking or who have obtained these types of degrees and how the degrees relate to the Keystone STARS program. Lastly, Child Care Certification staff recognizes various educational degrees, including associate’s degrees, when evaluating staff qualifications for facility director, group supervisor and assistant group supervisor.

Discussion:

One indicator of high quality early childhood programs is the educational qualifications, knowledge, and professional commitment of its teaching staff. Children benefit most when their teachers have high levels of formal education and specialized early childhood professional preparation.

For the early learning community, the Pennsylvania Keys to Quality Early Learning Career Lattice is a guide to the education levels required for positions in the early care and education field. The Career Lattice encourages practitioners to attain credentials and degrees and to plan
their educational pathway according to the position that they are interested in attaining.

Child care regulations at § 3270 and 3280 state that an acceptable option to meet the staff qualifications for director, group supervisor, assistant group supervisor or group child care home primary staff person is “an associate’s degree from an accredited college or university in early childhood education, child development, special education, elementary education or the human services field ...” The associate’s degree must be in combination with a specified number of years of experience working with children.

The accreditation of an educational institution, including business, technical and trade schools can be verified via the US Department of Education’s website at http://www2.ed.gov/admins/finaid/accred/accreditation_pg6.html. Many Pennsylvania business, technical and trade colleges fulfill the criteria of accrediting bodies at this website. Additional information about the accreditation of an individual institution can be found by searching http://ope.ed.gov/accreditation/.

To continue to encourage practitioner participation in Keystone STARS and to expand relevant degrees listed on the Career Lattice, OCDEL is adding ASB or AST ECE degrees offered by accredited business, technical and trade colleges. If a business, technical or trade college is accredited by an accrediting organization listed on the previously referenced website, OCDEL will recognize ASB or AST ECE degrees on the Career Lattice. Additionally, Child Care Certification will recognize such degrees as meeting the requirements specified in the regulations relating to staff qualifications.

In order to ensure consistent assignment to the Career Lattice by Regional Keys:

- Effective immediately ASB and AST ECE degrees will be recognized on the Career Lattice at Level IV.
- If the business, technical, or Trade College has a signed program-to-program articulation agreement with another accredited institution of higher education offering an Associate in ECE or Baccalaureate in ECE or Child Development, the degree will be placed on Career Lattice Level V.
- Courses offered by business, technical or trade schools with accredited programs identified on the Pennsylvania Higher Education Assistance Agency (PHEAA) website at www.pheaa.org by school name and program code will be eligible for payment through the Rising STARS Tuition Assistance Program. The PHEAA code for business, technical and trade schools offering an approved ASB or AST ECE is 7B – Early Childhood Education. This information can be accessed on the PHEAA website by selecting the State Grant Program link under Funding Opportunities then selecting the State Grant Program Manual from the list of Documents and Forms.
- Effective July 1, 2014 ASB and AST ECE degrees will be eligible for Education & Retention Awards.
Designation and Reliability Manual
Version 1.0

Keystone STARS Early Learning Network (ELN) and Early Learning Outcomes Reporting Participation Policy

Effective July 1, 2014 - Ongoing

The Following Keystone STARS Programs Will Be Required To Participate In The Early Learning Network (ELN):

Child Care Centers at Keystone STARS level 2, 3, 4 and 4A;
Group Child Care Homes at Keystone STARS level 2, 3, 4 and 4A; and
Family Child Care Homes at Keystone STARS level 2, 3, 4 and 4A.

All infant, toddler and preschool-age children MUST be entered into ELN. This includes all required child, legal guardian, provider and enrollment data.

Head Start Agencies can use the SLDS upload in order to meet the requirement for STARS (Child Observation/Curriculum/Assessment) for demographic information for their federally funded enrollments instead of ELN. Children funded through HSSAP must be entered into ELN.

Children’s Early Learning Outcomes Reporting Required Participation

In addition to data entry into ELN, Keystone STARS 3, 4 and 4A Family, Group and Center facilities must complete assessments in an approved online tool to allow reporting of Early Learning Outcomes for all enrolled children except for children receiving:

• LESS than 2.5 hrs of child care PER DAY
OR

- **COLLECTIVELY LESS** than 12.5 hrs of child care PER WEEK (ex: a child going to a Tuesday and Thursday program for 6 hrs each day is EXEMPT because 12 hours per week is below the required dosage)

- **School Age children** (Children enrolled in K-12 education)

- **Drop In Care** (*Children who rotate in-and-out on a drop-in status*)

- **Overnight Care** (*Children who sleep during the majority of their care*)

- **Emergency Shelter or Emergency Medical-related Child Care**

- **Summer-Only Care** (Children who receive summer care that is that is less than 90 days)

- **Children enrolled in PA Pre-K Counts or Head Start State Supplemental in the SAME LOCATION at which the Child receives Keystone STARS Child Care** (Children will be enrolled in ELN through Pa Pre-K Counts or HSSAP, however, Lead Teachers need to work together to create a single assessment record that includes observations and analysis of all programs in which the Child participates)

Programs not in compliance with ELN participation and/or outcomes reporting will be contacted by their Regional Key Specialist or STARS Manager to determine the issue. The PELICAN Help Desk can provide additional assistance if necessary.

All STAR 3, 4 and 4A programs (including DPW regulated Family, Center and Group childcare providers) not in compliance will be dropped to a STAR 2.

For Keystone STARS questions regarding required participation in ELN or the Early Learning Outcomes Reporting initiative, please contact the Bureau of Early Learning Services, OCDEL [RA-OCDEarlyLearning@pa.gov](mailto:RA-OCDEarlyLearning@pa.gov)

For assistance with Early Learning Network please contact the PELICAN Help Desk at [ra-eln@pa.gov](mailto:ra-eln@pa.gov) or call 1-877-491-3818. For Assessment Vendor information please review posted documents on the Pa Key website at: [http://www.pakeys.org/pages/get.aspx?page=ELOR](http://www.pakeys.org/pages/get.aspx?page=ELOR)
**What is approved professional development?**

To determine what is “approved” professional development or professional development that “counts,” early childhood and school-age programs must first consider what regulation or requirement they are trying to satisfy.

- **Department of Public Welfare (DPW):** The certification requirement is for the professional development to meet the same standards as for Keystone STARS Quality Initiative and be in an appropriate content area, as defined by DPW. If there is a question about whether a professional development event will “count” for regulations, practitioners should contact their local DPW Certification office. The requirement is that center, group, and family staff will need 6 hours of approved professional development per year and Relative/Neighbor providers need 12 hours of approved professional development every two years.

- **Other regulatory or funding requirements:** Practitioners in early childhood and school-age programs should check appropriate guidelines for any specific requirements or stipulations regarding professional development.

- **Keystone STARS Quality Initiative:** For each of the following types of professional development approved for Keystone STARS, coursework must be related to the early childhood or school-age field, as outlined in the Pennsylvania Core Knowledge Competencies:

  1. **College credit** offered through an accredited institution of higher education. Please refer to page 3 of the *Early Childhood Education Teacher Quality* document, found at www.pakeys.org, Career Development, and then Requirements on the left hand menu, to determine if your institution of higher education is accredited.

  2. **Act 48/Act 45 professional development** which has been approved as acceptable for Act 48/45 hours through the Pennsylvania Department of Education.

  3. **CEUs** approved through a recognized professional association, college/university, or other specialty organization.

  4. **Pennsylvania Quality Assurance System (PQAS)** hours offered by PQAS approved Professional Development Instructor or Technical Assistant Consultant.

PA Keys to Professional Development 1/6/2014
**Frequently Asked Questions (FAQ)**

1. **Will professional development “count” that is offered at conferences sponsored by state, regional or national organizations?**

   Conference/Special Event Application may be used to approve an out-of-state/national speaker, multi-session, multi-speaker conference, or special event. Conference coordinators must apply for PQAS approval at least 60 days prior to the conference or event. Applications can be found here.

2. **If professional development is funded by Regional Keys, are there additional requirements for instructors?**

   Yes, all instructors who offer events through a Regional Key, or are employed by a professional development organization funded by a Regional Key, are required to be PQAS approved. This is true even if the professional development is offered for college credit, Act 48 credit, or CEUs. This includes Director Credential, SACC Credential, and CDA coursework.

3. **Can an individual provide instruction while his/her PQAS application is under review?**

   Yes, the Interim PQAS Application may be used for instructors who have submitted a complete initial application and are awaiting their full PQAS approval. It is limited to two approvals per instructor (i.e. two one-time only workshops, e.g. college courses or multi-session workshops are not eligible). If the full PQAS application is denied, applicant is not eligible for an interim PQAS approval.

4. **What events should be posted to the PA Keys to Quality Professional Development Registry?**

   Any professional development which is provided by a PQAS instructor or consultant, or has been approved as a Special Event/Interim, must be posted to the PA Keys to Quality Professional Development registry. These events must have a set date and time.

5. **How can practitioners obtain documentation to verify that their professional development meets the requirements of the Keystone STARS performance standards?**

   - An individual may print off their PD History/transcript from the PA Keys to Quality Professional Development Registry.
   - If the event is not listed on the PA Key Registry, then practitioners must obtain a certificate of attendance, or other documentation, which clearly indicates the professional development meets the requirements in at least one of the five categories identified above.
   - If college credit, Act 48/45, or CEUs are awarded for professional development, the instructor/organization should distribute written verification of the completion of the event to each participant. This should include an official certificate of completion for Act 48/45 or CEUs, or a college transcript for college credit.
   - A certificate or documentation of completion should include the following information: the title of the event, the date the event was held, the name of the organization, the name of instructor, the number of hours, and who approved the hours; PQAS, Act 48/45, CEU, college credits.

To access PQAS applications, please go to [www.pakeys.org](http://www.pakeys.org) click on Career Development, then PQAS on the left hand menu.

For additional information contact your Regional Key or the PA Keys to Professional Development at [PQAS@berksiu.org](mailto:PQAS@berksiu.org) or call 800-284-6031.
Designation and Reliability Manual
Version 1.0

Environment Rating Scale
Classroom Information Sheet

This form is to be completed with the ERS Assessor on the day of the visit.

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<th>ITERS</th>
<th>ECERS</th>
<th>SACERS</th>
<th>FCCERS</th>
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</table>

Program Name

MPI #

Name of Group

Curriculum used

Number of children enrolled in this group

Number of children allowed in this group

Youngest child’s birth date

Oldest child’s birth date

Please indicate with a yes (Y) or no (N) whether each teacher has participated in any of the ERS Professional Development Sessions listed.

<table>
<thead>
<tr>
<th>Teacher Initials</th>
<th>Title</th>
<th>Education</th>
<th>Course of Study</th>
<th>Years at Facility</th>
<th>Years in ECE</th>
<th>CDA?</th>
<th>Y/N</th>
<th>ERS 101 Foundations</th>
<th>ERS 201 ITERS</th>
<th>ERS 202 ECERS</th>
<th>ERS 203 SACERS</th>
<th>ERS 204 FCCERS</th>
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Approved Pediatric First Aid

A Pediatric First Aid course is approved by Keystone STARS if the instructor uses an approved curriculum and/or is PQAS approved for Pediatric First Aid.

DPW-Facility Licensing Regulation, 3270.31 (e)(4)(i) First Aid Training. Competence is the completion of training by a professional in the field of first-aid. First-aid training will be renewed on or before expiration of certification of every three years, as applicable.

Keystone STARS Requirements:
- STAR 1: Follow DPW Requirements. (Someone in facility at all times)
- STAR 2: One Staff member from each classroom must have current pediatric first aid certification.
- STAR 3: All Staff must have current pediatric first aid certification.
- STAR 4: All Staff must have current pediatric first aid certification.

Pediatric First Aid Training Organizations approved by STARS:
- American Academy of Pediatrics; Pediatric First Aid for Caregivers and Teachers (PedFACTS)
- American Heart Association (AHA)- Heartsaver Pediatric First Aid CPR AED
- American Safety and Health Institute
- Medic First Aid
- American Red Cross
- National Safety Council

and be able to provide cards to participants from one of those approved organizations.
- If a card is not available, a certificate will be acceptable provided it is accompanied with a letter from one of the above approved organizations signed by the instructor.
- The letter should list specifically infant/toddler/child, age range of instruction received and an expiration date.
- If there is no expiration date affixed, it will need to be renewed after 2 years.
- Those that receive a card must have infant/toddler/child marked on the card.
- For those cards that only mark items missing, read closely to be sure it is valid for infants, toddlers and child.
- Certificates listing training hours must have at least 4 hours.

Pediatric First Aid PQAS Instructors:
- Contact PA Key for current list
  www.pakeys.org
Caring for Our Children, edition 3, Standard 1.4.3.2: Topics Covered in First Aid Training

First aid training should present an overview of Emergency Medical Services (EMS), accessing EMS, poison center services, accessing the poison center, safety at the scene, and isolation of body substances. First aid instruction should include, but not be limited to, recognition and first response of pediatric emergency management in a child care setting of the following situations:

- Management of a blocked airway and rescue breathing for infants and children with return demonstration by the learner (Pediatric CPR)
- Abrasions and lacerations
- Bleeding, including nosebleeds
- Burns
- Fainting
- Poisoning, including swallowed, skin or eye contact, and inhaled
- Puncture wounds, including splinters
- Injuries, including insect, animal and human bites
- Poison control
- Shock
- Seizure care
- Musculoskeletal injury (such as sprains, fractures)
- Dental and mouth injuries/trauma
- Head injuries, including shaken baby syndrome/abusive head trauma
- Allergic reactions, including information about when epinephrine might be required
- Asthmatic reactions, including information about when rescue inhalers must be used
- Eye injuries
- Loss of consciousness
- Electric shock
- Drowning
- Heat-related injuries, including heat exhaustion/heat stroke
- Cold related injuries, including frostbite
- Moving and positioning injured/ill persons
- Illness-related emergencies (such as stiff neck, inexplicable confusion, sudden onset of blood-red or purple rash, severe pain, temperature above 101 degrees F (38.3 degrees C) orally, above 102 degrees F (38.9 degrees C) rectally, or 100 degrees F (37.8 degrees C) or higher taken axillary (armpit) or measured by an equivalent method, and looking/acting severely ill)
- Standard precautions
- Organizing and implementing a plan to meet an emergency for any child with a special health care need
- Addressing the needs of the other children in the group while managing emergencies in a childcare setting
- Applying first aid to children with special health care needs
**Rationale:**
First aid for children in the child care setting requires a more child-specific approach than standard adult-oriented first aid offers. To ensure the health and safety of children in a child care setting, someone who is qualified to respond to common injuries and life-threatening emergencies must be in attendance at all times. A staff trained in pediatric first aid, including pediatric CPR, coupled with a facility that has been designed or modified to ensure the safety of children, can reduce the potential for death and disability. Knowledge of pediatric first aid, including the ability to demonstrate pediatric CPR skills, and the confidence to use these skills, are critically important to the outcome of an emergency situation (1).

Small family child care home caregivers/teachers often work alone and are solely responsible for the health and safety of children in care. Such caregivers/teachers much have pediatric first aid competence.

Other children will have to be supervised while the injury is managed. Parental notification and communication with emergency medical services must be carefully planned. First aid information can be obtained from the American Academy of Pediatrics (AAP) at [http://www.aap.org](http://www.aap.org) and the American Heart Association (AHA) at [http://www.heart.org/HEARTORG/](http://www.heart.org/HEARTORG/)

Instructors using the American Academy of Pediatrics curriculum (Ped Facts) and Medic First curriculum should have their own Specialty Discipline number and provide cards to participants from one of those organizations.

The instructor should have a PQAS number that begins with an SD-. A practitioner can check on a PQAS instructor’s qualifications by searching on the PA Keys website. The website will show that an instructor is approved in topic code 80 (Pediatric First Aid).

Check to make sure you will receive a card from one of the approved agencies at the completion of the course.
If the above conditions are met then the Pediatric First Aid Training will count for Keystone STARS.
Early Learning Outcomes Reporting

Approved Assessment Tools for FY2014-15
This information pertains to Pennsylvania Pre-K Counts, Head Start Supplemental Assistance Program, and Keystone STARS 3 and 4 family, group and center facilities and will be posted on the PA Key website at www.pakeys.org.

The purpose of this announcement is to announce the approved on-line assessment tools for the 2014-15 program year.

In order for an assessment tool to be approved, the vendor must demonstrate that the tool is valid and reliable; demonstrate alignment with the Pennsylvania Early Learning Outcomes Reporting frameworks; develop scoring method that produces individual outcomes for each framework indicator; and establish a process for reporting outcomes data to OCDEL.

- As part of the Early Learning Outcomes Reporting strategy, participating programs are allowed to switch their approved assessment tool at any time, and are encouraged to reassess their choice each program year.
- Programs are encouraged to select an approved tool by July 1, 2014. Typically, programs should begin using the tool at least 60 days prior to the first outcomes reporting deadline.

Please note that four new tools (indicated by a *) for infants and toddlers and five tools for pre-kindergarten are now available.

Infant-toddler (0-3 years)
- Assessment Technology Incorporated: Galileo®
- Curriculum Associates: BRIGANCE® Early Childhood Developmental Inventory (ECDI)
- Curriculum Associates: BRIGANCE® Head Start Developmental Inventory (HSDI)
- Houghton Mifflin Harcourt: Riverside Early Assessments of Learning (REAL) Head Start*
- HighScope: COR Advantage*
- Pearson: THE OUNCE SCALE
- Teaching Strategies LLC: Teaching Strategies GOLD®

Pre-kindergarten (3-5 years)
- Assessment Technology Incorporated: Galileo®
- Houghton Mifflin Harcourt: Riverside Early Assessments of Learning (REAL) Head Start*
- Houghton Mifflin Harcourt: Riverside Early Assessments of Learning (REAL) Kindergarten Readiness*
- National Institute for Early Education Research (NIEER)/ Lakeshore: Early Learning Scale (ELS)
- HighScope: COR Advantage*
- Pearson: THE WORK SAMPLING SYSTEM®
- Pearson: THE WORK SAMPLING SYSTEM® for Head Start
- Teaching Strategies LLC: Teaching Strategies GOLD®
Resources to help programs select an assessment tool:

- **One page fact sheets** for each approved assessment tool, including contact information, are posted on the PA Key website at [www.pakeys.org](http://www.pakeys.org).
- You can access the Early Learning Outcomes Reporting page by clicking on “Early Childhood Programs” at the top of the home page and then clicking on “Outcomes Reporting” in the left menu.

The Office of Child Development and Early Learning strongly encourages programs to select an approved on-line assessment tool for the 2014-15 program year by July 1, 2014. Programs should begin using the tool at least 60 days before the first outcomes reporting deadline. Operationalizing assessment costs is a priority; however, STARS providers are encouraged to work with their selected vendor to make payment arrangements based on grant receipt.

Programs who have questions not addressed in the materials available online may email them to ra-eln@pa.gov.
Pennsylvania Early Learning Keys to Quality Career Lattice Chart and Links

- [https://www.pakeys.org/uploadedContent/Docs/PD/ECE%20Teacher%20Quality.pdf](https://www.pakeys.org/uploadedContent/Docs/PD/ECE%20Teacher%20Quality.pdf)
- [https://www.pakeys.org/uploadedContent/Docs/PD/Career%20Advising/Director%20Credential%20Programs%20revd06.18.13ba.pdf](https://www.pakeys.org/uploadedContent/Docs/PD/Career%20Advising/Director%20Credential%20Programs%20revd06.18.13ba.pdf)

### Pennsylvania Early Learning Keys to Quality Career Lattice

<table>
<thead>
<tr>
<th>CAREER LATTICE LEVEL</th>
<th>POSITIONS</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Child Care/Head Start/ School Age Care</td>
</tr>
<tr>
<td>VIII</td>
<td>Director/ Lead or Teacher/Clinic Supervisor</td>
</tr>
<tr>
<td>VII</td>
<td>Ph.D./ Ed.D. in ECE/ equivalent degree or in related field including 30 ECE credits or any field with ECE Certification</td>
</tr>
<tr>
<td>VI</td>
<td>B.S./BA in ECE/ equivalent degree or related field including 30 ECE credits or Elementary Ed. and 18 ECE credits or any field with ECE Certification</td>
</tr>
<tr>
<td>V</td>
<td>30 credits including 12 ECE credits or ASB/AST degree in ECE</td>
</tr>
<tr>
<td>IV</td>
<td>45 hours or 3 ECE credits (the 45 hours may include 15 hour orientation)</td>
</tr>
<tr>
<td>III</td>
<td>High school diploma/GED and 15 hours New Staff Orientation training</td>
</tr>
</tbody>
</table>

1. For school-age providers credits may be in education (excluding secondary education). Additional clarifications can be found in the description of Passords and Notes by Career Lattice Level and Teacher Quality.
Introduction

The PA Early Learning Keys to Quality Career Lattice was created by a workgroup in 2005 that included state-wide representatives from higher education, professional development organizations, child care, Head Start, early intervention. Regional Keys, advocates, the Department of Education, the Office of Child Development and Early Learning and the Pennsylvania Key. The Career Lattice serves as a guide to the education levels required for many positions in the early learning and school-age field, as well as a framework for career planning.

The term “career lattice” refers to a framework that outlines multiple pathways for professional growth and development. It allows the early childhood education and school-age care professional to move vertically, horizontally, or diagonally across the early learning system in order to advance their careers. The lattice provides information regarding the minimum requirements of some positions within the system so practitioners can plan their education in relation to the position that they are seeking.

The goal of this career lattice is to ensure that children in Pennsylvania are educated by professionals who have achieved adequate levels of education that are consistent across the state. The career lattice also serves as a guide for those who are interested in related positions within the field by indicating the typical requirements for those positions. For instance, public school, Head Start/Early Head Start, technical assistance consultants, mentors, PQAS instructors.

When viewing the career lattice, the educational levels can be found on the left side, beginning with Level I as the entry point and ending with Level VIII as the highest category of credentials. A sampling of corresponding positions is listed to the right of these categories. Positions are separated by a line to specify the typical minimum qualifications for that position. The line, however, is broken to indicate to individuals that their position does not limit them to the corresponding lattice level.

The career lattice can be read from lattice level to the corresponding positions (left to right) or from positions to lattice level (right to left). Also, the career lattice indicates positions in other sectors of the field for which a professional may qualify.

Level I

This is an entry level and starting point for professionals in the field such as Family Day Care Providers, child or school-age care Aides and Assistant Teachers, or Aides for Early Head Start and Head Start. Individuals at this level have a high school diploma or GED and 15 hours of New Staff Orientation training. The 15 hours of orientation training can vary across programs. The content of the orientation training as well as the requirements for completion will vary from sector to sector. Regardless of educational level, all practitioners who are new to the field and have not previously worked directly with children should have the opportunity to participate in orientation training.

Level II

This level lists the minimum amount of training for professionals such as Assistant Teachers and Assistant Group Supervisors within child or school-age care. Individuals at this level have a high school diploma or GED and 45 hours of professional development. The 45 hours of training may include the 15 hours of orientation training. The additional 30 hours of training may be a PQAS instructed course, seminar, or college credits related to early childhood education or school-age.
Level III
This level includes professionals who have met the minimum requirement to serve as Assistant Teachers and Assistant Group Supervisors working in Child or School-Age Care and Teachers and Home Visitors within Early Head Start and Head Start. Early Intervention staff can be a para-educator with a CDA or the PaTTAN Para-educator Credential, which are placed at Level III. Some examples of the required credentials are a Child Development Associate (CDA), School-Age Professional Credential (SAPC), or Specialized Certificates or Diplomas in Early Childhood Education or Child Development, which range from nine to thirty-six credits. These may fall on Level III or Level IV depending on the number of credits. Certificates or diplomas that contain twelve or more college credits will be placed on Level IV.

Level IV
This level includes Assistant Teachers or Group Supervisors in child or school-age programs, as well as Assistant Teachers or Para-Professionals working in Public Schools. These professionals have earned 30 college credits including 12 ECE specific college credits that may articulate into a degree. Also at this level are the Associate of Specialized Business (ASB) and Associate of Specialized Technology (AST) Business Technical degrees. An individual with an Early Childhood Education (ECE) specific Associate of Specialized Business (ASB) or Associate of Specialized Technology (AST) degree from an approved college will place here on the Career Lattice and can move to a Level V if the business, technical, or trade college has a signed program-to-program articulation agreement with another accredited institution of higher education offering an Associate’s in ECE or Baccalaureate in ECE or Child Development. Finally, Certificates or diplomas (describes at Level III) that contain twelve or more college credits will be placed on Level IV.

Level V
This level includes professionals who have met the minimum requirements to be a Director, Lead Teacher, or Group Supervisor for a child or school-age care program or Assistant Teachers in Private Academic Schools. These individuals have earned an Associate’s (AA) or Associates of Applied Science (AAS) degree. The Associate’s degree may be in ECE or an equivalent degree. An Associate’s degree in a related field including 18 ECE credits or a Associate’s degree in Elementary Education and 12 ECE credits is also recognized at this level.

In addition, a professional with an unrelated degree (BA/BS/AA/AAS) that includes 30 ECE credits will also be recognized at this level. If the individual has an unrelated degree and at least 18 ECE credits, but is continuing their education in ECE coursework, they will also be placed at this level. Also at this level are continuing college students with at least 60 college credits including 18 credits in ECE. An education degree or credits in Education (excluding Secondary Education) will count at this level if that individual is specifically working in a school-age care (SAC) only program.

Individuals with an Early Childhood Education (ECE) specific Associate of Specialized Business (ASB) or Associate of Specialized Technology (AST) degree from an approved college will place here on the Career Lattice if the business, technical, or trade college has a signed program-to-program articulation agreement with another accredited institution of higher education offering an Associate’s in ECE or Baccalaureate in ECE or Child Development.

Level VI
This level includes Directors, Lead Teachers, or Group Supervisors in child or school-age care programs; Directors, Coordinators, and Teachers in Early Head Start or Head Start; various positions within Early Intervention; Public School Teachers; Teachers, Administrators, and Directors for Private Academic Schools; and Technical Assistance (TA), Consultants, Mentors, and PQAS Instructors. Individuals at this
level have earned a Bachelor’s (BA/BS) degree. The Bachelor’s degree may be in ECE or an equivalent degree. A Bachelor’s degree in a related field including 30 ECE credits or a Bachelor’s degree in Elementary Education and 18 ECE credits is also recognized at this level. Additionally, an individual with a Bachelor’s degree in any field and ECE Certification is placed at this level. ECE certification may be in-state or out-of-state. An education degree or credits in Education will count at this level if the individual is specifically working in a school-age care (SAC) only program.

Level VII
This level incorporates all the positions listed in VI and is also the minimum criteria established for faculty in higher education. Professionals at this level have earned a Master’s (MA/MS) degree. The Master’s degree may be in ECE or an equivalent degree. A Master’s degree in a related field including 30 ECE credits or a Master’s degree in Elementary Education and 18 ECE credits is also recognized at this level. Additionally, an individual with a Master’s degree in any field and ECE Certification is placed at this level. ECE certification may be in-state or out-of-state. An education degree or credits in Education will count at this level if the individual is specifically working in a school-age care (SAC) only program.

Level VIII
Professionals at this level have earned a Ph.D. This is the highest level on the Career Lattice. Individuals who have earned a Doctorate (Ph.D or Ed.D) degree have attained education levels beyond the minimum requirements for positions listed in the Career Lattice. The Ph.D may be in ECE or an equivalent degree. Additionally, individuals may have obtained an Ed.D or a Ph.D in a related field including 30 ECE credits. Also recognized at this level is a Ph.D in any field with ECE Certification. ECE certification may be in-state or out-of-state.

Special Notes:


2. Equivalent Degrees without Teacher Certification – For a list of approved degrees equivalent to an ECE degree without teacher certification, go to www.pakeys.org under Career Development/Requirements.

3. Foreign Transcript Translation – A transcript translated by any member of the National Association of Credential Evaluation Services (NACES) is accepted. www.naces.org

4. Instructional Certificates - Effective June 1, 2014, the Pennsylvania Department of Education is permitting teachers with valid instructional certificates to add the PreK-4 and 4-8 certificates by passing the required certification assessment. For early childhood this is the Pennsylvania Educator Certification Test (PECT) PreK-4 assessment.
The Pennsylvania Office of Child Development and Early Learning (OCDEL) supports the professional development efforts of early childhood and school-age practitioners in many ways:

The **RISING STARS TUITION ASSISTANCE PROGRAM** pays 95% of tuition costs for eligible college coursework taken by early learning professionals, with a maximum benefit of $4,500 per individual each fiscal year (July 1 through June 30).

- The program covers **tuition costs only**, and does not include books, materials, or fees.
- Rising STARS Tuition Assistance Program will be replacing the College Tuition Reimbursement Voucher Program.

Apply for the Tuition Assistance Program (Download the Rising STARS Tuition Assistance Application). To access the online application, please login to the PA Keys website [www.pakeys.org](http://www.pakeys.org) account using the login tab. Once logged in, please select the “Voucher Requests” link that will be available in the box on the upper right hand corner of the screen and complete the application.

**Rising STARS Facility Supplement**

Rising STARS Tuition Assistance Program-Facility Supplement is contingent on the availability of funds. Rising STARS Tuition Assistance-Facility Supplement requests will be processed on submission dates of complete applications each semester. Incomplete applications cannot be processed and will be returned. Applications from students enrolling in classes will be given priority for processing and approval.

Questions? Contact [RisingSTARSTuition@berksiu.org](mailto:RisingSTARSTuition@berksiu.org) or call 800-284-6031 option #4
PA KEYS TO PROFESSIONAL DEVELOPMENT VOUCHER PROGRAM

The CDA ASSESSMENT FEE VOUCHER PROGRAM supplies payment for the CDA Assessment Fee that is required to complete the CDA Assessment process. The full CDA Assessment Fee of $425 is paid directly to the Council for Professional Recognition. This program does not reimburse individuals.

The Voucher Program for the CDA Assessment Fee is a two-step process:

- The first step is to apply for a voucher – the application form can be found below.
- Applications are then reviewed and are either approved or denied. Individuals whose applications are approved receive a voucher in the mail, which they must send to the Council for Professional Recognition in Washington, DC, along with the CDA Application. The Council is then paid directly by the PA Key.

To apply for CDA Assessment Fee Voucher - Download the CDA Assessment Fee Voucher Application.
https://www.pakeys.org/uploadedContent/Docs/Career%20Development/CDA%20with%20425%20fee.pdf

If you are receiving funds from the Keys to Quality System through the Regional Keys, you are not eligible for the voucher program. (Some exclusions may apply.)

*CDA Vouchers will not be reviewed for approval during the month of June. Applications received after May 31, 2014 will be reviewed after July 1, 2014.

Questions? Contact us at 800-284-6031 or RisingSTARSTuition@berksiu.org.
ECE College Credit Calculation Tool - Form

Contact Information

Practitioner Name: ____________________________ Contact Email: ____________________________
Current Employer: ____________________________ MPI #: ____________________________
Address: ____________________________ Phone: ____________________________

Degrees/Credentials

College/University Name: ____________________________ Accredited Institution: ☐ Yes ☐ No
Degree: ____________________________ Major: ____________________________
Degree: ____________________________ Major: ____________________________

College/University Name: ____________________________ Accredited Institution: ☐ Yes ☐ No
Degree: ____________________________ Major: ____________________________
Degree: ____________________________ Major: ____________________________

Certificates/Credentials: _______________________________________________________________
Certificates/Credentials: _______________________________________________________________

Career Lattice Level  
ECE: ______  SACC: ______  Exception: ______

Alternative Pathways

Career Lattice Level met via Alternative Pathway: ☐ Yes ☐ No
Director Qualifications met through Alternative Pathway: ☐ Yes ☐ No
Waiver and Action Plan in Place: ☐ Yes ☐ No

Reviewer Notes/Justification of Decision

Reviewer’s Name: ____________________________ Title: ____________________________
Agency: ____________________________
Reviewer’s Signature: ____________________________ Date: ____________________________
Designation and Reliability Manual
Version 1.0

ECE College Credit Calculation Tool – Listing of Courses and Credits

**Instructions**

The following table should be used when calculating the number of credits in an individual’s transcript. This form does not need to be completed if the degree is clearly in ECE. If completed, this form should be included with documentation along with the completed ECE College Credit Calculation Tool. *Make additional copies of this form as needed.*

**Credits and Course**

Practitioner Name: ___________________________ Contact Email: ___________________________

Current Employer: ___________________________ MPI #: ___________________________

Review Date: ___________________________ Phone: ___________________________

<table>
<thead>
<tr>
<th>Course Number and/or Name</th>
<th># of ECE credits</th>
<th># of SACC Credits</th>
<th># of Other Credits</th>
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**Total Credits**
2014-2015 Keystone STARS Standards and Worksheets

PURPOSE:

The purpose of this announcement is to inform Regional Keys of the changes to the Keystone STARS Performance Standards and corresponding worksheets in correlation with the alignment to STARS Management and Reliability Tracking (SMART) Database. The following documents are available on the PA Key Website www.pakeys.org:

- 2014-2015 Keystone STARS Performance Standards for Family Child Care Homes (FCCH)
- 2014-2015 Keystone STARS Performance Standards for Group Homes
- 2014-2015 Keystone STARS Performance Standards for Centers (includes SACC and Head Start)
- 2014-2015 Keystone STARS Family Child Care Homes (FCCH) Worksheets
- 2014-2015 Keystone STARS Group Homes Worksheets
- 2014-2015 Keystone STARS Centers Worksheets
- 2014-2015 Keystone STARS School Age Child Care (SACC) Worksheets

In preparation for accepting new early learning program types into Keystone STARS as part of the Race to the Top Early Learning Challenge grant, it is important to ensure that all worksheets and the SMART database align in formatting to the standards.

