



## **Child Care and Development Fund (CCDF) Plan**

**For**

**State/Territory: Arkansas**

**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.

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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 0970-0114 expires 05/31/2016**

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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: Arkansas Department of Human Services  
Address of Lead Agency: PO Box 1437, Slot S260 Little Rock, AR 72203  
Name and Title of the Lead Agency's Chief Executive Officer: John Selig, Department Director  
Phone Number: 501-682-8650  
Fax Number: 501-682-6836  
E-Mail Address: john.selig@arkansas.gov  
Web Address for Lead Agency (if any): http://humanservices.arkansas.gov/dccece/pages/default.aspx

##### **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: Tonya Russell

Title of CCDF Administrator: Director

Address of CCDF Administrator: PO Box 1437, Slot S140 Little Rock, AR 72203

Phone Number: 501-320-8953

Fax Number: 501683-6060

E-Mail Address: tonya.russell@arkansas.gov

Phone Number for CCDF program information (for the public) (if any): 1-800-322-8176

Web Address for CCDF program (for the public) (if any): www.arkansas.gov/childcare/familysupport

Web address for CCDF program policy manual: (if any): www.arkansas.gov/childcare/familysupport

Web address for CCDF program administrative rules: (if any): http://humanservices.arkansas.gov/dcece/pages/childcareassistance.aspx

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

Name of CCDF Co-Administrator: Ivory Daniels

Title of CCDF Co-Administrator: Program Administrator

Address of CCDF Co-Administrator: PO Box 1437, Slot S140 Little Rock, AR 72203

Phone Number: 501-320-8927

Fax Number: 501-683-0034

E-Mail Address: ivory.daniels@arkansas.gov

Description of the role of the Co-Administrator: Administrator of CCDF programs

**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):

\$49,551,087

Federal TANF Transfer to CCDF: \$0

Direct Federal TANF Spending on Child Care: \$0

State CCDF Maintenance-of-Effort Funds: \$1,886,541

State Matching Funds: \$4,038,094

**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.

**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: State general revenue

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%): 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 Both programs are managed and administrated by the Division of Child Care and Early Childhood Education (DCCECE) and are licensed and monitored by the division. Both programs share common goals with regard to quality and in fact share facilities and individual classrooms in some situations. The State's quality Pre-K Program, Arkansas Better Chance For School Success (ABCSS), is licensed and contractually managed by the Lead Agency for the block grant. These Pre-K contracts are with differing entities that include:

-Local School Districts

- Regional Educational Service Cooperatives
- Head Start Grantees
- Community-Based and Faith-Based Non-Profit Organizations
- Universities
- Housing Authorities
- Community Development Corporations
- Hospitals
- Economic Opportunity Corporations

These providers utilize a maximum income limit of 200% of Federal Poverty Level to determine eligibility for working families in this program. Many of the same providers participating in ABCSS also participate in the Child Care Assistance Program.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: \$ 2,011,000  
 Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: State funded Pre-K Programs receive information about the child care voucher program to assist parents in provision of wrap-around services to extend hours of service to meet the needs of working families. The State funded Pre-K programs are mandated to provide service 178 days annually and 7.5 hours daily. Children of working parents may receive after-care in the same setting or may be transported by the program to another care program. Vouchers are an available option for extending care. The State funded programs are encouraged to offer extended care and care during summer months for working families.

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%): 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: Both programs are managed and administrated by the Division of Child Care and Early Childhood Education and are licensed and monitored by the division. Both programs share common goals with regard to quality and in fact share facilities and individual classrooms in some situations.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: \$ 377,309  
 Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: State funded Pre-K Programs receive information about the child care voucher program to assist parents in provision of wrap-around services to extend hours of service to meet

the needs of working families. The State funded Pre-K programs are mandated to provide service 178 days annually and 7.5 hours daily. Children of working parents may receive after-care in the same setting or may be transported by the program to another care program. Vouchers are an available option for extending care. The State funded programs are encouraged to offer extended care and care during summer months for working families

**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. Note: Funding estimate is limited to FY 2014. 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.**

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
Infant/Toddler Targeted Funds <u>\$1,110,483.00</u>	<u>Infant/toddler Environmental Rating Scale, Infant/toddler Specialist, Baby Basics, Medication Administration, Managing Infectious diseases, CPR/First Aid, Right from Birth, Special Needs, Toddler Tips for Parents, Following Baby Back Home, Including Children with Disabilities, Infant/toddler Frameworks.</u>	<u>Rating the center for appropriate Infant/toddler space, materials, activities, number of staff. Specialist to help increase health and safety of infant/toddlers and hopefully increase the # of infant/toddler slots in state, train providers on health care, how to handle children with disabilities.</u>	<u>The rating scales will be used to measure programs and to create program improvement plans. A plan is being developed to increase the number of infant and toddler slots in quality care settings. As staff move through the more advanced trainings, the staff will have more knowledge to care for children in a quality setting.</u>

