



Child Care and Development Fund (CCDF) Plan

For

State/Territory: Pennsylvania

FFY 2014-2015

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2013 – 9/30/2015. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

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

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

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

Form ACF-118 Approved OMB Number expires

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PART 1

ADMINISTRATION

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

1.1 Contact Information

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

1.1.1 Who is the Lead Agency designated to administer the CCDF program?

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

Name of Lead Agency: Department of Public Welfare
Address of Lead Agency: PO Box 2675, Harrisburg, PA 17105
Name and Title of the Lead Agency's Chief Executive Officer: Beverly Mackereth, Secretary
Phone Number: 717-787-2600
Fax Number: 717-772-7062
E-Mail Address:
Web Address for Lead Agency (if any): www.dpw.state.pa.us

1.1.2. Who is the CCDF administrator?

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

a) Contact Information for CCDF Administrator:

Name of CCDF Administrator: Barbara Minzenberg
Title of CCDF Administrator: Deputy Secretary

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Address of CCDF Administrator: Office of Child Development and Early Learning, 333 Market Street, Harrisburg, PA 17126
Phone Number: 717-346-9320
Fax Number: 717-346-9330
E-Mail Address: bminzenber@pa.gov
Phone Number for CCDF program information (for the public) (if any): 1-877-4PS-KIDS
Web Address for CCDF program (for the public) (if any): www.dpw.state.pa.us
Web address for CCDF program policy manual: (if any): _____
Web address for CCDF program administrative rules: (if any): www.pacode.com

b) Contact Information for CCDF Co-Administrator (if applicable):

Name of CCDF Co-Administrator: Todd Klunk
Title of CCDF Co-Administrator: Director of Finance, Administration and Planning
Address of CCDF Co-Administrator: Office of Child Development and Early Learning, 333 Market Street, Harrisburg, PA 17126
Phone Number: 717-346-9320
Fax Number: 717-346-9330
E-Mail Address: tklunk@pa.gov
Description of the role of the Co-Administrator: Alternate Contact

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2014 – FY 2015 plan period?

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2013 through September 30, 2014. (§98.13(a)).

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching):
\$186,725,058
Federal TANF Transfer to CCDF: \$166,336,000
Direct Federal TANF Spending on Child Care: \$31,686,000
State CCDF Maintenance-of-Effort Funds: \$46,629,051
State Matching Funds: \$50,374,194

Reminder – Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

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1.2.2. Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)?

Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark N/A here.

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

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

If checked, identify source of funds: General Revenue Funds.

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

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

If checked, are those funds:

donated directly to the State?

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015.

In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency’s overall goal of improving the quality of child care for low-income children.

Activity	Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)	Purpose	Projected Impact and Anticipated Results (if possible)
Keystone STARS – PA’s tiered quality rating and improvement system	<u>\$9.8 million</u> Check if targeted funds for this activity: <input checked="" type="checkbox"/> Infant/Toddler Targeted Funds <input checked="" type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds <input checked="" type="checkbox"/> Quality Expansion	Increase the number and percent of at-risk children in high quality child care settings	Promote school readiness; address the health, behavioral, and developmental needs of at-risk children.
	_____ Check if targeted funds for this activity: <input type="checkbox"/> Infant/Toddler Targeted Funds <input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds <input type="checkbox"/> Quality Expansion		

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

Note: This question is to obtain information on whether the Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level or if funds are distributed to local entities

Does the State maintain decisions at the State level, or are funds distributed to locals that have some decisions on how funds are spent.

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- No, the Lead Agency will not distribute any quality funds directly to local entities
- Yes, all quality funds will be distributed to local entities
- Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities _____
- Other. Describe.

Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level and distributes funds to local agencies for disbursement.

1.3. CCDF Program Integrity and Accountability

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

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place.

The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

Staff within the Lead Agency monitors the activities and services provided by the contracted agencies through web-based systems to ensure that contract objectives are met. Monitoring activities include site visits and review of required written reports filed by contractors. Additionally, regular financial reports are required and completed monthly.

- Fiscal Reporting: On a monthly basis, the contracted agencies report enrollments and expenditures to manage their allocations. This reporting is validated within Pennsylvania's information system for managing the child care subsidies, Pennsylvania's Enterprise to Link Information about Children across Networks (PELICAN)-Child Care Works (CCW). This information is used by the Lead Agency to track the contractor's fiscal management of program funds.
- Data Reporting: On a monthly basis, information representing a wide range of data on program participants is extracted from PELICAN-CCW and placed in

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the Child Care Works Data Warehouse. This information is used by the Lead Agency to track the contractor's volume of work, to make projections and to inform policy-making.

- Error Rate Reporting: On an annual basis, staff from the Lead Agency makes site visits to contracted agencies to conduct case record reviews. Information in case records is "cross-walked" against information entered in PELICAN-CCW and evaluated for accuracy of eligibility determination and payment. Results of the annual reviews are compiled to determine agency-level performance and state-wide performance.

1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients.

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

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

(<http://www.whitehouse.gov/omb/circulars/a133> compliance supplement 2010). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

The Lead Agency conducts annual monitoring which includes an on-site review of a random sample of cases. The Lead Agency uses the Performance Standard Monitoring Tool to provide monitoring consistency across the state. The Monitoring Tool addresses customer service, including resource and referral, caseload management which include eligibility and policy compliance, and Administration, which address fiscal/ funds management. Child Care Information Services (CCIS) agencies are informed of the results of the monitoring and a plan of correction is required if deficiencies exist.

CCIS agencies receive an independent audit annually and agree to follow all terms of the grant which governs their operations.

OCDEL monitors the five Regional Keys and the PA Key by using the following processes: review of the Regional Key quarterly Program Review Instruments (PRIs) and the PA Key quarterly reports that provide information about program accomplishments, goal attainment and compliance with state regulations for contractor responsibility and DPW sub-recipient/vendor audits. In addition, the

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Regional Keys are monitored on-site yearly for compliance with Federal OMB Circular A-133 regulations surrounding items of cost to ensure that CCDF infant/toddler ear-marked funds are appropriately allocated and expensed. Annual audits performed under OMB Circular A-133 regulations are required of all Keys. Submission of those reports comes to Pennsylvania’s Bureau of Financial Operations and to the Program Officers within OCDEL’s Bureau of Early Learning Services.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below.

Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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

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

Annual monitoring for quality control; PELICAN CCW links to the Client Information System (CIS) which houses TANF information; File audits are completed to help identify program violations; Pennsylvania participated in the Public Assistance Reporting Information System (PARIS) match to work with other

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states to identify fraud; IRS match is used to ensure program integrity and accountability.

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

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount \$ <u>1</u>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe <u>Office of Inspector General</u>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Reduce payments in subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

Contractor refers suspected IPV and fraud to the PA Office of Inspector General for investigation and follow-up prosecution, if appropriate. PA child care regulations state that parents/caretakers may not be required to repay an overpayment that is the result of an administrative error. Overpayments not as a result of administrative error are collected by arranging payment plans with parents/caretakers, or

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increasing the parent's/caretaker's co-payment. There is no minimum dollar amount; we will collect whatever amount is owed.

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

- None
 Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified

If a parent/caretaker is found guilty of committing an IPV or fraud he/the family is prohibited from participating in the subsidized child care program as follows:

- A period of six months from the date of the first conviction, hearing decision or determination;
- A period of 12 months from the date of the second conviction, hearing decision or determination; or
- Permanently from the date of the third conviction, hearing decision or determination.

The parent/caretaker can appeal the original facts of the IPV or fraud through the Department. However, the parent/caretaker cannot appeal the disqualification decision through the Department. The regulations state a parent/caretaker may not be granted a hearing on a court conviction or administrative disqualification hearing decision that led to the disqualification. However, the parent/caretaker could file an appeal through the Commonwealth Court.

- Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified

Each provider participating in the subsidized child care program must sign a Provider Agreement. The contractor may end the Provider Agreement with any provider that is convicted of fraud. Ending a Provider Agreement may not be appealed. The Bureau of Certification may revoke or refuse to renew the provider's certificate to operate if the provider is convicted of fraud. The provider can appeal the decision to revoke or refuse to renew the certificate. Appeals are heard by the Bureau of Hearings and Appeals and the provider may appeal to the Commonwealth Court if Hearings and Appeals decides against the provider.

- Prosecute criminally
 Other. Describe. _____

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1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below.

Territories not required to complete the Error Rate Review should mark N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
<p>Pennsylvania will continue to provide statewide training that gives consistent orientation and refresher training to CCIS staff. This training will provide detailed instruction to CCIS workers in the major areas that have been identified as causing improper payments, including how to mesh multiple work and training schedules.</p> <p>In addition, we will be releasing a written revised chapter to the CCIS Policy and Procedure Manual on Enrollments, which will include a section on scheduling.</p> <p>We will also continue annual monitoring following the federal review process to assure we are reviewing all areas identified as contributing to improper payments.</p>	<p>Incorrectly identifying the child care schedule,</p> <p>and</p> <p>Missing or insufficient documentation</p>	<p>Continue statewide training and orientations.</p> <p>Continue to update manual chapters.</p> <p>Continue annual monitoring and technical assistance as needed.</p>	<p>CCISs were trained on procedures for maintaining files and verification documents prior to May 31, 2011.</p>

1.4. Consultation in the Development of the CCDF Plan

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

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

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

	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>Representatives of local government are well represented in the state advisory council and as providers and vendors within the early childhood education continuum. Representatives were engaged throughout the planning stages of PA's efforts to build a high quality early learning system. Copies of the draft plan were made available to all who requested copies and were provided to the state advisory council.</p>
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.		
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>The Office of Child Development and Early Learning (OCDEL) is jointly housed in the Department of Public Welfare and the Department of Education. All elements of a comprehensive infrastructure for developing common standards and delivery and monitoring of services to children birth to age 8 (or school age in the case of child care) and their families are the responsibility of OCDEL. This structure allows for efficiencies in the use of federal and state funds and avoids duplication of staffing for support and monitoring. These efficiencies allow Pennsylvania to reach a greater number of vulnerable children and families.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>OCDEL manages both the infant/toddler early intervention program and the pre-school early intervention program.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	<p>Child Care Certification is included in OCDEL.</p>

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	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	OCDEL holds the head Start Collaboration grant.
<input checked="" type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	OCDEL co-chairs the Statewide Advisory Council.
<input type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input checked="" type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	OCDEL was designated as the lead agency for the evidence based home visiting program.
<input type="checkbox"/>	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children’s emotional and mental health)	
<input type="checkbox"/>	State/Territory agency responsible for child welfare	
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	
<input type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	OCDEL sent out the draft state plan to over 10,000 key stakeholders via a list-serv.
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Represented on the Early Learning Council.
<input checked="" type="checkbox"/>	Parent groups or organizations	OCDEL sent out the draft state plan to over 10,000 key stakeholders via a list-serv.
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	OCDEL sent out the draft state plan to over 10,000 key stakeholders via a list-serv.
<input type="checkbox"/>	Other	

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

At a minimum, the description should include:

- a) Date(s) of notice of public hearing: May 11, 2013 **Reminder - Must be at least 20 days prior to the date of the public hearing.**

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- b) How was the public notified about the public hearing? The hearing was published in the PA Bulletin.
- c) Date(s) of public hearing(s): June 3, 2013 **Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).**
- d) Hearing site(s): 333 Market Street, Harrisburg, PA
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? The plan was posted on the PA website on May 23, 2012.
- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan?

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing.

For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.

1.5. Coordination Activities to Support the Implementation of CCDF Services

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

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

Note: Descriptions of how governments are organized for each State are provided at: http://www2.census.gov/govs/cog/all_ind_st_descr.pdf.