A second change that will take effect in fiscal year 2014/2015 is the separation of the PELICAN Early Learning Network (ELN) data entry of demographic information from the outcomes reporting standard. In 2013/14 STAR 2 programs were informed of this new standard requirement coming in 14/15 which allowed the STAR 2 programs to make the necessary arrangements to acquire PELICAN ELN systems access. The inclusion of this standard at STAR 2 will also allow programs to be better prepared for STAR 3 movement and the standard requirement of child outcomes reporting.

NOTE: Regional Keys will use the paper documents until notified by OCDEL that SMART has been updated with all the changes, at which time Regional Keys will data enter the paper designations. The expected SMART availability with all the changes will be on or before July 31, 2014.

Fiscal Year 2014-2015 Summary Highlights: The following are some of the changes reflected in the Standards and Worksheets to include the necessary alignments to the SMART Database:

Centers
- STAR 1
Director Qualifications
O Added: Director completes the STARS Orientation within 90 days of Enrollment in Keystone STARS.

**STAR 2**

Director Qualifications
O Added: Note to worksheets regarding STARS Orientation.
O Removed: FPDP and added SAC ASQ and Links to Learning (SAC) Foundations

Child Observation/Curriculum/Assessment
O Added: All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN).
O Added: Guidance notes to worksheets for STARS 2 through 4 regarding the review of child records for ELN Compliance and authentic assessments.

**STAR 3**

Child Observation/Curriculum/Assessment
O Added: Bullet for GBB SACC Observation occurs two times a year. ELN is not required for SAC children, portfolios are recommended.
O Added: SAC Portfolio to check off boxes on worksheets.
O Added: Bullet for SAC Links to Learning Framework.
O Moved: As part of the STAR 2 standard - All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN). *Note-this is now a separate standard from assessment only requiring demographic information. Child outcomes reporting will still be required starting at STAR 3.

**FCCH**

**STAR 2**

Child Observation/Curriculum/Assessment
O Added: All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN).

Environment Rating
O Removed: FCCERS-R assessment completed by a STARS ERS assessor. Family sites are no longer required to have a STARS ERS assessor complete an assessment at STAR 2.

**STAR 3**

Child Observation/Curriculum/Assessment
O Moved: As part of the STAR 2 standard - All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN).
*Note-this is now a separate standard from assessment only requiring demographic information. Child outcomes reporting will still be required starting at STAR 3.

**Group Homes**

**STAR 1**
O Director (Primary Staff Person) completes the STARS Orientation within 90 days of Enrollment in Keystone STARS

**STAR 2**
Child Observation/Curriculum/Assessment
O Added: All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN).

• **STAR 3**
Child Observation/Curriculum/Assessment
O Moved: As part of the STAR 2 standard - All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN).
*Note-this is now a separate standard from assessment only requiring demographic information. Child outcomes reporting will still be required starting at STAR 3.

SACC
• **STAR 2**
Director Qualifications
O Removed: FPDP, added check box for Links to Learning Foundations, and a check box for ASQ (Afterschool Quality) listed under the standard
O Removed- the ERS scales appropriate to age groups in the facility and replace with...SACERS (for majority 1st grade and up) ECERS if majority Kindergarten, or separate Kindergarten class
www.pakeys.org
O Removed: Under Optional Tools the ECE Credit Guidelines and add ECE Teacher Quality
www.pakeys.org/private/net/docs/3/ECE%20TEACHER%20QUALITY%20October%202010.docx
Child Observation/Curriculum/Assessment
O Added: To the Optional Tools- For SACC, first two sections of Desired Results Developmental Profile is recommended: http://desiredresults.us/docs/Forms%20page/DRDP%20(2010)/School%20Age%20

• **STAR 3**
Child Observation/Curriculum/Assessment
O Added: To the Optional Tools- For SACC, first two sections of Desired Results Developmental Profile is recommended: http://desiredresults.us/docs/Forms%20page/DRDP%20(2010)/School%20Age%20

Head Start
• **STAR 1**
Director Qualifications
O Added: Director completes the STARS Orientation within 90 days of Enrollment in Keystone STARS.
NOTE: Head Start programs that enrolled in STARS prior to July 1, 2014 will not be required to go back and obtain the STARS Orientation training.

• **STAR 2**
Director Qualifications
O Added: Director completes the STARS Orientation within 90 days of Enrollment in Keystone STARS.
NOTE: Head Start programs that enrolled in STARS prior to July 1, 2014 will not be required to go back and obtain the STARS Orientation training.

Staff Qualifications
O Added: New staff Orientation completed by all aides and new staff within 90 days of start of employment (this was on the STAR 3 worksheet but needed to be added to the STAR 2 worksheet since it is a STAR 2 standard). The “Notes” section of the worksheets still indicates that the Head Start Orientation is still acceptable to meet the standard.
Child Observation/Curriculum/Assessment
O Added: All Demographic information, including child, program and staff information, is recorded timely and accuracy is maintained in the Early Learning Network (ELN). However, the “Notes” section still indicates programs may use data entry into the State Longitudinal Database System (SLDS) to meet this standard.

• **STAR 3 & 4**
  Director Qualifications
O Added: Complete professional development on the Learning Standards (STAR 2 thru STAR 4).

**Changes made to ALL standards and Worksheets include:**
- Replaced: Core Body of Knowledge (CBK) Pennsylvania Core Knowledge Competencies for Early Childhood and School Age Professionals (CKC) replaces.
- Individual Professional Development Plan for Early Childhood and School Age Professionals (IPDP) replaces Professional Development Record (PDR).
- Associate of Specialized Business (ASB) or Associate of Specialized Technology (AST) with a focus on ECE with a signed program to program articulation agreement with another accredited institution of higher education offering an Associate in ECE or Baccalaureate in ECE of Child Development
Re: STARS Designation renewal

Dear {Director name},

It is time to renew your STAR Designation. On {date}, I sent you a letter including your renewal paperwork. To date, I have not received it. If you have not already done so, please complete the Request for STAR Designation Renewal (DES-02) and the STAR 1 Worksheet and return it to {Designator name} by {60 days from initial request date}. Your designation at STAR 1 will expire on {date of expiration}, if you fail to complete the paperwork to renew your designation. If your current designation expires, you will be removed from the Keystone STARS program and designated as No STAR Level. This means you will not be eligible for STARS funding, STARS Technical Assistance or have access to resources through your STARS Manager/Specialist. In addition, your STAR Designation will be removed from Child Care Information Services (CCIS), which will affect referrals and tiered reimbursement.

If you need assistance in completing the STARS Designation paperwork or if you have any questions or concerns, please contact me at {designator phone number}. I look forward to continuing to work with you in the Keystone STARS program.

Sincerely,
Re: STARS Designation Renewal

Dear {Director},

It is time to renew your STAR Designation! Your designation at STAR 2 will expire on {expiration date}. In order to renew your current STAR designation, you will need to complete the enclosed forms which include the Request for STAR Designation Renewal (DES-02) and the STAR 2 Worksheet.

Please complete both forms and return them to {Designator name} by {due date}. I look forward to continuing to work with you in the Keystone STARS program.

If you have any questions or concerns, please contact me at {Designator’s telephone number}.

Sincerely,
Re: Welcome to Keystone STARS!

Dear {Director/Owner},

Congratulations on becoming a Department of Public Welfare certified child care provider!

As a certified child care provider, you are eligible to participate in the Keystone STARS Program. Keystone STARS is an initiative of the Office of Child Development and Early Learning (OCDEL) to improve, support, and recognize the continuous quality improvement efforts of early learning programs in Pennsylvania.

Keystone STARS is a continuous quality improvement system that consists of four levels: STAR 1 through STAR 4. The Keystone STARS Performance Standards provide the foundation for the program. Each level builds on the previous level to promote quality early learning environments and positive child outcomes. The Performance Standards address four areas: Staff Qualifications and Professional Development, Learning Program, Partnerships with Family and Community and Leadership and Management.

While working through the STARS program, providers are assisted by a STARS Manager/Specialist at the Regional Key. Keystone STARS providers are eligible for resources such as professional development opportunities, technical assistance, and financial supports needed to improve quality. For more information about the Keystone STARS Program or for information about how to enroll, please contact us at {Area Regional Key Office phone number}.

You can also visit the Pennsylvania Keys website at www.pakeys.org.

Sincerely,
Move-Out Procedure

Purpose:
All Keystone STARS designations are issued for up to a year and must be renewed prior to expiration. This procedure will outline the general process of removing a program’s Keystone STARS designation when it is expiring and the program has not followed renewal procedures.

Policy:
RK will develop and revise enrollment procedures that meet regional operational needs as well as adhere to enrollment protocol issued by the Office of Child Development and Early Learning.

Procedure:
1. Twelve days ahead of expiration, the Designation Coordinator distributes a list of programs that haven’t been renewed. Specialists review the list and contact all programs who have not submitted renewal
2. If the program has not been renewed or extended by 7 days prior to the expiration date, the Designator enters a “Move Out” designation in PELICAN.
3. The Specialist follows the Reduction Survey Procedure (see Reduction Survey Procedure).
Exit Survey Procedure

Purpose:
In an effort to obtain feedback from providers leaving the Keystone STARS program, the Office of Child Development and Early Learning (OCDEL) has developed an Exit Survey. The survey will be used to gather information in the following areas:

- Reason for withdrawal
- Perception about the STARS process
- Perception about the STARS management and support

The findings from the survey will be used to improve the Keystone STARS program. This procedure will outline steps for requesting, sending and tracking Exit Surveys as appropriate.

Policy:
RK will develop and revise procedures for requesting, sending and tracking Exit Surveys that meet regional operational needs as well as adhere to Exit Survey protocol issued by the Office of Child Development and Early Learning.

Procedure:
1. The Specialist receives notification that the program is withdrawing from Keystone STARS.
2. The Specialist logs the contact in PELICAN, indicating in the “Contact Comments” that the program is closing or withdrawing from the program.
3. The Specialist completes the Designation Data Sheet and submits it to the Designators using the following guidelines:
   - Fill out all basic information
   - Indicate that it is a “Move Out” and the reason for move out (closing, no longer wishes to participate, etc.)
   - The “Date Requested” is the date the program notified the RK
4. The Designator enters a “Move Out” designation in PELICAN.
5. The designator changes the program’s status to “Inactive” in the PA Keys to Quality section of the location’s file in PELICAN.
6. The Designator submits the request to the STARS Manager who then creates the Exit Survey in PELICAN and changes the “Contact Comments” for the correspondence entry in the Contact Log to “Exit Survey Sent”.
7. The STARS Manager sends the Exit Survey and Exit Survey Cover Letter to the program with a stamped return envelope addressed to OCDEL and completes the Designation Data Sheet. The Designation Data Sheet is returned to the Specialist to be filed in program’s paper and/or electronic file.
8. On the first business day of every month, the Regional Keys will email OCDEL the number of Exit Surveys that their Key sent out via mail and the number sent via email during the previous month so that OCDEL can track the rate of return. Emails should be sent to ra-OCDearlylearning@pa.gov.
9. OCDEL will record the survey results as they are received. OCDEL will provide reports to the Regional Keys that will include return rates and individual comment summaries.

10. Overall results will be reviewed by OCDEL for the purpose of identifying needed programmatic or policy changes. Recommendations for programmatic or policy changes will be developed and shared with the Regional Keys and the STARS Stakeholders as appropriate.
{Date}

{MRMS/DR. FNAME MINITIAL LNAME}
{Title}
{Agency/Company}
{Address 1 ex: 243 2\textsuperscript{nd} Street, Suite 44}
{Address 2 ex: PO Box 4444}
{City}, {ST} {ZIP}

{Re:}

Dear {MRMS/DR. LNAME}:

In an effort to gather feedback from providers leaving the Keystone STARS Program, the Office of Child Development and Early Learning (OCDEL) has developed a confidential exit survey. This anonymous exit survey will help us to improve the Keystone STARS Program and the services we provide to participants.

As a provider leaving the STARS program, please take a moment to complete the survey. You may do so by either completing the enclosed survey and returning it in the attached self-addressed, stamped envelope or completing the online version of the survey at http://www.zoomerang.com/Survey/WEB22G99UDPG4Z. All information is confidential and will be used for the sole purpose of improving services to the early learning community.

Thank you in advance for your time, as your input on Keystone STARS is very much appreciated.

{Sincerely,}

{Signature Block}

{Initials WW/ww}

{Enclosure/Attachments}
Instructions:
Developing a parent handbook is a process. Programs often begin with basic policies and information and add sections based on the program development and to address questions or the information needs of parents. It can be challenging to keep the balance between covering all the important topics and keeping the length and complexity within reason.

The parent handbook has many underlying purposes such as marketing; helping parents see if the program is a good match for the child and family; information and policy sharing and will serve as a resource to families about your program. The parent handbook should look professional and be reviewed and corrected prior to sharing with parents. Often programs ask parents to assist in the review process. It is recommended that the parent handbook be dated so you remember to review and updated annually.

Many programs ask parents to sign that they have received a copy of the parent handbook as a way to document sharing policies and procedures. 
Make sure all staff read, are familiar with and have a copy of the parent handbook as a reference.

The following are sample topic areas that you may want to include in your parent handbook. It is important that you tailor your parent handbook to your own program and the needs of your families. Therefore, you may wish to add or remove topics to this sample.

- **Authorization to Pick up child**
  - Forms, how to change and update
  - Policies about custody situations
  - Arrival and departure policies

- **Birthdays**
  - Options for celebrations, food, parties, invitations for out of program time etc.

- **Child Development**
  - Developmental milestones
  - Challenging times such as biting, sharing, lying – and where to find additional information

- **Clothing and Cubbies**
  - Label clothing, extra clothing to leave in cubby,
  - Children should have comfortable, washable, weather appropriate clothing
  - Footwear
  - Gear for infants/toddlers (diapers, bottles, cream etc.)

- **Communication**
  - Daily information shared with parents . . . explain written and verbal methods
- Conference schedules and policies
- Who parents should speak to about a concern, problem or question
- Partnerships with families for high quality early learning
- Importance of parents and parent feedback to help make the program best for families and children

- **Community Resources**
  - Timeline/plan on sharing written information on topics including health and human services, wellness, nutrition, and fitness and/or child development with parents

- **Curriculum and Assessment**
  - Learning Standards and their use in the program
  - If applicable, implements activities appropriate to meet IEP/IFSP goals and/or special needs plans and objectives
  - Holiday celebrations – how handled
  - Daily schedules (posted in classroom)
  - Initial developmental screening
  - Assessment - tools used, frequency and how shared with parents
  - School readiness
  - Field trips
  - Show and tell
  - Daily outside time
  - Use of TV, media, videos, computers in the program

- **Enrollment and Attendance**
  - First few days in the program, calling to check, materials to read etc
  - Public, social, and community services information
  - Information explaining the “Getting to Know You” meeting
  - Intake Procedures - forms and permissions, updating contact information
  - Confidentiality
  - Non Discrimination Policies

- **Financial Arrangements**
  - Tuition, registration fees, annual increases, vacation/holiday credit, required notice of withdrawal from program, overtime charges, late payment fee, etc.

- **Health and Safety**
  - Health records, immunizations, health policies and procedures, communicable diseases
  - Injury prevention and procedures
  - Site sanitation, hand washing, daily facility cleaning
  - Training of staff such as pediatric first aid, emergency preparedness
  - Emergency Plan for program

- **Mission statement, vision, values, philosophy, etc.**
  - Program Governance
  - Diversity

- **Nutrition, meals**
  - If program provides meals – menu posting, times, components of meals
- If families provide lunch and/or snacks- nutrition information and suggestions
- Allergies and food preferences

**Quality**
- Continuous Quality Improvement (CQI) plan of the program
- Keystone STARS
- Accreditation

**Parent Engagement**
- Volunteering, conferences to review child’s progress, educational events/meetings for families
- Program supports to strengthen and connect families
- Importance of parent involvement
- Program evaluation and parent feedback

**Rest time, nap**
- Security items
- Blankets and sleeping gear

**Staff**
- Qualifications of the staff, professional development of staff, scheduling, security/clearances, etc.

**Toys**
- Types of toys children may bring and when

**Transitioning**
- Individual meeting offered to parents to share specific information regarding the child’s transition to another classroom or educational setting
- Sharing child’s developmental progress
- Written plan for child transition with parents and school, as well as a list of community/school stakeholders regarding child transition
- Procedure/release form for releasing child’s file/information to another educational setting
- Program’s schedule/plan for participating in community/school transition activities
What is Risk?
- Risk is anything that threatens the ability of your business to accomplish its mission. In insurance terms, risk is the chance that your business will lose money because of: injury, damage, destruction or theft, loss of net income, anything that adversely affects the way you do business. Any single incident can cause multiple problems.
- The risk management plan is much broader than the emergency preparedness plan required by the DPW regulations. The emergency plan only addresses how to respond in a variety of emergencies and should be included as part of the overall risk management plan.

Why manage Risk?
- To protect yourself and your business against unforeseen hazards as well as the routine risks your workers face every day. Good risk management addresses factors that you can control, such as employees, materials, operations, facilities, processes and vehicles.
- Good risk management does not have to be expensive or time-consuming.

Steps in the process:
- Identify your risks
- Evaluate and prioritize the risks
- Select your strategies to manage the risk – develop and implement your plan.
- Monitor and update the risk management plan

What should the Risk Management Plan address?
- The “Model Child Care Health Policies” cover the risk management policies and details that a program should follow:
  - Care of Acutely Ill Children
  - Medication policy
  - Emergency plan
  - Security and Evacuation plan
  - Drills
  - Closings
  - Authorized Caregivers
  - Safety surveillance
  - Transportation
  - Field trips
  - Guidelines to reduce the risk of child abuse or neglect allegations
  - Sanitation and hygiene

Since the leading causes of physical harm in early care and education programs are infectious disease and injury, these are topic priorities.
• Additional topics to consider:
  o Workplace safety
  o Legal issues/liability
  o Insurance coverage
  o Volunteer risk
  o Property/facility risks
  o Income risks – tuition, grants, in-kind donations
  o Financial risks – billing
  o Employment practices – screening, hiring practices, background checks, salary
  o Regulations: DPW, DOE

• The center’s Risk Management Plan should include clear procedures to follow in the event of an emergency (Examples: fire, severe storm, power outage, sewer backup, intruder, accident or illness)
  • The Risk Management Plan should be reviewed annually and all staff should be updated on the plan annually, as well.

Documentation Suggestions:
• Dated Risk Management Plan with dated memo describing review or update of the Risk Management Plan, minutes from a staff meeting where the Risk Management Plan was reviewed.
  • Other documentation record of emergency drills, annual training plan, child intake form asking about chronic medical conditions, children’s allergies posted in classrooms.
  • System in place. Example: A chart explaining assigned roles, written procedures, and checklists. Involvement of multiple individuals and a defined process of accountability.
What is Community Education?

Community education is simply reaching out to school and community leaders, legislators and the Governor to share the successes of children, families and teachers in your program. Activities can be as simple as sharing a child’s photo and story, or as high profile as speaking at a leadership event.

For example, any time you have a success at your program, you can send a letter to your legislator and press release to media announcing the good news, such as:

- Joining Keystone STARS or moving up a STAR level
- Teachers and other program staff receiving awards, CDA, or other credential, or college degree
- Former student from your program succeeding in school, winning an award or some other honor
- Special activities for parents, such as parent workshops or family fairs

As you plan your program’s activities throughout the year, think:

- Should I invite legislators that represent our families?
- Do we have local businesses that are family-friendly that might want to attend?
- Would this event help show to our local school principals or superintendent how our program is getting children ready for kindergarten?
Sample letter to Legislators for OCDEL programs

You can find contact information for your legislators at www.papromise.com

Dear [Legislator]:

I am writing to urge you to support continue investment in Pennsylvania’s early childhood education initiatives. I believe that programs such as Pennsylvania Pre-K Counts, Keystone STARS, Child Care Works, Nurse-Family Partnership and Early Intervention are vital to our child’s future success in school and in life, and that every child’s success helps secure a brighter future for Pennsylvania.

I realize that there are always dozens of worthy programs that could use additional funding every year, but I believe that investing in quality early education should be a priority. Quality early education:

- Promotes child development
- Strengthens families
- Reduces school costs in special education and remediation and provides K-12 schools with students ready to learn and to achieve
- Reduces community costs in criminal justice, public assistance, and lost taxes
- Provides communities with a skilled workforce
- Improves Pennsylvania’s ability to attract high quality jobs and boost our economy.

The bottom line is that quality early education isn’t just an educational strategy, it’s a workforce and economic development strategy.

According to the Office of Child Development and Early Learning, children in 69% of Pennsylvania’s counties are at moderate-high to high risk of school failure. There are children in every county that are at risk of failing in school. Quality early education can offset these risks so that our children can succeed.

[Share here your experiences with OCDEL programs and how they benefit children and families in your community:

- **What OCDEL programs do you participate in?** For example, if you are a Keystone STARS program who is also participating in PA Pre-K Counts, tell the legislator how Keystone STARS helps you improve the quality of your early childhood program so that you can provide high quality pre-kindergarten through PA Pre-K Counts. Here are some quick descriptions of each program that you can also include:

  - **Pennsylvania Pre-K Counts** – Pennsylvania Pre-K Counts provides high quality pre-kindergarten services to approximately 11,800 3 & 4 year olds in the
commonwealth so that they can enter school ready to learn and succeed in school and in life.

- **Keystone STARS** – Keystone STARS is a continuous quality improvement program and rating system for early learning and school-age programs and has reversed a 10-year trend of declining quality in child care.
- **Child Care Works Subsidized Child Care Program** – Child Care Works provides working families with assistance for child care costs and makes it possible for child care programs to serve children whose families could not otherwise afford care.
- **Early Intervention** - Early Intervention helps children from birth to age five with disabilities/developmental delays and their families.
- **Nurse Family Partnership** – The Pennsylvania Nurse Family Partnership (NFP) helps low-income, first-time parents experience healthy pregnancies, learn how to take good care of their babies, and make plans for the future.

• **How do children and families benefit from these programs?** How have these programs improved school readiness skills, social/emotional development, helped parents become more involved in their child’s early learning?

• **Are there families in your community that are eligible for these programs but cannot access services?** If you have a waiting list for an OCDEL program that you participate in, for example, tell the legislator how many families are waiting for services. If you don’t have specific numbers, you can give them anecdotal information.

• **You may also want to provide a testimonial from a parent that appreciates receiving services from an OCDEL program.** Again, it can be a direct quote or anecdotal, i.e., “Dozens of parents have told me that PA Pre-K Counts has made their children excited to come to school.”

Please let me know your position on future investment in Pennsylvania’s early childhood programs.

Thank you for your consideration,
PROGRAM OFFICE: Office of Child Development and Early Learning

PELICAN data is protected by the same security protocols as other programs such as Medical Assistance and Income Maintenance. These protocols require secure and encrypted servers that are tested for vulnerabilities, unique user names with strong passwords, and user roles that are assigned specific security levels and access. Please review the Tips for PELICAN User Role Requests to ensure you are requesting appropriate security access for the activities you need to perform with in the PELICAN system.

To request Commonwealth Business Partner User-Access for PELICAN, please review the following documents:

1. This document contains two parts
   a. Commonwealth Business Partner Account Request/Approval Form - INSTRUCTION FOR COMPLETING THE FORM and INSTRUCTION FOR ASSIGNING SECURITY ROLES [note: current Fax number 717.334.6921]
   b. PELICAN Account Request – form for requesting username and or requesting changes to existing PELICAN username [note: current Fax number 717.334.6921]

2. All New PELICAN User Account requests must include a PELICAN User Account Request form [completed in its entirety]

3. Providers with a Provider Self Service ID from COMPASS can have that ID updated with additional security access to PELICAN for use in data entry for PA Pre-K Counts, Head Start and STARS program

4. PELICAN users requiring changes to their type of access or changes to the locations they currently access, must include their existing PELICAN username [B-xxxxxxxx].

5. Please be sure the form information is complete and legible

6. Fax all forms to : 717.334.6921

7. For questions about the forms please call the ELN Help Desk at 877.491.3818
Tips for PELICAN User Role Requests

1. Pre-K Counts User Role – Lead Agency
   This type of role allows for a user to have the Location/Service Site abilities in addition to financial access for creating and updating budgets. Budgets can be accessed at two different levels. Please note the choices below. [A, B]
   This type of user has access to: Grant Structure, Grant Information, Program Review Instrument, Slot Maintenance, Quarterly Narrative, Waivers, and Enrollment Plan
   A. Choose ‘Lead Agency’ - if financial access is needed to all Direct Service Locations and Partner Locations for a specific Lead Agency
      1) Use the Lead Agency’s 9 digit MPI ID and FEIN
   B. Choose ‘Lead Agency’ - if financial access is needed at the Partner Location(s) and for any Partner service locations
      1) Use the Partner’s Location 9 digit MPI ID and FEIN

2. Pre-K Counts User Role - Location/Service Site
   This type of role allows a user to update Child, Staff and Classroom information for specific location(s)
   This type of user has access to: Location Information, Staff, 3&4 Year olds, Attendance, Benefits, Funding Information, Child Roster, Child Search, and Waiting List
   A. Choose Location/Service Site to add, delete or update children, staff or classrooms, enter attendance, etc.
      1) Use the Location’s 4 digit ID [note- this access is for a specific location, if the user needs multiple locations under the same lead Agency, all 13 digit MPI IDs must be noted]

3. ELN User Role – Legal Entity
   This type of role allows a user update access all ELN program information for all locations/service sites within the FEIN/Tax ID.
   This type of user access can be specific to one or several ELN programs. Chose the ELN program(s) information that is applicable. [Head Start, Keystone STARS] Use the 9 digit MPI ID or the FEIN/Tax ID for the Legal Entity

4. ELN User Role - ELN Location/Service Site
   This type of role allows a user update access for specific locations(s)
   A. Chose the 13 digit MPI ID or FEIN/Tax ID for the specific

5. SLDS Data Upload –
   Updated 6/24/2012 [V5]
   This role can be requested for existing PELICAN Users who also participate in Federal Head Start and would like to upload some basic child data about their Federal Head Start children through their existing access.
**INSTRUCTION FOR COMPLETING THE FORM**

**Business Partner Access** is defined as the communication and interaction of approved persons to enter (access) commonwealth Information Technology (IT) resources from a non-commonwealth site via either dialup or a hard circuit connection.

This access right is a privilege given to selected, approved and authorized business partners (Contractors, Benefit Provider, Vendor) for the expressed purpose of transacting commonwealth related activity and functions.

<table>
<thead>
<tr>
<th>Information Requested:</th>
<th>Explanation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requestor’s Name, Email, Telephone number</td>
<td>The full name&lt;br&gt;The unique email address&lt;br&gt;The phone number, including area code of the individual requesting access</td>
</tr>
<tr>
<td>New User</td>
<td>Indicates requestor does not have a PELICAN user ID</td>
</tr>
<tr>
<td>Change for existing user</td>
<td>Indicates requestor needs an access change to an existing ID</td>
</tr>
<tr>
<td>Requestor’s existing PELICAN Username</td>
<td>Record current b- xxxxx ID</td>
</tr>
<tr>
<td>Provider Self Service ID</td>
<td>If the requestor has a PSS ID for accessing provider information through COMPASS, that ID can be updated to include PELICAN access. Two different URLs would be used but the ID and password would be the same.</td>
</tr>
<tr>
<td>Pre-K Counts User Role&lt;br&gt;Head Start User Role&lt;br&gt;ELN/STARs User Role</td>
<td>Choose a user role that applies to the programs the requestor needs access for</td>
</tr>
<tr>
<td>Lead Agency User Role</td>
<td>For PA Pre-K Counts and Head Start programs&lt;br&gt;This role includes the location role access and also allows access to Financial Management for the Lead Agency&lt;br&gt;Please refer to the definitions of roles on the next page</td>
</tr>
<tr>
<td>Location/Service site role</td>
<td>For any type of program&lt;br&gt;This role is user access for one or more locations. Provides the ability to update location information. I.E.Classrooms, Children and staff, by program. Please refer to the definitions of roles on the next page</td>
</tr>
</tbody>
</table>
**Legal Entity Role**

For ELN STAR programs
This role includes location role access.
In addition, this role provides access to all
direct service sites associated with the Legal
Entity.
Please refer to the definitions of roles on
the next page.

**Lead Agency Name / Legal Entity Name**

Lead Agency or Legal Entity associated with
the person requesting access.

**Lead Agency / Legal Entity Address**
City, State, Zip

Full address of the Lead Agency/Legal Entity

**FEIN (Tax ID)**

The tax ID (FEIN or SSN) for the Lead Agency
or Legal Entity.

**Lead Agency or Legal Entity MPI number**

9 digit MPI number assigned to Lead Agency
or Legal Entity.

**Location/Service Site Name**

When requesting Location/Service Site role access:
Complete the name of the location where the
person performs their day-to-day activities.
If additional Location/Service Sites are needed
for this user, please note all on the form

**Location MPI**

13 digit MPI number
The first 9 digits is the Lead Agency/Legal
Entity MPI, the last 4 designate the specific
location.

**State Longitudinal Data System [SLDS]**

This role can be requested for existing
PELICAN Users who also participate in Federal
Head Start and would like to upload some
basic child data about their Federal Head Start
children through their existing access.

**Approving Site Manager/Specialist Signature**

An individual at the Lead Agency/Legal Entity
must sign this form to approve access for the
requestor.

**Phone Number**

Approving managers telephone number

**Date Submitted**

Date that form was faxed
Keystone STARS Designator Position Overview

Position specifics may vary with each Regional Key

The Keystone STARS Designator is responsible for coordinating the STARS designation process and conducting designation visits. The Designator acts as an independent decision-maker and evaluates early care and school-age facilities for compliance with the Keystone STARS Standards. This position provides feedback to the Specialists to inform the design of providers’ Annual Plans. The Designator also attends professional development opportunities hosted by the Office of Child Development and Early Learning in order to maintain inter-rater reliability. The STARS Designator reports to and is supervised by the Keystone STARS Manager. S/he works closely and collaborates with Keystone STARS staff so as to enhance services to early care and education and school-age providers.

Responsibilities:
- Implements the STARS designation and renewal process
- Conducts on site STARS designation visits as required
- Awards new STARS levels based on compliance with appropriate Performance Standards
- Collaborates with STARS Specialists to ensure timely renewals for practitioners with active status in STARS
- Provides information on resources to support continual quality improvement of child care and school-age facilities, e.g. professional development, grants or technical assistance
- Participates in community outreach activities for early care and education and school-age practitioners.
- Participates in professional development opportunities successfully implementing new skills, knowledge and procedures

Skills and Experience:
- Ability to plan, organize, analyze, and function independently
- Demonstrated decision-making and problem-solving skills
- Current working knowledge of best practices as related to early care and education and school-age; ability to apply knowledge to the intention of the Keystone STARS Standards
- Ability to develop and maintain effective working relationships with stakeholders; ability to display professional behavior when interacting
- Ability to maintain a high level of confidentiality and sensitivity
- Working knowledge of personal computers and networked systems and their use and application for data base management, tracking and reporting, also knowledge of word processing, spreadsheets, and power point
- Ability to maintain accurate records, analyze data, and prepare reports

Education Requirement:
- Bachelor’s degree required, preferably in Early Childhood Education. Master’s degree preferred
- Three (3) years of experience working with the Keystone STARS Performance Standards, or any equivalent combination of acceptable training, education and experience.
Keystone STARS Specialist Position Overview
Position specifics may vary with each Regional Key

The STARS Specialists are a core component of the Keystone STARS program. Through the use of the Keystone STARS Standards, the Specialist is responsible for guiding and directing early education and school-age practitioners towards achieving quality by engaging them in a Continuous Quality Improvement process. This position is responsible for recruitment and promotion of participation in Keystone STARS, as well as, upward movement in the system. The Specialist acts as a resource, providing practitioners with information and support assisting them to develop and implement appropriate plans to achieve the goals of Keystone STARS. The Specialist works in conjunction with Grants Specialists to enable providers to access Keystone STARS grants and awards. **The primary task of the Keystone Stars Specialist is to receive and review applications; interpret the Keystone STARS Standards; guide programs through the process of understanding the intention behind the Standards; act as an expert on available resources; and make recommendations to the early education and school-age practitioners enabling them to move through the STARS process, submit grants in a timely fashion, and annually project professional development plans.** The STARS Specialist is the first contact and representation Providers may encounter face to face in becoming a participating Keystone STARS Practitioner. It is **extremely important** that the Specialist takes the time and makes the effort to anticipate and answer any and all questions providers may have at that time, as this will determine the **successfulness** of the facility from this point on. This position reports either to the Keystone STARS Manager or Keystone STARS Coordinator.