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

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>These representatives are well represented on the Early Learning Council and as providers and vendors within the early childhood education continuum.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>Increase access and quality of early learning programs across the state.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education;</p>	<p>OCDEL is positioned in both Public Welfare and Education which assures coordination between early education and K-12 and Post-Secondary Education.</p>	<p>Unite all early learning programs and maximize child outcomes.</p>
<input checked="" type="checkbox"/>	<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>These representatives are well represented on the Early Learning Council and as providers and vendors within the early childhood education continuum.</p>	<p>Increase access and quality of early learning programs across the state so that all high-risk children are Kindergarten ready.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Department of Health and OCDEL partner on many early childhood education projects including Keystone Kids Go!</p>	<p>Increase child health outcomes. Increase early learning practitioner's awareness of child health related activities such as healthy eating and exercise.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>DPW's Office of Income Maintenance is responsible for overseeing employment services and workforce development. Local County Assistance Offices determine eligibility for child care</p>	<p>Improved services for providers and families including consistent child care and payment policies. Greater accountability. Increased usage of higher quality child care.</p>

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
	and electronically refer eligible families to local CCISs for help with finding child care, enrollment and payment.	Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies(required) The Office of Income Maintenance is responsible for overseeing the TANF program. Local County Assistance Offices determine eligibility for child care and electronically refer eligible families to local CCISs for help with finding child care, enrollment and payment.	Improved services for providers and families including consistent child care and payment policies. Greater accountability. Increased usage of higher quality child care.
<input type="checkbox"/> <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery		
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant OCDEL hold the Head Start Collaboration grant.	Unite all early learning programs and maximizes child outcomes.
<input type="checkbox"/> <input type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC		
<input checked="" type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP) OCDEL co-chairs the Keystone Kids Go! Project with the CACFP focusing on obesity prevention through exercise and nutrition education.	Increase child health outcomes.
<input type="checkbox"/>	State/Territory agency responsible for	Unite all early learning

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<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe results expected from the coordination</p>
<p>programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>OCDEL is responsible for both the infant/toddler and preschool early intervention program.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>programs, increase inclusion, and maximize child outcomes.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>OCDEL is the lead agency for the Maternal and Early Childhood Home Visitation program.</p>	<p>Unite all early learning programs and maximize child outcomes.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for child welfare</p>	<p>Child Welfare and OCDEL implemented a policy that foster parents in need of child care services must select a Keystone STARS 3 or 4 facility for the foster child. Additional opportunities to coordinate will be pursued during this plan period.</p>	<p>Increase child outcomes for at-risk foster children by placing them in a high quality early childhood setting.</p>
<p><input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives</p>		

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	PA participates in the Build Initiative. OCDEL partners with the Grable Foundation, Heinz Endowments, and the William Penn Foundation.	Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies. Develop business champions who understand solid connection between quality early childhood experiences and a strong PA economy. Develop public support through community education, expand parent engagement, strengthen families, support early childhood mental health, and partner with higher education.
<input type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)		
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Representatives of provider groups and associations are well represented in the Early Learning Council.	Comprehensive understanding of the issues facing local communities and the early childhood work force.
<input checked="" type="checkbox"/>	Parent groups or organizations	The OCDEL Parent Advisory Council includes representation of family members who receive(d) subsidy services.	Increased family engagement in early childhood programs.
<input type="checkbox"/>	Other		

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan?

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

- Yes. If yes,
 - a) Provide the name of the entity responsible for the coordination plan(s): The Office of Child Development and Early Learning

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- b) Describe the age groups addressed by the plan(s): Primary focus on 0-5, however, there is also a school-age work plan.
- c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
 - Yes
 - No
- d) Provide a web address for the plan(s), if available: www.pakeys.org
 No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs?

(658D(b)(1)(D), §98.14(a)(1))

Check which entity(ies), if any, the State/Territory has chosen to designate.

- State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

If yes, describe entity, age groups and the role of the Lead Agency

- State Advisory Council (as described under the Head Start Act of 2007).

If yes, describe entity, age groups and the role of the Lead Agency in

In Pennsylvania, the State Advisory Council is referred to as the Early Learning Council (ELC). This is comprised of internal and external stakeholders who advise OCDEL on the successes and challenges of PA's early learning programs and recommendations for new directions in early education. The ELC focuses on early education which Pennsylvania defines as birth through school entry. The goals of the ELC are to develop a comprehensive, high quality birth to 5 continuum of services with alignment and transition into K-12.

- Local Coordination/Council

If yes, describe entity, age groups and the role of the Lead Agency

- Other.

Describe _____

- None

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

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

Business leaders serving on the Early Learning Investment Commission have developed regional initiatives to support local child care needs including scholarships for children to enroll in high quality

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settings and professional development opportunities for child care staff.

No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-01) located on the Office of Child Care website at: <http://www.acf.hhs.gov/programs/occ/resource/im-2011-01>

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

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

Pennsylvania has the ability to continue services to CCDF facilities and coordinate with key partners. It has regulations requiring regulated child care facilities to have emergency preparedness plans. OCDEL continues working with the Pennsylvania Emergency Management Agency (PEMA) to develop guidance for local emergency agencies relating to the provision of temporary child care services after a disaster and rebuilding child care after a disaster.

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

Check which elements, if any, the Lead Agency includes in the plan.

- Planning for continuation of services to CCDF families
- Coordination with other State/Territory agencies and key partners
- Emergency preparedness regulatory requirements for child care providers
- Provision of temporary child care services after a disaster

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- Restoring or rebuilding child care facilities and infrastructure after a disaster
- None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

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

2.1. Administration of the Program

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

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

Identify the level at which the following CCDF program rules and policies are established.

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

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2.1.2. How is the CCDF program operated in your State/Territory?

In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
<p>Who determines eligibility?</p> <p>Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:</p> <p>The local County Assistance Office (CAO) determines eligibility for TANF benefits, including TANF child care. Once determined eligible, the CAO electronically refers the family to the Child Care Information Services (CCIS) agency for help with finding and paying for child care. The local CCIS determines child care eligibility for families not receiving TANF or transitioning off of TANF.</p>	<p><input type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency <input checked="" type="checkbox"/> Other State/Territory agency. Describe. DPW's Office of Income Maintenance determines TANF eligibility. <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____</p>
<p>Who assists parents in locating child care (consumer education)?</p>	<p><input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input checked="" type="checkbox"/> Other. Describe. <u>Parents can conduct online provider searches.</u></p>
<p>Who issues payments?</p>	<p><input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____</p>
<p>Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)</p>	<p>Payments issued to providers, with only exception being in-home care.</p>

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Implementation of CCDF Services/Activities	Agency (Check all that apply)
	Payments are distributed either electronically or by check, depending on the recipient preference.
Other. List and describe: _____	

2.2. Family Outreach and Application Process

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

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a))

Check all agencies and strategies that will be used in your State/Territory.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet (provide website):
www.dpw.state.pa.us/forchildren/childcareearlylearning/index.htm
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe: CCIS agencies provide resource and referral services.

2.2.2. How can parents apply for CCDF services?

Check all application methods that your State/Territory has chosen to implement.

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website)
<https://www.humanservices.state.pa.us/compass.web/CMHOM.aspx>
- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory

Other. Describe: _____

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

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

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

Child Care Information Services (CCIS) agencies provide resource and referral information to educate parents on how to choose child care and how to identify quality child care. The CCIS conducts a face-to face meeting with the parent and provides written information to help promote informed choices.

CCIS resource and referral services are available to all parents including parents that do not receive CCDF assistance. CCIS agencies give parents who request help with finding a provider, provider lists based on the parent's stated needs. Parents can also conduct online provider searches at:

<https://www.compass.state.pa.us/compass.web/ProviderSearch/pgm/PSWEL.aspx>

Keystone STARS facilities at STAR 1 or higher must provide families with information regarding public, social and community services (which includes information about early intervention, mental health services and subsidized child care).

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory.

For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.

Pennsylvania's Keystone STARS program provides increasing quality with each STAR level. Providers with Keystone STARS levels of 1, 2, 3 or 4 receive a daily add-on for each child. The amount of the add-on increases with the STAR level. The daily add-on rates can be viewed at: <http://www.pakeys.org>

2.2.5. Describe how the Lead Agency promotes access to the CCDF subsidy program? Check the strategies implemented by your State/Territory.

- Provide access to program office/workers such as:
 - Providing extended office hours
 - Accepting applications at multiple office locations
 - Providing a toll-free number for clients
 - Email/online communication
 - Other. Describe: _____
- Using a simplified eligibility determination process such as:
 - Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
 - Developing a single application for multiple programs
 - Developing web-based and/or phone-based application procedures
 - Coordinating eligibility policies across programs. List the program names _____
 - Streamlining verification procedures, such as linking to other program data systems
 - Providing information multi-lingually
 - Including temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment). Length of time (Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).
 - Other. Describe: _____
- Other. Describe: _____
- None

2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families.

Check the strategies, if any, that your State/Territory has chosen to implement.

- Provide CCDF assistance during periods of job search. Length of time Parent remains eligible for 60 days for involuntary job loss during which time the CCIS will pay 30 days of child care. Family will be suspended from day 31 to day 60 if needed.
- Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)
- Synchronize review date across programs. List programs: _____
- Longer eligibility re-determination periods (e.g., 1 year). Describe _____
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe Children who receive subsidized child care and who are enrolled in Head Start do not receive a redetermination until the child is no longer enrolled in Head Start.
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe _____

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- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
- Individualized case management to help families find and keep stable child care arrangements. Describe CCIS eligibility and resource and referral staff assist families in finding and keeping stable child care arrangement.
- Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
- Other. Describe _____
- None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency?

Check the strategies, if any, that your State/Territory has chosen to implement.

- Application in other languages (application document, brochures, provider notices)
- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Outreach Worker
- Other: _____
- None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered Mainly Spanish but some CCIS staff are fluent in other languages.

2.2.8. How will the Lead Agency overcome language barriers with providers?

Check the strategies, if any, that your State/Territory has chosen to implement.

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

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered Spanish

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2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a))

Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as

Attachment 2.2.9 or provide a web address, if available

www.dpw.state.pa.us/ucmprd/groups/public/documents/form/s_001638.pdf

Reminder – Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes. (ACYF-PI-CC-98-08) States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing *in loco parentis*, or other household members have not provided information regarding their immigration status.

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	Photo-ID or two non-photo-ID documents such as Social Security card, birth certificate, voter registration card, etc.
<input checked="" type="checkbox"/> Household composition	Birth certificate, custody order, medical or school records.
<input checked="" type="checkbox"/> Applicant’s relationship to the child	Birth certificate, custody order, medical or school records.
<input checked="" type="checkbox"/> Child’s information for determining eligibility (e.g., identity, age, etc.)	Birth certificate, medical/school records
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Verification from employer, school or training program
<input checked="" type="checkbox"/> Income	Income Pay stubs, tax returns, benefit award letter, copy of benefit check.
<input checked="" type="checkbox"/> Other. Describe <u>Residence</u>	Driver’s license, lease, deed, utility bill.

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

- Time limit for making eligibility determinations. Describe length of time CCIS must determine eligibility by the 30th day following receipt of signed application.
- Track and monitor the eligibility determination process
- Other. Describe _____
- None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

Yes. If yes, describe:

Families receiving TANF do not need to be employed. They can receive child care while they are in a training program or are conducting a job search. The CAO determines if a TANF recipient is participating in an approved employment and training activity.

No.

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

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

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

a) Identify the TANF agency that established these criteria or definitions:
State/Territory TANF Agency Pennsylvania Department of Public Welfare – Office of Income Maintenance

b) Provide the following definitions established by the TANF agency.

- "appropriate child care": Child care operating in accordance with the PA state child care regulations and meeting the CCDBG regulations. This includes regulated center-based, group home care, registered family day care and informal (relative/neighbor) care. Informal care includes care in the caregiver's home or, in rare situations, the child's home.
- "reasonable distance": Travel time to the work-site, including travel time to the child care provider, which is one hour or less each way (two hours roundtrip), by reasonably available public or private transportation.

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- "unsuitability of informal child care": Any child care is unsuitable/inappropriate if it is reasonably expected to result in physical or serious emotional harm to the child.
- "affordable child care arrangements": Child care which costs less than or equal to the Department's established child care daily maximum allowances for payment of child care services.

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

- In writing
 Verbally
 Other: _____

2.3. Eligibility Criteria for Child Care

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

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

residing with - For non-TANF families:

1) A family includes the following individuals who live together:

- The child for whom subsidized child care is requested
- The parent of the child (biological, adoptive or stepparent)
- A caretaker and the caretaker's spouse
- A biological, adoptive or foster child or stepchild of the parent or caretaker who is under 18 years of age and not emancipated by marriage or by the court,
- an unrelated child under the care and control of the parent or caretaker who is under 18 years of age and not emancipated by marriage or the court
- A child who is 18 years of age or older but under 22 years of age who is enrolled in a high school, a general educational development program, or a postsecondary program leading to a degree or diploma or certificate and who is wholly or partially dependent upon the income of the parent or caretaker or spouse of the parent or caretaker.

2) A foster child may be counted as either a separate family or as part of the foster family. For TANF families, the family is defined as the "budget group" composition that lives together, as defined in accord with TANF eligibility requirements.

in loco parentis – For non-TANF families: a “caretaker” is defined as a person who has legal custody of the child, a foster parent, a grandparent, an aunt or an uncle who lives with and exercises care and control of a child.

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For TANF families: a person who meets the requirements of a specified relative in accordance with TANF eligibility requirements.

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 1 week to 13 years (may not equal or exceed age 13).

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

Yes, and the upper age is 19 (may not equal or exceed age 19).
Provide the Lead Agency definition of *physical or mental incapacity* –

An impairment that causes the child to be incapable of caring for himself as documented by a licensed physician or psychologist. Documentation must include a description of the condition and state why or how the condition prevents the child from caring for himself.

A child who is developmentally disabled and is 13 years of age or older is eligible for subsidy until his developmental age is 13 years or until his chronological age is 19 years, whichever occurs first. The developmental disability must be documented by a licensed psychologist or a physician and must include the child's current developmental age.