**Responsibilities:**

- Develop and maintain working relationships with a specified caseload of early care and education and school-age practitioners
- Deliver presentations to practitioners encouraging the engagement of the continuous quality improvement process and the intent and requirements of Keystone Stars
- Provide assistance to facilities interested in requesting grants or awards
- Assist practitioners in setting individualized program goals and annual professional development plans in relationship to Keystone STARS standards
- Act as a resource informing practitioners of professional development events, educational opportunities, additional grants or consultants
- Complete annual plans and projections with assigned child care and school-age practitioners to enable them to complete the work toward achievement of a Keystone STAR level
- Work with the supportive/collaborative systems to assure the practitioner is able to access additional services as are needed (e.g. Community Engagement Group, Technical Assistance, Early Childhood Mental Health Consultant, Child Health Consultant, etc.)
- Using the available software, the specialist is responsible for recording the progress of all applications assigned (e.g., PELICAN, internal tracking system)
- Develop reports as necessary
- Responsible for ongoing reporting of the process of the program for practitioners in their caseload
Designation and Reliability Manual
Version 1.0

- Assist as necessary to facilitate STAR level designations, grant generation, closures and audits
- Attend and participate in meetings with partners such as Certification, ERS, STARS TA, OCDEL; maintain ongoing communication with said partners
- Coordinate with Designator to schedule designation visits
- Maintains awareness of ongoing changes/improvements to the early care and school-age system
- Participates in ongoing professional development and educational opportunities to augment his/her own skills
- Coordinate and conduct meetings establishing a community of learners

**Skills and Experience:**

- Working knowledge of Keystone STARS regulations and requirements
- Strong working knowledge about trends and best practices Early Childhood Education
- Knowledge of community organizations, social and human services agencies, childcare services and systems, schools, etc., and collaborative interagency relationships
- Ability to effectively articulate the mission and vision of the Keystone STARS Program
- Ability to provide guidance, direction, and support to early care and school-age practitioners to facilitate Keystone STARS involvement and compliance with standards
- Ability to build positive reciprocal relationships with early care and school-age practitioners
- Ability to provide management with timely and accurate reports and recommendations
- Ability to work effectively in a team
- Ability to juggle multiple tasks and competing priorities
- Ability to maintain complete, accurate, and accessible files and records
- Ability to communicate effectively and work productively with colleagues, government agencies, program participants, parents, and other human services organizations, etc. in a positive, pleasant, professional, and productive manner in writing, by telephone, and in personal contacts
- Working knowledge of personal computers and networked systems and their use and applications for data base management, tracking and reporting, etc. in a human services or similar environment
- Demonstrated fundamental knowledge of business practices such as creating budgets and business plans.
- Knowledge of early care and school-age systems, public social services, public funding helpful
- Three years work experience preferably in early care and education and/or school-age programs or human services, which involved some collaborative inter-agency work
- Experience in outreach, needs assessment, planning, marketing or public speaking helpful

**Education Requirement:**

Bachelor’s degree in Early Childhood Education or a Bachelor’s Degree and experience in working in early care and education or school-age programs and/or related field
Determining Designator Readiness

The Designator acts as an independent decision-maker and evaluates early care and school-age facilities for compliance with the Keystone STARS Standards. In an effort to make this determination that a Designator is ready to perform this position independently, a Designator Readiness Checklist was created with benchmarks to be achieved before assessing facilities independently.

In order to help the Designator achieve these initiatives, periodic professional development opportunities hosted by the Office of Child Development and Early Learning will be available in order to maintain inter-rater reliability. These workshops and discussions will be conducted quarterly at the SMART Designator and Reliability Meetings as well as a monthly Designator Clarification teleconference currently being conducted.

A seasoned Designator with at least one year of experience working independently, will conduct the evaluation to determine readiness of the new Designator.

Observations will be conducted while performing a Designation, The Designation will be conducted as a Reliability Visit, in the sense that the new Designator will be performing their own evaluation of the visit, independent of the seasoned Designator, with a consensus discussion culminating the visit after finding are entered into SMART. It will be that score that determines if the New Designator is ready to work independently. New Designators are expected to achieve a 90% or above in all areas.

The following checklist has been established to ensure Consistency and Reliability is being conducted uniformly across the state of Pennsylvania. This tool is implemented to better service the community by promoting standards of excellence by our staff.

<table>
<thead>
<tr>
<th>Determining Designator Readiness Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Protocol</strong></td>
</tr>
</tbody>
</table>
| Designator contacts Specialist to discuss Pre-Designation visit  
  • reviews notes from Specialist prior to visit  
  • notates items that were missing or in question during Pre-Designation visit | | Yes □ No □ | Pass □ Fail □ |
| Specialist/STARS Manager/Designator | | Yes □ No □ | Pass □ Fail □ |
Designation and Reliability Manual
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| Contacts Facility Director prior to Designation visit to establish date and time visit to take place.  
|  
| • blackout days offered  
|  
| Designator conducts designation visit as required  
|  
| • evaluates independently  
| • enters all info into SMART during visit  
| • makes detailed comments  
| • notates dates follow-up must be received  
| • documents what info is missing  
|  
| Designator awards new STAR level on move-up based on compliance with Performance Standards  
|  
| • uses sources of evidence to determine eligible  
| • communicates with facility director  
| • praises for job well done, offers suggestions for areas lacking  
|  
| Did Designator use SMART database while conducting visit? Were notes/comments entered on each item?  
|  
|  
| Designator checked expiration dates documenting those that needed follow-up?  
<p>|<br />
|</p>
<table>
<thead>
<tr>
<th></th>
<th>Yes □ No □</th>
<th>Comments:</th>
<th>Pass □ Fail □</th>
</tr>
</thead>
</table>
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|  
|  
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<p>|<br />
|</p>
<table>
<thead>
<tr>
<th></th>
<th>Yes □ No □</th>
<th>Comments:</th>
<th>Pass □ Fail □</th>
</tr>
</thead>
<tbody>
<tr>
<td>Designation and Reliability Manual</td>
<td>Designation performs Designation <em>independently</em> of mentor for a STAR 4 level for all types of providers</td>
<td>Yes □ No □</td>
<td>Comments:</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
<td>-----------</td>
<td>-----------</td>
</tr>
<tr>
<td>Designator’s independent score compared to Seasoned Designator at STAR 4 for each of the following: CENTER (68 out of 75 Standards must score 90%)</td>
<td>Yes □ No □</td>
<td>Comments:</td>
<td></td>
</tr>
<tr>
<td>Designator’s independent score compared to Seasoned Designator at STAR 4 for each of the following: GROUP HOME (73 out of 81 Standards must score 90%)</td>
<td>Yes □ No □</td>
<td>Comments:</td>
<td></td>
</tr>
<tr>
<td>Designator’s independent score compared to Seasoned Designator at STAR 4 for each of the following: FCCH (62 out of 69 Standards must score 90%)</td>
<td>Yes □ No □</td>
<td>Comments:</td>
<td></td>
</tr>
<tr>
<td>Designator’s independent score compared to Seasoned Designator at STAR 4 for each of the following: SACC (66 out of 73 Standards must score 90%)</td>
<td>Yes □ No □</td>
<td>Comments:</td>
<td></td>
</tr>
<tr>
<td>Designator’s independent score compared to Seasoned Designator at STAR 4 for each of the following: Head Start (27 out of 30 must score 90%)</td>
<td>Yes □ No □</td>
<td>Comments:</td>
<td></td>
</tr>
</tbody>
</table>
After working with a seasoned Designator (performing independently but still being mentored) a New Designator is eligible to participate in a Designation Reliability Visit to be scored and evaluated by the Seasoned Designator for each program type at a STAR 4 level to determine readiness to perform Designations independently (without a mentor). If there is not a STAR 4 program type due for a Reliability visit at the time the New Designator is ready to be determined eligible for independent visits, the seasoned Designator should contact the other Regional Key Designators to coordinate a visit for that program type. In the case where there is no STAR 4 Reliability visits due for that program type in any of the Regional Keys within the next two months, a STAR 3 Reliability Visit for that program type may be used. The visit must adhere to the Reliability visit protocols, no communication during visit evaluations, entering your findings into SMART before consensus on questionable areas, if any. The New Designator must score a 90% or better on each of their evaluations of the program types and checklist items in comparison with the Seasoned Designator. Once this score has been achieved, the New Designator will be eligible to perform Designations independently. Those that score less than 90% would want to focus on the areas that differed from their mentor and understand why the seasoned Designator scored as they did. The New Designator is eligible to conduct another Reliability Testing Visit at the next opportunity. In an effort to ensure Reliability and Consistency across the state of Pennsylvania, OCDEL may perform random monitoring of designation readiness visits in each Regional Key to evaluate and ensure compliance.
Consensus Tools for **Assessments** from the SMART Designators and Reliability Workgroups include the following:

- Developmental Milestone checklist
- Homegrown checklist
- Child Service Reports
- Youth Assessment Checklist
- Portfolios
- Desired Results (DRDP)
- Vendor Approved Assessment Tool
- Social Attributes Checklist


Consensus Tools for **Observations** from the SMART Designators and Reliability Workgroups include the following:

- Child Service Reports
- Anecdotal Records
- Developmental Milestone checklist
- Child notebooks
- Youth Assessment Checklist
- Portfolio Components
- Desired Results (DRDP)

Individualized Family Service Plan (IFSP)

**Individualized Education Program (IEP)**

- The IFSP and IEP are plans that identify services and supports so that family members and early education programs are actively engaged in promoting the child’s learning and development.

- The IFSP/IEP team determines the skills/abilities and appropriate supports and services either in the natural environment or the least restrictive environment to accomplish the established goals and outcomes.

- These decisions are not made by matching the child’s areas of delay with a particular Early Intervention discipline. Rather, supports and strategies are individualized and build on the strengths and skills the child demonstrates in all areas of development.

- The IFSP and IEP are plans that consider: the strengths of the child; concerns of the parent/guardian; most recent evaluation results; academic, developmental and functional needs of the child; communication needs of the child; and will incorporate revisions to the plan to address lack of progress.

<table>
<thead>
<tr>
<th>Meetings for the IFSP/IEP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Date meeting(s) held</strong></td>
</tr>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>
REQUEST FOR STAR DESIGNATION  
For Department of Public (DPW) Regulated  
Center, Group, and Family Child Care Homes  

**Instructions:** By completing and signing this form, the facility representative is attesting that this facility is ready for a STAR Designation and that all items in the STARS Worksheet have been completed. Make sure to attach the facility's DPW Certificate of Compliance or Registration. Upon receipt of this Request for STAR Designation, the Regional Key will contact the DPW Regional Certification Office to confirm this facility's certification status. Make a copy for the facility's records before sending this packet to your Regional Key.  

**Note:** This is a sample; actual form will have MPI#____________________________ on each page.

### FACILITY INFORMATION

| Name of Facility (As it appears on DPW Certificate of Compliance/Registration): |  |
| Address (As it appears on DPW Certificate of Compliance/Registration): |  |
| City/State: | Zip Code: | County: | MPI# |
| Phone Number (where you care for the children): | Ext. | Fax: |
| Contact Person: | Title: | Email: |

| Facility Type (Check one): | Center | Family Day Care Home | Group Home | Is this a School Age only site? | Yes | No |

### LEGAL ENTITY INFORMATION

| Legal Entity Name: |  |
| Address: | Phone Number: |
| City/State: | Zip Code: | Contact Person: |

☐ Place checkmark (✓) if the Regional Key should use the above address as the Correspondence Address for this facility  
| Phone Number: | Ext. | Fax: | Email: |

If neither address should be used for correspondence, please write the preferred correspondence address on the bottom of this form.  

☐ Yes ☐ No  
This facility holds a Pennsylvania Private Academic School License.
<table>
<thead>
<tr>
<th>Additional Facility Location</th>
<th>Address</th>
<th>Private Academic School License</th>
<th>Email Address - REQUIRED</th>
<th>Phone number</th>
<th>Contact Person’s Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name and MPI#</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- ☐ Yes ☐ No
- ☐ Yes ☐ No
- ☐ Yes ☐ No

Center, Group and Family Child Care Home Enrollment: Complete the STARS Enrollment Calculation tool attached to the STARS Worksheet. This form must be completed as part of the STAR Designation process and submitted to the Regional Key. The STAR Enrollment Calculation tool is also available as a Microsoft® Excel spreadsheet from http://www.pakeys.org/stars/OptionalTools.aspx or the Regional Key.

- Which month did you use to determine your enrollment?
- How many total children did you serve?
- How many children received Child Care Works subsidy through the local Child Care Information Services (CCIS)?
- How many children had an Individualized Education or Family Service Plan (IEP/IFSP)?

REQUEST FOR STAR DESIGNATION

This facility is requesting a STAR Designation. The facility representatives believe that this facility meets the criteria for the following STAR Designation and we have our documentation prepared to demonstrate fulfillment. Check (✓) the STAR that this facility is requesting.

- ☐ STAR 1 – The Regional Key may choose to designate this STAR without a site visit. Return the completed STARS Worksheet and attachments (make a copy for the facility’s records).
- ☐ STAR 2
- ☐ STAR 3
- ☐ STAR 4
- ☐ STAR 4 based on Accreditation – Types of accreditation accepted include National Association for the Education of Young Children (NAEYC), National Early Childhood Program Accreditation (NECPA), or National After School Association (NAA). Please attach a copy of current Accreditation Certificate.
ATTESTATION

Instructions: In order to receive your STAR Designation Certificate, please complete the following attestation. The person who signs this document is the individual legally authorized to represent the child care provider. By completing and signing this form, you attest that you agree with and understand the terms of the STAR Designation. To confirm agreement, place initials next to each statement. If you do not initial all statements, the Regional Key, agent of the Department of Public Welfare, cannot designate a STAR to your child care provider.

Name of Child Care Provider (As it appears on DPW Certificate of Compliance):

DPW Certificate of Compliance #: ___________________________ County: ___________________________

____ I affirm that this child care provider complies with Department of Public Welfare (DPW) regulations and holds a DPW Certificate of Compliance.

____ I agree to abide by the Keystone STARS Performance Standards for this child care provider’s current STAR Designation and I understand the status of this child care provider’s current STAR Designation may be reviewed, reduced, suspended, or removed if this child care provider is not meeting the Keystone STARS Performance Standards and/or other conditions listed in the attached STAR Status Review, Reduction, Suspension and Removal Process.

____ I understand that the Regional Key reserves the right to review this child care provider’s STARS status and share information with the DPW Regional Certification Office.

____ I understand that this child care provider’s STAR Designation may be suspended or removed if DPW initiates an Injunction or Emergency Removal, or issues a Provisional Certificate of Compliance.

____ I agree that, if the DPW Regional Certification Office initiates an action to revoke or refuse to renew this child care provider’s DPW Certificate of Compliance, this child care provider’s STAR Designation will be suspended or removed. I understand that the STAR Designation will be suspended whether or not this child care provider appeals the DPW Regional Certification Office’s action.

____ I agree that, if this child care provider’s STAR Designation is suspended or removed, the child care provider may not advertise as a STARS child care provider, it will not receive grant/award funds, and the child care provider’s STAR Designation will be removed from Child Care Information Services (CCIS). The STAR Designation may be reinstated upon the child care provider’s correction of the noncompliance with DPW regulations or upon meeting the Keystone STARS Performance Standards.

____ I understand that false statements made herein are subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities).

____ I agree to cooperate with the Regional Key, Keystone STARS Evaluators, and other DPW agents in providing access to examine the child care provider, records, and documents that pertain to the STAR Designation. I further consent to review and release information for the STAR Designation to DPW and its agents.

____ I understand that DPW has contracted with several established entities to be their agents in administering and implementing the Keystone STARS program. The information I provide to DPW and its agents as a participant in the Keystone STARS program is shared among these agents for research and evaluation purposes, monitoring compliance, and development of the Keystone STARS program. My child care provider information is entered into a database that is accessible only to DPW and its agents. I affirm that I will cooperate with DPW and its agents.

____ I attest that all classrooms where children are enrolled meet DPW regulations at all times, regardless of affiliation with other organizations, such as PA Department of Education and Head Start.

__________________________________________ Date

Signature of the Individual Legally Authorized to Represent the Child Care Provider

Print Name ___________________________ Title ___________________________
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

By signing a Keystone STARS Designation Request or Designation Renewal Request, the undersigned understands and accepts the provisions of the Keystone STARS Status Review, Reduction, Suspension, & Removal Process as outlined below. The intent of this process is to provide a consistent mechanism for addressing noncompliance issues in early learning programs participating in Keystone STARS. However, the Department of Public Welfare (DPW), the Office of Child Development and Early Learning (OCDEL) and/or the Regional Key reserve the right to take action for other types of program non-compliance not specifically listed henceforth. **A change in a program’s STAR level designation status will impact quality subsidy add-on rates (for DPW regulated programs) and/or Keystone STARS Grants and Awards for programs that are eligible for these funding opportunities.** The Resource and Restrictions chart at the end of this section details the impacts to a program’s access to various Keystone STARS resources as a result of the process. The program will be informed by the Regional Key in writing of any action taken to a program’s STAR level designation.

**STARS STATUS REVIEW**

The intent of the STARS Status Review is to provide a maximum of 30 days for the Regional Key to make a determination regarding the appropriate action to take upon a program’s Keystone STARS designation status. The Regional Key will verify area(s) of a program’s noncompliance and will work with Certification (Bureau or Regional Office for DPW Regulated programs) or other program governing bodies (such as the federal Office of Head Start) as needed to help the program correct the noncompliance.

STARS Status Review may also be used in response to complaints from parents and/or other community stakeholders.

During this time the Regional Key will work with the program in the development of a STARS action plan (not to exceed 90 days) if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards, but can meet STARS Performance Standards within a 90-day timeframe.
- For DPW Regulated providers, the program has area(s) of noncompliance with DPW Regulations that do not lead to a Provisional Certificate of Compliance (i.e. areas of noncompliance on a Licensing Inspection Summary).
- A STAR 4–Accreditation program loses its accreditation status, but can meet STARS Performance Standards within a 90-day timeframe.

After the program meets the requirements of the STARS action plan, the Regional Key reissues a STAR Certificate with the original expiration date.

If the program does not meet the requirements of the STARS action plan, the Regional Key proceeds with one of the following:

→ **STAR Reduction** – The program agrees to a reduced STAR level for which the program meets all STARS Performance Standards.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

STAR Suspension – The program refuses a STAR Reduction but does not meet the STARS Performance Standards for its current STAR designation

STAR REDUCTION
The STAR Reduction will occur if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards and the area(s) of noncompliance cannot be corrected within a 90-day timeframe.
- A STAR 4–Accredited program loses its accreditation status.

A program will receive a STAR Reduction to the appropriate STAR level in which the program meets all of the standards. If the program refuses a STAR Reduction, the program will receive a STAR Suspension.

STAR SUSPENSION
The STAR Suspension will occur as a result of any of the following conditions or for other types of program non-compliance not specifically listed henceforth:

For DPW regulated programs in Keystone STARS
- DPW Certification initiates an Injunction, Negative Sanction or issues a Provisional Certificate of Compliance for areas of regulatory noncompliance.
- The program consistently has multiple incidents of noncompliance with DPW Regulations.
- The program fails to implement, complete, and/or maintain a STARS action plan.
- The program is under investigation by Certification for egregious circumstances. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- DPW Subsidy Bureau takes action related to the provider’s subsidy agreements.

For all programs including DPW Regulated Providers in Keystone STARS
- The program cannot be determined a Responsible Contractor as outlined in the commonwealth’s Management Directive 215.9 which could include but not limited to the following:
  - Suspension or debarment by the Commonwealth within the past 5 years.
  - Suspension or debarment by the federal government or any other state or governmental entity within the past 5 years.
  - Liabilities owed to the Commonwealth and/or federal government, including tax liabilities.
    - Notifying the Regional Key of liens/liabilities is a requirement of receiving Keystone STARS funds. If the program does not inform the Regional Key of such liens/liabilities, OCDEL will extend the suspension, past the date a clearance
Designation and Reliability Manual
Version 1.0

ADDENDUM 1

Keystone STARS Status Review, Reduction, Suspension, & Removal Process

certificate is received by the Regional Key from the program, for the period of time the program did not notify the Regional Key of the liability. The extension will affect the quality add on/tiered reimbursement given to DPW regulated providers. Dependent upon the availability of grant/award funds and for programs eligible for Keystone STARS funds, the program could be eligible for grants/awards upon reinstatement back into STARS.

- Unsatisfactory or deficient performance in past or current Commonwealth contracts as determined by the Commonwealth in its sole discretion.
- Capacity and ability to perform within the established time schedule and in accordance with the plans and specifications of the contract.
- False, misleading, or incomplete information submitted to the Commonwealth.
- Default on a Commonwealth contract as determined by the Commonwealth in its sole discretion.
- The commission of any state or federal offense or criminal charges.
- Investigation pending by a federal or state agency or under investigation by a federal or state agency within the past 5 years.
- Facility health and safety related issues.
- General business integrity.
- The program is under investigation for egregious circumstances by the program’s specific governing body/authority. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- The program fails to submit to the Regional Key, OCDEL or other requesting state/federal agency an approvable final expense report and/or corresponding original receipts/documentations validating compliance with state and federal requirements for the use of state and federal funds. Failure to account for or appropriately use all funds received through Keystone STARS financial grants and awards may also result in a referral to the commonwealth’s Office of Inspector General.

During this phase, the program must work with the Regional Key on the development, implementation and completion of a STARS Suspension Action Plan.

The STAR Suspension Action Plan, will not to exceed 90 days, to correct the area(s) of noncompliance. For DPW regulated providers, where the case of noncompliance is with DPW Regulations, the Regional Key consults as needed with Certification regarding the corrective action plan submitted by the provider. The provider’s DPW corrective action plan, including applicable timeframes, may substitute for the STAR Suspension action plan. After the timeframe of the STAR Suspension action plan has ended, one of the following will occur:

→ **STAR Reinstatement** - If the program meets the requirements of the STAR Suspension action plan, the Regional Key reinstates the program’s STAR by issuing a STAR Certificate with the original expiration date, if applicable. If the original expiration date expired while the program was suspended, the Regional Key will move the program to active, No STAR Level and re-designate the program to the appropriate STAR Level.

→ **STAR Removal** - If the program fails to implement, complete, and/or maintain a STAR Suspension action plan, the Regional Key will remove the program from Keystone STARS based on the STAR Removal procedures.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

STAR REMOVAL

STAR Removal will occur for any of the following conditions:

- The program closes.
- For DPW regulated providers, Certification initiates an Emergency Removal or action to Refuse to Renew or Revoke the provider’s Certificate of Compliance.
- The program fails to submit a “Request for Designation Renewal” to renew its current STAR designation.
- The program does not meet the requirements of the STAR Suspension action plan.

NOTIFICATIONS AND APPEALS

The program will be informed by the Regional Key in writing of any action taken to the program’s STAR level designation. If the program disputes the action outlined in the notification letter, it has 10 days from the mailing date of the letter to respond with a letter of disagreement to the Regional Key.

Appeals will be handled in accordance to 1 Pa. Code (§ 35.9., § 35.10., § 35.20., § 35.35., § 35.111., and § 35.112.).

The program may appeal the Regional Key’s final decision to OCDEL by submitting in writing a letter to:

Office of Child Development and Early Learning
Pennsylvania Departments of Education and Welfare
333 Market Street, 6th Floor
Harrisburg, PA 17126

Attention: Bureau of Early Learning Services

If further action is necessary, the appeal will move to the Commonwealth’s Bureau of Hearings and Appeals.
REQUEST FOR STAR DESIGNATION

For Non-Department of Public Welfare (DPW) Regulated
Head Start, PA Pre-K Counts, School District Pre K,
PDE licensed Private Academic Nursery School and Early Intervention Pre K

Instructions: By completing and signing this form, the program representative is attesting that this location is ready for a STAR Designation and that all items in the STARS Worksheet have been completed.

Note: This is a sample; actual form will have MPI#_____________________________ on each page.

### PROGRAM INFORMATION

<table>
<thead>
<tr>
<th>Name of Program:</th>
<th>Address:</th>
</tr>
</thead>
<tbody>
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</table>

City/State:___________________________ Zip Code:___________________________ County:___________________________ MPI#:___________________________

Phone Number (where you care for the children): (_____)(_______)_______ Ext._______ Fax: (_____)(_______)

Contact Person:___________________________ Title:___________________________ Email:___________________________

### LEGAL ENTITY INFORMATION

<table>
<thead>
<tr>
<th>Legal Entity Name:</th>
<th>Address:</th>
<th>Phone Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

City/State:___________________________ Zip Code:___________________________ Contact Person:___________________________

☐ Place checkmark (✓) if the Regional Key should use the above address as the Correspondence Address for this program

Phone Number: (_____)(_______)_______ Ext._______ Fax: (_____)(_______)_______ Email:___________________________

If neither address should be used for correspondence, please write the preferred correspondence address on the bottom of this form.

☐ Yes  ☐ No   This location holds a Pennsylvania Private Academic School License.
Designation and Reliability Manual
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<table>
<thead>
<tr>
<th>Additional Program Location Name</th>
<th>Address</th>
<th>Private Academic School License</th>
<th>Email Address-REQUIRED</th>
<th>Phone number</th>
<th>Contact Person’s Name</th>
</tr>
</thead>
<tbody>
<tr>
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<td>☐ Yes ☐ No</td>
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<td>☐ Yes ☐ No</td>
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</tbody>
</table>

**Program Enrollment:** Complete the STARS Enrollment Calculation tool attached to the STARS Worksheet. This form must be completed as part of the STAR Designation process and submitted to the Regional Key. The STAR Enrollment Calculation tool is also available as a Microsoft® Excel spreadsheet from http://www.pakeys.org/stars/OptionalTools.aspx or the Regional Key.

Which month did you use to determine your enrollment?

How many total children did you serve?

How many children received Child Care Works subsidy through the local Child Care Information Services (CCIS)?

How many children had an Individualized Education or Family Service Plan (IEP/IFSP)?

**REQUEST FOR STAR DESIGNATION**

This Program is requesting a STAR Designation. The program representatives believe that this location meets the criteria for the following STAR Designation and we have our documentation prepared to demonstrate fulfillment. Check (✓) the STAR that this program is requesting.

☐ STAR 1 – The Regional Key may choose to designate this STAR without a site visit. Return the completed *STARS Worksheet* and attachments (*make a copy for the program’s records*).

☐ STAR 2

☐ STAR 3

☐ STAR 4

☐ STAR 4 based on Accreditation – Types of accreditation accepted include National Association for the Education of Young Children (NAEYC), National Early Childhood Program Accreditation (NECPA), or National AfterSchool Association (NAA). **Please attach a copy of current Accreditation Certificate.**
Designation and Reliability Manual
Version 1.0
ATTESTATION

Instructions: In order to receive your STAR Designation Certificate, please complete the following attestation. The person who signs this document is the individual legally authorized to represent the program. By completing and signing this form, you attest that you agree with and understand the terms of the STAR Designation. To confirm agreement, place initials next to each statement. If you do not initial all statements, the Regional Key, as an agent of the Commonwealth’s Office of Child Development and Early Learning (OCDEL), cannot designate a STAR to your program.

Name of Early Learning Program: ___________________________ County: ___________________________

___ I affirm that this Program complies with requirements/regulations of one of the following, Circle one:
Head Start  PA Pre K Counts  School District Pre K  PDE licensed  Private Academic Nursery School  Early Intervention Pre K

___ I agree to abide by the Keystone STARS Performance Standards for this program’s current STAR Designation and I understand the status of this program’s current STAR Designation may be reviewed, reduced, suspended, or removed if this program is not meeting the Keystone STARS Performance Standards and/or other conditions listed in the attached STAR Status Review, Reduction, Suspension, and Removal Process.

___ I understand that the Regional Key reserves the right to review this program’s STARS status and share information with OCDEL and other governing authorities pertinent to the circumstances brought to bear.

___ I understand that this program's STAR Designation may be suspended or removed if the program’s governing state or federal agencies initiate official action against the program and/or legal entity as a result of noncompliance or other programmatic infraction.

___ I agree that, if this program’s STAR Designation is suspended or removed, the program may not advertise as a STARS program, it will not receive grant/award funds (if eligible), and the program’s STAR Designation will be removed from DPW’s COMPASS website and the PA Keys’ website. The STAR Designation may be reinstated upon the program’s correction of the noncompliance or upon meeting the Keystone STARS Performance Standards.

___ I understand that false statements made herein are subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities).

___ I agree to cooperate with the Regional Key, Keystone STARS Evaluators, and other DPW agents in providing access to examine the program, records, and documents that pertain to the STAR Designation. I further consent to review and release information for the STAR Designation to DPW and its agents.

___ I understand that DPW has contracted with several established entities to be their agents in administering and implementing the Keystone STARS program. The information I provide to DPW and its agents as a participant in the Keystone STARS program is shared among these agents for research and evaluation purposes, monitoring compliance, and development of the Keystone STARS program. My program information is entered into a database that is accessible only to DPW and its agents. I affirm that I will cooperate with DPW and its agents.

___ I attest that all classrooms where children are enrolled meet program regulations and STARS Standards at all times, regardless of affiliation with other organizations, such as PA Department of Education and Head Start.

Signature of the Individual Legally Authorized to Represent this Early Learning Program ___________________________ Date ______________

Print Name ___________________________ Title ___________________________
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

By signing a Keystone STARS Designation Request or Designation Renewal Request, the undersigned understands and accepts the provisions of the Keystone STARS Status Review, Reduction, Suspension, & Removal Process as outlined below. The intent of this process is to provide a consistent mechanism for addressing noncompliance issues in early learning programs participating in Keystone STARS. However, the Department of Public Welfare (DPW), the Office of Child Development and Early Learning (OCDEL) and/or the Regional Key reserve the right to take action for other types of program non-compliance not specifically listed henceforth. A change in a program’s STAR level designation status will impact quality subsidy add-on rates (for DPW regulated programs) and/or Keystone STARS Grants and Awards for programs that are eligible for these funding opportunities. The Resource and Restrictions chart at the end of this section details the impacts to a program’s access to various Keystone STARS resources as a result of the process. The program will be informed by the Regional Key in writing of any action taken to a program’s STAR level designation.

STARS STATUS REVIEW

The intent of the STARS Status Review is to provide a maximum of 30 days for the Regional Key to make a determination regarding the appropriate action to take upon a program’s Keystone STARS designation status. The Regional Key will verify area(s) of a program’s noncompliance and will work with Certification (Bureau or Regional Office for DPW Regulated programs) or other program governing bodies (such as the federal Office of Head Start) as needed to help the program correct the noncompliance.

STARS Status Review may also be used in response to complaints from parents and/or other community stakeholders.

During this time the Regional Key will work with the program in the development of a STARS action plan (not to exceed 90 days) if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards, but can meet STARS Performance Standards within a 90-day timeframe.
- For DPW Regulated providers, the program has area(s) of noncompliance with DPW Regulations that do not lead to a Provisional Certificate of Compliance (i.e. areas of noncompliance on a Licensing Inspection Summary).
- A STAR 4–Accreditation program loses its accreditation status, but can meet STARS Performance Standards within a 90-day timeframe.

After the program meets the requirements of the STARS action plan, the Regional Key reissues a STAR Certificate with the original expiration date.

If the program does not meet the requirements of the STARS action plan, the Regional Key proceeds with one of the following:

→ STAR Reduction – The program agrees to a reduced STAR level for which the program meets all STARS Performance Standards.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

→ **STAR Suspension** – The program refuses a STAR Reduction but does not meet the STARS Performance Standards for its current STAR designation

**STAR REDUCTION**

The STAR Reduction will occur if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards and the area(s) of noncompliance cannot be corrected within a 90-day timeframe.
- A STAR 4–Accredited program loses its accreditation status.

A program will receive a STAR Reduction to the appropriate STAR level in which the program meets all of the standards. If the program refuses a STAR Reduction, the program will receive a STAR Suspension.

**STAR SUSPENSION**

The STAR Suspension will occur as a result of any of the following conditions or for other types of program non-compliance not specifically listed henceforth:

**For DPW regulated programs in Keystone STARS**
- DPW Certification initiates an Injunction, Negative Sanction or issues a Provisional Certificate of Compliance for areas of regulatory noncompliance.
- The program consistently has multiple incidents of noncompliance with DPW Regulations.
- The program fails to implement, complete, and/or maintain a STARS action plan.
- The program is under investigation by Certification for egregious circumstances. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- DPW Subsidy Bureau takes action related to the provider’s subsidy agreements.

**For all programs including DPW Regulated Providers in Keystone STARS**
- The program cannot be determined a Responsible Contractor as outlined in the commonwealth’s Management Directive 215.9 which could include but not limited to the following:
  - Suspension or debarment by the Commonwealth within the past 5 years.
  - Suspension or debarment by the federal government or any other state or governmental entity within the past 5 years.
  - Liabilities owed to the Commonwealth and/or federal government, including tax liabilities.
  - Notifying the Regional Key of liens/liabilities is a requirement of receiving Keystone STARS funds. If the program does not inform the Regional Key of such liens/liabilities, OCDEL will extend the suspension, past the date a clearance
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

certificate is received by the Regional Key from the program, for the period of time the program did not notify the Regional Key of the liability. The extension will affect the quality add on/tiered reimbursement given to DPW regulated providers. Dependent upon the availability of grant/award funds and for programs eligible for Keystone STARS funds, the program could be eligible for grants/awards upon reinstatement back into STARS.

- Unsatisfactory or deficient performance in past or current Commonwealth contracts as determined by the Commonwealth in its sole discretion.
- Capacity and ability to perform within the established time schedule and in accordance with the plans and specifications of the contract.
- False, misleading, or incomplete information submitted to the Commonwealth.
- Default on a Commonwealth contract as determined by the Commonwealth in its sole discretion.
- The commission of any state or federal offense or criminal charges.
- Investigation pending by a federal or state agency or under investigation by a federal or state agency within the past 5 years.
- Facility health and safety related issues.
- General business integrity.
- The program is under investigation for egregious circumstances by the program’s specific governing body/authority. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- The program fails to submit to the Regional Key, OCDEL or other requesting state/federal agency an approvable final expense report and/or corresponding original receipts/documentations validating compliance with state and federal requirements for the use of state and federal funds. Failure to account for or appropriately use all funds received through Keystone STARS financial grants and awards may also result in a referral to the commonwealth’s Office of Inspector General.

During this phase, the program must work with the Regional Key on the development, implementation and completion of a STARS Suspension Action Plan.

The STAR Suspension Action Plan, will not to exceed 90 days, to correct the area(s) of noncompliance. For DPW regulated providers, where the case of noncompliance is with DPW Regulations, the Regional Key consults as needed with Certification regarding the corrective action plan submitted by the provider. The provider’s DPW corrective action plan, including applicable timeframes, may substitute for the STAR Suspension action plan. After the timeframe of the STAR Suspension action plan has ended, one of the following will occur:

- **STAR Reinstatement** - If the program meets the requirements of the STAR Suspension action plan, the Regional Key reinstates the program’s STAR by issuing a STAR Certificate with the original expiration date, if applicable. If the original expiration date expired while the program was suspended, the Regional Key will move the program to active, No STAR Level and re-designate the program to the appropriate STAR Level.

- **STAR Removal** - If the program fails to implement, complete, and/or maintain a STAR Suspension action plan, the Regional Key will remove the program from Keystone STARS based on the STAR Removal procedures.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

STAR REMOVAL

STAR Removal will occur for any of the following conditions:

- The program closes.
- For DPW regulated providers, Certification initiates an Emergency Removal or action to Refuse to Renew or Revoke the provider’s Certificate of Compliance.
- The program fails to submit a “Request for Designation Renewal” to renew its current STAR designation.
- The program does not meet the requirements of the STAR Suspension action plan.

NOTIFICATIONS AND APPEALS

The program will be informed by the Regional Key in writing of any action taken to the program’s STAR level designation. If the program disputes the action outlined in the notification letter, it has 10 days from the mailing date of the letter to respond with a letter of disagreement to the Regional Key.

Appeals will be handled in accordance to 1 Pa. Code (§ 35.9., § 35.10., § 35.20., § 35.35., § 35.111., and § 35.112.).

The program may appeal the Regional Key’s final decision to OCDEL by submitting in writing a letter to:

Office of Child Development and Early Learning
Pennsylvania Departments of Education and Welfare
333 Market Street, 6th Floor
Harrisburg, PA 17126

Attention: Bureau of Early Learning Services

If further action is necessary, the appeal will move to the Commonwealth’s Bureau of Hearings and Appeals.
REQUEST FOR STAR DESIGNATION RENEWAL
For DPW Regulated Centers, Group and Family Child Care Homes

Instructions: Complete the following sections. Make sure to read the instructions and return all necessary documentation to the Regional Key. Make a copy for the provider’s records before sending this packet to the Regional Key.

Note: This is a sample; actual form will have MPI#______________________________ on each page.

PROVIDER INFORMATION

Name of Provider (As it appears on DPW Certificate of Compliance): 

Address (As it appears on DPW Certificate of Compliance): 

City/State: ___________________________ Zip Code: _____________ County: _____________ MPI# _____________

Phone Number (where you care for the children): (_____) ___________________ Ext. ______ Fax: (_____) ___________________

Contact Person: ___________________________ Title: ___________________________ Email: ___________________________

Provider Type (Check one): ☐ Center ☐ Group ☐ Family

Is this a School Age only site? ☐ Yes ☐ No

DPW Certificate of Compliance Number: ___________________________ FEIN (if applicable): ___________________________

LEGAL ENTITY INFORMATION

Legal Entity Name: ___________________________

Address: ___________________________ Phone Number: ___________________________

City/State: ___________________________ Zip Code: _____________ Contact Person: ___________________________

Phone Number: (_____) ___________ Ext. ______ Fax: (_____) ___________ Email: ___________________________

☐ Yes ☐ No This provider holds a Pennsylvania Private Academic School License.

Provider Enrollment: Complete the STARS Enrollment Calculation tool attached to the STARS Worksheet. This form must be completed as part of the STAR Designation Renewal process and submitted to the Regional Key. The STAR Enrollment Calculation tool is also available as a Microsoft® Excel spreadsheet from http://www.pakeys.org/docs.aspx or the Regional Key.
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Instructions: First, review the steps listed below to determine specific requirements for the provider’s STAR Designation Renewal. Next, answer all questions and return all required documentation to the Regional Key. Questions regarding the STAR Designation Renewal should be directed to the Regional Key.

1. **Renewal Window** – The provider may begin its STAR Designation Renewal up to 90 days prior to the expiration date on its STAR Certificate. It is important for the provider to initiate the renewal process early to avoid a lapse in its STAR Designation.

2. **DPW Certification** – The provider must submit a copy of its current DPW Certificate of Compliance to the Regional Key. If the provider has a Provisional Certificate of Compliance, the Regional Key may renew the STAR Designation when the provider’s provisional status is removed. The provider’s STAR Designation will not be renewed if the provider received a second Provisional Certificate of Compliance. Contact the Regional Key for additional guidance.

3. **Request for STAR Designation Renewal** – The provider must fully complete all sections of the Request for STAR Designation Renewal and return it to the Regional Key.

4. **Supporting Documentation** – The provider must complete the “STARS Performance Standard & Documentation” and “Pre-Designation Notes” columns on the STARS Worksheet corresponding to the provider’s current STAR Designation. The worksheet must be returned as part of the provider’s renewal packet.

5. **Renewal Decision** – In many cases, the Regional Key will automatically renew the provider’s STAR Designation upon receipt of the required documentation. In some cases, the Regional Key will contact the provider to conduct a Designation Visit in order to verify that the provider meets the STARS Performance Standards. In the event the provider does not meet all STARS Performance Standards associated with its STAR Designation, the provider will be redesignated at a lower STAR Designation, as appropriate.

6. **Special Notes for STAR 3, STAR 4, or STAR 4-Accredited** –
   a. In addition to the documentation requested above, STAR 3, STAR 4, or STAR 4-Accredited providers must also submit a copy of their most recent Continuous Quality Improvement Plan.
   b. STAR 3, STAR 4, or STAR 4-Accredited providers in year 2, 4, 6, etc. of their renewal cycle, or providers with high staff turnover/classroom change, will have a renewal ERS assessment conducted as part of the STAR Designation Renewal. This includes Centers, Group and Family Child Care Homes. Renewal ERS assessments will be scheduled during the 6 month period prior to the expiration date on the provider’s STAR Certificate.

Before proceeding with this Request, respond to the following statements. If you answer “yes” to any of these statements, contact the Regional Key for guidance on continuing with the STAR Designation Renewal for this provider.

☐ Yes  ☐ No  This provider has had a Provisional Certificate of Compliance within the past year.
☐ Yes  ☐ No  This provider has had regulatory citations within the past year.
☐ Yes  ☐ No  The provider type (family, group, and center) has changed within the past year.
☐ Yes  ☐ No  The provider director/owner has changed within the past year.
☐ Yes  ☐ No  The provider has had 50% or greater turnover in full-time staff since last ERS visit. **(STAR 3, STAR 4, or STAR 4-Accredited only)**
☐ Yes  ☐ No  More than 1/3 of classrooms have lost a lead teacher since last ERS visit. **(STAR 3, STAR 4, or STAR 4-Accredited only)**
☐ Yes  ☐ No  The number of classrooms or classroom types have changed since last ERS visit. **(STAR 3, 4, or 4A only)**

If all statements above received a “no” answer, continue completing this form. Check (✓) off and complete the section(s) corresponding to the provider’s current STAR Designation. Be sure to answer all questions and return all required documentation to the Regional Key.

---

3 The Continuous Quality Improvement Plan is required in the Leadership and Management section of the Keystone STARS Performance Standards.
Designation and Reliability Manual

Check (√) the STAR Designation Renewal:
☐ STAR 1       ☐ STAR 2       ☐ STAR 3       ☐ STAR 4       ☐ STAR 4 - Accredited

STAR 1 – 4 & STAR 4-Accredited: Complete and return the following documentation to the Regional Key to proceed with the STAR Designation Renewal.
- Request for STAR Designation Renewal
- Current DPW Certificate of Compliance
- STARS Worksheet – “STARS Performance Standard & Documentation” and “Pre-Designation Notes” columns must be fully completed
- STARS Enrollment Calculation tool
- Continuous Quality Improvement Plan (STAR 3, STAR 4, or STAR 4-Accredited only)

STAR 2, 3 or 4: Answer the following questions to inform the Regional Key how the provider is meeting STARS Performance Standards. Please attach additional pages as necessary.

<table>
<thead>
<tr>
<th>STAR 2, 3 &amp; 4</th>
<th>Completed the PA Director’s Credential (FCCH level III or above on Career Lattice)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Completion Date:</td>
</tr>
</tbody>
</table>

Implement a learning curriculum that incorporates the Learning Standards

What curriculum does the provider use? (can be published or homegrown)

How is the curriculum implemented throughout the provider?

How did the provider determine that the curriculum incorporates the Learning Standards?

All demographic information reported in the Early Learning Network

What documentation was used to support this standard?

Did provider submit copy of Summary Report?

Program crosswalks curriculum and assessment tools to the Learning Standards

Describe the process used to crosswalk the provider’s curriculum and assessment tools.

What were the results of the crosswalk?
Designation and Reliability Manual
Version 1.0

ATTESTATION

Instructions: In order to receive your STAR Designation Certificate, please complete the following attestation. The person who signs this document is the individual legally authorized to represent the child care provider. By completing and signing this form, you attest that you agree with and understand the terms of the STAR Designation. **To confirm agreement, place initials next to each statement.** If you do not initial all statements, the Regional Key, agent of the Department of Public Welfare, cannot designate a STAR to your child care provider.

**Name of Child Care Provider (As it appears on DPW Certificate of Compliance):**

**DPW Certificate of Compliance #:** ____________  **County:** ____________

___ I affirm that this child care provider complies with Department of Public Welfare (DPW) regulations and holds a DPW Certificate of Compliance.

___ I agree to abide by the Keystone STARS Performance Standards for this child care provider’s current STAR Designation and I understand the status of this child care provider’s current STAR Designation may be reviewed, reduced, suspended, or removed if this child care provider is not meeting the Keystone STARS Performance Standards and/or other conditions listed in the attached STAR Status Review, Reduction, Suspension and Removal Process.

___ I understand that the Regional Key reserves the right to review this child care provider’s STARS status and share information with the DPW Regional Certification Office.

___ I understand that this child care provider’s STAR Designation may be suspended or removed if DPW initiates an Injunction or Emergency Removal, or issues a Provisional Certificate of Compliance.

___ I agree that, if the DPW Regional Certification Office initiates an action to revoke or refuse to renew this child care provider’s DPW Certificate of Compliance, this child care provider’s STAR Designation will be suspended or removed. I understand that the STAR Designation will be suspended whether or not this child care provider appeals the DPW Regional Certification Office’s action.

___ I agree that, if this child care provider’s STAR Designation is suspended or removed, the child care provider may not advertise as a STARS child care provider, it will not receive grant/award funds, and the child care provider’s STAR Designation will be removed from Child Care Information Services (CCIS). The STAR Designation may be reinstated upon the child care provider’s correction of the noncompliance with DPW regulations or upon meeting the Keystone STARS Performance Standards.

___ I understand that false statements made herein are subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities).

___ I agree to cooperate with the Regional Key, Keystone STARS Evaluators, and other DPW agents in providing access to examine the child care provider, records, and documents that pertain to the STAR Designation. I further consent to review and release information for the STAR Designation to DPW and its agents.

___ I understand that DPW has contracted with several established entities to be their agents in administering and implementing the Keystone STARS program. The information I provide to DPW and its agents as a participant in the Keystone STARS program is shared among these agents for research and evaluation purposes, monitoring compliance, and development of the Keystone STARS program. My child care provider information is entered into a database that is accessible only to DPW and its agents. I affirm that I will cooperate with DPW and its agents.

___ I attest that all classrooms where children are enrolled meet DPW regulations at all times, regardless of affiliation with other organizations, such as PA Department of Education and Head Start.

________________________  __________________________
Signature of the Individual Legally Authorized to Represent the Child Care Provider  Date

________________________  __________________________
Print Name  Title
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

By signing a Keystone STARS Designation Request or Designation Renewal Request, the undersigned understands and accepts the provisions of the Keystone STARS Status Review, Reduction, Suspension, & Removal Process as outlined below. The intent of this process is to provide a consistent mechanism for addressing noncompliance issues in early learning programs participating in Keystone STARS. However, the Department of Public Welfare (DPW), the Office of Child Development and Early Learning (OCDEL) and/or the Regional Key reserve the right to take action for other types of program non-compliance not specifically listed henceforth.

A change in a program’s STAR level designation status will impact quality subsidy add-on rates (for DPW regulated programs) and/or Keystone STARS Grants and Awards for programs that are eligible for these funding opportunities. The Resource and Restrictions chart at the end of this section details the impacts to a program’s access to various Keystone STARS resources as a result of the process. The program will be informed by the Regional Key in writing of any action taken to a program’s STAR level designation.

STARS STATUS REVIEW

The intent of the STARS Status Review is to provide a maximum of 30 days for the Regional Key to make a determination regarding the appropriate action to take upon a program’s Keystone STARS designation status. The Regional Key will verify area(s) of a program’s noncompliance and will work with Certification (Bureau or Regional Office for DPW Regulated programs) or other program governing bodies (such as the federal Office of Head Start) as needed to help the program correct the noncompliance.

STARS Status Review may also be used in response to complaints from parents and/or other community stakeholders.

During this time the Regional Key will work with the program in the development of a STARS action plan (not to exceed 90 days) if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards, but **can** meet STARS Performance Standards within a 90-day timeframe.
- For DPW Regulated providers, the program has area(s) of noncompliance with DPW Regulations that **do not** lead to a Provisional Certificate of Compliance (i.e. areas of noncompliance on a Licensing Inspection Summary).
- A STAR 4–Accreditation program loses its accreditation status, but **can** meet STARS Performance Standards within a 90-day timeframe.

After the program meets the requirements of the STARS action plan, the Regional Key reissues a STAR Certificate with the original expiration date.

If the program does **not** meet the requirements of the STARS action plan, the Regional Key proceeds with one of the following:

- **STAR Reduction** – The program agrees to a reduced STAR level for which the program meets all STARS Performance Standards.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

**STAR Suspension** – The program refuses a STAR Reduction but does not meet the STARS Performance Standards for its current STAR designation

**STAR REDUCTION**

The STAR Reduction will occur if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards and the area(s) of noncompliance **cannot** be corrected within a 90-day timeframe.
- A STAR 4–Accredited program loses its accreditation status.

A program will receive a STAR Reduction to the appropriate STAR level in which the program meets all of the standards. If the program refuses a STAR Reduction, the program will receive a STAR Suspension.

**STAR SUSPENSION**

The STAR Suspension will occur as a result of any of the following conditions or for other types of program non-compliance not specifically listed henceforth:

**For DPW regulated programs in Keystone STARS**
- DPW Certification initiates an Injunction, Negative Sanction or issues a Provisional Certificate of Compliance for areas of regulatory noncompliance.
- The program consistently has multiple incidents of noncompliance with DPW Regulations.
- The program fails to implement, complete, and/or maintain a STARS action plan.
- The program is under investigation by Certification for egregious circumstances. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- DPW Subsidy Bureau takes action related to the provider’s subsidy agreements.

**For all programs including DPW Regulated Providers in Keystone STARS**
- The program cannot be determined a Responsible Contractor as outlined in the commonwealth’s Management Directive 215.9 which could include but not limited to the following:
  - Suspension or debarment by the Commonwealth within the past 5 years.
  - Suspension or debarment by the federal government or any other state or governmental entity within the past 5 years.
  - Liabilities owed to the Commonwealth and/or federal government, including tax liabilities.
    - Notifying the Regional Key of liens/liabilities is a requirement of receiving Keystone STARS funds. If the program does not inform the Regional Key of such liens/liabilities, OCDEL will extend the suspension, past the date a clearance
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

certificate is received by the Regional Key from the program, for the period of time the program did not notify the Regional Key of the liability. The extension will affect the quality add on/tiered reimbursement given to DPW regulated providers. Dependent upon the availability of grant/award funds and for programs eligible for Keystone STARS funds, the program could be eligible for grants/awards upon reinstatement back into STARS.

- Un satisfactory or deficient performance in past or current Commonwealth contracts as determined by the Commonwealth in its sole discretion.
- Capacity and ability to perform within the established time schedule and in accordance with the plans and specifications of the contract.
- False, misleading, or incomplete information submitted to the Commonwealth.
- Default on a Commonwealth contract as determined by the Commonwealth in its sole discretion.
- The commission of any state or federal offense or criminal charges.
- Investigation pending by a federal or state agency or under investigation by a federal or state agency within the past 5 years.
- Facility health and safety related issues.
- General business integrity.
- The program is under investigation for egregious circumstances by the program’s specific governing body/authority. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- The program fails to submit to the Regional Key, OCDEL or other requesting state/federal agency an approvable final expense report and/or corresponding original receipts/documentation validating compliance with state and federal requirements for the use of state and federal funds. Failure to account for or appropriately use all funds received through Keystone STARS financial grants and awards may also result in a referral to the commonwealth’s Office of Inspector General.

During this phase, the program must work with the Regional Key on the development, implementation and completion of a STARS Suspension Action Plan.

The STAR Suspension Action Plan, will not to exceed 90 days, to correct the area(s) of noncompliance. For DPW regulated providers, where the case of noncompliance is with DPW Regulations, the Regional Key consults as needed with Certification regarding the corrective action plan submitted by the provider. The provider’s DPW corrective action plan, including applicable timeframes, may substitute for the STAR Suspension action plan. After the timeframe of the STAR Suspension action plan has ended, one of the following will occur:

→ **STAR Reinstatement** - If the program meets the requirements of the STAR Suspension action plan, the Regional Key reinstates the program’s STAR by issuing a STAR Certificate with the original expiration date, if applicable. If the original expiration date expired while the program was suspended, the Regional Key will move the program to active, No STAR Level and re-designate the program to the appropriate STAR Level.

→ **STAR Removal** - If the program fails to implement, complete, and/or maintain a STAR Suspension action plan, the Regional Key will remove the program from Keystone STARS based on the STAR Removal procedures.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

STAR REMOVAL

STAR Removal will occur for any of the following conditions:

- The program closes.
- For DPW regulated providers, Certification initiates an Emergency Removal or action to Refuse to Renew or Revoke the provider’s Certificate of Compliance.
- The program fails to submit a “Request for Designation Renewal” to renew its current STAR designation.
- The program does not meet the requirements of the STAR Suspension action plan.

NOTIFICATIONS AND APPEALS

The program will be informed by the Regional Key in writing of any action taken to the program’s STAR level designation. If the program disputes the action outlined in the notification letter, it has 10 days from the mailing date of the letter to respond with a letter of disagreement to the Regional Key.

Appeals will be handled in accordance to 1 Pa. Code (§ 35.9., § 35.10., § 35.20., § 35.35., § 35.111., and § 35.112.).

The program may appeal the Regional Key’s final decision to OCDEL by submitting in writing a letter to:

Office of Child Development and Early Learning
Pennsylvania Departments of Education and Welfare
333 Market Street, 6th Floor
Harrisburg, PA 17126

Attention: Bureau of Early Learning Services

If further action is necessary, the appeal will move to the Commonwealth’s Bureau of Hearings and Appeals.
REQUEST FOR STAR DESIGNATION RENEWAL
For Non-DPW Regulated Early Learning Programs

**Instructions:** Complete the following sections. Make sure to read the instructions and return all necessary documentation to the Regional Key. Make a copy for the provider’s records before sending this packet to the Regional Key.

*Note*: This is a sample; actual form will have MPI#____________________________ on each page.

### PROGRAM INFORMATION

<table>
<thead>
<tr>
<th>Name of Early Learning Program:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td>City/State:</td>
<td>Zip Code:</td>
</tr>
<tr>
<td>Phone Number (where you care for the children):</td>
<td>Ext.</td>
</tr>
<tr>
<td>Contact Person:</td>
<td>Title:</td>
</tr>
<tr>
<td>Program Type (circle one):</td>
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<tr>
<td>Head Start</td>
<td>PA Pre K Counts</td>
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</table>

### LOCATION INFORMATION

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<thead>
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</thead>
<tbody>
<tr>
<td>Address:</td>
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<td>City/State:</td>
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<tr>
<td>Phone Number:</td>
<td>Ext.</td>
</tr>
<tr>
<td>Fax:</td>
<td>Email:</td>
</tr>
</tbody>
</table>

☐ Yes ☐ No  This provider holds a Pennsylvania Private Academic School License.

**Provider Enrollment:** Complete the STARS Enrollment Calculation tool attached to the STARS Worksheet. This form must be completed as part of the STAR Designation Renewal process and submitted to the Regional Key. The STAR Enrollment Calculation tool is also available as a Microsoft® Excel spreadsheet from [http://www.pakeys.org/docs.aspx](http://www.pakeys.org/docs.aspx) or the Regional Key.
Instructions: First, review the steps listed below to determine specific requirements for the provider’s STAR Designation Renewal. Next, answer all questions and return all required documentation to the Regional Key. Questions regarding the STAR Designation Renewal should be directed to the Regional Key.

7. Renewal Window – The provider may begin its STAR Designation Renewal up to 90 days prior to the expiration date on its STAR Certificate. It is important for the provider to initiate the renewal process early to avoid a lapse in its STAR Designation.

8. Request for STAR Designation Renewal – The provider must fully complete all sections of the Request for STAR Designation Renewal and return it to the Regional Key.

9. Supporting Documentation – The provider must complete the “STARS Performance Standard & Documentation” and “Pre-Designation Notes” columns on the STARS Worksheet corresponding to the provider’s current STAR Designation. The worksheet must be returned as part of the provider’s renewal packet.

10. Renewal Decision – In many cases, the Regional Key will automatically renew the provider’s STAR Designation upon receipt of the required documentation. In some cases, the Regional Key will contact the provider to conduct a Designation Visit in order to verify that the provider meets the STARS Performance Standards. In the event the provider does not meet all STARS Performance Standards associated with its STAR Designation, the provider will be redesignated at a lower STAR Designation, as appropriate.

11. Special Notes for STAR 3, STAR 4, or STAR 4-Accredited –
   a. In addition to the documentation requested above, STAR 3, STAR 4, or STAR 4-Accredited providers must also submit a copy of their most recent Continuous Quality Improvement Plan\(^4\) or Head Start Monitoring Report.
   b. STAR 3, STAR 4, or STAR 4-Accredited providers in year 2, 4, 6, etc. of their renewal cycle, or providers with high staff turnover/classroom change, will have a renewal ERS assessment conducted as part of the STAR Designation Renewal. Renewal ERS assessments will be scheduled during the 6 month period prior to the expiration date on the provider's STAR Certificate.

Before proceeding with this Request, respond to the following statements. If you answer “yes” to any of these statements, contact the Regional Key for guidance on continuing with the STAR Designation Renewal for this provider.

- ☐ Yes ☐ No This provider has had a Monitoring Review with Non-Compliance within the past year.
- ☐ Yes ☐ No The provider has had 50% or greater turnover in full-time staff since last ERS visit. (STAR 3, STAR 4, or STAR 4-Accredited only)
- ☐ Yes ☐ No More than 1/3 of classrooms have lost a lead teacher since last ERS visit. (STAR 3, STAR 4, or STAR 4-Accredited only)
- ☐ Yes ☐ No The number of classrooms or classroom types have changed since last ERS visit. (STAR 3, STAR 4, or STAR 4-Accredited only)

If all statements above received a “no” answer, continue completing this form. Check (√) off and complete the section(s) corresponding to the provider’s current STAR Designation. Be sure to answer all questions and return all required documentation to the Regional Key.

\(^4\) The Continuous Quality Improvement Plan is required in the Leadership and Management section of the Keystone STARS Performance Standards.
Check (√) the STAR Designation Renewal: ☐ STAR 1 ☐ STAR 2 ☐ STAR 3 ☐ STAR 4 ☐ STAR 4 - Accredited

**STAR 1 – 4 & STAR 4-Accredited:** Complete and return the following documentation to the Regional Key to proceed with the STAR Designation Renewal.
- Request for STAR Designation Renewal
- STARS Worksheet – “STARS Performance Standard & Documentation” and “Pre-Designation Notes” columns must be fully completed
- Current OHS Monitoring Report (for Head Start programs)
- Continuous Quality Improvement Plan (**STAR 3, STAR 4, or STAR 4-Accredited only**)

**STAR 2, 3 or 4:** Answer the following questions to inform the Regional Key how the provider is meeting STARS Performance Standards. Please attach additional pages as necessary.

<table>
<thead>
<tr>
<th>STAR 2, 3 &amp; 4</th>
<th>Implement a learning curriculum that incorporates the Learning Standards</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What curriculum does the provider use? (can be published or homegrown)</td>
</tr>
<tr>
<td></td>
<td>How is the curriculum implemented throughout the provider?</td>
</tr>
<tr>
<td></td>
<td>How did the provider determine that the curriculum incorporates the Learning Standards?</td>
</tr>
</tbody>
</table>

**All demographic information reported in the Early Learning Network or State Longitudinal Database System (for Head Start programs)**

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>What documentation was used to support this standard?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did provider submit copy of Summary Report?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Program crosswalks curriculum and assessment tools to the Learning Standards**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe the process used to crosswalk the provider’s curriculum and assessment tools.</td>
<td></td>
</tr>
<tr>
<td>What were the results of the crosswalk?</td>
<td></td>
</tr>
</tbody>
</table>
**Designation and Reliability Manual**

**Version 1.0**

**ATTESTATION**

**Instructions:** In order to receive your STAR Designation Certificate, please complete the following attestation. The person who signs this document is the individual legally authorized to represent the program. By completing and signing this form, you attest that you agree with and understand the terms of the STAR Designation. **To confirm agreement, place initials next to each statement.** If you do not initial all statements, the Regional Key, as an agent of the Commonwealth’s Office of Child Development and Early Learning (OCDEL), cannot designate a STAR to your program.

**Name of Early Learning Program:** ____________________________

**MPI# if assigned:** __________

**County:** __________

___ I affirm that this Program complies with requirements/regulations of one of the following, **Circle one:**

- Head Start
- PA Pre K Counts
- School District Pre K
- PDE licensed
- Private Academic Nursery School
- Early Intervention Pre K

___ I agree to abide by the Keystone STARS Performance Standards for this program’s current STAR Designation and I understand the status of this program’s current STAR Designation may be reviewed, reduced, suspended, or removed if this program is not meeting the Keystone STARS Performance Standards and/or other conditions listed in the attached STAR Status Review, Reduction, Suspension, and Removal Process.

___ I understand that the Regional Key reserves the right to review this program’s STARS status and share information with OCDEL and other governing authorities pertinent to the circumstances brought to bear.

___ I understand that this program’s STAR Designation may be suspended or removed if the program’s governing state or federal agencies initiate official action against the program and/or legal entity as a result of noncompliance or other programmatic infractions.

___ I agree that, if this program’s STAR Designation is suspended or removed, the program may not advertise as a STARS program, it will not receive grant/award funds (if eligible), and the program’s STAR Designation will be removed from DPW’s COMPASS website and the PA Keys’ website. The STAR Designation may be reinstated upon the program’s correction of the noncompliance or upon meeting the Keystone STARS Performance Standards.

___ I understand that false statements made herein are subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities).

___ I agree to cooperate with the Regional Key, Keystone STARS Evaluators, and other DPW agents in providing access to examine the program, records, and documents that pertain to the STAR Designation. I further consent to review and release information for the STAR Designation to DPW and its agents.

___ I understand that DPW has contracted with several established entities to be their agents in administering and implementing the Keystone STARS program. The information I provide to DPW and its agents as a participant in the Keystone STARS program is shared among these agents for research and evaluation purposes, monitoring compliance, and development of the Keystone STARS program. My program information is entered into a database that is accessible only to DPW and its agents. I affirm that I will cooperate with DPW and its agents.

___ I attest that all classrooms where children are enrolled meet program regulations and STARS Standards at all times, regardless of affiliation with other organizations, such as PA Department of Education and Head Start.

**Signature of the Individual Legally Authorized to Represent the Child Care Provider** ____________________________

**Print Name** ____________________________  

**Title** ____________________________

**Date** ____________________________
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

By signing a Keystone STARS Designation Request or Designation Renewal Request, the undersigned understands and accepts the provisions of the Keystone STARS Status Review, Reduction, Suspension, & Removal Process as outlined below. The intent of this process is to provide a consistent mechanism for addressing noncompliance issues in early learning programs participating in Keystone STARS. However, the Department of Public Welfare (DPW), the Office of Child Development and Early Learning (OCDEL) and/or the Regional Key reserve the right to take action for other types of program non-compliance not specifically listed henceforth. **A change in a program’s STAR level designation status will impact quality subsidy add-on rates (for DPW regulated programs) and/or Keystone STARS Grants and Awards for programs that are eligible for these funding opportunities.** The Resource and Restrictions chart at the end of this section details the impacts to a program’s access to various Keystone STARS resources as a result of the process. The program will be informed by the Regional Key in writing of any action taken to a program’s STAR level designation.

**STARS STATUS REVIEW**

The intent of the STARS Status Review is to provide a maximum of 30 days for the Regional Key to make a determination regarding the appropriate action to take upon a program’s Keystone STARS designation status. The Regional Key will verify area(s) of a program’s noncompliance and will work with Certification (Bureau or Regional Office for DPW Regulated programs) or other program governing bodies (such as the federal Office of Head Start) as needed to help the program correct the noncompliance.

STARS Status Review may also be used in response to complaints from parents and/or other community stakeholders.

During this time the Regional Key will work with the program in the development of a STARS action plan (not to exceed 90 days) if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards, but **can** meet STARS Performance Standards within a 90-day timeframe.
- For DPW Regulated providers, the program has area(s) of noncompliance with DPW Regulations that **do not** lead to a Provisional Certificate of Compliance (i.e. areas of noncompliance on a Licensing Inspection Summary).
- A STAR 4–Accreditation program loses its accreditation status, but **can** meet STARS Performance Standards within a 90-day timeframe.

After the program meets the requirements of the STARS action plan, the Regional Key reissues a STAR Certificate with the original expiration date.

If the program does **not** meet the requirements of the STARS action plan, the Regional Key proceeds with one of the following:

→ **STAR Reduction** – The program agrees to a reduced STAR level for which the program meets all STARS Performance Standards.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

STAR Suspension – The program refuses a STAR Reduction but does not meet the STARS Performance Standards for its current STAR designation

STAR REDUCTION

The STAR Reduction will occur if any of the following conditions are verified during the STARS Status Review:

- The program is not meeting STARS Performance Standards and the area(s) of noncompliance cannot be corrected within a 90-day timeframe.
- A STAR 4–Accredited program loses its accreditation status.

A program will receive a STAR Reduction to the appropriate STAR level in which the program meets all of the standards. If the program refuses a STAR Reduction, the program will receive a STAR Suspension.