A child who is physically disabled and is 13 years of age is eligible for subsidy until he is no longer physically disabled or until he is 19 years of age, whichever occurs first. A licensed physician must document the physical disability and describe the condition including why or how the condition prevents the child from caring for himself.

No.

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

Yes, and the upper age is _____ (may not equal or exceed age 19)
 No.

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

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

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

working – Parents must work an average of 20 hours a week or work at least 10 hours a week and attend a training program for 10 hours a week. Work is defined as employment or self-employment. Employment is defined as working for another individual or entity for income. Self-employment is defined as operating one’s own business, trade or profession for profit equal to or greater than the hourly PA minimum wage.

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

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

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

attending job training or educational program –

Parents must provide verification from the training or educational institution regarding the days and times they are enrolled in a training educational activity. Training is defined as instruction that provides the skills or qualifications necessary for a vocation or specific field of employment. The term training includes adult basic education, English as a second language, a two-year or four –year postsecondary degree program, an internship, clinical placement, apprenticeship, lab work and field work required by the training institution.

Education refers to a teen parent under the age of 18 who does not have a high school diploma or GED.

A teen parent can meet the work requirement by attending an education program full-time. An education program is defined as an elementary school, middle school, junior high or high school program including a GED program.

No.

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

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

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

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

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

- *protective services* – _____

- No.

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

- Yes.
 No.

2.3.5. Income Eligibility Criteria

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

income – includes the following:

For non-TANF child care:

- 1) Earned income including gross wages from work, cash and in-kind payments received by an individual in exchange for services and income from self-employment.
- 2) Unearned income including cash and contributions received by an individual for which the individual does not provide a service.
- 3) Unearned benefits received periodically by an individual, such as unemployment compensation, worker’s compensation or retirement benefits.

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For TANF child care, income is defined as the total (gross) countable monies available to a budget group on a monthly basis as defined by TANF eligibility requirements.

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

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

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

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

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

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Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	3404.96	2894.22	1915	56
2	4452.64	3784.74	2585	58
3	5500.32	4675.27	3255	59
4	6458.00	5565.80	3925	60
5	7595.68	6456.33	4595	60

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2013 poverty guidelines are available at <http://aspe.hhs.gov/poverty/13poverty.cfm>

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

Yes. If yes, **provide** the requested information from the table in 2.3.5d and **describe**

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	\$ 3404.96	\$ 2894.22	\$ 2250.00	66 %
2	\$ 4452.64	\$ 3784.74	\$ 3037.00	68 %
3	\$ 5500.32	\$ 4675.27	\$ 3825.00	70 %
4	\$ 6548.00	\$ 5565.80	\$ 4612.00	70 %
5	\$ 7595.68	\$ 6456.33	\$ 5399.00	71 %

At initial application, annual family income may not exceed 200% of Federal Poverty Income Guidelines (FPIG). Column C figures in the table above are equivalent to 200% of FPIG. Families continue eligibility until their income reaches 235% of FPIG as shown in the following table.

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Note: This information can be included in a separate table, or by placing a “/” between the entry and exit levels in the above table.

No.

f) SMI Year 2013 and SMI Source

g) These eligibility limits in column (c) became or will become effective on: May 6, 2013

2.3.6. Eligibility Re-determination

a) Does the State/Territory follow OCC’s 12 month re-determination recommendation? (See Program Instruction on Continuity of Care <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>)

Yes

No. If no, what is the re-determination period in place for most families?

6 months

24 months

Other. Describe _____

Length of eligibility varies by county or other jurisdiction. Describe _____

b) **Does the Lead Agency coordinate or align re-determination periods with other programs?**

Yes.

No. If no, **check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.**

Head Start and/or Early Head Start Programs. Re-determination period when child is no longer enrolled in the Head Start Program.

Pre-kindergarten programs. Re-determination period _____

TANF. Re-determination period _____

SNAP. Re-determination period _____

Medicaid. Re-determination period _____

SCHIP. Re-determination period _____

Other. Describe _____

c) Describe under what circumstances, if any, a family’s eligibility would be reviewed prior to redetermination. For example, regularly scheduled interim assessments, or a requirement for families to report changes.

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A family's eligibility would be reviewed if a parent marries or a noncustodial parent of a child receiving subsidized child care returns to the household composition.

- d) Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination .

Depending on the circumstances, we could take the following actions: reduce copayments, determine the family ineligible, suspend children's care for a period of up to 90 days, and/or modify the child's enrollment schedule.

- e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>).

When taking actions described above, the CSIS agencies work closely with families to explain the action and to help resolve actions with negative consequences.

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

Yes. If yes, describe

A pre-populated form is used so that a parent only needs to report changes.

No.

2.3.7. Waiting Lists

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

- Lead Agency currently does not have a waiting list and:
- All eligible families *who apply* will be served under State/Territory eligibility rules
 - Not all eligible families *who apply* will be served under State/Territory eligibility rules
- Lead Agency has an active waiting list for:
- Any eligible family who applies when they cannot be served at the time of application
 - Only certain eligible families. Describe those families:
Children whose families are not receiving or transitioning from TANF may go on the waiting list if funds are not available.
- Waiting lists are a county/local decision. Describe _____
- Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

Families receive written notice of eligibility. The notice includes appeal instructions. Families must advise the CCIS in writing of their wish to appeal. The CCIS reviews the appeal and if unable to immediately resolve it, forwards the appeal to the Bureau of Hearings and Appeals. Parents may request an appeal hearing via teleconference or in person.

2.4. Sliding Fee Scale and Family Contribution

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

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1.

Will the attached sliding fee scale be used in all parts of the State/Territory?

- Yes. Effective Date May 6, 2013
- No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

2.4.2. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B))

Check only one option.

- State Median Income, Year: _____
- Federal Poverty Level, Year: 2013
- Income source and year varies by geographic region. Describe income source and year: _____
- Other. Describe income source and year: _____

2.4.3. How will the family's contribution be calculated and to whom will it be applied?

Check all that the Lead Agency has chosen to use. (§98.42(b))

- Fee is a dollar amount and
 - Fee is per child with the same fee for each child
 - Fee is per child and discounted fee for two or more children
 - Fee is per child up to a maximum per family
 - No additional fee charged after certain number of children
 - Fee is per family
- Fee is a percent of income and
 - Fee is per child with the same percentage applied for each child
 - Fee is per child and discounted percentage applied for two or more children

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- No additional percentage applied charged after certain number of children
- Fee is per family
- Contribution schedule varies by geographic area. Describe: _____
- Other. Describe _____

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

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

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

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

Select **ONE** of these options.

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

- ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: \$_____
- SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: TANF recipients in approved unpaid work activities, employed TANF recipients who have not yet received their first pay and non TANF recipients' fees may be temporarily waived at application for a single parent who reports prospective work that will start within 30 days of the application date. The fee is waived until the parent receives his/her first pay.

2.5. Prioritizing Services for Eligible Children and Families

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

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payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44)

Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p>Provide the Lead Agency definition of <i>Children with Special Needs</i> is <u>children with physical, mental, and/or developmental disabilities.</u></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input checked="" type="checkbox"/> Other. Describe Children with developmental ages that are less than their chronological age are paid at their developmental age rate rather than their chronological age rate. The developmental rate is usually a higher rate.</p>

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How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children in families with very low incomes Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i> – children in families that are receiving TANF or are transitioning off TANF.	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Yes. The time limit is: <u>for children transitioning off TANF the time limit is 183 days from the date TANF ended.</u> <input type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input type="checkbox"/> Other. Describe _____

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF?

(658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

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

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

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

Reminder – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)
----------------	----------------------

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Term(s)	Definition(s)
N/A	

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

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

2.6.1. Child Care Certificates

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

- Before parent has selected a provider
- After parent has selected a provider
- Other. Describe _____

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

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency Website:
<http://www.dpw.state.pa.us/forchildren/childcareearlylearning/childcareworkssubsidizedchildcareprogram/index.htm>
- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe _____

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

- Authorized provider(s)
- Authorized payment rate(s)
- Authorized hours

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- Co-payment amount
- Authorization period
- Other. Describe _____

d) What is the estimated proportion of services that will be available for child care services through certificates? 100%

2.6.2. Child Care Services Available through Grants or Contracts

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

- Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: _____
- No. If no, skip to 2.6.3.

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

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

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

- Yes.

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- No, and **identify** the localities (political subdivisions) and services that are not offered: _____

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

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

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

Check the strategies that will be implemented by your State/Territory.

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

Parents receive a subsidized child care handbook that contains this information and information on parent choice.

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

Will the Lead Agency limit the use of in-home care in any way?

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

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

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All substantiated complaints and inspections of child care centers, group and family child care homes in general are maintained in the Pennsylvania's Enterprise to Link Information about Children across Networks (PELICAN) Provider Certification electronic database and are made available to the public online. The information can be accessed via an online web-based provider search. Additionally, the Office of Child Development and Early Learning (OCDEL) shares with the public information upon request regarding substantiated complaints both verbally and in paper form. The information is public at the time the provider submits a plan to correct the regulatory violations cited as a result of a complaint investigation or inspection.

The CCIS enters complaint information about a relative/neighbor provider into the comment section of PELICAN Child Care Works (CCW). The CCIS does not refer families to relative/neighbor providers and does not make relative/neighbor complaint information available to the public.

2.7. Payment Rates for Child Care Services

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

2.7.1 Attach a copy of your payment rates as Attachment 2.7.1.

Will the attached payment rates be used in all parts of the State/Territory?

- Yes. Effective Date: 1/1/2013
 No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

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

- Policy on length of time for making payments. Describe length of time Providers must submit signed invoices by the 5th calendar day of the month following the month in which services were provided. The CCIS must make the payment by the 20th calendar day of the month following the month in which services were provided.
- Track and monitor the payment process
- Other. Describe The automated PELICAN Child Care Works system allows CCIS agencies to process invoices and payments timely and accurately. Many CCIS agencies also provide direct deposit for provider payments.
- None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02

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<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

- a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): May 2012.
- b) Provide a **summary of the results** of the survey.

In May 2012, the Office of Child Development and Early Learning (OCDEL) distributed the Market Rate Survey (MRS) to all regulated child care providers in Pennsylvania. OCDEL received responses from over 50% of the providers and performed an analysis to determine variation in child care costs by care level, provider type (center, family, group), length of care (full-time vs. part-time), and quality of care.

2.7.4. Describe the payment rate ceilings in relation to the current MRS using the tables below.

Because of the flexibility that Lead Agencies have in setting payment rate ceilings, the following tables have been developed to simplify Lead Agency reporting on how their payment rate ceilings compare to their most recent MRS. These tables are not meant to collect comprehensive payment rate ceilings within a State/Territory and ACF recognizes that Lead Agencies are not required to set their payment rate ceilings at the 75th percentile. These tables allow Lead Agencies to use a common metric – the 75th percentile – as a reference point against which the Lead Agency can report their percentiles for three selected age groups in two geographic areas for licensed child care centers and licensed family child care homes.

In table 2.7.4a and 2.7.4b, *highest rate area* refers to the State or Territory's area or geographic region with the highest maximum payment rate ceiling for child care centers (2.7.4a) and family child care homes (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceiling, not including any rate add-ons or tiered reimbursements. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, Lead Agencies can use the following assumptions to calculate monthly

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maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4a – Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Bucks County			
Full-Time Licensed Center Infants (11 months)	\$1164.77	\$971.22	32 nd
Full-Time Licensed Center Preschool (59 months)	\$966.67	\$771.82	21 st
Full-Time Licensed Center School-Age (84 months)	\$1008.89	\$728.52	16 th

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Somerset County			
Full-Time Licensed Center Infants (11 months)	\$533.24	\$490.37	15 th
Full-Time Licensed Center Preschool (59 months)	\$487.13	\$425.42	19 th
Full-Time Licensed Center School-Age (84 months)	\$492.54	\$403.77	2 nd

In table 2.7.4c and 2.7.4d, *lowest rate area* refers to the State or Territory’s area or geographic region with the lowest maximum payment rate ceiling for child care centers and family child care homes. Identify the lowest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile

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from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceilings, not including any rate add-ons or tiered reimbursement. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, Lead Agencies can use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Chester County			
Full-Time Licensed FCC Infants (11 months)	\$866.00	\$765.33	21st
Full-Time Licensed FCC Preschool (59 months)	\$844.35	\$668.99	20th
Full-Time Licensed FCC School-Age (84 months)	\$822.70	\$555.32	12th

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Warren County			
Full-Time Licensed FCC Infants (11 months)	\$487.13	\$388.62	22nd
Full-Time Licensed FCC Preschool (59 months)	\$492.54	\$382.12	17th

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2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Warren County			
Full-Time Licensed FCC School-Age (84 months)	\$492.54	\$356.14	6th

2.7.5. How are payment rate ceilings for license-exempt providers set?

- a) Describe how license-exempt center payment rates are set: N/A
- b) Describe how license-exempt family child care home payment rates are set: Historically, these rates were set at a certain percent of the regulated family child care home rate. Unregulated child care rates over the last decade remained unchanged from the previous fiscal year or reduced.
- c) Describe how license-exempt group family child care home payment rates are set: N/A
- d) Describe how in-home care payment rates are set: These rates are equal to the license-exempt family child care home rates.