STAR SUSPENSION

The STAR Suspension will occur as a result of any of the following conditions or for other types of program non-compliance not specifically listed henceforth:

For DPW regulated programs in Keystone STARS
- DPW Certification initiates an Injunction, Negative Sanction or issues a Provisional Certificate of Compliance for areas of regulatory noncompliance.
- The program consistently has multiple incidents of noncompliance with DPW Regulations.
- The program fails to implement, complete, and/or maintain a STARS action plan.
- The program is under investigation by Certification for egregious circumstances. Issues falling under this condition will be handled on a case-by-case basis with OCDEL’s oversight.
- DPW Subsidy Bureau takes action related to the provider’s subsidy agreements.

For all programs including DPW Regulated Providers in Keystone STARS
- The program cannot be determined a Responsible Contractor as outlined in the commonwealth’s Management Directive 215.9 which could include but not limited to the following:
  - Suspension or debarment by the Commonwealth within the past 5 years.
  - Suspension or debarment by the federal government or any other state or governmental entity within the past 5 years.
  - Liabilities owed to the Commonwealth and/or federal government, including tax liabilities.
    - Notifying the Regional Key of liens/liabilities is a requirement of receiving Keystone STARS funds. If the program does not inform the Regional Key of such liens/liabilities, OCDEL will extend the suspension, past the date a clearance
During this phase, the program must work with the Regional Key on the development, implementation and completion of a STARS Suspension Action Plan.

The STAR Suspension Action Plan, will not to exceed 90 days, to correct the area(s) of noncompliance. For DPW regulated providers, where the case of noncompliance is with DPW Regulations, the Regional Key consults as needed with Certification regarding the corrective action plan submitted by the provider. The provider’s DPW corrective action plan, including applicable timeframes, may substitute for the STAR Suspension action plan. After the timeframe of the STAR Suspension action plan has ended, one of the following will occur:

→ **STAR Reinstatement** - If the program meets the requirements of the STAR Suspension action plan, the Regional Key reinstates the program’s STAR by issuing a STAR Certificate with the original expiration date, if applicable. If the original expiration date expired while the program was suspended, the Regional Key will move the program to active, No STAR Level and re-designate the program to the appropriate STAR Level.

→ **STAR Removal** - If the program fails to implement, complete, and/or maintain a STAR Suspension action plan, the Regional Key will remove the program from Keystone STARS based on the STAR Removal procedures.
Keystone STARS Status Review, Reduction, Suspension, & Removal Process

STAR REMOVAL

STAR Removal will occur for any of the following conditions:

- The program closes.
- For DPW regulated providers, Certification initiates an Emergency Removal or action to Refuse to Renew or Revoke the provider’s Certificate of Compliance.
- The program fails to submit a “Request for Designation Renewal” to renew its current STAR designation.
- The program does not meet the requirements of the STAR Suspension action plan.

NOTIFICATIONS AND APPEALS

The program will be informed by the Regional Key in writing of any action taken to the program’s STAR level designation. If the program disputes the action outlined in the notification letter, it has 10 days from the mailing date of the letter to respond with a letter of disagreement to the Regional Key.

Appeals will be handled in accordance to 1 Pa. Code (§ 35.9., § 35.10., § 35.20., § 35.35., § 35.111., and § 35.112.).

The program may appeal the Regional Key’s final decision to OCDEL by submitting in writing a letter to:

Office of Child Development and Early Learning
Pennsylvania Departments of Education and Welfare
333 Market Street, 6th Floor
Harrisburg, PA 17126

Attention: Bureau of Early Learning Services

If further action is necessary, the appeal will move to the Commonwealth’s Bureau of Hearings and Appeals.
Professional Development Registry Old Certificate and Transcripts
(Continue to be use during Transition FY 14-15)

This Certificate of Attendance

is awarded to

PA Key Student Three

For

Mind in the Making

8/26/2010 - 6/23/2011

24 Hours
Child Growth and Development (Knowledge Area K1) Level 3
Child development - social/emotional (Topic Code 02)

Issued by: Kelley Emborsky/

Signature: Reprinted from PD History

PA Keys to Professional Development – Approved PQAS Number DI-0113300


**PROFESSIONAL DEVELOPMENT HISTORY FOR PA KEY STUDENT THREE**

Certificates can only be printed for professional development taken after July 1, 2006.

All professional development completed after 7/1/14 will be found in the Professional Development Registry.

The following data comes from the current Keys to Quality Professional Development system.

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<tr>
<th>Title</th>
<th>Date</th>
<th>CBK Code</th>
<th>Instructor</th>
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<tr>
<td>Advocacy 101</td>
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<td>K6-C1-64</td>
<td>Kelly Swanson</td>
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<td>This is a test event</td>
<td>10/2/2009</td>
<td>K1-C1-01</td>
<td>Linda Kern</td>
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<td>Fall All-Staff Training - Central Region</td>
<td>12/8/2009</td>
<td>K5-C2-62</td>
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<tr>
<td>Pathways for Cultural Competence Protect</td>
<td>6/18/2010</td>
<td>K3-C2-32</td>
<td>PA Key</td>
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<td>Print</td>
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<td>7/4/2011</td>
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**Self Learning Opportunities**

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<td>Safe Active Play</td>
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<td>K7-C2-84</td>
<td>PA Chapter of the American Academy of Pediatrics - ECELS</td>
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<td>A Good Four-Letter Word - Play (K1C1) CDA2</td>
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<td>K1-C1-04</td>
<td>Better Kid Care</td>
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**Professional Development From Other Sources**

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<th>Title</th>
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<th>Date</th>
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<th>Instructor</th>
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**PQAS Orientation Modules**

<table>
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<th>Orientation title</th>
<th>Date Completed</th>
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<tbody>
<tr>
<td>Adult Learning Principles</td>
<td>08/19/2008</td>
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<tr>
<td>Core Body of Knowledge and Professional Development Record</td>
<td>01/24/2008</td>
</tr>
<tr>
<td>Introduction to the Professional Development Calendar</td>
<td>03/10/2010</td>
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Pennsylvania Keys to Quality Professional Development Registry Certificate of Completion

This Certifies that
PA Key StudentThree
Successfully completed and is awarded:

PQAS Hours 3.00 Hours

for

An Introduction to Good, Better, Best: Supporting CQI in Pennsylvania (Center/Group)
Course Number: S.O.I.L.AITGBBSCQHICPG.F Version: 1

<table>
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</tr>
<tr>
<td>(Instructor: InstructorOne, PA Key #111111)</td>
<td>Event</td>
<td></td>
</tr>
<tr>
<td>PA Key Participant Evaluation</td>
<td>Survey</td>
<td>6/12/2014</td>
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### My Transcript

**PA Key StudentThree**

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<td>6/12/2014</td>
<td>Overall Score: 0</td>
<td>Test Course INV STARS (View Companion Details) (View Certificate)</td>
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<tr>
<td></td>
<td>PQAS</td>
<td>Course Number: N.O.I.L TCNWB</td>
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<tr>
<td></td>
<td>2.00 Hours</td>
<td>Course Version: 1</td>
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<td></td>
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<td>Course Provider: PA Keys to Professional Development</td>
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<tr>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td>Phone Number:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Course Accreditation(s): PQAS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Price: $ 0.00</td>
</tr>
</tbody>
</table>

| 6/12/2014      | Overall Score: 0  | Self Assessment Not Priority Test Course (View Companion Details) (View Certificate) |
|                | PQAS               | Course Number: N.O.O.C. SANPTC |
|                | 2.00 Hours         | Course Version: 1 |
|                |                    | Course Provider: PA Keys to Professional Development |
|                |                    | Address: |
|                |                    | Phone Number: |
|                |                    | Course Accreditation(s): PQAS |
|                |                    | Price: $ 0.00 |
Receipts Collection Guidelines

PURPOSE:
The purpose of this announcement is to issue the Guidelines applicable to receipts collection using the STARS Financial Award Grant Request/Receipts Summary Form and to assist the Regional Keys and providers in the collection and summarization of receipts for purchases using Commonwealth of Pennsylvania funds. It will also assist providers in preparing the STARS Financial Award Request/Receipts Summary Form that is designed specifically to reconcile purchases to grant amounts requested in the fiscal year.

BACKGROUND:
The Office of Child Development and Early Learning (OCDEL) has the overall responsibility for administering and implementing guidelines for the proper use of public funding. One such fiscal responsibility includes the administration of funds for child care programs. Accordingly, the Regional Keys have the responsibility of ensuring that providers obtain receipts for all purchases using public funds and ensuring that these public funds are spent in accordance with state and federal requirements. Receipts Summary Forms were developed through a pilot program to collect and summarize provider expenditures for the fiscal year 2011-2012. The forms developed during this pilot program are still available as optional tools as discussed below.

Beginning in fiscal year 2012-2013, the receipts summary forms were integrated with the STARS Financial Award Request forms. Integration of the summarization of purchases directly on the Award Request form is to assist the Providers with reconciling actual purchases with the original or revised award request line items and amounts requested. Providers had the option to use previously developed (2011-2012 pilot program) forms during fiscal year 2012-2013 and the forms remain available for fiscal year 2013-2014 and future years.

DISCUSSION:
This guidance affirms provider responsibility for the collection and summarization of receipts for purchases using public funds. Providers are required to use the STARS Financial Award Request/Receipts Summary Form-Merit and Education & Retention document to reconcile purchases to the original or revised grant request amounts. The Receipts Summary Form ELS incorporates OCDEL guidance and other required information that the Regional Keys will need to implement and follow in fiscal year 2013-2014. It is imperative that all receipts/invoices for grant and award expenditures by providers are appropriately summarized in the applicable “Total Amount Purchased” columns adjacent to “Amount Purchased” columns in each subcategory and in the “Award Request Summary” Specific guidance is provided in the Reporting and Receipts Summary Form Process section of the Award Request Form.
An internal policy adjustment was made to the receipts collection and reconciliation process on August 2, 2012. The policy adjustment related to the Regional Key process of monitoring, reviewing and reconciling receipts remains in effect for fiscal year 2013-2014 and is as follows:
1. The Regional Key On-Site Monitoring expectation will remain at 10% of all grants. This process does not replace on-site monitoring by Regional Keys. It is expected that providers will continue to maintain appropriate records as part of the monitoring process.

2. The Regional Keys will perform the following receipt review and reconciliation to the final expense report in addition to the 10% on-site monitoring:

   a) **Specific only to Providers expending funds in the Infant Toddler care level:**

      - 100% of receipts for Infant Toddler care level expenditures will be examined for all Providers who expend funds within this care level.

      - A cursory review of other receipts for purchases not related to the Infant/Toddler care level will be performed to ensure that the expenditures appear to be proper and ensure that the total of ALL receipts submitted by these Providers meet or exceed the total grant amount.

   b) **ALL other Providers:**

      - All receipts submitted by Providers who do not have Infant Toddler expenditures will be given a cursory review to ensure that the expenditures appear to be proper and that the total of ALL receipts submitted by these Providers meet or exceed the total grant amount.

      - Regional Keys have the option of performing full examination of any Provider submitted receipts that appear to be improper, inappropriate or for whom the RK has had previous issues with the provider reporting/expenditures.

3. Employee information and details of expenditures related to salaries, benefits and education and retention awards are not to be included in the Receipt Summary Form. Only the totals of such expenditures should be entered on the form for the purpose of reconciling total receipts.

It is expected that the Regional Keys will provide training and assistance to Key staff and to providers and ensure the completed STARS Financial Award Request/Receipts Summary Form is properly reconciled to each provider’s Final Expense Reports.
This process does not replace on-site monitoring by Regional Keys. It is expected that providers will continue to maintain appropriate records as part of the monitoring process.

The provider should refer to applicable OMB Circulars and Federal Guidelines or contact the Regional Key for more information related to allowable expenditures.

The following optional Receipts Summary Forms used in Fiscal Years 2011-2012 and 2012-2013 are available on the PA Key website at http://www.pakeys.org/pages/starsDocs.aspx (Optional Tools Tab):

Attachment A: Receipts Summary Form (RSF) Information and Instructions

Attachment B: Receipts Summary Form Templates – Microsoft® Excel Format (for electronic data entry)
- Attachment B-3: RSF STARS Merit Awards – Family Child Care Homes
- Attachment B-6: RSF STARS Merit Awards – Centers and Group Homes
- Attachment B-7: Recap Form for Complex Receipts/Invoices (Optional)

Attachment C: Receipts Summary Form Templates – PDF Format (For printing and manual data entry)
- Attachment C-3: RSF STARS Merit Awards – Family Child Care Homes (PDF)
- Attachment C-6: RSF STARS Merit Awards – Centers and Group Homes (PDF)
- Attachment C-7: Recap Form for Complex Receipts/Invoices (Optional) (PDF)

Attachment D: Sample Receipts Summary Form Templates with receipts data entered
- Attachment D-1: Sample Receipt Summary Form- STARS Merit Award-Centers and Group Homes
- Attachment D-2: Recap Form for Complex Receipt/Invoice (Optional) -Sample
- Attachment D-3: Sample Complex Invoice

Attachment E: Tip Sheet for Keystone STARS for Financial Awards Spending – Supporting Documentation- Receipts and Invoices for Purchases with Grant/Award Funds

Additional optional forms for the summarization of receipts as follows have been provided to all Regional Keys with the option to provide such forms to Providers. These forms have not been posted to the PA Key website.
- Receipts Summary Form- Manual Preparation only.
- Receipts Summary Form-Drop-down box data entry.
Certified Public Accountants (CPA) Reports and Opinions and Sample Financial Statements

INDEX

Compiled Financial Statements

Most basic level of CPA services

Involves reading the financial statements to determine if there are any obvious departures from generally accepted accounting principles.

No assurance is expressed that the financial statements are in conformity with generally accepted accounting principles (expression of ‘no assurance”). No compliance testing or reporting performed.

Reviewed Financial Statements (GOOD)

CPA performs inquiry and analytical procedures.

Less in scope than an audit, in the “Reviewed Financial Statement” a CPA issues report indicating a review has been performed and did not become aware of any material modifications that should be made in order for the statements to be in conformance with generally accepted accounting principles.

Review offers “limited assurance” No compliance testing or reporting performed.

Audited Financial Statements-Financial Audit (BETTER)

Audit is highest level of service by CPA.

Audit provides “positive assurance” that the financial statements present fairly the financial position and results of operations of the entity. No compliance testing or reporting performed.

Certified Public Accountants (CPA) Reports and Opinions and Sample Financial Statements
Single Audit (OMB Circular A-133) (BEST)

A Single Audit is a rigorous, organization-wide audit or examination of an entity that expends $500,000* or more of Federal assistance received for its operations directly from the federal government, indirectly through a pass-through entity, or a combination of both.

The Single Audit’s objective is to provide assurance to the US federal government as to the management and use of such funds by recipients such as states, cities, universities, and non-profit organizations.

The Single Audit is divided into two areas: Compliance and Financial.

The compliance component of a Single Audit covers the study and understanding (planning stage) as well as the testing and evaluation (exam stage) of the recipient with respect to federal assistance usage, operations and compliance with laws and regulations.

The financial component is the audit of the financial statements of the entity.
Single Audit (OMB Circular A-133) (BEST) (continued)

Auditor Reports, Schedules, Summaries and Other Documents Required to be included in a Single Audit:

1. Auditor’s reports
   - Independent auditor’s report on the financial statements, which expresses an opinion on whether the financial statements are presented fairly in all material respects in conformity with the stated accounting policies.
   - Independent auditor’s report on the supplementary Schedule of Expenditures of Federal Awards (SEFA), which should determine and provide an opinion on whether the SEFA is presented fairly in all material respects in relation to the sub-recipient’s financial statements taken as a whole. This report can be issued separately or combined with the independent auditor’s report on the financial statements.
   - Report on internal control over financial reporting, compliance and other matters based on an audit of financial statements performed in accordance with Government Auditing Standards (GAS).
   - Report on compliance with requirements applicable to each major program and report on internal control in accordance with the circular.
   - Schedule of findings and questioned costs.

2. Financial statements and notes to the financial statements

3. SEFA and notes to the SEFA

4. Schedule of Findings and Questioned Costs

5. Summary Schedule of Prior Audit Findings

6. Corrective Action Plan (if applicable)

7. Data Collection Form

8. Management Letter (if applicable)

These documents normally not bound with other report packages.
SAMPLE “COMPILATION REPORT” PREPARED BY CERTIFIED PUBLIC ACCOUNTANTS

Accountant’s Compilation Report

To the Board of Directors

SAMPLE BUSINESS ENTITY

City, State

I (We) have compiled the accompanying statement of assets, liabilities, and equity — income tax basis of Sample Business Entity (a Corporation) or as of June 30, 20XX, and the related statements of revenues, expenses and retained earnings—income tax basis for the year then ended. I (We) have not audited or reviewed the accompanying financial statements and, accordingly, do no express an opinion or provide any assurance about whether the financial statements are in accordance with the income tax basis of accounting.

The responsible for the preparation and fair presentation of the financial statements in accordance with the income tax basis of accounting and for designing, implementing, and maintaining internal control relevant to the preparation and fair presentation of the financial statements.

My (Our) responsibility is to conduct the compilation in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. The objective of a compilation is to assist management (the owners) in presenting financial information in the form of financial statements without undertaking to obtain or provide any assurance that there are no material modifications that should be made to the financial statements.

Management has (The owners have) elected to omit substantially all of the disclosures ordinarily included in financial statements presented in accordance with the tax basis of accounting. If the omitted disclosures were included in the financial statements, they might influence the user’s conclusions about the Company’s assets, liabilities, equity, revenues, and expenses. Accordingly, these financial statements are not designed for those who are not informed about such matters.

I am (we are) not independent with XYZ Company.

Firm’s Signature

Date
To the Board of Directors
SAMPLE
NON-PROFIT
City, State

We have reviewed the accompanying statements of financial position of Sample Non-Profit. (a nonprofit corporation) as of June 30, 2010 and 2009, and the related statements of activities, functional expenses, and cash flows for the years then ended, in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. All information included in these financial statements is the representation of the management of Sample Non-Profit.

A review consists principally of inquiries of organization personnel and analytical procedures applied to financial data. It is substantially less in scope than an audit in accordance with generally accepted auditing standards, the objective of which is the expression of an opinion regarding the financial statements taken as a whole. Accordingly, we do not express such an opinion.

Based on our reviews, we are not aware of any material modifications that should be made to the accompanying financial statements in order for them to be in conformity with generally accepted accounting principles.

Our review was made for the purpose of expressing limited assurance that there are no material modifications that should be made to the financial statements in order for them to be in conformity with generally accepted accounting principles. The information included in the accompanying schedules of unrestricted contributions is presented only for supplementary analysis purposes. Such information has been subjected to the inquiry and analytical procedures applied in the review of the basic financial statements, and we are not aware of any material modifications that should be made thereto.
INDEPENDENT AUDITOR'S REPORT

To the Board of Directors
SAMPLE
NON-PROFIT
City, State

We have audited the accompanying statement of financial position of Sample Non-Profit, a not-for-profit organization, as of June 30, 2010, and the related statements of activities, functional expenses, and cash flows for the year then ended. These financial statements are the responsibility of management. Our responsibility is to express an opinion on these financial statements based on our audit. The prior year summarized comparative information has been derived from Sample Non-Profit’s 2009 financial statements and, in our report dated November 6, 2009; we expressed an unqualified opinion on those financial statements.

We conducted our audit in accordance with U. S. generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to in the first paragraph present fairly, in all material respects, the financial position of Sample Non-Profit as of June 30, 2010, and the results of its operations and its cash flows for the year then ended in conformity with U. S. generally accepted accounting principles.

(Firm’s Signature)

Date
FINANCIAL STATEMENT EXAMPLES

(Note: Notes to Financial Statements that normally accompany the financial statements are included only in the Sample Non-Profit Organization Financial Statement)
## Sample Non-Profit Statements of Financial Position

**June 30, 2010 and 2009**

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash and cash equivalents</td>
<td>$29,907</td>
<td>$16,666</td>
</tr>
<tr>
<td>Short-term investments</td>
<td>62,378</td>
<td>24,433</td>
</tr>
<tr>
<td>Accounts receivable</td>
<td>—</td>
<td>1,365</td>
</tr>
<tr>
<td>Prepaid expenses</td>
<td>6,402</td>
<td>8,445</td>
</tr>
<tr>
<td>Unconditional promises to give</td>
<td>136,188</td>
<td>150,304</td>
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<tr>
<td>Cash restricted to purchase of equipment</td>
<td>30,000</td>
<td>—</td>
</tr>
<tr>
<td>Long-term investments</td>
<td>64,876</td>
<td>13,282</td>
</tr>
<tr>
<td>Contribution receivable—charitable lead trust</td>
<td>205,800</td>
<td>230,000</td>
</tr>
<tr>
<td>Deposits on leased and other property</td>
<td>1,000</td>
<td>1,500</td>
</tr>
<tr>
<td>Property and equipment</td>
<td>658,410</td>
<td>664,342</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS</strong></td>
<td><strong>$1,247,969</strong></td>
<td><strong>$1,150,116</strong></td>
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</table>

<table>
<thead>
<tr>
<th>LIABILITIES</th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounts payable</td>
<td>$—</td>
<td>$3,445</td>
</tr>
<tr>
<td>Compensation</td>
<td>4,284</td>
<td>8,145</td>
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<tr>
<td>Refundable advances</td>
<td>2,132</td>
<td>—</td>
</tr>
<tr>
<td>Long-term debt</td>
<td>79,961</td>
<td>86,930</td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES</strong></td>
<td>86,407</td>
<td>97,520</td>
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</table>

<table>
<thead>
<tr>
<th>NET ASSETS</th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Unrestricted</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Designated for new program development</td>
<td>60,000</td>
<td>—</td>
</tr>
<tr>
<td>Undesignated</td>
<td>612,659</td>
<td>612,499</td>
</tr>
<tr>
<td>Temporarily restricted</td>
<td>492,126</td>
<td>436,932</td>
</tr>
<tr>
<td>Permanently restricted</td>
<td>6,669</td>
<td>4,166</td>
</tr>
<tr>
<td><strong>TOTAL NET ASSETS</strong></td>
<td><strong>1,161,663</strong></td>
<td><strong>1,062,606</strong></td>
</tr>
</tbody>
</table>

See accompanying notes and accountant’s report.
### SAMPLE NON-PROFIT STATEMENT OF ACTIVITIES
Year Ended June 30, 2010

#### REVENUES, GAINS, AND OTHER SUPPORT

<table>
<thead>
<tr>
<th>Description</th>
<th>Unrestricted</th>
<th>Temporarily Restricted</th>
<th>Permanently Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>United Way Services</td>
<td></td>
<td>$ 165,275</td>
<td>$ 165,275</td>
<td></td>
</tr>
<tr>
<td>New men’s shelter</td>
<td></td>
<td>46,193</td>
<td>46,193</td>
<td></td>
</tr>
<tr>
<td>Capital campaign</td>
<td></td>
<td>4,771</td>
<td>4,771</td>
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</tr>
<tr>
<td>Equipment acquisition</td>
<td>30,000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Endowment</td>
<td></td>
<td></td>
<td>2,704</td>
<td>2,704</td>
</tr>
<tr>
<td>Other</td>
<td>69,736</td>
<td></td>
<td></td>
<td>69,736</td>
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<tr>
<td>Federal financial assistance</td>
<td>43,473</td>
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<td>43,473</td>
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<tr>
<td>Program service fees</td>
<td>22,417</td>
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<td>22,417</td>
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<tr>
<td>Investment return</td>
<td>5,766</td>
<td>497</td>
<td></td>
<td>6,263</td>
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<tr>
<td>Change in value of split-interest agreement</td>
<td></td>
<td>1,800</td>
<td></td>
<td>1,800</td>
</tr>
<tr>
<td>Other</td>
<td>2,777</td>
<td></td>
<td></td>
<td>2,777</td>
</tr>
<tr>
<td>Net assets released from restrictions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expiration of time restrictions—United Way Services</td>
<td>146,486</td>
<td>(146,486)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restrictions satisfied by charitable lead trust receipts</td>
<td>25,000</td>
<td>(25,000)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restrictions satisfied by payments</td>
<td>11,878</td>
<td>(11,878)</td>
<td></td>
<td></td>
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<tr>
<td><strong>TOTAL REVENUES, GAINS, AND OTHER SUPPORT</strong></td>
<td>347,512</td>
<td>56,193</td>
<td>2,704</td>
<td>406,409</td>
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</table>

#### EXPENSES

<table>
<thead>
<tr>
<th>Description</th>
<th>Unrestricted</th>
<th>Temporarily Restricted</th>
<th>Permanently Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program services</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Women and children</td>
<td>134,061</td>
<td></td>
<td></td>
<td>134,061</td>
</tr>
<tr>
<td>Men</td>
<td>94,231</td>
<td></td>
<td></td>
<td>94,231</td>
</tr>
<tr>
<td>Supporting services</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management and general</td>
<td>66,829</td>
<td></td>
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<td>66,829</td>
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<tr>
<td>Fund-raising</td>
<td>13,541</td>
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<td></td>
<td>13,541</td>
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<tr>
<td><strong>TOTAL EXPENSES</strong></td>
<td>297,462</td>
<td></td>
<td></td>
<td>297,462</td>
</tr>
</tbody>
</table>

#### CHANGE IN NET ASSETS

- Net assets at beginning of year: 612,499
- Net assets at end of year: 1,161,553

See accompanying notes and accountant’s report.
## SAMPLE NON-PROFIT STATEMENT OF FUNCTIONAL EXPENSES

**Year Ended June 30, 2010**

<table>
<thead>
<tr>
<th></th>
<th>Program Services</th>
<th>Supporting Services</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Women and Children</td>
<td>Men</td>
<td>Management and General</td>
</tr>
<tr>
<td><strong>Compensation and related expenses</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Compensation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Full-time</td>
<td>$ 27,530</td>
<td>$ 26,049</td>
<td>$ 31,579</td>
</tr>
<tr>
<td>Part-time</td>
<td>42,031</td>
<td>41,310</td>
<td>7,141</td>
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<tr>
<td>Employee benefits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Medical</td>
<td>2,020</td>
<td>1,010</td>
<td>861</td>
</tr>
<tr>
<td>Other</td>
<td>94</td>
<td>108</td>
<td>254</td>
</tr>
<tr>
<td>Payroll taxes</td>
<td>8,264</td>
<td>6,200</td>
<td>2,925</td>
</tr>
<tr>
<td></td>
<td>77,529</td>
<td>73,683</td>
<td>42,761</td>
</tr>
<tr>
<td>Conferences and training</td>
<td>215</td>
<td>144</td>
<td>502</td>
</tr>
<tr>
<td>Depreciation</td>
<td>20,644</td>
<td>—</td>
<td>2,534</td>
</tr>
<tr>
<td>Food</td>
<td>3,039</td>
<td>76</td>
<td>—</td>
</tr>
<tr>
<td>Insurance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Property and casualty</td>
<td>1,295</td>
<td>515</td>
<td>—</td>
</tr>
<tr>
<td>Vehicles</td>
<td>3,780</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>Worker’s compensation</td>
<td>—</td>
<td>—</td>
<td>1,649</td>
</tr>
<tr>
<td>Interest</td>
<td>—</td>
<td>—</td>
<td>248</td>
</tr>
<tr>
<td>Maintenance of equipment</td>
<td>324</td>
<td>—</td>
<td>733</td>
</tr>
<tr>
<td><strong>Occupancy</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Electricity</td>
<td>10,964</td>
<td>1,715</td>
<td>975</td>
</tr>
<tr>
<td>Gas</td>
<td>1,081</td>
<td>601</td>
<td>105</td>
</tr>
<tr>
<td>Heating oil</td>
<td>—</td>
<td>2,064</td>
<td>—</td>
</tr>
<tr>
<td>Maintenance</td>
<td>3,449</td>
<td>938</td>
<td>371</td>
</tr>
<tr>
<td>Rent</td>
<td>—</td>
<td>6,386</td>
<td>—</td>
</tr>
<tr>
<td>Water and sewer</td>
<td>1,502</td>
<td>1,282</td>
<td>135</td>
</tr>
<tr>
<td>Postage</td>
<td>69</td>
<td>39</td>
<td>997</td>
</tr>
<tr>
<td>Printing</td>
<td>434</td>
<td>138</td>
<td>969</td>
</tr>
<tr>
<td>Specific assistance</td>
<td>1,012</td>
<td>274</td>
<td>—</td>
</tr>
<tr>
<td><strong>Supplies</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cleaning</td>
<td>3,271</td>
<td>2,245</td>
<td>—</td>
</tr>
<tr>
<td>Office</td>
<td>357</td>
<td>365</td>
<td>1,779</td>
</tr>
<tr>
<td>Other</td>
<td>971</td>
<td>14</td>
<td>303</td>
</tr>
<tr>
<td>Telephones</td>
<td>2,293</td>
<td>874</td>
<td>681</td>
</tr>
<tr>
<td><strong>Transportation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fuel</td>
<td>499</td>
<td>200</td>
<td>—</td>
</tr>
<tr>
<td>Repairs and other</td>
<td>1,385</td>
<td>680</td>
<td>869</td>
</tr>
<tr>
<td>Other</td>
<td>24</td>
<td>—</td>
<td>229</td>
</tr>
<tr>
<td></td>
<td><strong>$ 134,051</strong></td>
<td><strong>$ 94,231</strong></td>
<td><strong>$ 55,629</strong></td>
</tr>
</tbody>
</table>

See accompanying notes and accountants report.
### SAMPLE NON-PROFIT STATEMENTS OF CASH FLOWS
**Years Ended June 30, 2010 and 2009**

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CASH FLOWS FROM OPERATING ACTIVITIES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Increases in net assets</td>
<td>$108,987</td>
<td>$461,266</td>
</tr>
<tr>
<td>Adjustments to reconcile increase in net assets to net cash provided by operating activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depreciation</td>
<td>23,012</td>
<td>14,767</td>
</tr>
<tr>
<td>Amortization of discount on split-interest agreement</td>
<td>(1,800)</td>
<td>—</td>
</tr>
<tr>
<td>Donated vehicle included in contributions</td>
<td>—</td>
<td>(637)</td>
</tr>
<tr>
<td>Unrealized gains on investments</td>
<td>(3,256)</td>
<td>(192)</td>
</tr>
<tr>
<td>(Increase) decrease in operating assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts receivable</td>
<td>1,355</td>
<td>(677)</td>
</tr>
<tr>
<td>Prepaid expenses</td>
<td>2,443</td>
<td>(1,160)</td>
</tr>
<tr>
<td>Unrestricted unconditional promises to give</td>
<td>5,748</td>
<td>(2,874)</td>
</tr>
<tr>
<td>United Way Services funding for the next fiscal year</td>
<td>(10,562)</td>
<td>(5,563)</td>
</tr>
<tr>
<td>Contributions receivable—charitable lead trust</td>
<td>25,000</td>
<td>(230,000)</td>
</tr>
<tr>
<td>Increase (decrease) in operating liabilities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts payable</td>
<td>(3,445)</td>
<td>300</td>
</tr>
<tr>
<td>Compensation</td>
<td>(3,061)</td>
<td>364</td>
</tr>
<tr>
<td>Refundable advances</td>
<td>2,132</td>
<td>—</td>
</tr>
<tr>
<td>Contributions restricted for long-term purposes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contributions</td>
<td>(79,397)</td>
<td>(195,082)</td>
</tr>
<tr>
<td>Amortization of discount on unconditional promises to give</td>
<td>(4,771)</td>
<td>(4,927)</td>
</tr>
</tbody>
</table>

**NET CASH PROVIDED BY OPERATING ACTIVITIES**

53,735 35,576

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CASH FLOWS FROM INVESTING ACTIVITIES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Short-term investments, net</td>
<td>(37,045)</td>
<td>(13,382)</td>
</tr>
<tr>
<td>Purchases of long-term investments</td>
<td>(60,837)</td>
<td>(22,749)</td>
</tr>
<tr>
<td>Proceeds from maturity of long-term investments</td>
<td>12,560</td>
<td>11,000</td>
</tr>
<tr>
<td>Payments for property and equipment</td>
<td>(2,129)</td>
<td>(501,365)</td>
</tr>
<tr>
<td>Purchase of assets restricted to investment in property and equipment</td>
<td>(30,000)</td>
<td>—</td>
</tr>
<tr>
<td>Other</td>
<td>=</td>
<td>(500)</td>
</tr>
</tbody>
</table>

**NET CASH USED BY INVESTING ACTIVITIES**

(118,011) (527,596)

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CASH FLOWS FROM FINANCING ACTIVITIES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collections of contributions restricted for long-term purposes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital Campaign</td>
<td>17,771</td>
<td>362,546</td>
</tr>
<tr>
<td>New building</td>
<td>69,243</td>
<td>—</td>
</tr>
<tr>
<td>Endowment</td>
<td>2,704</td>
<td>4,165</td>
</tr>
<tr>
<td>Payments on Lane Banknote</td>
<td>(876)</td>
<td>—</td>
</tr>
<tr>
<td>Payments on SHDA note</td>
<td>(10,314)</td>
<td>(10,314)</td>
</tr>
</tbody>
</table>

**NET CASH PROVIDED BY FINANCING ACTIVITIES**

76,658 336,797

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14,262 (135,223)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>BEGINNING CASH AND CASH EQUIVALENTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15,055</td>
<td>150,873</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ENDING CASH AND CASH EQUIVALENTS</strong></td>
<td>29,967</td>
<td>31</td>
</tr>
</tbody>
</table>
Noncash investing and financing activities in 2010 consist of financing the cost of acquiring office furniture through a long-term note of $5,251, payable to USA Bank. There were no such activities in 2009.

See accompanying notes and accountant’s report.

(ONLY PARTIAL NOTES TO FINANCIAL STATEMENTS INCLUDED BELOW)

NOTE 1—NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of Activities:

Sample Non-Profit (the Organization) provides temporary housing for the temporarily homeless in ABCD. Entity Women and children stay in facilities owned by the Organization, and men stay in rented facilities. Residents are provided with counseling services to help them obtain permanent housing, employment, and financial assistance and to help them with substance abuse problems. The Organization is supported primarily through donor contributions, grants, and the United Way. Approximately 26% and 20% of the Organization’s support for the years ended June 30, 2010 and 2009, respectively, came from allocations from the United Way.

Promises To Give:

Contributions are recognized when the donor makes a promise to give to the Organization that is, in substance, unconditional. Contributions that are restricted by the donor are reported as increases in unrestricted net assets if the restrictions expire in the fiscal year in which the contributions are recognized. All other donor-restricted contributions are reported as increases in temporarily or permanently restricted net assets depending on the nature of the restrictions. When a restriction expires, temporarily restricted net assets are reclassified to unrestricted net assets.

The Organization uses the allowance method to determine uncollectible unconditional promises receivable. The allowance is based on prior years’ experience and management’s analysis of specific promises made.

Contributed Services:

During the years ended June 30, 2010 and 2009, the value of contributed services meeting the requirements for recognition in the financial statements was not material and has not been recorded. In addition, many individuals volunteer their time and perform a variety of tasks that assist the Organization at the residents’ facilities. The Organization receives more than 5,000 volunteer hours per year.

Estimates:

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.
Property and Equipment

The organization capitalizes all property and equipment with a cost of $2,000 or purchased, and a fair value of $3,000 at date of donation if received by contribution. Donations of property and equipment are recorded as support at their estimated fair value. Such donations are reported as unrestricted support unless the donor has restricted the donated asset to a specific purpose. Assets donated with explicit restrictions regarding their use and contributions of cash that must be used to acquire property and equipment are reported as restricted support. Absent donor stipulations regarding how long those donated assets must be maintained, the Organization reports expirations of donor restrictions when the donated or acquired assets are placed in service as instructed by the donor. The Organization reclassifies temporarily restricted net assets to unrestricted net assets at that time. Property and equipment are depreciated using the straight-line method.

Financial Statement Presentation

Under Statement of Financial Accounting Standards (SFAS) No. 117, Financial Statements of Not-for-Profit Organizations, the Organization is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted net assets, temporarily restricted net assets, and permanently restricted net assets.

Contributions

Under SFAS No. 116, Accounting for Contributions Received and Contributions Made, contributions received are recorded as unrestricted, temporarily restricted, or permanently restricted net assets depending on the absence or existence and nature of any donor restrictions.

Income Taxes

The Organization is a not-for-profit organization exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code and classified by the Internal Revenue Service as other than a private foundation.

Investments

Under SFAS No. 124, Accounting for Certain Investments Held by Not-for-Profit Organizations, investments in marketable securities with readily determinable fair values and all investments in debt securities are reported at their fair values in the statement of financial position. Unrealized gains and losses are included in the change in net assets. Investment income and gains restricted by a donor are reported as increases in unrestricted net assets if the restrictions are met (either by passage of time or by use) in the reporting period in which the income and gains are recognized.

Cash and Cash Equivalents

For purposes of the statements of cash flows, the Organization considers all highly liquid investments available for current use with an initial maturity of three months or less to be cash equivalents.
### Sample Illustrative Statement of Financial Position (also known as Balance Sheet)- Business Type Entity

#### SAMPLE ENTITY

**Statement of Financial Position as at 31st December 2013- Business Type Entity**

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>USD</td>
<td>USD</td>
</tr>
<tr>
<td><strong>ASSETS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-current assets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Property, plant &amp; equipment</td>
<td>130,000</td>
<td>120,000</td>
</tr>
<tr>
<td>Goodwill</td>
<td>30,000</td>
<td>30,000</td>
</tr>
<tr>
<td>Intangible assets</td>
<td>60,000</td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td>220,000</td>
<td>200,000</td>
</tr>
<tr>
<td>Current assets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inventories</td>
<td>12,000</td>
<td>10,000</td>
</tr>
<tr>
<td>Trade receivables</td>
<td>25,000</td>
<td>30,000</td>
</tr>
<tr>
<td>Cash and cash equivalents</td>
<td>8,000</td>
<td>10,000</td>
</tr>
<tr>
<td><strong>Total Current Assets</strong></td>
<td>45,000</td>
<td>50,000</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS</strong></td>
<td>265,000</td>
<td>250,000</td>
</tr>
<tr>
<td><strong>EQUITY AND LIABILITIES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Share capital</td>
<td>100,000</td>
<td>100,000</td>
</tr>
<tr>
<td>Retained earnings</td>
<td>50,000</td>
<td>40,000</td>
</tr>
<tr>
<td>Revaluation reserve</td>
<td>15,000</td>
<td>10,000</td>
</tr>
<tr>
<td><strong>Total equity</strong></td>
<td>165,000</td>
<td>150,000</td>
</tr>
<tr>
<td>Non-current liabilities</td>
<td>35,000</td>
<td>50,000</td>
</tr>
<tr>
<td>Current liabilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trade and other payables</td>
<td>35,000</td>
<td>25,000</td>
</tr>
<tr>
<td>Short-term borrowings</td>
<td>10,000</td>
<td>8,000</td>
</tr>
<tr>
<td>Current portion of long-term borrowings</td>
<td>15,000</td>
<td>15,000</td>
</tr>
<tr>
<td>Current tax payable</td>
<td>5,000</td>
<td>2,000</td>
</tr>
<tr>
<td><strong>Total current liabilities</strong></td>
<td>65,000</td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Total liabilities</strong></td>
<td>100,000</td>
<td>100,000</td>
</tr>
<tr>
<td><strong>TOTAL EQUITY AND LIABILITIES</strong></td>
<td>265,000</td>
<td>250,000</td>
</tr>
</tbody>
</table>
### Sample Illustrative Income Statement - Business Type Entity

**SAMPLE ENTITY**

Income Statement for the Year Ended 31st December 2013

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td>120,000</td>
<td>100,000</td>
</tr>
<tr>
<td><strong>Cost of Sales</strong></td>
<td>(65,000)</td>
<td>(55,000)</td>
</tr>
<tr>
<td><strong>Gross Profit</strong></td>
<td>55,000</td>
<td>45,000</td>
</tr>
<tr>
<td><strong>Other Income</strong></td>
<td>17,000</td>
<td>12,000</td>
</tr>
<tr>
<td><strong>Distribution Cost</strong></td>
<td>(10,000)</td>
<td>(8,000)</td>
</tr>
<tr>
<td><strong>Administrative Expenses</strong></td>
<td>(18,000)</td>
<td>(16,000)</td>
</tr>
<tr>
<td><strong>Other Expenses</strong></td>
<td>(3,000)</td>
<td>(2,000)</td>
</tr>
<tr>
<td><strong>Finance Charges</strong></td>
<td>(1,000)</td>
<td>(1,000)</td>
</tr>
<tr>
<td><strong>Profit before tax</strong></td>
<td>(15,000)</td>
<td>(15,000)</td>
</tr>
<tr>
<td><strong>Income tax</strong></td>
<td>(12,000)</td>
<td>(9,000)</td>
</tr>
<tr>
<td><strong>Net Profit</strong></td>
<td>28,000</td>
<td>21,000</td>
</tr>
</tbody>
</table>
Sample Entity
Statement of Cash Flows for the year ended 31 December 2013

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash flows from operating activities</td>
<td>USD</td>
<td>USD</td>
</tr>
<tr>
<td>Profit before tax</td>
<td>40,000</td>
<td>35,000</td>
</tr>
<tr>
<td>Adjustments for:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depreciation</td>
<td>10,000</td>
<td>8,000</td>
</tr>
<tr>
<td>Amortization</td>
<td>8,000</td>
<td>7,500</td>
</tr>
<tr>
<td>Impairment losses</td>
<td>12,000</td>
<td>3,000</td>
</tr>
<tr>
<td>Bad debts written off</td>
<td>500</td>
<td>-</td>
</tr>
<tr>
<td>Interest expense</td>
<td>800</td>
<td>1,000</td>
</tr>
<tr>
<td>Gain on revaluation of investments</td>
<td>(21,000)</td>
<td>-</td>
</tr>
<tr>
<td>Interest income</td>
<td>(11,000)</td>
<td>(9,500)</td>
</tr>
<tr>
<td>Dividend income</td>
<td>(3,000)</td>
<td>(2,500)</td>
</tr>
<tr>
<td>Gain on disposal of fixed assets</td>
<td>(1,200)</td>
<td>(1,800)</td>
</tr>
<tr>
<td></td>
<td>35,100</td>
<td>40,650</td>
</tr>
<tr>
<td>Working Capital Changes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Movement in current assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Increase) / Decrease in inventory</td>
<td>(1,000)</td>
<td>550</td>
</tr>
<tr>
<td>Decrease in trade receivables</td>
<td>3,000</td>
<td>1,400</td>
</tr>
<tr>
<td>Movement in current liabilities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Increase / (Decrease) in trade payables</td>
<td>2,500</td>
<td>(1,300)</td>
</tr>
<tr>
<td>Cash generated from operations</td>
<td>39,600</td>
<td>41,300</td>
</tr>
<tr>
<td>Dividend paid</td>
<td>(9,000)</td>
<td>(8,000)</td>
</tr>
<tr>
<td>Income tax paid</td>
<td>(12,000)</td>
<td>(10,000)</td>
</tr>
<tr>
<td>Net cash from operating activities (A)</td>
<td>19,600</td>
<td>25,300</td>
</tr>
<tr>
<td>Cash flows from investing activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital expenditure</td>
<td>(100,000)</td>
<td>(85,000)</td>
</tr>
<tr>
<td>Purchase of investments</td>
<td>(25,000)</td>
<td>-</td>
</tr>
<tr>
<td>Dividend received</td>
<td>5,000</td>
<td>3,000</td>
</tr>
<tr>
<td>Interest received</td>
<td>3,600</td>
<td>1,000</td>
</tr>
<tr>
<td>Proceeds from disposal of fixed assets</td>
<td>18,000</td>
<td>5,500</td>
</tr>
<tr>
<td>Proceeds from disposal of investments</td>
<td>2,600</td>
<td>2,200</td>
</tr>
<tr>
<td>Net cash used in investing activities (B)</td>
<td>(96,000)</td>
<td>(73,300)</td>
</tr>
<tr>
<td>Cash flows from financing activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Issuance of share capital</td>
<td>1,000,000</td>
<td>-</td>
</tr>
<tr>
<td>Bank loan received</td>
<td>-</td>
<td>100,000</td>
</tr>
<tr>
<td>Repayment of bank loan</td>
<td>(100,000)</td>
<td>-</td>
</tr>
<tr>
<td>Interest expense</td>
<td>(3,600)</td>
<td>(7,400)</td>
</tr>
<tr>
<td></td>
<td>896,400</td>
<td>92,600</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>---------</td>
<td>--------</td>
</tr>
<tr>
<td><strong>Netcash from financing activities (C)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Net increase in cash &amp; cash equivalents (A+B+C)</strong></td>
<td>820,000</td>
<td>44,600</td>
</tr>
<tr>
<td><strong>Cash and cash equivalents at start of the year</strong></td>
<td>77,600</td>
<td>33,000</td>
</tr>
<tr>
<td><strong>Cash and cash equivalents at end of the year</strong></td>
<td>897,600</td>
<td>77,600</td>
</tr>
</tbody>
</table>
Strategic Discussions for ALL Facilities

The relationship the STAR Manager establishes with the provider/director is the main link of the provider to the philosophy of quality in Keystone STARS, resources in the system and mechanics of the process. There will be variances in the discussion and conversations between STAR Managers and providers based on the type of provider, director/provider knowledge of the system, STAR level, length of time in STARS and possibly other factors. The STAR Manager wears many different hats as cheer leader, motivator, facilitator, teacher, resource connection, expert (on STARS), sympathetic listener, and problem solver (barrier buster 😊). Part of the job is to make sure the Director understands that they are the visionary leader at the program and that the STARS Manager is there to assist them in that role. The goal is to assist the provider/director become the program’s strongest resource and the CQI manager of the facility.

The Basics – the STAR Manager is the face of the Keystone STARS program (Regional Key, OCDEL, PA Key and the system) to the provider and in the community. Make sure to triage and refer-on questions the provider has about the processes or system that you are not able to answer or that are better answered by someone else. Insure that replies are timely.

Site Visit:
11. Dress for a site visit professionally in business casual (no jeans etc.)
12. Take minimum personal belongings, turn off your cell phone
13. Have ID ready in case needed for entry to facility
14. Greet the Director, smile and exhibit a professional demeanor, remember to put the provider at ease and be cordial and pleasant
15. Be prepared for the visit by reading the file before going to the site, bring resources, follow up items from the last visit, laptop or ability to take notes about the visit, calendar so appointments can be established on the spot, topics of discussion, follow up timelines and specific assignments.

Calls, written communication, email
1. Exhibit professional behavior by returning calls or emails in a timely manner, follow up promptly with resources and materials after a visit, email or call.
2. Be prepared for a call, look in PELICAN to remind yourself about the provider and after opening with something pertinent, make sure to comment on something specific about that particular program’s work or efforts (possibly a follow up question about how something is going)
3. Get help/support quickly if the provider asks a question and you do not know the answer or if a provider becomes upset or angry

The minimum contact with a program is 4 times a year but could occur more frequently depending upon site’s action plan for the year and goals.
Conversations

- Are supported based upon alerts in Pelican.
- Include contacts that are based upon site’s need to renew their current STAR Designation or to check in on progress toward movement goal.
  - Renewal Check-ins
    - Different for paper renewals year vs. Renewal visit with ERS scheduled
  - Movement Check-ins
    - Include determination of Designation Readiness, follow up after visit, and additional follow up if new Designation is not achieved.
Purpose: The STARS Enrollment Calculation Tool assists the provider in accurately determining enrollment, as a full-time equivalency (FTE), for individual children and the provider as a whole. This form is required for STARS Designation and Renewal. It will assist the Office of Child Development and Early Learning (OCDEL) in identifying the number of children impacted by the continuous quality improvement efforts of STARS participating providers.

Benefits: Calculating the FTE for individual children and the provider has many benefits that include making budget projections, creating schedules, and maintaining the provider’s enrollment. For providers eligible for STARS Financial Awards, this tool will assist in determining the size of the provider’s Award. Please see STARS Financial Award documents for specific requirements and amounts.

Instructions: The provider follows Steps 1 through 5 to complete this tool. This tool is also available as an auto-calculating Microsoft® Excel spreadsheet at [www.aeps.org/pages/stars-docs.asp](http://www.aeps.org/pages/stars-docs.asp).

1. **Timeframe** - Please contact your STARS Specialist for specific dates of compliance.
2. **Documentation** - Gather enrollment records (private pay, subsidy, early intervention, TIER 1 CACFP, other sources) for the timeframe determined in Step 1 above (Timeframe).
3. **Provider Information** - Complete the STARS Enrollment Calculation Tool using the enrollment records gathered in Step 2, above (Documentation). Make sure to document the PPI number (located on your Certificate of Registration), Provider Name, Curriculum and Date tool was completed in the spaces provided at the top of the form. Please make additional copies as needed. In each line of the table, complete the following steps:
   a. Record Child’s First Name and Last Initial in Column A.
   b. Record the child’s care level in Column B. Please use the abbreviation for the child’s care level provided in the following table:
   
<table>
<thead>
<tr>
<th>Care Level</th>
<th>Abbreviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infant</td>
<td>INF</td>
</tr>
<tr>
<td>Young Toddler</td>
<td>YOT</td>
</tr>
<tr>
<td>Older Toddler</td>
<td>OLT</td>
</tr>
<tr>
<td>Preschool</td>
<td>PRE</td>
</tr>
<tr>
<td>Young School-Age</td>
<td>YSA</td>
</tr>
<tr>
<td>Older School-Age</td>
<td>OSA</td>
</tr>
</tbody>
</table>
   
   c. Determine what portion of the child’s week with the provider is funded through the following funding sources:
      1. Child care private pay only (including private scholarships);
      2. Child care private pay receiving the Commonwealth of Pennsylvania’s Early Intervention (EI) services for children with developmental delays and disabilities;
      3. Child Care Works (CCW) subsidy (including children receiving both CCW and EI);
      4. TIER 1 Child/Adult Care Food Program (CACFP) (130% income bracket and enrolled in CACFP);
      5. Head Start and Early Head Start; and/or
      6. Other funding sources.

   Use the table on the STARS Enrollment Calculation Tool to determine FTE values for each child. Then, record the FTE values in Columns C through H as appropriate.

   d. After all information for each child is listed, calculate the sum of each Column (C through I) to determine the provider’s Grand Totals. Use the Grand Totals to complete the STARS Financial Award size and program participation level calculations.

4. **FTE Enrollment** - You will need the FTE enrollment numbers to determine the provider’s STARS Financial Award size. You may also use this information for budgeting, staffing, and enrollment.

Special Note on Determining FTE: Please use the following example to assist you in determining a child’s FTE.

Jacob C. attends YOUR FAMILY CHILD CARE in Hometown, PA. He is enrolled five days a week from 8 a.m. until 12 p.m. His family receives Child Care Works subsidy. Using the STARS Enrollment Calculation Tool, it is determined that Jacob’s FTE for Child Care Works Subsidy is 0.5 (half days per week). See example below.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child's First Name &amp; Last Initial</td>
<td>Care Level</td>
<td>What portion of the child's week in your facility is funded through the following sources? Place the appropriate FTE value in each column.</td>
<td>Child Care Private Pay Only</td>
<td>Child Care Private Pay with Early Intervention (EI)</td>
<td>Child Care Works (CCW) Subsidy (includes children receiving both CCW &amp; EI)</td>
<td>Head Start</td>
<td>Other Funding Sources</td>
<td>Child's Total Weekly Attendance (sum of Columns C through I)</td>
</tr>
<tr>
<td>Example: Jacob C.</td>
<td>PRE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
For location of complete document for download click on link below:

https://www.pakeys.org/pages/starsDocs.aspx
Purpose: The STARS Enrollment Calculation Tool assists the provider in accurately determining enrollment, as a full-time equivalency (FTE), for individual children, classroom sessions, and the provider as a whole. This form is required for STARS Designation and Renewal. It will assist the Office of Child Development and Early Learning (OCDEL) in identifying the number of children impacted by the continuous quality improvement efforts of STARS participating providers. A classroom session is defined as the student enrollment composition in the physical space at any given time.

Benefit: Calculating the FTE for individual children, classroom sessions, and the provider has many benefits that include making budget projections, creating staff schedules, and maintaining the provider’s enrollment. For providers eligible for STARS Financial Awards, this tool will assist in determining the size of the provider’s Award. Please see STARS Financial Award documents for specific requirements and amounts.

Instructions: The provider follows Steps 1 through 5 to complete this tool. This tool is also available as an auto-calculating Microsoft Excel spreadsheet at www.pakeys.org/pages/starsOcss.aspx.

1. Timeframe – Please contact your STARS Specialist for specific dates of compliance.

2. Documentation – Gather enrollment records (private pay, subsidy, early intervention, other sources) for the timeframe determined in Step 1 above.

3. Classroom Session Information – Complete page 3 of the STARS Enrollment Calculation Tool for each classroom session using the enrollment records gathered in Step 2 above (Documentation). In the spaces provided at the top of the form, make sure to document the MPI number (located on your Certificate of Compliance), Classroom Session Name, Curriculum, Lead Teacher, Assistant Teacher(s), and Date tool was completed. Please make additional copies as needed. In each line of the table, complete the following steps:
   - Record Child’s First Name and Last Initial in Column A.
   - Record the child’s care level in Column B. Please use the abbreviation for the child’s care level provided in the following table:

<table>
<thead>
<tr>
<th>Care Level</th>
<th>Children’s Age</th>
<th>Abbreviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infant</td>
<td>0-12 Months</td>
<td>INF</td>
</tr>
<tr>
<td>Young Toddler</td>
<td>13-24 Months</td>
<td>YOT</td>
</tr>
<tr>
<td>Older Toddler</td>
<td>25-36 Months</td>
<td>OLT</td>
</tr>
<tr>
<td>Preschool</td>
<td>37 Months + Child Enters Kindergarten</td>
<td>PKE</td>
</tr>
<tr>
<td>Young School-Age</td>
<td>Kindergarten - 3rd Grade</td>
<td>YSA</td>
</tr>
<tr>
<td>Older School-Age</td>
<td>4th Grade - 12th Birthday</td>
<td>OSA</td>
</tr>
</tbody>
</table>

   - Determine what portion of the child’s week with the provider is funded through the following funding sources:
     1) Child care private pay only (including private scholarships);
     2) Child care private pay receiving the Commonwealth of Pennsylvania’s Early Intervention (EI) services for children with developmental delays and disabilities;
     3) Child Care Works (CCW) subsidy (including children receiving both CCW and EI);
     4) PA Pre-K Counts;
     5) Head Start and Early Head Start; and/or
     6) Other funding sources.

   - Use the table on page 3 to determine FTE values for each child. Then, record the FTE values in Columns C through H as appropriate.
   - After all information for each child in the classroom session is listed, calculate the sum of each Column (C through H) and transfer the Classroom Session Subtotals to page 4.

4. Provider Information – On page 4, record each classroom session, care level(s) served in the classroom session, and the classroom session subtotals. Then, calculate the sum of each Column (C through J) to determine the provider’s Grand Totals. Use the Grand Totals to complete the STARS Financial Award size and Program Participation (Subsidy/Early Intervention) level calculations.

5. FTE Enrollment – You will need the FTE enrollment numbers on page 4 to determine the provider’s STARS Financial Award size. You may also use this information for budgeting, staffing, and enrollment.

Please see page 5 for examples of completed child-level FTEs.
<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child's First Name &amp; Last Initial</td>
<td>Care Level (NSF, YOT, OLT, PRE, YSA, OSA)</td>
<td>Child Care Private Pay Only</td>
<td>Child Care Private Pay with Early Intervention (EI) (209/290)</td>
<td>Child Care Works (CCW) Subsidy (includes children receiving both CCW &amp; EI)</td>
<td>PA Pre-K Counts</td>
<td>Head Start</td>
<td>Other Funding Sources</td>
<td>Child's Total Weekly Attendance (sum of Columns C through H)</td>
</tr>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>10</td>
<td>11</td>
<td>12</td>
<td>13</td>
<td>14</td>
<td>15</td>
<td>16</td>
<td>17</td>
<td>18</td>
</tr>
<tr>
<td>19</td>
<td>20</td>
<td>21</td>
<td>22</td>
<td>23</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For location of complete document for download click on link below:

[https://www.pakeys.org/pages/starsDocs.aspx](https://www.pakeys.org/pages/starsDocs.aspx)
The information on this page will help determine the provider’s STARS Financial Award size, as well as subsidy percentages. Additionally, understanding the full time equivalency (FTE) of the facility and/or classroom session can be used to project annual budgets and classroom session staffing patterns. Please contact the Regional Key for additional information regarding Technical Assistance for business practices.

Provider Grand Totals

<table>
<thead>
<tr>
<th>Column D + Column E + Column F = Eligible FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Column D</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Eligible FTE

<table>
<thead>
<tr>
<th>Column E = Column F = Eligible FTE = Program Participation %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Column E</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Use this number to determine the provider’s STARS Financial Award size.

Use this percentage to determine the provider’s program participation level.

Special Note on Determining FTE: Please use the following examples to assist you in determining a child’s FTE.

Example A: Bryson attends the Early Learning Center in Hometown, PA. Bryson A. is enrolled at the Center five days a week from 8 a.m. until 3 p.m. During that time, Bryson is also enrolled in the Center’s Head Start classroom session from 9 a.m. until 12 p.m. When Bryson is not attending Head Start, his family receives part-time Child Care Works subsidy. See example below.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child’s First Name &amp; Last Initial</td>
<td>Care Level (INF, YOT, OLT, ORL, YSA, OSA)</td>
<td>Child Care Private Pay Only</td>
<td>Child Care Private Pay with Early Intervention (EI) (SNP/FSP focused on site)</td>
<td>Child Care Works (CCW) Subsidy (includes children receiving both CCW &amp; EI)</td>
<td>PA Pre-K Counts</td>
<td>Head Start</td>
<td>Other Funding Sources</td>
<td>Child’s Total Weekly Attendance (sum of Columns C through H)</td>
</tr>
<tr>
<td>Example: Bryson A.</td>
<td>PRE</td>
<td>0</td>
<td>0</td>
<td>0.5</td>
<td>0</td>
<td>0.5</td>
<td>0</td>
<td>1.0</td>
</tr>
</tbody>
</table>

Using the table on page 2, it is determined that Bryson’s FTE value for his Head Start time is 0.5 (5 half days per week) and his FTE value for time funded through Child Care Works Subsidy is also 0.5 (5 half days per week).

Example B: Grace attends the Early Learning Center in Hometown, PA. Grace B. is enrolled in half day Pre-K. Grace then receives six hours of child care three days a week, private pay. See example below.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child’s First Name &amp; Last Initial</td>
<td>Care Level (INF, YOT, OLT, ORL, YSA, OSA)</td>
<td>Child Care Private Pay Only</td>
<td>Child Care Private Pay with Early Intervention (EI) (SNP/FSP focused on site)</td>
<td>Child Care Works (CCW) Subsidy (includes children receiving both CCW &amp; EI)</td>
<td>PA Pre-K Counts</td>
<td>Head Start</td>
<td>Other Funding Sources</td>
<td>Child’s Total Weekly Attendance (sum of Columns C through H)</td>
</tr>
<tr>
<td>Example: Grace B.</td>
<td>PRE</td>
<td>0.5</td>
<td>0</td>
<td>0.5</td>
<td>0</td>
<td>0.5</td>
<td>0</td>
<td>1.1</td>
</tr>
</tbody>
</table>

Using the table on page 2, it is determined that Grace’s FTE value for her PA Pre-K Counts time is 0.5 (5 half days per week) and her FTE value for time funded through private pay child care is 0.6 (3 full days per week).
Keystone STARS Staff Qualification Waiver with Action Plan

<table>
<thead>
<tr>
<th>Practitioner Name:</th>
<th>Today’s Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Agency:</th>
<th>Total Number of Staff at facility: ________</th>
<th>Total Number of Staff at facility with Action Plans: ________</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Current Degree:</th>
<th>Major:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Action Plan for Reaching Keystone STAR Requirements

<table>
<thead>
<tr>
<th>Current Level on Career Lattice:</th>
<th>Anticipated # of credits needed to obtain next level of Career Lattice:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Institute of Higher Education:</th>
<th>Enrollment Date in program:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name of Degree Program (if applicable):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Semester</th>
<th>Plan Please list all courses that you plan to take</th>
<th>Completion Date and Grade:</th>
<th>Please indicate if you completed the courses listed in your action plan; if not, explain.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer Fall Spring 20__</td>
<td>Course Titles:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total # of credits this semester:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Summer Fall Spring 20__</td>
<td>Course Titles:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total # of credits this semester:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Course Titles:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Summer Fall Spring 20__</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total # of credits this semester:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Course Titles: |  |
| Summer Fall Spring 20__ |  |
| Total # of credits this semester: |  |

**Action Plan Goal:** Obtain Level _____ on Career Lattice by Date ____________

I affirm that this Action Plan is correct and I agree to complete this Action Plan as described.

_____________________________________________________
Signature of Practitioner                                      Date

I acknowledge that this Action Plan is correct and I acknowledge responsibility for assisting the Practitioner to attain required qualifications by identified date. I am requesting a waiver for this Practitioner’s qualification.

_____________________________________________________
Signature of Director/Administrator                          Date

Send Action Plan to your STARS Manager/Specialist at the Regional Key
Creating A New MPI (new provider)

Below is a list of Certification activities with regards to MPI changes or creations. To assist Regional Keys with understanding how these changes may impact KTQ we have provided some additional details.

1) Open and Operate New Location under an LE/Tax-ID that doesn’t exist in PELICAN Certification *(New MPI if provider doesn’t exist)*:
   KTQ – no changes in system, new provider process

2) Renewal of an Existing Location under an existing LE in PELICAN Certification *(MPI would not change)*:
   KTQ – no impact, this is renewal of certificate

3) Open and Operate a New/additional Location under an LE that already exists in PELICAN Certification *(New MPI location)*
   KTQ – new provider location under existing LE, new provider process

4) Change of Ownership of Legal Entity (including new Tax ID) – *(New MPI legal entity and location)*
   KTQ: New owner will need designation and ERS if applicable. STARS history does not transfer. Policy clarification - if it triggers a new cert than they need a new designation. New owners may NOT always support STARS CQI. This may need to be handled on a case by case basis if there are exceptions.

5) Change of Tax ID (same owner) - *(New MPI legal entity and location)*
   KTQ: This is a scenario in which the existing owners Tax-ID changes and all locations remain at the same addresses. KTQ Help Desk will move STARS history data to new MPIs. A second scenario arises: Change of Tax ID of a single Location under a Legal Entity, i.e. there is a change in the Ownership of a single Location. This follows the same action as scenario 4 above

6) Change of Facility Location under an existing LE *(New MPI location)*:
   KTQ: if the physical environment itself changes, new designation.

7) Change of Facility Type under the same LE – Group to Center *(MPI would not change)*:
   KTQ: New designation, if applicable

8) Change of Facility Type under the same LE – Family to Group/Center *(MPI would not change)*:
KTQ: No action required from a K2Q perspective. STARS TA may or may not end in this scenario—will be handled on a case by case basis.

9) **Change of Facility Location Name (MPI would not change):**

KTQ – no KTQ system changes, just name change, MPI remains the same.

10) **Change in Name of Operator (MPI would not change):**

KTQ – no KTQ system changes, just name change, MPI remains the same.

11) **Change of Legal Entity Name (MPI would not change):**

KTQ – no KTQ system changes, just name change, MPI remains the same.

12) **Change of Facility Postal Address (MPI would not change):**

KTQ – no KTQ system changes.

13) **Change in Profit or Non-profit Status (MPI would not change):**

KTQ – no KTQ system changes, just name change, MPI remains the same.

14) **Increase in Facility Capacity (MPI would not change):**

KTQ: No KTQ system changes - Facility Capacity is not entered directly in K2Q.
## Designation and Environment Rating Scale Assessment Triggers

<table>
<thead>
<tr>
<th>Designation and Environment Rating Scale Assessment Triggers</th>
<th>Designation Visit Required</th>
<th>Is an ERS Visit Needed?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Provisional Certificate of Compliance</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If, while the site is on a Provisional Certificate:</td>
<td><strong>Yes</strong></td>
<td><strong>No</strong></td>
</tr>
<tr>
<td>• STAR Designation expires, ERS scores do not:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• STAR Designation expires, ERS scores expire:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• STAR Designation does not expire, ERS scores expire:</td>
<td><strong>Yes</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Director Turnover</strong></td>
<td><strong>Yes</strong></td>
<td><strong>No</strong></td>
</tr>
<tr>
<td>If, at the time the Regional Key becomes aware of the New Director:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The ERS scores will expire in 12 months or less:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• The ERS scores will expire in 13 – 24 months:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td><strong>Staff Turn Over</strong></td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>If, 50% + of all full-time staff are new:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If, more than 1/3 of classrooms have lost a lead teacher and:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• ERS scores will expire in 12 months or less:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• ERS scores will expire in 13 – 24 months:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td><strong>New Age Group Added</strong></td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• ERS visit needed within 6 months of when the Regional Key becomes aware that a new age group of services has been added.</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td><strong>New Location</strong></td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>If, LE/Tax ID are new to PELICAN:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>If, LE/Tax ID are already known in PELICAN:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td><strong>Change In Ownership</strong></td>
<td><strong>Yes</strong></td>
<td><strong>No</strong></td>
</tr>
<tr>
<td>• ERS scores will expire in 12 months or less:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• ERS scores will expire in 13 – 24 months:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td><strong>Change of Physical Location</strong> (Same owner)</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td><strong>Change of Facility Type</strong> (Same Legal Entity)</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
<tr>
<td>• Facility type change results in change in applicable ERS scale:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Facility type change has no impact on applicable ERS scale:</td>
<td><strong>Yes</strong></td>
<td><strong>Yes</strong></td>
</tr>
</tbody>
</table>

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Keystone STARS

Reaching higher for quality early learning
OPTIONAL TOOLS
Keystone STARS Meeting Form

Attendance: ______________________________________________

MPI#: ________________________________________________
Facility Name: __________________________________________
Address: ______________________________________________

☐ Initial   ☐ 6 Month   ☐ Pre-designation   ☐ Designation   ☐ Grant Related
☐ General (List Goal of Meeting): ____________________________

Next Steps for Practitioner:
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

Date for Completion: _______________________

Next Steps for Regional Key:
___________________________________________________________________________
___________________________________________________________________________

Practitioner Signature _______________________________ Date ______________

Regional Key Staff Signature _________________________ Time In/Out

Optional Tools: Keystone STARS Meeting Form
Optional Tools: Keystone STARS Tips for Success  STAR 1 Family Child Care.