2.7.6 Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies?

Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.

- Differential rate for nontraditional hours. Describe _____
- Differential rate for children with special needs as defined by the State/Territory. Describe _____
- Differential rate for infants and toddlers. Describe _____
- Differential rate for school-age programs. Describe _____
- Differential rate for higher quality as defined by the State/Territory. Describe Providers with a Keystone STARS level of 1, 2, 3, or 4 receive a tiered reimbursement per child. The amount increases with the STAR level. The add-on rates information is available at: www.pakeys.org.
- Other differential rate. Describe _____

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None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families' provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

2.7.7. What policies does the Lead Agency have regarding any additional fees that providers may charge CCDF parents? The Lead Agency...

- Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate
- Pays for provider fees (e.g., registration, meals, and supplies). Describe Provider may charge fees for registration, meals, transportation, field trips etc.
- Policies vary across region, counties and or geographic areas. Describe _____
- Other. Describe _____

2.7.8 What specific policies and practices does the Lead Agency have regarding the following:

- a) Number of absent days allowed. Describe PA will pay for 5 consecutive days of absence and up to 25 days of absence in a fiscal year.
- b) Paying based on enrollment. Describe PA reimburses providers based on the child's enrollment.
- c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly) N/A
- d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe Some CCIS agencies use direct deposit or EBT cards.

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

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to

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receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) Parents may go online to search for child care providers using the state's online provider search system. The CCIS also offers resource and referral services. They provide a full list of providers to meet the parent's needs.

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

Approximately 87% of regulated providers participate in the subsidized child care program, suggesting that payment rates are adequate and low income families do have equal access to quality child care.

The experience of the user population is a leading indicator that payment rates are adequate. DPW receives constant feedback from families on the availability of care. CCISs provide parents/caretakers with resource and referral information, including benefits of quality care. We have not experienced any difficulty with finding quality child care for subsidy families.

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

The sliding scale is based on family size and annual income. Families are required to pay a minimum of \$5 per week. The co-payment covers each child in the family that receives subsidized child care. The co-payment includes each day of the week for which the child needs care.

The annual co-payment may not exceed 11 percent of the family's annual income. If the family's annual income is 100 percent of FPIG or less, the annual co-payment may not exceed 8 percent of FPIG.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates

OCDEL recently implemented the Rising STARS initiative that increased tiered reimbursements for providers at STARS 3 and 4 levels. OCDEL used the Stoney/Mitchell cost model using local PA data in determining the tiered reimbursement amounts.

2.8 Goals for the next Biennium

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency’s goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices).

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 – Implement CCIS consolidation which includes a consolidation and efficiency effort to reduce the administrative entities that administer the subsidy program from 59 to 42 by joining more counties into joint service areas.
Goal 2 – Expand provider self-service so providers can enter/maintain/modify their online information.
Goal 3 -
Goal 4 -
Goal 5 -

PART 3
HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

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

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

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

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

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

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

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

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

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4.

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

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

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

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

- a) Is the Lead Agency responsible for child care licensing? (§98.11(a))
- Yes.
 No. Please identify the State or local (if applicable) entity/agency responsible for licensing _____
- b) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory.

All child care centers, group child care homes and family child care homes must have a certificate of compliance or registration in order to legally operate and to participate in the CCDF program. The regulations include minimum health and safety standards.

- c) Do the State/Territory’s licensing requirements serve as the CCDF health and safety requirements?

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Yes, for some providers in	Describe _____	Describe _____	Describe _____	Describe _____

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	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
this category				
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe	Describe	Describe	Describe

d) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. For each CCDF category of care, please identify which types of providers are subject to licensing and which providers are exempt from licensing in your State/Territory in the chart below. **Note: OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care but consistent with your reported 801 data.**

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory All child care centers that meet the state definition.	Describe which types of center-based settings are exempt from licensing in your State/Territory Head Start; part-day school-age programs that operate less than 90 consecutive days per year
Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Terri	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than	Describe which types of group homes are subject to licensing All group child care homes that meet the state definition.	Describe which types of group homes are exempt from licensing Part-day school-age programs that operate less than 90 consecutive days per year

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
tory does not have group home child care.	the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.		
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.	Describe which types of family child care home providers are subject to licensing Pennsylvania regulates family child care homes where four – six children who are not related to the operator are in care.	Describe which types of family child care home providers are exempt from licensing Pennsylvania does not regulate family child care homes where three or fewer children who are not related to the operator are in care.
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory. Describe which in-home providers are subject to licensing <input type="checkbox"/>	Describe which types of in-home child care providers are exempt from licensing <input type="checkbox"/>

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's.**

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

* American Academy of Pediatrics, American Public Health Association, National Resource Center for Health and Safety in Child Care and Early

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Education. (2011) *Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and Education Programs. 3rd Edition.* Elk Grove Village, IL: American Academy of Pediatrics; Washington, DC: American Public Health Association. Available online: <http://nrckids.org/CFOC3>

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
<p>Do the licensing requirements include child: staff ratios and group sizes?</p> <p>If yes, provide the ratio for age specified.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months): 4:1</p> <p>Toddler ratio (35 months): 6:1</p> <p>Preschool ratio (59 months): 10:1</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months): Maximum of 8</p> <p>Toddler group size (35 months): Maximum of 12</p> <p>Preschool group size (59 months): Maximum of 20</p> <p><input type="checkbox"/> No group</p>	<p><input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.</p> <p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months): 4:1</p> <p>Toddler ratio (35 months): 6:1</p> <p>Preschool ratio (59 months): 10:1</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months): Maximum of 12</p> <p>Toddler group size (35 months): Maximum of 12</p> <p>Preschool group size (59 months): Maximum of 12</p> <p><input type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p>No more than 6 unrelated children can be served in a family child care home. Also limit 2 infants at any one time; no more than 5 infants and toddlers at any one time.</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p>If no infants in care, 5 toddlers are permitted.</p> <p>If one infant in care, 4 toddlers are permitted;</p> <p>If two infants in care, 3 toddlers are permitted.</p> <p><input type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)</p> <p><input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input type="checkbox"/> No group size requirements.</p>

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Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
	size requirements.	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements identify specific educational credentials for child care directors?	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input checked="" type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: Experience required is based on degree.	Do the licensing requirements identify specific educational credentials for child care directors?	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: For family child care home we are equating child care director to the owner/operator.	Do the licensing requirements identify specific educational credentials for child care directors?
Do the licensing requirements identify specific educational credentials for child care teachers?	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input checked="" type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: Experience required is based on degree.	Do the licensing requirements identify specific educational credentials for child care teachers?	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	Do the licensing requirements identify specific educational credentials for child care teachers?

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Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: 6 hrs./ year	Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: 12 hours every 2 years.	Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?

e) Do you expect the licensing requirements for child care providers to change in FY2014-2015?

- Yes. Describe
- No

3.1.2 Enforcement of Licensing Requirements

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

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.2a through 3.1.2e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

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

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

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CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe To conduct unannounced monitoring and complaint investigations and to verify plans of correction.
<input checked="" type="checkbox"/> Group Home Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe To conduct unannounced monitoring and complaint investigations and to verify plans of correction.
<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe 5-15% random sample per year.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe To conduct complaint investigations and to verify plans of correction.
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

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

- Yes. If “Yes” please refer to the chart below and check all that apply.
 No

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input checked="" type="checkbox"/> Yes. Describe: Attendance at pre-certification orientation training is required within one year prior to

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Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	opening a facility.
	<input type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input checked="" type="checkbox"/> An on-site inspection is conducted.
	<input checked="" type="checkbox"/> Programs self-certify. Describe – Family child care providers self-certify compliance during the application process.
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe Procedures are in place for licensing staff to inspect centers prior to issuing a license.
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections.
	<input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers.
	<input checked="" type="checkbox"/> Licensing staff verify correction of violation.
	<input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation.
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license
	<input checked="" type="checkbox"/> License revocation or non-renewal
	<input checked="" type="checkbox"/> Injunctions through court
	<input checked="" type="checkbox"/> Emergency or immediate closure not through court action
	<input type="checkbox"/> Fines for regulatory violations
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input checked="" type="checkbox"/> Cease and desist action
	<input checked="" type="checkbox"/> Injunction
	<input checked="" type="checkbox"/> Emergency or immediate closure not through court action
	<input checked="" type="checkbox"/> Fines
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe The lead agency's Bureau of Hearings and Appeals handles the administrative appeal process.
	<input type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe

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

Yes. If “Yes” please refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency.

No

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <u>Paid employees who work with children</u>
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <u>Paid employees who work with children</u>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <u>Paid employees who work with children</u>

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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
<input checked="" type="checkbox"/> Group Child Care Homes <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe New background check is required to move to new employment unless the background check is less than one year old.	Provider <input type="checkbox"/> Non-provider residents of the home _____

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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
<input type="checkbox"/> Family Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home: Adult household members who reside in the home more than 30 days
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home: Adult household members who reside in the home more than 30 days
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home: Adult household members who reside in the home more than 30 days
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
<input checked="" type="checkbox"/> In-Home Child Care Providers <input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Renewed every two years	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____

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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
licensing in your State/Territory (skip to 3.1.2e)	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Renewed every two years.	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Renewed every two years	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____

e) Please **provide a brief overview** of the State/Territory’s process for conducting background checks for child care. In this brief overview, include the following:

d -1) The cost associated with each type of background check conducted: child abuse-\$10; state criminal history -\$10; FB I check - \$27.50.

d-2) Who pays for background checks – The individual or the child care program is responsible for the costs of the background checks.

d-3) What types of violations would make providers ineligible for CCDF? Describe - Prohibitions are outlined in the State’s Child Protective Services Law:

Provisions of the Pennsylvania Child Protective Services Law (CPSL):
Any person seeking to operate a child care facility or to be employed at a child care facility in a position involving direct contact with children must submit the following information obtained within the preceding one year period:

• A Pennsylvania Child Abuse clearance obtained from the ChildLine and Abuse Registry at a cost of \$10.

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- A Pennsylvania State Police criminal history clearance obtained from the State Police at a cost of \$10.
- An FBI criminal history clearance obtained from the Department of Public Welfare's contractor, Cogent. Fingerprints are required for the FBI clearance. The cost is \$27.50.

The individual applicant is responsible for paying for clearances.

For persons seeking to operate a child care facility, clearances are required at initial application for a certificate of compliance or registration and must be less than one year old at the time of application. For persons applying for employment in a child care facility, clearances are required at the time of the application for employment with the legal entity and must be less than one year old. An employee may be hired in a child care facility on a provisional basis pending receipt of the above clearances providing that the employee submits proof of application for the above clearances, signs a statement that says the employee is not disqualified from employment based on criminal or child abuse history and works in the immediate presence of a permanent employee at all times. Provisional hire is permitted for a 30-day period for Pennsylvania residents and for a 09-day period for out-of-state residents. Family child care home operators are required to also submit the above clearances for each household member age 18 and older who lives in the family child care home at least 30 days a year. The CPSL prohibits a person who meets any of the following from operating or working in a child care facility:

- Named as perpetrator of a founded report of child abuse or as an individual responsible for a founded report for a school employee as defined by the Child Protective Services Law.
- Convictions of any of the following crimes or the attempt, solicitation or conspiracy to commit any of the following crimes under Title 18 of the Pennsylvania Consolidated Statutes or equivalent crimes in another state or under Federal law:
 - Chapter 25(relating to criminal homicide)
 - Section 2702(relating to aggravated assault)
 - Section 2709.1 (relating to stalking)
 - Section 2901 (relating to kidnapping)
 - Section 2902 (relating to unlawful restraint)
 - Section 3121 (relating to rape)
 - Section 3122.1 (relating to statutory sexual assault)
 - Section 3123 (relating to involuntary deviate sexual intercourse)
 - Section 3124.1 (relating to sexual assault)
 - Section 3125 (relating to aggravated indecent assault)
 - Section 3126 (relating to indecent assault)
 - Section 3127 (relating to indecent exposure)
 - Section 4302 (relating to incest)
 - Section 4303 (relating to concealing death of child)

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- Section 4304 (relating to endangering welfare of children)
- Section 4305 (relating to dealing in infant children)
- Section 5902(b) Felony (relating to prostitution and related offenses)
- Section 5903(c)(d) (relating to obscene and other sexual material and performances)
- Section 6301 (relating to corruption of minors)
- Section 6312 (relating to sexual abuse of children)
- Felony offense under Act 64-1972 (relating to the controlled substance, drug device and cosmetic act) committed within the past five years.