**Step 1:**
Register for and attend three “core series” trainings:
- Family Child Care Home STARS Orientation
- Core Knowledge Competencies/Big Ideas/Individual Professional Development Plan (CKC/Big Ideas/IPDP)
- Family Child Care Environmental Rating Scale (FCCERS).
These trainings can be taken separately or in two consecutive days of STARS Orientation Plus
Register for trainings on the PA Keys website [www.pakeys.org](http://www.pakeys.org).
- If you click the “login” tab on the top right side of the home page you will be directed to the “intranet log-in” page.
- If you don’t already have an account, you will create a new account and will have access to the training calendar. Your Specialist can assist you in setting up an account.

**Step 2:**
Request a STAR 1 Worksheet from your Specialist.
- Complete the “Learning Environment Checklist”
- Complete the “DPW Questionnaire”.

**Step 3:**
- Register for and attend Pediatric First Aid
- Register for and attend 2 hours of Health and Safety training (Also offered as part of STARS Orientation Plus)
- Purchase liability insurance
- Keep copies of your inspection reports

**Step 4:**
Order copies of the Pennsylvania Early Learning Standards for the age groups in your program through: [www.childcorepublishing.com](http://www.childcorepublishing.com)

**Step 5:** Log on to [www.pakeys.org](http://www.pakeys.org), click on “Early Childhood Programs” and then “forms and tools” on the left sidebar. You will find tools for the following STAR 1 Standards:
- Collecting child centered information from families
- Creating an injury and illness tracking system
- Developing a family handbook

**Step 6:** Make sure that your STAR 1 worksheet is complete. Complete a “Request for Designation” and an “Enrollment Calculation Tool”. Your Specialist can provide these forms.
Step 7: Submit the following documents to your Specialist:
1. A completed Request for Designation form
2. A completed Attestation form
3. A completed STAR 1 worksheet, Learning Environment Checklist and DPW Questionnaire
4. A copy of your current and full DPW license
5. Copies of your training certificates for the required trainings
6. High School and/or college degree or transcripts
7. A copy of your Pediatric First Aid Card
8. A copy of your liability insurance
9. A completed Enrollment Calculation Tool

Step 7: Your Specialist will review your paperwork and if all is in order will submit it to a STARS Designator who will confirm that you have met all STAR 1 Standards. You can expect your STAR 1 certificate in the mail a few weeks after confirmation.
Program Name: 

MPI#

I. Facility tour

<table>
<thead>
<tr>
<th>Notes/Reflection</th>
<th>Strengths</th>
<th>Areas for Growth</th>
</tr>
</thead>
<tbody>
<tr>
<td>Physical Environment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Safety</td>
<td></td>
<td></td>
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<tr>
<td>Supervision of children</td>
<td></td>
<td></td>
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<tr>
<td>ERS indicators</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STARS standards</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adult Child Interactions</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

II. Essential questions *Enter into the Specialist Task Manager*

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will this be a Move Up year?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Will this be a Maintenance year?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>50% staff change?</td>
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<td></td>
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<tr>
<td>Change in Director?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Paperwork or Designation visit?</td>
<td>P</td>
<td>D</td>
<td></td>
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</tbody>
</table>
### III. STARS STANDARDS REVIEW

Review documentation of the essential standards connected with the goal STAR level for the year. (See attached)

### IV. Identify goals to include on the Annual CQI Plan and refer RK

<table>
<thead>
<tr>
<th>Draft CQI Goal</th>
<th>Action Steps</th>
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</thead>
<tbody>
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### V. Share Current FY Regional Key tips for Success Document

- Discuss time frames for Renewal and or Move up and tips for success
- If applicable, discuss Timeframes for Grant submission and Closure and tips for success

### VI. Update PELICAN

- Location Contacts
- Location activities
### Optional Tools: STARS Standards to review during the 6 month Visit

<table>
<thead>
<tr>
<th>Program Name:</th>
<th>MPI #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard</td>
<td>Comments</td>
</tr>
<tr>
<td>Professional Development Hours; Annual PD Plan in PDR; and Professional Growth Activity</td>
<td></td>
</tr>
<tr>
<td>Career Lattice <em>(Complete SQAP, update with new staff)</em></td>
<td></td>
</tr>
<tr>
<td>Lesson plans <em>(View Sample of Current plans)</em></td>
<td></td>
</tr>
<tr>
<td><strong>STAR 2</strong> Continuing to lesson plan using current learning standards?</td>
<td></td>
</tr>
<tr>
<td><strong>STAR 3</strong> Continuing to document individual goals for children and connect to lesson plans using current learning standards?</td>
<td></td>
</tr>
<tr>
<td><strong>STAR 4</strong> Lesson plans document collaboration to implement IEP/IFSP goals for children where relevant?</td>
<td></td>
</tr>
<tr>
<td>Illness/Injury tracking <em>(View Sample of Current)</em></td>
<td></td>
</tr>
<tr>
<td>Site Safety Review <em>(View Sample of Current)</em></td>
<td></td>
</tr>
<tr>
<td>Operating Budget and Financial Record Keeping <em>(View Sample of Current)</em></td>
<td></td>
</tr>
</tbody>
</table>

### STAR 3 and STAR 4 Standards to Review

<table>
<thead>
<tr>
<th>Program Name:</th>
<th>MPI #:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>STAR 3</strong> CQI Plan</td>
<td></td>
</tr>
<tr>
<td><strong>STAR 4</strong> Strategic Plan; Business Plan; Risk Management Plan <em>(View Sample of Current)</em></td>
<td></td>
</tr>
<tr>
<td>Observations/Evaluations of Teachers <em>(STAR 3 Center/STAR 4 Group)</em></td>
<td></td>
</tr>
<tr>
<td>Completion of Director Credential. (STAR 3 Center/STAR 4 Group)</td>
<td></td>
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<tr>
<td>---</td>
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</tr>
<tr>
<td>Continue to enter assessment information into the ELN in accordance with OCDEL reporting timeframes</td>
<td></td>
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</tbody>
</table>

**STAR 3 and STAR 4 Standards to Review**

<table>
<thead>
<tr>
<th>Children’s Files <em>(View Sample files)</em></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>□ Developmental Screening or Observation complete for all new enrollments (ASQ)?</td>
<td></td>
</tr>
<tr>
<td>□ Getting to know you implemented complete for all new enrollments?</td>
<td></td>
</tr>
<tr>
<td>□ Request for IEP/IFSP documented?</td>
<td></td>
</tr>
<tr>
<td>□ Observations &amp; Assessments documented?</td>
<td></td>
</tr>
<tr>
<td>□ Parent Conferences documented?</td>
<td></td>
</tr>
</tbody>
</table>
Optional Tools: Establishing an Injury/Illness-Contagious Condition Monitoring/Tracking System

Developing injury/illness tracking logs is just the first step in creating a monitoring system. Regular review of the log that will enable you to identify health and safety concerns, patterns, program structural problems, staffing issues etc. that may be contributing to the injuries and illnesses that occur within your program. The tracking system will not only help you to identify problems that need to be corrected, but it will also provide you with information that can be used to engage in preventive action planning. This is the ultimate goal, to eliminate preventable injuries and illnesses before they occur!

Step 1: Develop, or select from existing samples, a tracking tool to record all injuries and illnesses that occur

The tool should include essential information such as...

- The date and time injury/illness occurred.
- The specific location (outdoors, indoors, room, area of the room)
- Child/children involved
- Teacher(s) present
- Description of the injury/illness
- Identification of possible contributing factors
- Preventive action to be taken
- Corrective action to be taken
- Preventive/corrective action plan completion dates

Step 2: Determine who is responsible for recording injuries/illnesses-contagious condition on the tracking logs

Areas to consider:

- Are there reasons why you would/would not want the same person who is responsible for completing an incident report to record the incident on the tracking log?
- Should incident reports be submitted by the direct care staff and then recorded on the tracking log by a supervisor or director?
- Will entries on the tracking log be based on written reports or verbal interviews with the person(s) involved?
- Some facilities develop a specific staff person to track and monitor and serve as the program expert on illness and injury. This person reports and facilitates problem solving at staff meetings or other times as needed and helps to make sure that everyone does their part to keep the program safe and help control the spread of illness.

Step 3: Determine who is responsible for reviewing the injury/illness-contagious condition tracking logs

The log should include a place to record review dates and signature of reviewer.

Step 4: Establish regular schedule to review of the injury/illness-contagious condition tracking logs

Things to consider: How frequent do injuries and illnesses occur? If the frequency is high, you may want to review the tracking log more frequently; i.e. once a week until the number of incidents drops significantly and
remains at a low or non-existent level. If the frequency of incidents is low, then a once a month review might be sufficient.

**Step 5: Determine who is responsible for preventive and corrective action planning**

Areas to consider:

- Does the direct care staff have the necessary skills/knowledge to independently develop action plans to address concerns? If not, it is recommended that a supervisor facilitate the action planning process with the direct service staff actively involved. Either way, the action plan should be submitted to a supervisor for final approval.

- Action plans should include:
  - Date of development
  - Details of the area in need of improvement
  - Details of action plan
  - Person(s) responsible
  - Target date
  - Completion date

- Everyone is responsible for health and safety of the children. In many situations, immediate steps need to be taken and recorded.

**Step 6: Determine who monitors implementation, progress and completion of action plans**

Someone must be responsible for seeing that the action plans developed are not just carried out through completion, but are also maintained on a consistent basis.

**Step 7: Meet with staff to introduce the injury/illness-contagious condition tracking system**

Upon completion of steps 1 thru 6, Supervisor, Director or Administrator should meet with staff to discuss the injury/illness tracking system. The discussion should include rationale for the system (why is it important), introduction to the tools, review of roles and responsibilities and an opportunity for staff input, questions, etc.

**Step 8: Establish written procedures for the injury/illness-contagious condition tracking system**

Written procedure that identifies who is responsible for each step in the process should be established. (Note: You may identify persons responsible for each step by name, or you might simply identify them by title; i.e. The Lead Teacher in each classroom will be responsible for. . .)

**Step 9: Distribute copy of written procedures to all staff**

Written procedures should be given to all staff in some format, and information about the injury/illness tracking system should be added to your policy and procedure manual.

**Step 10: Implement the injury/illness-contagious condition tracking system**

Once implementation has begun, the system should be evaluated periodically and revised as warranted.
**Instructions:** As you are monitoring the illnesses in your facility, you should consider the following:

<table>
<thead>
<tr>
<th>What to Monitor</th>
<th>If You See...</th>
<th>What it Might Indicate</th>
</tr>
</thead>
</table>
| How often does illness or condition occur? | Frequent illness or contagious condition | • The environment is unhealthy; i.e. not regularly cleaned and sanitized (including toys, equipment, floors, carpeting, eating containers/utensils etc.)  
• Heating/ventilation system is inadequate, not allowing for the circulation of fresh air or warm heat during colder months.  
• Daily fresh air exchange protocol not being followed  
• Hand/wash hygiene practices for reducing the spread of germs are inconsistent, i.e. regular hand washing, appropriate diapering and toilet procedures, the use of universal precautions, etc. |
| When does illness or condition occur? | Illness or contagious condition occurring more frequently at a specific time of year | • Seasonal influences; i.e. colds and flu season during the winter months.  
• Children not being adequately dressed for seasonal changes.  
• A specific disease or illness spreading within the larger community; i.e. a sudden rise in the incidents of whooping cough. |
| Where does illness condition occur? | More frequent illness or contagious condition happening in a specific classroom | • The classroom is not being adequately cleaned and sanitized.  
• Teachers are not consistent in the implementation of health/hygiene practices to reduce the spread of germs.  
• An environmental concern that is specific to this classroom, i.e. poor insulation allowing air to enter and create a draft, a broken thermostat preventing climate control. |
| Who is becoming ill or consistently exhibiting a contagious condition? | The same child becoming ill or with a contagious condition frequently | • The child has health concerns that need to be investigated further.  
• The child has a medical condition that requires treatment and/or special consideration; i.e. the child has asthma and experiences respiratory distress when exposed to dust, perfumes, or other strong chemicals.  
• The child is not being adequately dressed for the weather.  
• Family needs extra support and assistance. |

<table>
<thead>
<tr>
<th>What to Monitor</th>
<th>If You See...</th>
<th>What it Might Indicate</th>
</tr>
</thead>
</table>
| Who is supervising when children become ill or which classroom has more contagious conditions reported? | The children assigned to a specific teacher becoming ill more frequently than other children | Primary caregiver...  
• Is inconsistent in implementing health and hygiene practices to reduce the spread of germs or contagious conditions.  
• Has personal health concerns that are impacting the health of children.  
• Is wearing something that children are having an adverse reaction to; i.e. strong perfume.  
• Is exposing children to unhealthy conditions; i.e. taking children outdoors when the weather is too cold or too warm.  
• Is inadequately controlling the temperature in the room; i.e. turning the air conditioning up too high or turning the heat down too low to suit his or her own personal preferences. |
| Unexplained illness | Sudden onset of vomiting, stomach, or headache complaints from children and/or staff... OR Sudden onset, break of symptoms such as rash, fever, diarrhea, etc. | • A problem with food contamination.  
• A childhood illness has been introduced into the environment; i.e. chicken pox, mumps, measles, etc.  
• A virus has been introduced into the environment.  
• A problem with an environmental hazard, possibly requiring emergency action; i.e. leaking gas or carbon monoxide. |
ILLNESS OR CONTAGIOUS CONDITION TRACKING / PLAN OF ACTION

- Staff should wait until the end of the month to make obvious corrections.
- Staff will complete illness/condition reports. Details are documented and parent is contacted (if necessary). The lead teacher will share an individual incident/contagious condition report with parent at time of pick-up and obtain signature of parent as acknowledgment.
- The lead teacher will log the incident into the illness/contagious condition tracking log.
- At the end of the month, the lead teacher will submit the log to the Director/Administrator.
- The Director/Administrator reviews the illness or contagious condition tracking log at least monthly.
- The Director will note any patterns/trends (time, room, staff, equipment, routines, etc.).
  - If trend is determined:
    - Review classroom/inside environment to determine cause(s) of trend.
    - Speak with Staff involved.
    - Provide training or mentoring as needed.
    - Seek technical assistance if needed or secure health consultant services.
    - Create a timeline for change.
    - Implement change.
  - Re-evaluate changes to determine effectiveness.
  - If ineffective, repeat the process again.

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Type of Illness/Condition</th>
<th>Children Involved</th>
<th>Possible Contributing Factors</th>
<th>Preventive/Corrective Action Plan (please indicate when notified Health Consultant)</th>
<th>Staff Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/11/11 10:00 AM</td>
<td>Asthma Episode - Respiratory Distress</td>
<td>Mary Green</td>
<td>Strong scent of new cleaning solution present in the classroom.</td>
<td>Return to the exclusive use of bleach/water cleaning solution, 1/12/11.</td>
<td>MEL</td>
</tr>
<tr>
<td>2/22/11 9:00 AM</td>
<td>Head Lice</td>
<td>Todd Smith, Shelby Martin</td>
<td>Become aware of a head lice outbreak at the local elementary school.</td>
<td>Contacted parents; sent notes home to other parents, instituted daily head checks, bagged items in cubbies, cleared classroom of “soft” items – made sure all program staff aware and precautions taken</td>
<td>WGS</td>
</tr>
</tbody>
</table>

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Lead Teacher’s Name: ___________________________  Classroom: _____________  Month/Year: ____________

Director Review: ___________________________  Review Date: _____________

---

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Type of Illness/Condition</th>
<th>Children Involved</th>
<th>Possible Contributing Factors</th>
<th>Preventive/Corrective Action Plan (please indicate when notified Health Consultant)</th>
<th>Staff Initials</th>
</tr>
</thead>
</table>
Instructions: As you are monitoring the injuries and accidents in your facility, you should consider the following:

<table>
<thead>
<tr>
<th>What to Monitor...</th>
<th>If You See...</th>
<th>What it Might Indicate...</th>
</tr>
</thead>
</table>
| How often do injuries occur? | Frequent Injuries | • The environment is unsafe.  
• The amount of space is inadequate.  
• Supervision of children is inadequate.  
• Child/teachers ratio is too high.  
• Children are not engaged in constructive activity. |
| When do injuries occur? | Injuries occurring at the same time of day | • Inadequate staffing for the number of children at this time.  
• Inappropriate activity going on at this time of day.  
• Children not engaged in constructive activity.  
• Teachers not actively involved with children during this time period. |
| Where do injuries occur? | More frequent injuries happening in a specific classroom. | • Classroom contains safety hazards.  
• Inadequate supervision.  
• Problems with curriculum planning.  
• Problems with classroom management.  
• Skill level of teachers does not adequately meet the demands. |
| Where continued... | Frequent injuries occurring outdoors | • The outdoor environment and/or equipment is unsafe.  
• The outdoor equipment is not age appropriate.  
• Supervision is inadequate, i.e. teachers socializing instead of supervising.  
• Outdoor play activities are chaotic, not planned. |
| Who is getting hurt? | The same child being injured frequently | • Child has developmental concerns, i.e. difficulty with balance and coordination, that need to be investigated more closely.  
• Child has challenging behaviors that indicate some emotional distress or other concern.  
• Child is the victim of another child’s attacks.  
• Child is very active and needs to learn constructive ways to release excessive energy.  
• Child frequently engages in risky behaviors (which may or may not be attention-seeking) that need to be investigated further. |

<table>
<thead>
<tr>
<th>What to Monitor...</th>
<th>If You See...</th>
<th>What it Might Indicate...</th>
</tr>
</thead>
</table>
| Who is supervising when injuries occur? | Frequent injuries occurring under a specific teacher’s watch | • Teacher may have too many children to manage.  
• Teacher may have inadequate supervision or classroom management skills.  
• Teacher may not understand the importance of “active” supervision.  
• Teacher may need training and closer supervision.  
• Teacher may be overwhelmed, either by children or preoccupation with personal issues. |
INJURY TRACKING / PLAN OF ACTION

- Staff will complete injury reports. Details are documented and parent is contacted (if necessary). Staff never should wait until the end of the month to make obvious corrections.
- The lead teacher will share an individual incident report with parent at time of pick-up and obtain signature of parent as acknowledgment of incident.
- The lead teacher will log the incident into the illness tracking log.
- At the end of the month, the lead teacher will submit the log to the Director/Administrator.
- The Director/Administrator reviews the injury log at least monthly.
- The Director will note any patterns/trends (time, room, staff, equipment, routines, etc.).
  - If trend is determined
    - Review classroom/outside environment to determine cause(s) of trend
    - Speak with Staff involved
    - Provide training or mentoring as needed
    - Seek technical assistance or secure health consultant services
    - Create a timeline for change
    - Implement change
  - Re-evaluate changes to determine effectiveness.
- If ineffective, repeat the process again.

### Preventive/Corrective Action Plan

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Location of Injury</th>
<th>Child(ren) Involved</th>
<th>Type of Accident/Injury Sustained</th>
<th>Preventive/Corrective Action Plan</th>
<th>Staff Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/11/11 11:30 AM</td>
<td>Playground</td>
<td>Billy Williams</td>
<td>Fell from slide and sustained a cut on his forehead.</td>
<td>Established new rules for slide (must come down feet first). Established adult supervision assignments for all outdoor equipment 1/2/06.</td>
<td>DAS</td>
</tr>
<tr>
<td>2/22/11 3:30 PM</td>
<td>Hallway</td>
<td>Thompson and Ashley O’Dell</td>
<td>Two children walking down hall pushing and running, TT fell against the wall, bruised arm and knocked off art work.</td>
<td>Assigned to staff meeting on 2/24/11 - review and clarification of protocols for moving through hallways, wrote and posted notice in hallways, logged in staff meeting notes for staff not present to review.</td>
<td>SMS</td>
</tr>
</tbody>
</table>

Lead Teacher’s Name: ___________________________ Classroom: ___________________________ Month/Year: ___________________________ 

Director Review: ___________________________ Review Date: ___________________________ 

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Location of Injuries</th>
<th>Child(ren) Involved</th>
<th>Type of Accident/Injury Sustained</th>
<th>Preventive/Corrective Action Plan with Timelines and Staff Responsible</th>
<th>Staff Initials</th>
</tr>
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<tbody>
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</table>
Optional Tools: Enrollment and “Getting to Know You” Meeting Guide

Instructions: This guide has two sections. The first section outlines examples of questions that you would want to be answered before the child begins attending your program. These are questions that have to do with the safety and health of the child. The second section gives suggestions for a “Getting to Know You” meeting which is meant to be a conversation between the teacher (or director) and the parent to continue to develop their critical partnership. The Keystone STARS Performance Standards require this type of meeting within 60 days of enrollment.

Depending on the parent and where they lead the conversation, you may not use all of these questions, or you may come up with some on your own! Remember that this is only a guide, and you need to tailor your questions to the child’s age and situation. Please be sure to keep notes of your meeting along with this form in case you need to reference your notes at a later date.

Child’s Name: __________________________________________

Names of Meeting Attendees: __________________________________________

Meeting Dates: Enrollment: ______________________ Getting to Know You: ________

If “Getting to Know You” meeting was refused:

1. Date of refusal by parent: ______
2. Attach a list of the information that you shared in written form.

Questions that might be asked at enrollment:

Family Composition Questions:

- Tell me about your household. (neighborhood, who lives there, names and relationship to child)?
- Does your child have any parents that do not live in the home?
  o Does your child visit this parent?
  o Are there any custody issues that we should discuss?
- Does your child have any siblings (names and ages)?
- Does your family have any pets?
- Does your child respond to any nicknames? Does your child have any nicknames for family members?
- Is there any other information about your family’s composition that you would like to share?

Child Information

- Has your child been in an early learning program or child care before?
Designation and Reliability Manual
Version 1.0

- If yes, would you share some information with us? (Where? When? For how long?)
- What kind of care (family day care home, relative/neighbor care, group, center)?
- Is there a reason for leaving that program that you would like to share with me?
- Do you have any of your child’s records from that program?
- How did your child react to other children and adults?

- What do you think will happen the first day you leave your child with us?
- Does your child have any imaginary friends?
- Are there any special problems or fears that we should know about?
- Does your child do any of the following:
  - Nail biting?
  - Thumb sucking?
  - Stuttering?

- Any special needs (medical, developmental, social, mental health)?
  - Do any of these special needs require special care by our teachers?
  - Does your child have an IEP (Individualized Education Plan) or ISFP (Individualized Family Service Plan)?
    - If so, we would like a copy of the plan so we can provide the best possible learning experience for your child.
    - What program or individuals work with your children in regards to these special needs? Would you sign a release of information with them so they can speak with us about how to provide enhanced support to your child?

- Does your child have any allergies?
  - Food Allergies
  - Environmental Allergies
  - Allergies to medicine

- How are your child’s allergies treated?
- Do you have any special medical or dietary information for management in an emergency situation (medicine to keep on hand, people to call, etc.)?
- Any other medical or special needs?
- Describe your child’s schedule:
  - Normal bedtime, waking time, nap time and duration
  - Meal times
Does your child have a different schedule at any other child care settings (babysitter, relative/neighbor care, school)?

- Regarding toilet habits, what words does your family use for bowel movements and urination?
  - Any special terminology for private parts?
  - Is your child toilet trained?
    - Does your child need to be reminded to go to the toilet during waking hours?

- Other required DPW (or other agency) required forms and signatures will be used in conjunction with some of these questions.

- Is there information that will help us make the first few days in our program easier for your child?

- Is there other information you would like to share?
Optional Tools: “GETTING TO KNOW YOU” MEETING

The “Getting to Know You” meeting should be a conversation between the teacher (or director) and the parents about to create a partnership between the teacher and parent and to discuss the child’s learning opportunities in the program. It is also a great time to discuss the child’s first few weeks in your program and to clarify and reinforce the policies and procedures affecting the family and child. Here are a few questions and suggestions for discussion:

Questions for the Parent

- What are your expectations of our program?
  - Is any particular aspect of the education program especially important to your child/family?
- Is there any information about your family’s culture, ethnicity, language, or religion that is important for us to know? Would you and/or your family like to be a resource for any cultural awareness activities?
- Are you willing to be a volunteer in our classroom?
  - Are there any other ways you would like to be involved?
  - Are there any other talents or interests you would like to share with us?
- What times are best for us to reach you and for you to come in for parent conferences?
- Tell me about your child’s:
  - Favorite Toys
  - Favorite Games
  - Food Likes and Dislikes
- Has your child talked to you about his or her experiences in our program so far?
  - Is he/she positive about the program, other children, and the teaching staff?
  - If not, how do you think we can make your child’s experience better?
- Are there any ways that we can improve communication with you about your child’s experiences?
- Do you have any questions about the Parent Handbook? (Have a copy on hand to show the parent)
- Do you have any questions about the program, curriculum, or facility?

Discussion points

- Take this time to reinforce any specific policies that are important for the parent to understand. If you have the time, go through the Parent Handbook with the parent.
- Discuss how the child is transitioning into your classroom.
- Share information about the transition meetings, group activities, and parent conferences that are available to the parent.
- Show the parent the classroom behavior guidelines. Find out if the rules are similar to rules that the parent has at home and discuss any differences.
Optional Tools: Sources of Evidence- Clarification Worksheets
https://www.pakeys.org/pages/starsDocs.aspx

- Centers- STAR 4 Clarification Worksheet 2014-2015
- Family- STAR 4 Clarification Worksheet 2014-2015
- Group- STAR 4 Clarification Worksheet 2014-2015
- SACC- STAR 4 Clarification Worksheet 2014-2015

Optional Tools: Good, Better, Best- Pennsylvania’s CQI Guide to Best Practices
https://www.pakeys.org/pages/starsDocs.aspx

- Family Day Care Homes
  - Centers
  - Group Homes

Note: Documents can be viewed in their entirety located on the PA Key Website-
Early Childhood Programs-
Forms & Tools-Optional Tools
Optional Tools: 30 Day Notification Letter of STAR Expiration

Date

Program Name
Address
City, State Zip

Re: 30 Day Notification of STAR Expiration

Dear (Director’s Name),

On [DATE], the ____________ Regional Key received notification of potential noncompliance with Keystone STARS Performance Standards at [FACILITY NAME] located at [FACILITY ADDRESS]. Based on this information, this facility is under review. This review is conducted for all STARS sites with potential areas of noncompliance.

At this time, the Regional Key will review this facility’s STARS status to verify compliance and will determine the appropriate actions which may include a review with the DPW Regional Certification Office. There is potential that your facility’s STAR may be suspended, reduced, or removed upon verification of noncompliance. If a suspension should occur, the facility has an opportunity to have its STAR reinstated by following agreed upon steps. In addition, the facility has continued access to its STARS representative for assistance. If a removal should occur, the facility will not have access to STARS assistance or resources. A facility with a suspended or removed STAR cannot advertise as a STARS facility and cannot access STARS Financial Award funds.

During the review of the facility’s STARS status, the facility may contact a STARS representative to request guidance and assistance in STARS Performance Standards or to receive a referral for STARS Technical Assistance or any community resources needed. In fact, we recommend that the facility contact a STARS representative for assistance and professional development opportunities.

Again, this letter is only to notify you that the facility is under review. During this review period, this facility’s STARS status will not change, but STARS Financial Awards will not be processed until the review is satisfactorily completed. You will be contacted by the Regional Key within 30 days if there is a change in the facility’s STARS status or if any further action is required of the facility.

Please feel free to contact [CONTACT NAME & PHONE NUMBER] if you have any questions or if you would like to discuss this review. Thank you.

Sincerely,

(Stars Manager’s Name)
Keystone STARS Manager
Dear (Director’s Name),

I am writing to confirm our date for STAR Pre-Designation visit on (Date) at (Time). The date for your Designation visit from our Designator, (name), is for (Date) at (Time). She will be emailing you a letter soon to confirm.

In order to prepare for our visit here is the documentation that I will review:

- All documentation that supports the STAR standards including but not limited to the following:
  - I will need to see all PDRs in detail and verify PD certificates from (Date Range).
  - I will look at your completed Staff Records Grid (attached).
  - Current operating budget and financial record keeping system.
  - A minimum of 2 children’s files from each age group will be reviewed for observations, assessments, and parent conference information.
  - Personnel Policy Handbook/Staff Handbook
  - Family Handbook
  - Lesson plans for the last 3 months
  - Stakeholder list
  - Transition information
  - Current illness/injury tracking reports and site safety reviews with plans of action
  - Staff meeting sign-ins, agenda, minutes for the past 3 months of staff meeting
  - Completed Facility Staffing Profile to determine Career Lattice levels (attached)

I will need about ____ hours to complete my visit. You don’t have to be there the whole time. I can make a list of questions and we can go over it at the end of my visit.

If you have any other questions or concerns, please don’t hesitate to call. I can be reached by email at any time and you can also reach me at (Phone Number). I look forward to seeing you on (Date)!

Sincerely,

(STARS Manager’s Name)
Keystone STARS Manager
Date

Program Name
Address
City, State Zip

Re: Pre-Designation Visit (Date)

Dear (Director's Name),

Thank you for your commitment to provide quality childcare to the children and families that you service. I enjoyed talking with you and visiting your program on (Day) of this week. Your facility is wonderful and your organizational skills are commendable. Please review the attached summary which contains the findings from my pre-designation visit.

Please email the documentation for the requested items to me by the requested dates on the summary. If you have any questions or concerns regarding the STAR ____ pre-designation visit, or if you feel that you need additional information regarding standards, please call me at (phone number)

Thank you for your commitment to Keystone STARS and quality child care for children.

Sincerely,

(STARS Manager’s Name)
Keystone STARS Manager
Date

Program Name
Address
City, State Zip

Re: Pre-Designation Visit *(Date)*

Dear *(Director’s Name)*,

It was such a pleasure meeting with you today. I really enjoyed visiting your wonderful facility.

Upon the completion of my pre-designation visit, I am pleased to say that I have found that your program has met all of the performance standards for *STAR ____*!

If you have any questions or concerns regarding the *STAR ____* pre-designation visit, or if you feel that you need additional information regarding standards, please call me at *(phone number)*

Thank you for your commitment to Keystone STARS and quality child care for children.

Sincerely,

*(STARS Manager’s Name)*
Keystone STARS Manager
Date

Program Name
Address
City, State Zip

Re: Planning Visit (Date)

Dear (Director’s Name),

I would like to thank you for taking the time on (Date of Visit), to plan your center’s Keystone STARS goals for the upcoming year. I was excited to hear about some of the highlights for this past year and to know that you plan to maintain STAR ___ as we move ahead.

As we reviewed at our visit, some additional information will be needed. The following documentation will be needed in order to meet a (STAR Level) Pre-Designation/Renewal.

- (Documentation needed)

For the next fiscal year, you will need to submit a STAR ___ renewal paperwork no later than (Date). An ERS visit will be conducted prior to (Date). In the meantime, if you have any questions or concerns, please feel free to contact me.

Or

Based on our conversation, we have planned for an early Pre-Designation visit sometime in (Month) or (Month). I will contact you to schedule as we approach that time. Based on the results of that visit, we may need an additional Pre-Designation, or we will proceed with scheduling a Designation visit in (Month) or (Month). Also an ERS visit will be conducted prior to (Date).

Thank you for the commitment to quality care for children!

Sincerely,

(Stars Manager’s Name)
Keystone STARS Manager
Glossary of Commonly Used Terms

https://www.pakeys.org/private/net/docs/3/Glossary%20of%20Terms.pdf

List of Acronyms

https://www.pakeys.org/private/net/docs/3/Glossary%20of%20Terms.pdf
Optional Tools: Keystone STARS Promotional Media
Keystone STARS LOGO “Reaching higher for quality early learning”
Keystone STARS Logo Usage Guidelines

Logo: “Keystone STARS: Reaching higher for quality early learning”

Who May Use the Logos?

Any child care provider that has a current Keystone STARS certificate awarded by the Pennsylvania Department of Public Welfare, or any Keystone STARS partners as designated by the Department of Public Welfare may use the Keystone STARS logo.

Where the Logos May Be Used

The logo may be used by child care providers with a current certificate for promotional purposes on the following items:

- Print (letterhead)
- Print Advertising (newspaper, magazine, direct mail)
- Television Advertising (all television must be approved first by DPW)
- Promotional Materials (brochures, information kits, family guides, flyers, giveaway items)
- Child Care Provider Internet Site

Logo and Logotype

The Keystone STARS logo consists of several elements – a graphic of two stars, the name of the program and the phrase “Reaching higher for quality early learning.” *THESE ELEMENTS MAY NOT BE SEPARATED.* There are two approved configurations – a horizontal and a vertical format. Always reproduce the complete logo from the artwork provided.

Do not:

- Alter the logo in any way.
- Redesign, redraw, animate or alter the proportions of the logo.
- Incorporate the logo into any other design.
- Add new elements to the logo.

The logo typefaces are Avenir 45 Book and Coop Black. Avenir 45 Book is preferred when additional copy is to be used with the logo.

The logo colors are Blue PMS 229, Yellow PMS 106, white and black. NO OTHER COLORS MAY BE USED. The artwork is being provided in three-color, two-color and one-color (black and white). If you are printing in process color, a four-color process of the two colors is acceptable. The one- and two-color logos may be reversed out of a background.

The logos should not be reproduced in print or on the web at a size where the logo graphic is smaller than half an inch (.5”).

Suggested Use of Logo on Labels and Mailings

1. Open Keystone STARS Logo CD.
2. Choose label type from Microsoft Word under Tools, Letters and Mailings.
3. Right click on logo from CD and click on copy.
4. Click on the area you wish to paste the logo and right click and paste.

Always keep a clear open space of at least a quarter of an inch (.25”) around the logo with no graphics, type, photographs or illustrations inside this clear space area.

If you have any questions concerning your use of the Keystone STARS logo, please contact your Regional Key.
Shoot for the STARS!

Congratulations! You have joined thousands of child care, PA Pre-K Counts, and Head Start programs who are participating in Keystone STARS because of a strong commitment to providing quality early education to young children.

You recognize the work it takes to become a part of Keystone STARS and you accept the challenge to climb up the STARS quality ladder because you want to give children a greater opportunity to reach their promise. Participating in Keystone STARS at any STAR level is an accomplishment for which you should be proud! You have worked very hard to demonstrate your commitment to high quality early care and learning, and now is the time for you to promote your success!

Make your STARS Shine!

You can use STARS to gain positive attention for your program while helping raise awareness that quality early learning matters! Remember, it takes a person dozens of times to hear or see a word before they really remember it. As a recognized Keystone STARS provider, YOU are very important in helping families and communities understand and appreciate your commitment to quality child care and education. Below are some creative ideas for how you can ‘Shine your STARS!’ and raise awareness of your participation in one of the nation’s most successful Quality Rating Improvement Systems.

1. Display your STARS certificate and window cling in your front window or high traffic area of your program. Customize and post the Keystone STARS promotional flyer (on page 3).

2. Add the STARS logo to anything that includes your program logo, such as:
   - Letterhead
   - Website
   - Advertisements
   - Parent letters and newsletters
   - Program sign
   - Staff or child t-shirts
   - Rate sheet and schedule

3. Add the following tagline to all of your publicity and written materials, including radio or TV ads, newsletters, websites, and press releases:

   - Keystone STARS rated as a STAR [Number] program recognized for providing quality early care and education, building strong foundations for children’s successes in school and life.
4. Distribute an announcement of your participation in Keystone STARS to local organizations and community leaders, such as:
   - Elementary school principals, superintendents and school board members
   - Community center directors
   - Local businesses and employers
   - Your local Chamber of Commerce
   - Mayor, county officials, state senators and representatives and Governor.

5. Share with families in your program information about Keystone STARS, and provide them with brochures that they can share with their family and friends. You can download copies of the PA’s Promise STARS brochure from the PA Key at [http://paprom.convio.net/startools](http://paprom.convio.net/startools) or from PA’s Promise for Children at [www.papromiseforchildren.com](http://www.papromiseforchildren.com) and [http://paprom.convio.net/stars](http://paprom.convio.net/stars). You can also choose to contact your Regional Key to request hard copies of materials. Don’t forget to discuss Keystone STARS with prospective families, too!

6. When answering the phone, and on automated voicemail messages, add the tagline “A Keystone STAR [Number] program.”

7. Share your good news with your neighbors! Throughout the year, don’t forget to share how Keystone STARS is making a difference for your program, your teachers, and most importantly, the children in your program.

   **You can share good news such as:**
   - Moving up a STAR level
   - Teachers earning new credentials and degrees
   - Special classroom projects that teach children great new skills
   - Children graduating to a new classroom or on to kindergarten

   **You can share these milestones with:**
   - Parents and families in your program
   - Local newspaper, radio and television stations
   - Local elected officials
   - Legislators and the Governor

8. When you or one of your teachers achieves an educational accomplishment through professional development, throw a ‘Shining STAR!’ party with cookies and punch or pizza and soda. Including families in a celebration ensures that they will notice and appreciate your extra hard work. It’s also a great way to talk about how Keystone STARS grant and award funds directly benefit children by contributing to the continued education of your staff.

9. Use the STARS logo to make creative gifts for your community Welcome Wagon, Chamber of Commerce, transitioning families or new families. Internet sites such as Vista Print allow you to upload your logo and choose from thousands of low-cost products, which include cups, mouse pads and calendars.
10. For more ideas, resources and templates to promote your participation with Keystone STARS, visit the STARS Outreach Resources page on the PA Keys website at: www.pakeys.org/pages/get.aspx?page=STARS_outreach.
[Name of Program] is proud to be a Keystone STAR [Number] program!

Our children are our greatest resource; we need to make sure we give them the opportunity to learn so they can reach their promise.

[Name of Program] is a Keystone STAR [Number] program because we believe that quality early education is key to our children’s future success in school and in life.

Keystone STARS is a state-funded voluntary program that promotes quality in child care, PA Pre-K Counts and Head Start programs. Programs earn a STAR 1 to STAR 4 rating based on quality standards for teachers, classrooms, and program management. As programs meet higher standards, they earn more STARS.

Through Keystone STARS, programs can provide new learning materials, books and toys for children, and help teachers get more education and college degrees to provide a better education for our young children, without significantly higher costs to families.

For more information on Keystone STARS, visit the Pennsylvania’s Promise for Children website at: www.papromiseforchildren.com.

Because every child is Pennsylvania’s future!
ATTENTION FAMILIES:
We have some great news for you!

{Program Name} joins Keystone STARS and earns a STAR {Number} rating!

{Program Name} is thrilled to announce that we are now participating in Pennsylvania’s Keystone STARS program! Keystone STARS helps us improve the care and education we provide to your child by building on the health and safety requirements regulated by the Department of Public Welfare. As child care programs like ours increase their quality and meet higher STAR levels, they receive supports so that they can continue to move up the quality ladder. Keystone STARS helps us fulfill our mission of providing high quality early learning opportunities for your child.

What does this mean for you and your child?

Our rating as a Keystone STAR {Number} program lets you know that your child is in a developmentally appropriate and supportive environment. Your child will learn, play, grow and be equipped for success in school and in life. Because of state supports, we can improve our quality without drastically increasing costs to families.

What does our STAR {Number} rating mean?

A STAR 1 has to meet research-based standards for program quality. For example, a STAR 1 program must develop a family handbook, hold a family conference, and complete a self-assessment of the classroom and learning environment.

A STAR 2 has to meet increased research-based standards for program quality. For example, at least half of lead teachers in STAR 2 centers and group child care homes must have an Associate’s degree in early childhood education.

A STAR 3 has to meet higher research-based standards for program quality. For example, all lead teachers in a STAR 3 centers and group child care homes must have an Associate’s degree in early childhood education.

A STAR 4 has to meet greater research-based standards for program quality. For example, at least half of lead teachers in STAR 4 centers and group child care homes must have a Bachelor’s degree in early childhood education.

Share specific examples about how you plan to improve your program with additional STARS supports – Will teachers be going back to school? Will you be purchasing new educational materials or equipment? Will you be communicating more with parents about their child’s development?

We care about our children and want to provide them with the best early learning opportunities possible. Learn more about how you can share in supporting your child’s learning experiences at home, and find out how to show your support for quality early education at www.papromiseforchildren.com.
Optional Tools: Keystone STARS Promotional Media

MCCA Subsidy Conversion Table to Keystone STARS

To access active: https://www.pakeys.org
Login and select Regional Keys Intranet
Select STARS Documents-Optional Tools

Example of worksheet below:

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<td></td>
<td>FDOH</td>
<td>$19.05</td>
<td>$18.05</td>
<td>$17.05</td>
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<td></td>
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<td>$23.75</td>
<td>$22.75</td>
<td>$21.75</td>
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<td>$26.75</td>
<td>$11.17</td>
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<tr>
<td></td>
<td>Group</td>
<td>$26.05</td>
<td>$25.05</td>
<td>$24.05</td>
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<td>$23.45</td>
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<td>$24.45</td>
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<tr>
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<td>UNREG</td>
<td>$24.75</td>
<td>$23.75</td>
<td>$22.75</td>
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<td>$24.75</td>
<td>$26.75</td>
<td>$10.75</td>
<td>$10.75</td>
</tr>
<tr>
<td>Centre</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
<td>$74.66</td>
</tr>
<tr>
<td></td>
<td>Group</td>
<td>$75.45</td>
<td>$75.45</td>
<td>$75.45</td>
<td>$75.45</td>
<td>$75.45</td>
<td>$75.45</td>
<td>$75.45</td>
<td>$75.45</td>
</tr>
</tbody>
</table>
### STAR Designation Data Sheet

<table>
<thead>
<tr>
<th>Location Name:</th>
<th>Director Name:</th>
</tr>
</thead>
</table>
| **Full Facility Address:**
| Email Address: |  |
| MPI #: |  |
| Center □ Group □ Family □ |  |
| **Requested STAR Level:** |  |
| Date RK Received Designation Request: |  |
| [Data stamp, provider signature date or email/fax receipt date] |  |
| Specialist Completing Paperwork: |  |
| Are you the Specialist for this site? Y / N |  |
| Designation Review Date: |  |
| (Date all docs completed/standards met and reviewed by Specialist/Designation) |  |
| Date Submitted to Designation: |  |
| Is the site grant eligible? Y / N |  |
| Accreditation Expiration: |  |
| (STAR expiration date must not exceed accred. exp.) |  |

<table>
<thead>
<tr>
<th><strong>Move In □</strong></th>
<th><strong>Move Up □</strong></th>
<th><strong>Move Down □</strong></th>
<th><strong>Move Out □</strong></th>
<th><strong>Renewal</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] Paperwork □</td>
<td>[ ] Visit □</td>
<td>[ ] 10% partial □</td>
<td></td>
<td>[ ] Pre-Des Visit Date:</td>
</tr>
<tr>
<td>(N/A if no visit/PW renewal)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Other Items:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a signed request for designation? Y / N</td>
</tr>
<tr>
<td>Is there a complete and signed attestation? Y / N</td>
</tr>
<tr>
<td>Designation Visit: Pre-designation notes are documented in PELICAN? Y / N</td>
</tr>
<tr>
<td>Paperwork: Have you verified, initiated and dated each standard? Y / N</td>
</tr>
<tr>
<td>Date of Designation Visit:</td>
</tr>
<tr>
<td>(N/A if no designation visit occurred/PW renewal)</td>
</tr>
<tr>
<td>Date Entered in Pelican:</td>
</tr>
<tr>
<td>Date Confirmed in Pelican:</td>
</tr>
<tr>
<td>Designator Name:</td>
</tr>
<tr>
<td>Designation Date:</td>
</tr>
<tr>
<td>Designation Expiration Date:</td>
</tr>
<tr>
<td>Date FTE Collected:</td>
</tr>
<tr>
<td>Date FTE Confirmed in PELICAN:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Exit Survey Sent:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>(Date Certificate Mailed)</td>
</tr>
</tbody>
</table>

**Cohort Participation:**

**Notes:**
Optional Tools: Facility Staffing Profile

Facility Staffing Profile
Provides "at a glance" information about the actual organization of the program

Provider Name: ____________________________ Current STAR Level: _______________________
Center Size (S, M, L, XL) __________ Number of Children in Facility (as on enrollment count): __________

Chart 1

<table>
<thead>
<tr>
<th>Number of Children</th>
<th>Number of Groups</th>
<th>Number of staff required by Certification for size and number of groups in facility*</th>
</tr>
</thead>
<tbody>
<tr>
<td># Groups with children 1-12 months.</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Groups with children 13-24 months</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Group with children 25-35 months</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Groups with children 36 months to first day of first grade</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Groups with children kindergarten and older</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* According to 55 Pa. Code § 3270.51

Chart 2

Role Definitions – please note that you may have a higher number of staff in this chart than you have in Chart 1.

1. Teachers (staff planning activities, implementing plans and curriculum, responsible for a defined group of children)
2. Assistant Teachers (staff assisting with implementing curriculum for a group of children with oversight of teacher)
3. Aides, etc. (staff covering breaks and nap rooms, rovers/floaters, extra coverage for ratio, substitutes, etc.)

Total Staff

<table>
<thead>
<tr>
<th>Number of Staff in Role</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

Note: There are other documents that may inform facility staffing profile. They include the Staff Records Grid (form SS4-02), and page 3 and 4 of the facility’s Request for ERS Validation Visit (Form ERS-01), if applicable.
Chart 3 – Place the initials of staff members in the correct box according to role definition and Career Lattice level. The total number in each role should match Chart 2 above.

<table>
<thead>
<tr>
<th>Definitions</th>
<th>Level I</th>
<th>Level II</th>
<th>Level III</th>
<th>Level IV</th>
<th>Level V</th>
<th>Level VI</th>
<th>Level VII + VIII</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Teachers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff planning activities, implementing plans and curriculum, responsible for a defined group of children</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Asst Teacher/other teachers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff assisting with implementing curriculum for a group of children with oversight of teacher</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Assistant Teacher and Teacher Aides</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff covering breaks and nap rooms, rovers/floaters, extra coverage for ratio, substitutes, etc</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

*Small Centers under 45 may count Director/Supervisor as a teacher, larger centers may not.*
Optional Tools: STARS Technical Assistance Intake Referral Process

1. The Technical Assistance Manager receives the STARS TA Request Form via:
   - The STARS Manager
   - The program directly

2. The Technical Assistance Manager discusses the TA Request with the STARS Manager to:
   - Determine the appropriateness of the TA services requested for the program - where is the program in the designation process etc.
   - Discuss the programs timeframes for receiving TA services
   - And to sign off on the STARS Intake Form, as appropriate

3. The Technical Assistance Manager contacts the program within 5 business days to:
   - Discuss the specific TA Request with the program
   - Obtain any missing information on the STARS TA Request Form
   - Gain a clear understanding of program’s needs
   - Discuss next steps with the program (for example; the STARS TA Consultant will be contacting the program)
   - Discuss the possibility of a Waiting List, as appropriate

4. The Technical Assistance Manager:
   - Forwards the STAR TA Request form and any additional information about the programs’ request to the appropriate STARS TA Organization
   - Enters the Intake information into PELICAN
   - Completes the internal TA Log with: name of program, date request received, type of TA request, TA Org assigned, date TA Manager contacted program

5. The TA Consultant and the STARS Manager:
   - Provide updates on the status of the program as it pertains to the consultation work being done
   - Check the Contact Log for recent outcomes of conversations
   - Discuss the programs needs as appropriate
Optional Tools: Request for STARS Technical Assistance Forms

Request for STARS Technical Assistance

PROGRAM INFORMATION
Contact Name: ____________________________ Position: ____________________________
Facility Name: ____________________________ Facility #: ____________________________
Facility Address: ________________________________________________________________
City: ______________________ State: ______ ZIP: _______ County: ________________
Phone: __________________ Fax: ___________________ Email: ___________________
Hours/Days/Months of Operation: ________________________________________________
CURRENT KEYSTONE STARS STATUS: ____________________ STAR LEVEL GOAL:
CURRENT KEYSTONE STARS EXPIRATION: ____________________
NATIONAL ACCREDITATION(S): _________________________________________________

OTHER QUALITY IMPROVEMENT INITIATIVES:
Are you participating in any other quality improvement initiatives?
☐ Early Childhood Mental Health ☐ Early Head Start ☐ Pre-K Counts ☐ Early Intervention
☐ SuccessBy 6 ☐ Other: ____________________________

TYPE OF FACILITY:
☐ Center ☐ Group Day Care ☐ Family Day Care Home

ENROLLMENT: Identify the number of children and number of classrooms served by age group:

<table>
<thead>
<tr>
<th>Care Level</th>
<th>Infant</th>
<th>Young Toddler</th>
<th>Older Toddler</th>
<th>Preschool</th>
<th>Young School Age</th>
<th>Older School Age</th>
</tr>
</thead>
<tbody>
<tr>
<td># of Children</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

KEYSTONE STARS CORE SERIES PROFESSIONAL DEVELOPMENT:
STARS facilities are required to complete or be enrolled in the STARS Core Series before they can receive STARS Technical Assistance. (Attach certificates for all completed professional development)

☐ STARS Orientation ☐ CBK/PDR ☐ Foundations of ERS ☐ CQI
☐ FPDP ☐ Learning Standards ☐ ECERS-R
☐ ITTERS-R ☐ FCCERS ☐ SACERS ☐ STARS Orientation Part 2
Designation and Reliability Manual
Version 1.0

Facility Name: _____________________________ Facility #:/MPI #: __________________

REQUESTED AREA(S) OF SERVICE: (Check all that apply)

<table>
<thead>
<tr>
<th>Area</th>
<th>Infant</th>
<th>Young Toddler</th>
<th>Older Toddler</th>
<th>Preschool</th>
<th>Young School Age</th>
<th>Older School Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Qualifications &amp; Professional Development</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Partnerships with Family &amp; Community</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Leadership and Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Learning Program</td>
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</tr>
<tr>
<td>Accreditation</td>
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<td></td>
</tr>
<tr>
<td>Health &amp; Safety</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certification</td>
<td></td>
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</tr>
</tbody>
</table>

REASON FOR REQUEST:
In what ways do you believe Technical Assistance will benefit your facility?

SIGNATURES AND ATTACHMENTS: KEYSTONE STARS CERTIFICATE AND CORE SERIES CERTIFICATES

<table>
<thead>
<tr>
<th>Facility Director (signature)</th>
<th>Printed Name</th>
<th>Date</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Owner/CEO (signature)</th>
<th>Printed Name</th>
<th>Date</th>
</tr>
</thead>
</table>

Regional Key/STARS TA use only:
Request: Complete on ___ / ___ / ___

STARS Specialist: __________________ Email: __________________
Assigned Consultant(s): __________________ Email: __________________
Assigned Consultant(s): __________________ Email: __________________

FAX completed form to: 267.765.2397
Or MAIL completed form to:
TA Coordinator
Southeast Regional Key at PHMC
Centre Square East, 1500 Market Street
Philadelphia, PA 19102
Optional Tools: Request for STARS Technical Assistance Instructions

Request for STARS Technical Assistance Instructions

STARS Technical Assistance is an intensive, one-on-one service provided to an early learning or school age facility to help the facility meet specific Keystone STARS performance standards. Facilities requesting STARS Technical Assistance must currently be participating in the Keystone STARS quality initiative.

Please fill in all parts of this request completely and provide all required attachments as described below:

PROGRAM INFORMATION  - (Please print all information using black or blue ink)

- **Date:** Identify the date this request is submitted.
- **Contact Name:** Provide the name, title, and telephone number of the person(s) who should be called if there are any questions about the request.
- **Position:** Specify the position (e.g., director, owner/CEO) of the person named as contact person.
- **Facility# / MPI#:** Indicate the number as it appears on the facility’s Department of Public Welfare Certificate of Compliance and or Master Provider Index number (MPI#) if known.
- **Facility Name:** Use the name of the facility as it appears on your Department of Public Welfare Certificate of Compliance. Do not use a nickname.
- **Facility Address, City, State, ZIP, and County:** Indicate the address of the facility as it appears on your Department of Public Welfare Certificate of Compliance.
- **Hours and Months of Operation:** Specify the hours the program is open and the months the program is in operation.
- **Current Keystone STARS Level:** Specify the facility’s current Keystone STARS level.
- **Type of Facility:** Check-off whether the program is child care center, group day care, or a family day care home.
- **Enrollment:** Identify the total number of children enrolled by age group. Provide this information as of the date the request is signed.

KEYSTONE STARS CORE PROFESSIONAL DEVELOPMENT

Check-off the professional development sessions completed as of the date of this request. Enrollment in or completion of the STARS Core Series is a prerequisite to participating in STARS Technical Assistance.

REQUESTED AREAS OF SERVICE

Check-off the technical assistance area(s) you are requesting and if there is a focus on health and safety issues for any of the area(s) of service you request. Provide a brief description explaining how you feel technical assistance will benefit your facility. Also, indicate if you are participating in another quality improvement initiative and provide information about this initiative.

SIGNATURES AND ATTACHMENTS

- **Attachments:** Identify the attachments included with this request by checking the appropriate box. Be sure to include a copy of the attachment(s) with this request.
  1. **Keystone Stars Certificate:** Provide a copy of the Keystone STARS certificate identifying the current STARS level for the facility requesting STARS TA.
  2. **Core Professional Development Series:** Provide copies of the Certificate of Attendance forms for staff that have enrolled in, or completed the following professional development series: ERS Foundations, ITERS-R, ECERS-R, SACERS, or FCCERS; the Home-based Orientation; STARS Orientation; professional development on the Core Body of Knowledge/Professional Development Record (CBX/PDR) for Directors; Continuous Quality Improvement (CQI); Facility Professional Development Plan (FPDP) and Integrating Standards, Curriculum and Assessment (Links to Learning Foundations for School-Age programs).
- **Signatures:** Obtain all of the appropriate signatures. All requests must include the signature of the facility director. The request must include the signature of the owner/CEO, if this individual is different than the facility director.

Fax or Mail completed request and attachments to the address at the bottom of the application.
Optional Tools: Planning Visit Checklist Draft

The purpose of the Planning Visit Checklist is to assist the Regional Key in determining basic practitioner needs related to achieving and maintaining a STAR designation and supporting Continuous Quality Improvement. The information included in the Planning Visit Checklist is a collaboration of the Regional Keys resource tools used to achieve a successful STAR facility. The Specialist will request a face to face meeting with the facility Director/Owner to review this information and discuss goals for the upcoming year.

Name of Facility: _______________________________________

MPI # _______________________________________________

If your facility information has changed in the past year, please complete the section below:
Contact Person: _______________________________________

Director on Record with DPW: _____________________________

Facility Phone: _________________________________________

Email: _________________________________________________

FY STAR STATUS:
Current STAR level ______ Number of staff at facility ______
Have you lost or gained teachers with degrees or CDA’s? ______
Targeted STAR Status this FY:
☑ STAR 1 ☐ STAR 2 ☐ STAR 3 ☐ STAR 4 ☐ STAR4A
Movement Month_____________________________________
If not intending to move, why?

Facility Type/Size:
☒ FCCH ☐ GCCH ☐ C(up to 6) ☐ C(7-12)
☒ C(12-45) ☐ C(46-99) ☐ C(100-180) ☐ C(181+)
☒ HS ☐ SACC

Grant Information: ECT Subsidy Percentage______%
Maximum Eligible Amount $__________
Additional Award Upon Movement $__________
Director ERA = $__________
#BS Level VI _____ @ $_______ =$__________
#AA Level IV _____ @ $_______ =$__________
#AA Level V _____ @ $_______ =$__________
#CDA Level III _____ @ $_______ =$__________
Total ERA $__________
Grant total for 2014-15FY $__________
Does anyone need the following?

- Director Credential
- Director Core Series
- CDA
- Core Series for anyone else
- AA
- Other/Specific Trainings
- SACC Credential

**Did you participate in the following activities/PD?** Include start and end dates

- CQI Toolkit: __________ to __________
- Race Matters: __________ to __________
- Color Me Healthy: __________ to __________
- Mind in the Making: __________ to __________
- Cultural Competencies: __________ to __________
- Keystone Kids Go: __________ to __________
- Nap SACC Inventory: __________ to __________

**Technical Assistance:**

Are you likely to request TA for movement or quality?

- Infant/Toddler
- Health/Safety
- Supervision
- School Age Care
- ELS/LP
- Room Arrangement
- ERS
- Early Childhood Mental Health
- Other

**Questions:**

In the past year, what has helped you or supported you in STARS the most?

What topics would you like to see discussed at STAR workgroups?

What level do you see your facility at in the next year?

Do you understand that you will need 2 CQI’s to speak to your grant?

When was the last time you updated your Bonus or ERA policy?

Are you aware of the new Rising STARS Tuition Assistance Program?

Are you aware of the new Mentoring Program?

Are you having issues with Supervision? How can I assist you?
<table>
<thead>
<tr>
<th>Program Name:</th>
<th>MPI #:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard</strong></td>
<td><strong>Comments</strong></td>
</tr>
<tr>
<td>Professional Development Hours; Annual PD Plan in PDR; and Professional Growth Activity</td>
<td></td>
</tr>
<tr>
<td>Career Lattice <em>(Complete SQAP, update with new staff)</em></td>
<td></td>
</tr>
</tbody>
</table>
| Lesson plans *(View Sample of Current plans)*  
**STAR 2** Continuing to lesson plan using current learning standards?  
**STAR 3** Continuing to document individual goals for children and connect to lesson plans using current learning standards?  
**STAR 4** Lesson plans document collaboration to implement IEP/IFSP goals for children where relevant? | |
| Illness/Injury tracking *(View Sample of Current)* | |
| Site Safety Review *(View Sample of Current)* | |
| Operating Budget and Financial Record Keeping *(View Sample of Current)* | |

**STAR 3 and STAR 4 Standards to Review**

| **STAR 3** CQI Plan  
**STAR 4** Strategic Plan; Business Plan; Risk Management Plan *(View Sample of Current)* | |
| Observations/Evaluations of Teachers  
(STAR 3 Center/STAR 4 Group) | |
| Completion of Director Credential.  
(STAR 3 Center/STAR 4 Group) | |
Continue to enter assessment information into the ELN in accordance with OCDEL reporting timeframes

<table>
<thead>
<tr>
<th>STAR 3 and STAR 4 Standards to Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Children’s Files (View Sample files)</td>
</tr>
<tr>
<td>□ Developmental Screening or Observation complete for all new enrollments (ASQ)?</td>
</tr>
<tr>
<td>□ Getting to know you implemented complete for all new enrollments?</td>
</tr>
<tr>
<td>□ Request for IEP/IFSP documented?</td>
</tr>
<tr>
<td>□ Observations &amp; Assessments documented?</td>
</tr>
<tr>
<td>□ Parent Conferences documented?</td>
</tr>
</tbody>
</table>

Questions for Specialist:

Notes:

Other:
POLICY CLARIFICATIONS
• **New Staff Orientation**

Confusion among sites as to whether or not the 8 hr NSO-Getting Started is acceptable for New Staff who have not had NSO in the past? NSO is a 15 hr center director-facilitated online curriculum available in Better Kid Care.

**Consensus:** The 8hr version Getting Started- is a refresher module for current staff-not to be counted for NEW Staff. Getting Started- misleading title. NSO can be provided using the OCDEL approved Better Kid Care video series or 15 hr of documented topics outlined by Caring for Our Children. If the Better Kid Care videos offered are not utilized, documentation is required of PQAS approved professional development- including course title, hours and instructor name/signature-that has been cross-walked to the Caring for Our Children topic areas.

• **Protocol for Staff Verification of Observations**

What Protocol do you use in verifying observations and evaluations of staff by the Director? Do you require self-assessment?

**Consensus:** The group felt that 25% was a good representation and that 10 staff or less would be a higher percentage. No decision was made as to how the files reviewed would be chosen. Suggestion was made that the Designator chooses the file in order to keep it truly random. (Director may steer clear of questionable files) All require self-assessments.

• **Protocol Reviewing Children’s Files**

What Protocol do you use in reviewing children’s files to verify Observations, Developmental Screenings and assessments? Do Directors choose the files or designator randomly chooses? How many files do you review from each classroom?

**Consensus:** Child records grid is used by the designators. Initial the date of entry and date seen. Minimum of two files for each classroom, no more than 10 files. Designators choose files.

• **Protocol for Awaiting ERS Assessment in SMART**

How is it determined in SMART when a site is awaiting an ERS assessment?

**Consensus:** Follow established protocol from OCDEL (Michelle Hill) pertaining to incomplete Designation. Comment to be entered in SMART that an ERS assessment is to be completed. If it forces an answer- No would be entered and not N/A.
Designation and Reliability Manual
Version 1.0

Keystone STARS Policy Clarification #KS-PC02-07-29-14

• Designator Readiness Requirements

Concerns regarding 6 months for readiness, too long if New Designator has experience and knowledge prior to 6 months. Reliability for each STAR level for each program type too much. Discussion about 90 day probation, how 6 months would surpass the 90 day probationary period.

Consensus: Agreed that a STAR 4 reliability visit for each program type would cover all the star levels, should be sufficient. Must score 90 % reliability rating on checklist before deemed ready to Designate alone, not necessarily a 6 month training period. Cannot determine readiness within 90 day probation period as some New Designator with no prior experience may need a longer timeframe, readiness must be driven by the 90% score.

• Reviewing the Readiness Tool:

Concerns regarding:
- Do not request Black Out dates – Give program specified time and date.
- Do not observe children at the designation visit.
- Varies by region regarding who contacts the program for scheduling a designation visit.
- Small amount of STAR 4 Family and Group ...could we change to STAR 3 or STAR 4.
- When becoming reliable, if the highest STAR level for a facility type is completed during the timeframe needed, if not a STAR 4 possibly it is a STAR 3 or connect with another Regional Key.
- # Standards for that facility type and STAR level = determines the percent for reliability.

Consensus: To mirror the ERS process, a 4 week timeframe is given. To give a specific date and time would negate the fact that the practitioner should be ready any day and every day at that STAR level. If visit protocol is followed, their paperwork should be ready as they will have already been contacted as to what they need and what will be expected. It was agreed that children are not observed at visit and that it should be removed. Agreed that Family and Group would be a STAR 3 or 4 as there were not as many and may not be due at that time. Independently refers to no conversation during visit. Findings recorded in SMART prior to discussion. 90% for each checklist question and 90% on the standards. Ex. If 100 standards in Center, must score 90% or better on 90 of them in comparison to the seasoned Designator.

• Increase Reliability Visits:

Concerns regarding increase in the number of Reliability Visits expected of each Designator, 17 Reliability Visits for Designator total, 5 across Regional Keys, 12 within Regional Key and why 4A is not included?
**Consensus:** The number of reliability visits was a concern. The group agreed that 7 internal Key and 5 outside of RK would be better attained to start. 4A had not been included in Reliability visits, it was decided it should be monitored for Reliability as any other program and will be included. To better accommodate the increase in number of Reliability visits, may use same Designator just not on back to back visits. Group did not agree about changing the process of how to conduct the visit with one Designator starting at the beginning of SMART and the other at the end of the database working up. Afraid too chaotic for practitioner. Facilitator suggested trying it first before deciding. No response. Reliability cannot be obtained with a consensus conducted during the visit. Proposed practice not determined.

**Addendum:** During the Regional Key/Directors Meeting conducted 8-7-14, the concern over the increase in Reliability Visits was addressed with the group and Tracey Campanini, Bureau of Early Learning Director. It was decided that the following would be the new recommendation:

- **5 Reliability Visits outside the Regional Key by each Designator each Fiscal Year**
- **7 Reliability Visits internally in Regional Key by each Designator each Fiscal Year**
- **3 Reliability Visits by each “back-up” Designator in each Regional Key to include 1 with each co-Designator (for a total of 2) and 1 with a Designator from another Regional Key for an overall count of 3 each Fiscal Year.**

Reliability visits count as a “Reliability Visit” for each of the Designators on the visit, regardless of who is lead Designator.
Performance Standards:
Question about Learning Standards PD for Director-wording on worksheet sounds as if Links to Learning and ASQ are required as well.

Clarification from PA Key:
The required training in STARS are CQI and Learning Standards. The following is in regard to SAC ASQ and Links to Learning:

Learning Standards and Links to Learning

1. Early Learning Standards and Links to Learning – Links to Learning is strongly recommended for SACC programs and can be taken instead of the Early Learning Standards for SAC Only.
2. CQI and Afterschool Quality (ASQ) – ASQ covers CQI principles and processes. SAC ASQ is not required of SAC programs and in fact participation is by application only. However, if a SAC provider is participating in SAC ASQ, this should count to meet the CQI requirement. SAC ASQ PD will be entered into the PD Registry and will appear in individual transcripts.

Emergency Preparedness:

Question about accepting “Emergency Preparedness” for Health and Safety

Consensus:
All Regional Keys accept this unless it’s part of Fire Safety.

Confirmation in Emergency Management Preparedness Training Policy released in January 2006 and still in effect: Reminder: The training hours earned by participants are counted toward the annual clock hours of training required for the Keystone STARS program as long as they have not already been applied to the 6 hours of annual training by Certification.