Department of Public Welfare Regulations:

The Department's regulations relating to the certification of child care facilities include additional provisions relating to persons convicted of crimes or named as perpetrators in child abuse reports:

• Regarding child care centers and group child care homes, the Department may deny, refuse to renew or revoke a certificate of compliance if a legal entity, owner, operator or staff person:

- Has been convicted of a felony.
- Or has been convicted of a crime involving child abuse, child neglect, moral turpitude or physical violence.
- Is named in accordance with the CPSL as a perpetrator in an indicated or founded report of child abuse.

• Regarding family child care homes, the Department may deny, refuse to renew or revoke a certificate of registration to an operator if one or more of the following applies to an operator, staff person, volunteer or another person present at the facility while children are in care:

- The person is convicted of a felony.
- The person is convicted of a crime involving child abuse, child neglect, moral corruptness or physical violence.
- The person is named in accordance with the CPSL as a perpetrator in an indicated or founded report of child abuse.

d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe:

If the Department denies, refuses to renew or revokes a certificate of compliance or registration based on the results of background checks, the applicant or legal entity has the right to appeal that decision. An appeal of a negative sanction relating to a certificate of compliance and registration is handled through the Department's administrative appeal procedure.

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing

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requirements are effectively enforced per the CCDF regulations? N/A
(658E(c)(2)(E), §98.40(a)(2))

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

Yes. Describe The Department has an online provider search tool for parent and the public that displays information on regulated provider’s quality level and licensing violations.

No

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

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

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

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

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Physical exam or health statement for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Physical exam or health statement for children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
children				
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe STARS 2 standards require all staff to have two hours of health and safety PD annually. At STAR 2 at least one staff member must have pediatric first aid and at a STAR 3 all staff is required to have pediatric first aid.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Health inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

c) **Describe** the Lead Agency’s health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc). “On-going” would be some type of routine occurrence (e.g., maintain qualifications each year).

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	Completion of training by a professional in the field of first-aid. First-aid training shall be renewed on or before expiration of certification or every 3 years.	Completion of training by a professional in the field of first-aid. First-aid training shall be renewed on or before expiration of certification or every 3 years.
	CPR	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			safety.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Procedures for	None	This training is an

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	preventing the spread of infectious disease, including sanitary methods and safe handling of foods		acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Recognition and mandatory reporting of suspected child abuse and neglect	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Emergency preparedness and planning response procedures	The facility shall have an emergency plan that provides for shelter of children, evacuation of children, and parent contact	Each facility person shall receive training regarding the emergency plan at the time of initial employment, on an annual basis and at the time of each plan update.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Behavior management	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Other. Describe <input type="text"/>		
Group Home Child Care	First Aid	Completion of training by a professional in the field of first-aid. First-aid training shall be renewed on or before expiration of certification or every 3 years.	Completion of training by a professional in the field of first-aid. First-aid training shall be renewed on or before expiration of certification or every 3 years.
	CPR	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			safety.
	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Recognition and	None	This training is an

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	mandatory reporting of suspected child abuse and neglect		acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Emergency preparedness and planning response procedures	The facility shall have an emergency plan that provides for shelter of children, evacuation of children, and parent contact	Each facility person shall receive training regarding the emergency plan at the time of initial employment, on an annual basis and at the time of each plan update.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Behavior management	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Other. Describe <input type="text"/>		
Family Child Care Providers	First Aid	Completion of training by a professional in the field of first-aid. First-aid training shall be renewed on or before expiration of certification or every 3 years.	Completion of training by a professional in the field of first-aid. First-aid training shall be renewed on or before expiration of certification or every 3 years.
	CPR	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			safety.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Recognition and mandatory reporting of suspected child abuse and neglect	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Emergency	The facility shall	Each facility person

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	preparedness and planning response procedures	have an emergency plan that provides for shelter of children, evacuation of children, and parent contact	shall receive training regarding the emergency plan at the time of initial employment, on an annual basis and at the time of each plan update.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Behavior management	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Other. Describe <input type="text"/>		
In-Home Child Care Providers	First Aid	None	None
	CPR	None	None
	Medication Administration Policies and Practices	None	None
	Poison Prevention and Safety	None	None
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	None
	Shaken Baby Syndrome and abusive head trauma prevention	None	None
	Age appropriate nutrition, feeding, including support for breastfeeding	None	None
	Physical Activities	None	None
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	None
	Recognition and mandatory reporting of suspected child abuse and neglect	None	None
	Emergency preparedness and planning response procedures	None	None
	Management of common childhood illnesses, including food intolerances and allergies	None	None
	Transportation and child	None	None

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	passenger safety (if applicable)		
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	None
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	None
	Supervision of children	None	None
	Behavior management	None	None
	Other. Describe 		

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

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

Legally unregulated home care providers who serve three or fewer children unrelated to the operator are exempt from State regulations. As a funding standard, these relative/neighbor providers must meet the following minimum health and safety requirements:

- The provider must wash his/her hands after toileting, after diapering a child, after assisting a child with toileting and prior to preparing or handling food.
- The provider must wash the child’s hands after the child is toileted or diapered, and before meals and snacks.
- A provider must give any information he/she receives regarding child immunizations to parents/caretakers.

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- A working smoke detector must be placed on each level of the home in which child care is provided.
- Conditions may not pose a threat to the health and safety of the children in care.
- Cleaning materials and other toxic materials shall be stored in their original labeled containers or in a container that specifies the contents. These materials must be kept in a locked area or in an area where children cannot reach them. These materials must be separate from food, the areas where food is prepared or stored and the areas where child care takes place.
- Any weapon or firearm must be kept in a locked cabinet. Any ammunition must be kept in a locked area separate from weapons and firearms. The provider must tell the child's parent/caretaker that weapons, firearms or ammunition are in the provider's home.

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

<http://www.pacode.com/secure/data/055/chapter3270/chap3270toc.html>

<http://www.pacode.com/secure/data/055/chapter3280/chap3280toc.html>

<http://www.pacode.com/secure/data/055/chapter3290/chap3290toc.html>

3.1.4 Effective enforcement of the CCDF health and safety requirements.

For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in 3.1.2 for licensed providers, please describe how the Lead Agency enforces the CCDF health and safety enforcement requirements. _____

- a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced) The Lead Agency does not conduct on-site visits for relative/neighbor providers.
- b) Describe whether the Lead Agency uses background checks

The following background checks are required:

- Federal criminal history clearance
 - PA State Police criminal history clearance
 - PA child abuse history clearance
- c) Does the Lead Agency permit providers to self-certify compliance with applicable health and safety standards?
 Yes. If yes, what documentation, if any, is required? Describe

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Unregulated providers sign a provider agreement which is legally binding. Family child care providers self-certify by signing the Family Child Home Application which is a requirement of the Department's regulations.

No

d) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements. NA

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

3.1.5. Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs?

Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities.

Yes. Describe

Screening is required in PA's Head Start, PA Pre-K Counts and at Keystone STAR 2, STAR 3, and STAR 4 providers.

No

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

Yes. Describe

Pennsylvania allows programs to use any valid and reliable screening tool. However, Ages & Stages Questionnaire™ and Ages & Stages SE™ are supported through professional development, technical assistance supports, and reduced priced materials. The Ages & Stages Questionnaire™ tool is being used cross sector in Pennsylvania and has been adopted by the Office of Children Youth and Families for use when a child is seen in the program.

No

Other. Describe

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

Yes. Describe

Professional development is provided to practitioners on the use of the tool and how to determine if follow-up support services are needed. Practitioners participating in Keystone STARS are eligible to receive early childhood mental health services. Practitioners are also made aware of early intervention services which are housed in OCDEL.

No

Other. Describe

c) Does the State/Territory use developmental screening and referral tools?

Yes. If Yes, provide the name of the tool(s)

Pennsylvania allows any valid and reliable screening tool to be used but Ages & Stages Questionnaire™ and Ages & Stages SE™ are supported through professional development, technical assistance supports, and reduced priced materials.

No

Other. Describe

3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance –

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

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

Number of licensed programs. Describe (optional)

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Facility lists are generated on a monthly basis regarding child care centers, group child care homes and family child care homes.

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

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

Current performance measures focus on the number of overdue licenses and timelines between inspection and issuance of a license.

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

OCDEL conducts periodic monitoring relating to regulatory violations, plans of correction and referrals for negative sanction. Additionally, OCDEL is able to monitor regulatory violations and use that information to assess areas of low or inconsistent compliance that may point to training needs for licensing staff and for providers.

3.1.7 Goals for the next Biennium –

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

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What are the Lead Agency’s goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 – Implement a new proactive policy to schedule renewal inspections at the Department’s convenience rather than waiting for the facility to submit a renewal application. This will help to address PA’s overdue inspections.
Goal 2 -
Goal 3 -
Goal 4 -
Goal 5 -



CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link <http://www.acf.hhs.gov/programs/occ/resource/government-performance-and-results-act-gpra-measures> to see the CCDF performance measures. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon  in Section 3.2 through 3.4 in order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary because States/Territories are not required to develop such guidelines or implement them in a specified manner.



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

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

If yes, insert web addresses, where possible:

<http://websites.pdesas.org/ocdel/2010/4/30/47302/page.aspx>

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

Department of Education – Office of Child Development and Early Learning



3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development?

Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	X	X	X
Social and emotional development	X	X	X
Approaches to learning	X	X	X
Logic and reasoning (e.g., problem-solving)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Language development	X	X	X
Literacy knowledge and skills	X	X	X
Mathematics knowledge and skills	X	X	X
Science knowledge and skills	X	X	X
Creative arts expression (e.g., music, art, drama)	X	X	X
Social studies knowledge and skills	X	X	X
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe Family and School Partnerships	X	X	X

3.2.3 To whom are the early learning guidelines disseminated and in what manner?

Check all audiences and methods that your State/Territory has chosen to use in the chart below.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	X	X	<input type="checkbox"/>
Parents using child care more broadly	X	X	<input type="checkbox"/>
Practitioners in child care centers	X	X	<input type="checkbox"/>
Providers in family child care homes	X	X	<input type="checkbox"/>
Practitioners in Head Start	X	X	<input type="checkbox"/>
Practitioners in Early Head Start	X	X	<input type="checkbox"/>
Practitioners in public Pre-K program	X	X	X
Practitioners in elementary schools	X	X	<input type="checkbox"/>
Other. List Licensed Private Nursery School, Higher Education, Relative/Neighbor Providers, Early Intervention Providers, Keystone STARS Providers have mandatory training Home Visiting Programs	X	X	X

 **3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system?**

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional credential
- To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
- To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
- To develop State-/Territory –approved curricula
- Other. List

To align state outcomes reporting requirements and to align with training registry system and teacher certification guidelines.

- None.



3.2.5 Are voluntary early learning guidelines and development standards aligned with into other parts of the child care system?

Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

- Cross-walked to align with Head Start Child Development and Early Learning Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other. List

Publishers' curricula and assessment resources

None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions.

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

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

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

Yes. Describe

State funded programs are required to conduct ongoing assessment using resources that are aligned with the standards. State funded programs, including those that are participating in the Quality Rating and Improvement System (QRIS), Keystone STARS, at level 3 and 4, state funded Head Start and PA Pre-K Counts must submit child outcomes results two times per year for children 3-5 and one time per year for infants and toddlers. The outcomes report is aligned with the Standards

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

Yes. Describe

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Professional development is offered to help programs understand the connection between standards, assessment, curriculum and individualized instruction.

- No
- Other. Describe

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

- Yes. Describe

Child care certification regulations require an annual review of child progress with the family using a report form that is aligned with the Standards. The Keystone STARS, State Head Start and PA Pre-K Counts programs also require sharing the progress with parents.

- No
- Other. Describe
- No
- Other. Describe

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

- Yes. Describe

The Kindergarten readiness inventory has been piloted with increased numbers of participating teachers. Modifications have been made based on inter-rater reliability and professional development in the first and second pilot years. In 2013-14, the tool will be piloted for the last time before being released to all school districts in 14-15.

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

- Yes. Describe
- No
- Other. Describe

Health and physical development
Social and emotional development
Approaches to learning
English language arts - language development and literacy
Mathematics

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

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- All children. Describe
- Samples of children. Describe

Pilot includes sample of children/

- Other. Describe

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

- Yes. Describe
- No
- Other. Describe

That is the long term goal of the project.

- No
- Other. Describe

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

- Yes. Describe.

Kindergarten readiness will be uploaded to the k-12 PIMS system and accessible through the Early Learning Network.

- No
- Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines –

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

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

- Number/percentage of child care providers trained on ELG’s for preschool aged children. Describe (optional)

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- Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional) _____
- Number of programs using ELG's in planning for their work. Describe (optional) _____
- Number of parents trained on or served in family support programs that use ELG's. Describe (optional) _____
- Other. Describe _____
- None

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

Counts of early learning standards distributed in paper form; measurement of child outcome progress; movement to higher Keystone STARS levels; Environmental Rating Scale (ERS) score improvements.

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

Pennsylvania's Keystone Child Outcomes Framework aligns multiple authentic assessments which assess the full range of essential cognitive and non-cognitive domains and have been shown to be valid, reliable, and appropriate for use with children with High Needs, including low-income children, English Language Learners, and children with developmental delays or other disabilities to common, standards-based outcomes reporting tools for infant, young toddlers, older toddlers, and preschoolers. The goals of this effort are two-fold:

- to enable providers to understand the development progress and needs of the children they serve across a broad range of cognitive skills, to adapt their instruction to meet group and individualized student needs, and to monitor individual, class, and program-wide achievement and developmental gains over time to measure effectiveness of service; and
- to enable state-level administrators and policy-makers to better understand the status of the state's children across a broad range of cognitive and non-cognitive domains, to monitor changes in the status of children's achievement and development over time, and to inform policy.

Linking child outcomes to Early Learning Standards is important as such linkages provide information about the extent children across Pennsylvania are meeting the standards. Standards serve as the guide for what children should know and do as they prepare for entrance into formal schooling. The information collected through

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outcomes reporting can then be used to guide instruction at the child level, target professional development and quality enhancements at the classroom and program levels, and link outcomes data to child demographics (including service utilization and income) staff demographics (including certification and qualifications), and program demographics (including ERS and CLASS scores) to analyze what has positive effects on outcomes.

Keystone Child Outcomes Framework – evaluation activities

<u>Review the content of the Child Outcome Framework and conduct an alignment analysis to ensure that the framework is aligned with the standards at each age level</u>	<u>2012/2013</u>
<u>Conduct an item by item analysis to compare the degree to which the difficulty of each assessment item aligns with the corresponding item on KCOF for approved assessments.</u>	<u>2012/2013</u>
<u>Pilot KCOF to collect data that can be used to complete the psychometrics needed to develop a scoring system.</u>	<u>2012/2013</u>
<u>Translate indicator data from multiple assessments to KCOF and validate the proposed scoring methods.</u>	<u>2013/2014</u>

Ongoing research questions include:

- Do child outcomes differ based on dosage, schedule?
- Are child outcomes higher at STAR 4 facilities than at STAR 3s?
- Do higher staff degrees and teacher certifications increase child outcomes?
- What is the relationship between child outcomes and ERS/CLASS scores?
- Is there a difference in outcomes based on income level?
- Are ECE programs preparing at-risk children for kindergarten?

3.2.8 Goals for the next Biennium –

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

The Lead Agency will continue to expand resources and information available on the Standards Aligned System portal through the Department of Education at:

<http://websites.pdesas.org/ocdel/default.aspx>

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

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

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

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

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

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

The Keystone STARS Child Care Quality Improvement program and early childhood professional development system are administered by the five Regional Keys (community based organizations), one PA Key (local educational agency) and the Office of Child Development and Early Learning (OCDEL).

3.3.1 Element 1 – Program Standards

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

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requirements.

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

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

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

- Children with special needs as defined by your State/Territory
- Infants and toddlers
- School-age children
- Children who are dual language learners
- None

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

- Licensing is a pre-requisite for participation
- Licensing is the first tier of the quality levels
- State/Territory license is a "rated" license.
- Other. Describe

Head Start (HS) participation does not require licensing. A cross walk was completed between HS performance standards and licensing and this is the basis for HS participation.

Not linked.

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

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

3.3.2 Element 2 –Supports to Programs to Improve Quality

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

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

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Attaining and maintaining accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe Family Engagement Home-Based Care Child Assessment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

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

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

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

- Yes. Describe

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 up in STAR levels. Any certified or registered center, group, and/or home-based provider that is enrolling in Keystone STARS and have enrolled in or completed the Keystone STARS Core Professional Development series may request STARS TA services.

Technical assistance is administered through five Regional Keys in partnership with consultants who have the knowledge, skills, and experience necessary to guide programs in the Keystone STARS content area of staff qualifications and professional development, leadership and management, early learning (and school-age) program and partnership with family and community.

In FY 2013-14, OCDEL will be expanding mentoring initiatives to offer Rising STARS mentoring. Rising STARS mentoring will provide peer mentoring to those programs seeking to move to a STAR 2 level with a plan to move to a STAR 3 or 4.

- No
- Other. Describe

3.3.3 Element 3 – Financial Incentives and Supports

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

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

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to improving/maintaining quality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 – Element 4 - Quality Assurance and Monitoring

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

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

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Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. ERS assessments are incorporated into all of Pennsylvania's quality initiatives including Keystone STARS, PA Pre-K Counts, Keystone Babies and Head Start Supplemental Programs. Types of facilities include child care programs, school based pre K, Head Start classrooms and licensed nursery schools participating in the quality initiatives. Assessments are conducted at each site at least bi-annually in a random sample of classrooms. Additional assessments may be conducted if a site experiences significant staff turnover, site leadership changes or if the facility moves to a new location. Sample size is dependent on the quality initiative standard and processes; however, at least a minimum of 1/3 of all classrooms are assessed and at least one classroom of each age group served is assessed. The four scales used are ITERS-R, ECER-R, SACERS and FCCERS-R (not FDCRS as is referenced in the question).	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. Available as a self-study support for CQI to programs.	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
<input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. Available as a self-study support for CQI to programs.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21 st Century Learning Center programs Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) What steps, if any, has the State/Territory taken to align quality assurance

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and monitoring across funding streams and sectors in order to minimize duplication?

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

3.3.5 – Element 5 - Outreach and Consumer Education

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

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

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

Marketing and public awareness campaigns at the local level.

- No. If no, skip to 3.3.6.

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

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which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

- Print
- Radio
- Television
- Web
- Telephone
- Social Marketing
- Other. Describe

List-serve emails to over 10,000 early childhood education stakeholders

None

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

3.3.6. Quality Rating and Improvement System (QRIS)

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

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.

Participation is voluntary for

DPW certified child care providers and Head Start programs.

Participation is mandatory for:

Child Care providers operating PA Pre-K Counts and Head Start Supplemental Assistance programs must be STAR 3 or 4.

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.

No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

State/Territory is in the development phase

State/Territory has no plans for development

Other. Describe



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

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

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

Relative/neighbor providers participating in subsidized child care must have 12 hours of professional development every two years.

3.3.8 Data & Performance Measures on Program Quality –

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

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

- Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional)
- Number of programs that move program quality levels annually (up or down). Describe (optional)
- Program scores on program assessment instruments. List instruments: ERS Describe (optional)
- Classroom scores on program assessment instruments. List instruments: ERS, Class, PAS Describe (optional)
- Qualifications for teachers or caregivers within each program. Describe (optional)

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- Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) _____
- Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional) _____
- Other. Describe

Data on Child Outcomes

None

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

The numbers of programs moving up in STAR levels and providing higher quality programs to improve outcomes for children (targets for enrollment and movement are established annually by OCDEL in coordination with the five Regional Keys).

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

Quality Rating and Improvement System (QRIS) standards have been validated through literature review (see Good, Better, Best document) and correlation analysis. Evaluation efforts to date have explored the association between an array of supports and quality performance measures. Inputs include technical assistance, financial awards, and staff qualifications. Performance measures that continue to be analyzed include provider Keystone STAR rating level and movement, ERS scores, staff retention, parent satisfaction, and child outcomes. Reports and research briefs with findings are available at www.ocdelresearch.org.

OCDEL will continue to leverage our integrated state data systems and document the statistical relationships between the array or supports to providers and indicators of program quality including parent and child outcomes.

3.3.9 Goals for the next Biennium –

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target

technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?

Implement the next phase of Rising STARS which includes Keystone STARS mentoring and additional financial incentives for STAR 3 and 4 providers. (Dependent on receiving the Governor's proposed budget request.)

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

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

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

- 1) Core Knowledge and Competencies
 - 2) Career Pathways (or Career Lattice)
 - 3) Professional Development Capacity
 - 4) Access to Professional Development
 - 5) Compensation, Benefits and Workforce Conditions
- a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.

The Office of Child Development and Early Learning (OCDEL) sets the policies for the workforce system development. In consultation with OCDEL, the Pennsylvania Key is responsible for developing, updating and distributing the core knowledge and competencies, career lattice, statewide professional development calendar and registry, as well as administering the voucher program. Professional development and technical assistance are primarily offered through the five Regional Keys across the Commonwealth.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition – For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their

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families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

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

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

If yes, insert web addresses, where possible:

http://www.pakeys.org/pages/get.aspx?page=Career_CBK

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

- Child growth, development and learning
- Health, nutrition, and safety
- Learning environment and curriculum
- Interactions with children
- Family and community relationships
- Professionalism and leadership
- Observation and assessment
- Program planning and management
- Diversity
- Other. Describe

Director/Administrator Program Organization and administration. This section provides for a solid foundation in organizational management, including how to establish systems for efficient and effective program functioning and how to manage staff. There is also a section addressing specific needs of family child care providers.

None

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (as reported in section 3.3)

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- To define the content of training required for the career lattice or credential
- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other. Describe
- None

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other. Describe
- None

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____
- Providers working directly with children in family child care homes, including aides and assistants. Describe _____

In addition to the eight knowledge areas in the Core Body of Knowledge that apply to all types of providers, a Program Organization and Administration knowledge area was created specifically for family providers.

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

Within the eight knowledge areas in the CBK, administrative competences were added to show the continuum of direct staff through administrator.

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

Core competencies for Relationship-Based Technical Assistance include the following content areas: Professionalism, Principles of

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Adult Learning, Building Relationships, Assessment and Planning, Communication, and the Change Process. The document is designed as a self-assessment checklist to assess abilities as “Beginning”, “Developing” or “Proficient”. An individual’s record of professional development in which they participated that relates to each content area and may record their thoughts in the “Self Reflection Section”. Additionally, the Professional Development Plan section is required to be submitted as part of the renewal application for individuals approved in the Pennsylvania Quality Assurance System (PQAS) for Instructors and TA consultants.

<http://www.pakeys.org/uploadedContent/Docs/PD/PQAS/TA%20competencies.pdf>

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

Core Competencies for Instructors include the following content areas: Content Expertise; Professionalism; Principles of Adult Learning; Building Relationships; Evaluation, Assessment and Planning; Communication; and the Change Process. The document is designed as a self-assessment checklist to assess abilities as “Beginning”, “Developing” or “Proficient”. An individual’s record of professional development in which they participated that relates to each content area and may record their thoughts in the “Self Reflection Section”. Additionally, the Professional Development Plan section is required to be submitted as part of the renewal application for individuals approved in the Pennsylvania Quality Assurance System (PQAS) for Instructors and TA consultants.

<http://www.pakeys.org/uploadedContent/Docs/PD/PQAS/Instructor%20competencies.pdf>

Other. Describe

Core Competencies for STARS Managers include the following content areas: Professionalism; Principles of Adult Learning; Building Relationships; Administration, Assessment and Planning; Communication; Change Process and Continuous Quality Improvement. The document is designed as a self-assessment checklist to assess abilities as “Beginning”, “Developing”, “Advanced” or “Specialized”. An individual’s record of professional development in which they participated that relates to each content area and completes a Professional Development Plan.

Core Competencies for Career Advisors include the following content areas: Content Expertise, Professionalism, Principles of Adult

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Learning, Building Relationships, Evaluation, Assessment and Planning, Communication, Change Process. This document contains general core competencies that are essential for all effective relationship-based career advising strategies. The competencies address skills, knowledge and attitudes that lay the foundation for developing a professional relationship with all advisees and promoting a strength-based approach to continuous quality improvement.

Core Competencies for Environment Rating Scale Assessors Core Competencies for Environment Rating Scale Assessors are in draft and include the following content areas: Professionalism, Adult Learning Principles, Relationship Building, Communication, Content Expertise, Planning and Time Management, Technology Competence, Cultural, Linguistic and Ability Diversity, Change Process.

None

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

Birth-to-three

Three-to-five

Five and older

Other. Describe

None

3.4.2 Workforce Element 2 - Career Pathways

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

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

Yes. Describe

The PA Early Learning Keys to Quality Career Lattice provides information on minimum requirements for positions within the early learning and school-age systems so individuals can plan their education in relation to the position they are seeking. The Career

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Lattice has eight levels from entry level to mastery, including credit-bearing coursework in ECE or child development leading to credentials, degrees and teacher certification. Early learning and school-age professionals also use the lattice to plan professional development and career advancement.

No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible:

<http://www.pakeys.org/uploadedContent/Docs/PD/Career%20Lattice.pdf>

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

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

Pennsylvania has raised the bar for individuals working with children and families. Early care and education practitioners are required to have specific core knowledge in early childhood and education. The Career Lattice defines educational qualifications required at each lattice level for individuals working with children and families. To meet Keystone STARS' professional development standards, staff must meet specific lattice levels. Staff qualifications and placement on the lattice increase as programs attain higher STAR levels. The Pennsylvania Keys to Quality Career Lattice helps ensure quality early learning and education programs, as well as experiences for children.

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

The Career Lattice defines educational qualifications required at each lattice level. To meet Keystone STARS' professional development standards, individuals working in family child care homes must meet specific lattice levels. Providers and staff qualifications and placement on the lattice increase as programs attain higher STAR levels.

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

In an effort to improve the quality of children's developmental and educational experiences in early care and education programs,

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program directors are required to have a minimum qualification of an associate degree. Educational qualifications for center administrators' increase as programs attain higher STAR levels. To be a director of a STAR 3 and above program, individuals must obtain the PA Director Credential certificate or meet the director qualifications through prescribed alternate pathways.

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

The Career Lattice indicates the level of education required for technical assistance consultants and mentors. TA consultants and mentors must meet Level VI or higher on the Career Lattice.

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

The Career Lattice indicates the level of education required for PQAS trainers and university or college faculty. PQAS certified instructors must meet the requirements of Level VI or higher on the Lattice and higher education faculty must meet level VII or higher on the Lattice.

Other. Describe

None

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

Children with disabilities, children with developmental delays, and children with other special needs

Other. Describe

The Director Credential program provides a standard by which to measure quality, fiscal management and leadership abilities of directors of early learning and school-age programs. It is a requirement of the Keystone STARS program at the STAR level 3 and above. There are eight competency areas and seventy-eight learning objectives for the Pennsylvania Director Credential program.

None

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

Voluntary guide and planning resource

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

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

- Yes. If yes, describe

For programs participating in Keystone STARS, individuals' qualifications are documented in order to appropriately place them on the Career Lattice. "The ECE Teacher Quality: Recognizing High Quality Core Content in Pennsylvania" document was developed for use in determining individuals' educational qualifications prior to placement on the Career Lattice. The document includes an attestation tool used by the Regional Keys' staff after evaluation of an individual's transcript.

- No

3.4.3 Workforce Element 3 – Professional Development Capacity

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



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

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Yes. If yes, describe

A list of higher education institutions in Pennsylvania that offer degree programs in ECE and related fields, including their physical locations and distance-based coursework, is posted on the PA Key website. A list of colleges and universities offering degree programs in school-age care and youth development will be developed in the near future.

http://www.pakeys.org/pages/get.aspx?page=Career_Requirements

No

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

Yes. If yes, describe

Each year a statewide assessment of professional development and technical assistance needs is conducted using the Facility Professional Development Plan, recently converted to an online survey. The survey addresses all provider types, ages served, level of professional development needed and content area needed, location, etc. Regional Keys use this information to plan for the upcoming year. Plans are submitted to OCDEL in the Program Review Instrument (PRI). OCDEL reviews and approves the PRI to be sure gaps are addressed. In each region, proposed sessions are divided by knowledge areas and competency levels and submitted to OCDEL. The proposed training is reviewed at a regional and state level to ensure that all levels and knowledge areas of training and technical assistance are available across the Commonwealth.

The Commonwealth has supported development of online learning opportunities for practitioners by encouraging Institutions of Higher Education to develop online courses and has provided private funding support to do so. Online modules required in Keystone STARS and foundational to Pennsylvania's early learning community are methodically being converted to online opportunities as well as face-to-face. PA is also working on a document for instructors about best practices for online courses.

No

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

Standards set by the institution

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- Standards set by the State/Territory higher education board
- Standards set by program accreditors
- Standards set by State/Territory departments of education
- Standards set by national teacher preparation accrediting agencies
- Other. Describe
- None

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

Training approval process. Describe

Trainer approval process. Describe

The Pennsylvania Quality Assurance System (PQAS) is designed as a means to ensure that quality professional development (PD) and technical assistance (TA) is provided to early childhood and school-age practitioners in Pennsylvania. This system is designed so that individual instructors or TA consultants, rather than individual professional development activities, are reviewed and approved. Approved instructors and TA consultants are required to meet and maintain established qualifications, including educational achievements and professional development experience. Qualifications of instructors are aligned with the Career Lattice. Applications are checked upon receipt to ensure that individuals meet the Career Lattice qualifications and that all required attachments are included. Professional development modules (instructors) or technical assistance action plans (TA consultants) submitted as part of the application is reviewed by two reviewers and scored using a rubric. Individuals that do not meet the benchmarks are not approved and are required to resubmit their modules or action plans. PQAS policies and applications for the specific trainer types can be found at the PA Keys website at:

http://www.pakeys.org/pages/get.aspx?page=Career_PQAS

Training and/or technical assistance evaluations. Describe

Following each professional development event providers complete an evaluation form which is returned to the Regional Key. Additionally, the Regional Key conducts an on-site evaluation of 10% of the professional development contractors annually. Technical Assistance is evaluated in several ways. First TA consultants must be approved through the PQAS system. At the conclusion of each consultation, providers who participated in the technical assistance activity are

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requested to complete a Provider Feedback survey. Additionally, all technical assistance providers are evaluated by the Regional Key using the Technical Assistance Accountability Plan (TAAPS). TAAP focuses on three key categories:

- 1) Measurable Impact on Providers/Programs;
- 2) Qualifications, Professional Development and Professionalism of the TA Consultants;
- 3) Reporting Obligations of the TA Consultants and TA Organizations.

Metrics and benchmarks were established for each of these categories. Measureable impact on the provider is assessed three to six months after the closure of an action plan. Providers are contacted to determine if the goals in their action plan are being implemented. Additionally, STAR movement is assessed.

- Other. Describe
- None

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

- Yes. If yes, describe

The Office of Child Development & Early Learning, through the Pennsylvania Key, has been working with colleges and universities on program-to-program articulation agreements in early childhood education for several years. There are currently fifty-three program-to-program articulation agreements in early childhood education in the Commonwealth through two and four year colleges and universities. Students with associate degrees from the participating two-year colleges can transfer and articulate fifty-four to sixty academic credits to a participating four year institution for baccalaureate degree completion and also attain junior status at the four year institutions. OCDEL is working to expand the number of articulation agreements in the State.

OCDEL also advertises and utilizes PATrac, an online transfer and articulation website: www.patrac.org.

- No

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

- Yes. If yes, describe

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Some colleges and universities in Pennsylvania award between six to twelve academic credits for the CDA credential. Additionally, a number of institutions of higher education have a process in place, either through portfolio submission or testing to assess an individual's prior learning experiences for award of academic credits.

No

3.4.4 Workforce Element 4 – Access to Professional Development

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

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

Yes. If yes, for which sectors?

- Child care
- Head Start/Early Head Start
- Pre-Kindergarten
- Public schools
- Early intervention/special education
- Other. Describe

Home based child care

No

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

Yes. If yes, describe

A professional development calendar to promote access to professional development opportunities is housed at the PA Keys website at www.pakeys.org. The calendar can be searched by Knowledge Area, Date Range, Competency Level, Topic, Targeted Group, PD Organization, Zip Code, Title, Instructor, County, and Type. Individuals with PQAS approval are the only individuals permitted to post professional development events to the calendar. The calendar is linked to the Provider Registry so that those

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PD events an individual attends will be posted to their professional development history.

No

Insert web addresses, where possible:

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

- Scholarships. Describe
- Free training and education. Describe
- Reimbursement for training and education expenses. Describe

The College Tuition Reimbursement Program reimburses 90% of tuition costs for up to \$3,000 of college coursework per fiscal year (beginning July 1 and ending June 30). Practitioners must receive a grade of "B" or better to be reimbursed for tuition costs up to a maximum of \$500 per credit hour. The CDA voucher program supplies payment for the CDA Assessment Fee that is required to complete the CDA Credential process. This program pays 100% of the \$425 assessment fee for the initial CDA credential. To receive vouchers from either of these programs, the practitioner must work in a STAR 1 or above program.

- Grants. Describe
- Loans. Describe
- Loan forgiveness programs. Describe
- Substitute pools. Describe
- Release time. Describe
- Other. Describe

Inexpensive professional development is available through PA Keys to Quality. Most of the workshops offered on the statewide calendar are \$10-\$20 for two to three hour workshops.

None

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

- Yes. If yes, describe
- No

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

Yes. If yes, describe

Mentors, coaches, consultants and/or STAR specialists provide technical assistance to the workforce including STARS Technical Assistance, Early Childhood Mental Health Consultation, PA Pre-K Counts Technical Assistance, Infant/Toddler and School Age Technical Assistance, and Health and Safety Consultation

No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

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

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

- Yes. If yes, describe
- No

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

- Yes. If yes, describe
- No

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

Yes. If yes, describe

Keystone STARS Education and Retention Award (ERA) provides annual financial awards to highly qualified directors and/or teaching staff who have attained specialized degrees, credentials, and credit-based professional development in content areas that correspond to the age and developmental needs of the children being served. A further intent of the ERA is to assist providers in establishing a stable workforce as they work toward higher levels of quality by reducing turnover and improving the education of teaching staff. Please see the Education/Retention Award (FA-03 STARS Financial Award Request – MERA (Centers-Groups).doc) at www.pakeys.org/docs. Programs may also use the Keystone STARS Merit Award toward salaries that support the practitioner in meeting quality standards by improving

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compensation and/or benefits for staff. A request may be submitted annually. For additional information, refer to STARS Financial Award Request – Merit and Education and Retention Award at http://www.pakeys.org/pages/get.aspx?page=Programs_STARS_Grants.

To receive award funds, at least 10% of the provider's enrolled child care children must receive one of the following: Child Care Works subsidized care administered through the Child Care Information Services (CCIS); and/or Early Intervention Services program for children with developmental delays and disabilities.

No

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

Yes. If yes, describe

Keystone STARS Award funds may be used to support benefits to staff. Benefits may include, but are not limited to, health insurance, paid vacation/sick time/holidays/personal time/family leave, annual incremental raises, tuition reimbursement, child care benefit, or a retirement plan, etc. Distribution of benefits must be addressed in the provider's personnel policies. For more information please see STARS Financial award request Merit and Education & Retention Award (FA-03 STARS Financial Award Request – MERA (Centers-Groups).doc) at www.pakeys.org/docs.

No

3.4.6 Data & Performance Measures on the Child Care Workforce –

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

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

Data on the size of the child care workforce. Describe (optional)

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Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional)

OCDEL has a number of optional demographic fields in the professional development registry that practitioners can complete such as position, years of experience, current education, special certifications, race, sex, date of birth, etc.

Records of individual teachers or caregivers and their qualifications. Describe (optional)

There is a practitioner registry where professional development courses are tracked but it does contain an optional field for qualification data. During the 11-12 year this field will become required.

Retention rates. Describe (optional) [redacted]

Records of individual professional development specialists and their qualifications. Describe (optional)

The Regional Keys and PA Key maintain and monitor qualifications of staff delivering professional development and technical assistance through our PA Quality Approval System

Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional)

The practitioner registry will begin to collect the required data which includes the qualifications

Number of scholarships awarded . Describe (optional) [redacted]

Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional)

Number of credentials and degrees conferred annually. Describe (optional) [redacted]

Data on T/TA completion or attrition rates. Describe (optional) [redacted]

Data on degree completion or attrition rates. Describe (optional) [redacted]

Other. Describe [redacted]

None

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

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

Yes.

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

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

Describe Voluntary Participation

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

Administrators in centers (including educational coordinators, directors). Describe Voluntary Participation

Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe Voluntary Participation

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

Other. Describe

None

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

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

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

No

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

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

3.4.7 Goals for the next Biennium –

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section in 3.4. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the State/Territory’s goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 – Provide professional development on newly revised CBK/PDR
Goal 2 – Broaden Career Pathways to include quality home visitation programs
Goal 3 – Review PA Dept. of Education Teacher Effectiveness model and develop recommendations for inclusion in PD and QRIS
Goal 4 – Review and enhance opportunities for distance learning
Goal 5 – Implement Learning Management System

AMENDMENTS LOG

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

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Lead Agency’s approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information

<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>

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

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

Instructions for Submitting Amendments:

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

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

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

APPENDIX 1
QUALITY PERFORMANCE REPORT

This annual report will be submitted to ACF no later than December 31, 2014 and will reflect the period October 1, 2013 through September 30, 2014. Lead Agencies will leave this report blank when the Plan is initially submitted.

In this report, Lead Agencies are asked about the State/Territory's progress in meetings its goals as reported in the FY 2014-2015 CCDF Plan, and provide available data on the results of those activities. At a minimum, Lead Agencies are expected to respond to the first question in each section of the Quality Performance Report (QPR) which asks for their progress toward meeting their goal(s) articulated in Part 2 and Part 3 of the CCDF Plan for this Biennium.

Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. A Describe box is provided for each question for Lead Agencies to provide descriptive context for data reported and narrative updates in each data section, including any plans for reporting data in the future, if actual data is not currently available or if specific questions are not applicable. Lead Agencies may use data collected by other agencies and entities (e.g., CCR&R agencies or other contractors) as appropriate. The term Lead Agency is used in questions when the data relate to a CCDF-specific activity, otherwise the term State/Territory is used when another entity may be responsible or involved with an activity (e.g., licensing).

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

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

This report collects progress on the five goals identified in Part 2 and Part 3 of the Child Care and Development Fund (CCDF) Plan for FY2014-2015 along with key data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2014-2015:

1. Ensuring health and safety of children through licensing and health and safety

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

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

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30, 2014.

A1.1 Progress on Overall Goals

Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.1.7, please report your progress using the chart below.

You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., revised licensing regulation to include elements related to SIDS prevention, lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

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

A1.2 Key Data

OCC is collecting this information as one part of our overall effort to better understand States/Territories’ activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here and that some data requested may be collected by another agency or entity other than the Lead Agency. Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. For example, the number of programs with licensing violations will be

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affected by how stringent the licensing standards are. States with more stringent standards may be more likely to report more violations than those with less stringent licensing standards. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A1.2.1 Number of Programs

- a) How many licensed center-based programs operated in the State/Territory as of September 30, 2014? _____
 N/A
Describe:

- b) How many licensed home-based programs operated in the State/Territory as of September 30, 2014? _____
 N/A
Describe:

- c) Does the State/Territory have data on the number of programs operating in the State/Territory that are legally exempt from licensing? At a minimum, the Lead Agency should provide the number of legally exempt providers serving children receiving CCDF.
 Yes. If yes, include the number of programs as of September 30, 2014 and describe (Use the Describe Box to provide the universe of programs on which the number is based)
 No. Describe:

A1.2.2 Number and Frequency of Monitoring Visits

For licensed programs, a monitoring visit is an onsite visit by department personnel to a licensed child care program with the goal of ensuring compliance with licensing regulations. This may include initial licensing determination visits, licensing renewal visits, periodic announced or unannounced visits, and visits made after a complaint is lodged. For legally exempt providers, a monitoring visit is an onsite visit to a child care program with the goal of ensuring compliance with health and safety standards as defined by CCDF and required for receipt of CCDF funds. Use the Describe box to provide your State/Territory monitoring visit requirement.

- a) How many licensed center-based programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?

a-1) Of those programs visited, how many were unannounced? _____
a-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____
a-3) What percentage of required visits for licensed center-based program were completed? _____
 N/A
Describe:

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b) How many licensed family child care programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?

_____ b-1) Of those programs visited, how many were unannounced? _____

b-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

b-3) What percentage of required visits for licensed family child care programs were completed? _____

N/A

Describe:

c) How many legally exempt providers receiving CCDF received at least one monitoring visit between October 1, 2013 and September 30, 2014? Of those,

c-1) Of those programs visited, how many were unannounced? _____

c-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

c-3) What percentage of required visits for legally exempt providers were completed? _____

N/A

Describe:

A1.2.3 Number of Licensing Suspensions, Licensing Revocations and Terminations from CCDF

Suspension of license includes any enforcement action that requires the temporary suspension of child care services because of licensing violations. Revocation of license includes termination or non-renewal of licensure and any other enforcement action that requires the closure of a program because of licensing violations.

	How many programs had their licenses suspended due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs had their licenses revoked due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs were terminated from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?	N/A	Describe
Child Care Centers				<input type="checkbox"/>	
Group Child Care Homes				<input type="checkbox"/>	

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	How many programs had their licenses suspended due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs had their licenses revoked due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs were terminated from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?	N/A	Describe
Family Child Care Homes	_____	_____	_____	<input type="checkbox"/>	_____
In-Home Providers	_____	_____	_____	<input type="checkbox"/>	_____

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

N/A

Describe: _____

A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year?

Please provide your definition of injuries in the Describe box and indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

N/A

Describe: _____

A1.2.7 How many fatalities occurred in child care or as the result of a child care accident or injury as of the end of the last year?

Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

N/A

Describe: _____

Establishing Early Learning Guidelines (Component #2)

A2.1 Progress on Overall Goals

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

Yes. Describe _____

No

A2.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.2.8, please report your progress.

You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELG’s, Aligned the ELG’s with Head Start Child Development and Early Learning Framework). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A2.2 Key Data

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

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

Responses to this question should be consistent with information provided in question 3.2.3 in the CCDF Plan.

Provider Categories	Birth to Three ELG’s	Three-to-Five ELG’s	Five and Older ELG’s	N/A	Describe
How many teachers/practitioners in center-based programs were trained on ELG’s over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

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Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many family child care providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many legally exempt providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

A2.2.1b How many children are served in programs implementing the ELG's?

Refer to question 3.2.4 in the CCDF Plan for examples of how ELG's can be implemented in programs. Program capacity can be used as an estimate of children served.

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many children are served in center-based programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many children are served in programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

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

A3.1 Progress on Overall Goals

A3.1.1 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.3.9, please report your progress.

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

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A3.2 Key Data

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

A3.2.1 Number of Program Receiving Targeted Technical Assistance

Targeted technical assistance is technical assistance (coaching, mentoring and consultation) that is designed to address a particular domain/area of quality. Responses in this section should be consistent with responses provided in question 3.3.2 in the CCDF Plan which focuses on targeted technical assistance to programs (rather than practitioners) that is intended for moving programs to higher levels of quality.

- a) How many programs received targeted technical assistance during the last fiscal year (October 1, 2013 through September 30, 2014)?
- N/A
- Describe:

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- b) If possible, report the number of programs who received targeted technical assistance in the following areas:

Health and safety _____
Infant and toddler care _____
School-age care _____
Inclusion _____
Teaching dual language learners _____
Understanding developmental screenings and/or observational assessment tools for program improvement purposes _____
Mental health _____
Business management practices _____
 N/A
Describe:

A3.2.2 Number of Programs Receiving Financial Supports

Responses to this question should be consistent with responses provided in question 3.3.3 of the CCDF Plan. **Financial supports** must be intended to reward, improve, or sustain quality. They can include grants, cash, reimbursements, gift cards, or purchases made to benefit a program. This includes tiered reimbursements for CCDF subsidies. **One-time grants, awards, or bonuses** include any kind of financial support that a program can receive only once. **On-going or periodic quality stipends** include any kind of financial support intended to reward, improve, or sustain quality that a program can receive more than once.

- a) How many programs received one-time, grants, awards or bonuses?

Child Care Centers _____
 N/A
Describe:
Family Child Care Homes _____
 N/A
Describe:

- b) How many programs received on-going or periodic quality stipends?

Child Care Centers _____
 N/A
Describe:
Family Child Care Homes _____
 N/A
Describe:

A3.2.3 Number of Eligible Programs for State/Territory QRIS or Other Quality Improvement System

- a) What is the total number of eligible child care centers for QRIS _____ OR Other Quality Improvement System? _____

N/A
Describe:

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- b) What is the total number of eligible family child care homes for QRIS _____ OR Other Quality Improvement System? _____

N/A

Describe:

- c) What is the total number of eligible license-exempt providers for QRIS _____ OR Other Quality Improvement System? _____

N/A

Describe:

A3.2.4 Number and Percentage of Programs Participating in State/Territory QRIS or Other Quality Improvement System

- a) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of child care center programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of Child Care Centers Participating in QRIS _____ OR Other Quality Improvement System _____

Percentage of Child Care Centers Participating in QRIS _____ OR Other Quality Improvement System _____

N/A

Describe:

- b) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of family child care programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of Family Child Care Homes QRIS _____ OR Other Quality Improvement System _____

Percentage of Family Child Care Homes QRIS _____ OR Other Quality Improvement System _____

N/A

Describe:

- c) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of license-exempt programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of License-Exempt Providers QRIS _____ OR Other Quality Improvement System _____

Percentage of License-Exempt Providers QRIS _____ OR Other Quality Improvement System _____

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N/A
Describe:

A3.2.5. Number of Programs at Each Level of Quality

For each type of care, provide the total number of quality levels and the number of programs at that level of the total number of participating as reported in A3.2.4. Describe metric if other than QRIS, such as accreditation.

	Number of levels of quality	Number of programs at each level	N/A	Describe
Child Care Centers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Family Child Care Homes	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
License-Exempt Providers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

A3.2.6 Number of Programs Who Moved Up or Down within QRIS

If quality threshold is something other than QRIS, describe the metric used, such as accreditation. These numbers ARE NOT expected to total the number of participating programs in the QRIS as reported in A3.2.4.

	How many programs moved up within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	How many programs moved down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	N/A	Describe
Child Care Centers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Family Child Care Homes	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
License-Exempt Providers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

A3.2.7 Number of CCDF Subsidized Children Served in Programs Participating in the State/Territory Quality Improvement System

Note. If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

- a) What percentage of CCDF children were served in participating programs during the last fiscal year? _____

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- b) What percentage of CCDF children were served in high quality care as defined by the State/Territory? Provide the definition of high quality care in the Describe box. This may include assessment scores, accreditation, or other metric, if no QRIS.

N/A
Describe:

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

A4.1 Progress on Overall Goals

A4.1.1 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.4.7, please report your progress.

You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A4.2 Key Data

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

A4.2.1 Number of Teachers/Caregivers and Qualification Levels

- a) What is the total number of child care center teachers in the State/Territory as of September 30, 2014? _____

N/A
Describe:

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b) What is the total number of family child care providers in the State/Territory as of September 30, 2014? _____

N/A

Describe:

c) What is the number of center teachers and family child care providers by qualification level as of the end of the last fiscal year? Count only the highest level of education attained.

	Child Care Center Teachers	Family Child Care Providers	N/A	Describe
Child Development Associate (CDA)	_____	_____	<input type="checkbox"/>	_____
State/Territory Credential	_____	_____	<input type="checkbox"/>	_____
Associate's degree	_____	_____	<input type="checkbox"/>	_____
Bachelor's degree	_____	_____	<input type="checkbox"/>	_____
Graduate/Advanced degree	_____	_____	<input type="checkbox"/>	_____

A4.2.2 Number of Individuals Included in State/Territory's Professional Development Registry during Last Fiscal Year (October 1, 2013 through September 30, 2014)

Teachers in child care centers _____

Family child care home providers _____

License-exempt providers _____

N/A

Describe:

A4.2.3 Number of Individuals Receiving Credit-Based Training and/or Education as defined by State/Territory during the last fiscal year

Teachers in child care centers _____

Family child care home providers _____

License-exempt providers _____

N/A

Describe:

A4.2.4 Number of Credentials and Degrees Awarded during Last Fiscal Year

If possible, list the type of credential or degree and in what type of setting the practitioner worked.

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Setting	List Type of Credential and Provide Number Awarded	List Type of Degree and Provide Number Awarded	N/A	Describe
Teachers in child care centers	_____	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	_____	<input type="checkbox"/>	_____

A4.2.5 Number of Individuals Receiving Technical Assistance during Last Fiscal Year

Describe any data you track on coaching, mentoring, or other specialist consultation. If possible, include in what type of setting the practitioner worked. Responses to this question should be consistent with information provided in question 3.4.4e of the CCDF Plan.

Setting	List Type of Technical Assistance and Provide Number	N/A	Describe
Teachers in child care centers	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	<input type="checkbox"/>	_____

A4.2.6 Type of Financial Supports Provided and Number of Teachers/Providers Receiving as of End of Last Fiscal Year?

- Scholarships. How many teachers/providers received? _____
 - Reimbursement for Training Expenses. How many teachers/providers received? _____
 - Loans. How many teachers/providers received? _____
 - Wage supplements. How many teachers/providers received? _____
 - Other. Describe
 - N/A
- Describe:

Building Subsidy Systems that Increase Access to High Quality Care

In this section, Lead Agencies provide progress on their subsidy administration goals over the past year as of September 30, 2014.

A5.1 Progress on Overall Goals

Based on the goals described in the Lead Agency’s CCDF Plan at Section 2.8, please report your progress using the chart below. You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., established copayment policies that sustain income and sustain quality, or established eligibility policies that promote continuity of care). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

APPENDIX 2
CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

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

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

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

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- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

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

1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:

<http://www.hhs.gov/forms/HHS690.pdf>

2. Certification regarding debarment:

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other>

3. Definitions for use with certification of debarment:

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other-o>

4. HHS certification regarding drug-free workplace requirements:

<http://www.acf.hhs.gov/grants/certification-regarding-drug-free-workplace-requirements>

5. Certification of Compliance with the Pro-Children Act of 1994:

<http://www.acf.hhs.gov/grants/certification-regarding-environmental-tobacco-smoke>

6. Certification regarding lobbying:

<http://www.acf.hhs.gov/grants/certification-regarding-lobbying>

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

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