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
<p>School-Age/Child Care Resource and Referral Targeted Funds <u>\$220,289.00</u></p> <p>CCDF Plan Effective Date: October 1, 2013 Amended Effective: _____</p>	<p><u>Child Care Referrals, Resource and Training/Workshops for both providers and parents; Guiding Children Successfully and 4-H After School to early childcare providers.</u></p>	<p><u>Construct and coordinate a network of regionally based child care services to meet the needs of the community and provide information about these services to families, employers, and local providers. The trainings will include Resource Management, Health &amp; Safety, Nutrition and Child Development. The 4-H Afterschool will be used to train after-school providers on positive youth development and experiential learning and will offer traditional and on-line training.</u></p>	<p><u>The impact of this funding will help increase youth development in out of school time settings for school age children, staff will have access to more training focused on quality care and developmentally appropriate practices, and allow parents to have more information available to them. Funding the CCR&amp;R's allows more training and technical assistance to be available to providers, they provide a good portion of on-site training for new child care family homes, and also act as a resource for parents looking for care.</u></p>

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
Quality Expansion Targeted Funds \$2,142,177.00	<u>Classroom Setup, Supervision, See, Think, Act, Pre-licensing, Menu Planning, Quality Care for Foster Children, Family Child Care provider, Understanding Behavior, Emergency Disaster Preparedness, Physical Activities for Children, Positive Discipline, Director Workshop, Enhancing Community Partners, Stress Reduction, Business Management, Cross Cultural Perspectives, Wrapping up Quality, Creative Activities.</u>	<u>To have every child care facility in the State of Arkansas reach quality level so that all children have a safe, healthy, happy environment with correct nutrition and exercise.</u>	<u>To offer training, technical assistance, and intensive coaching to assist providers with obtaining a quality level, maintaining that level, and moving up to improving quality. Also to increase the number of providers that participate in QRIS so that all CCDF funded children are in a facility that is at a minimum a level one in QRIS.</u>

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
<u>Quality Funds (not including Targeted Funds) \$2,970,882.00</u>	<u>Best Care Connected, Best Care, NAP SACC, Family Child Care Business Management, Ages and Stages, Business Involvement in Early Care and education; Better Beginnings; Community Outreach and Collaboration; Provider's services</u>	<u>Best Care Connect is an online training. Guiding Children Successfully will equip child care providers and parents with resources to better utilize developmentally appropriate practices. NAP SACC training designed to enhance policies and environments in child care focusing on nutrition and physical activity; Work with providers, both centers based and family home, to conduct NAP SACC training. Community Outreach and Collaboration will work with programs that strive for quality and collect annual market rate survey and provide community needs and assessment. Provider services will include training for providers on topics such as NAP SACC, Emergency Preparedness, Basic Care for Infants/Toddlers, AR Fit Kids, Family Child Care Business Management and First Aid and CPR. Providers will receive training on participation in Better Beginnings will be provided trainings and provide a resource library containing materials that would assist providers in meeting quality status.</u>	<u>This offers a wide variety of quality level training in a variety of settings such as: online, in the facility, off site with other providers, and conferences. We will be building a system to allow us to track training not only at the attendee level, but the facility they are currently working at to know which facilities have staff with various levels of training.</u>

#### **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.

- 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. \_\_\_\_\_

### **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. The Division has established and maintains internal controls designed to reasonably ensure compliance with Federal laws, regulations, and program compliance requirements. The objectives of internal control pertaining to the compliance requirements for Federal programs are as follows:

- a. Transactions are properly recorded and accounted for to:
  - i. Permit the preparation of reliable financial statements and Federal reports;
  - ii. Maintain accountability over assets; and
  - iii. Demonstrate compliance with laws, regulations, and other compliance requirements;
- b. Transactions are executed in compliance with:

- i. Laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on a Federal program; and
- ii. Any other laws and regulations that are identified in the compliance supplements; and
- c. Funds, property, and other assets are safeguarded against loss from unauthorized use or disposition.

The Division's control environment sets the tone of the organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control, providing discipline and structure. The Division identifies and analyzes risks relevant to achievement of its objectives, forming a basis for determining how the risks should be managed. Control activities have been developed in order to help ensure that management's directives are carried out. Accounting systems identify, capture and exchange information in a form and time frame allowing for the proper identification and segregation of federal and non-federal transactions, as well as a proper allocation of transactions applicable to both. Monitoring activities continually assess the quality of internal control policies over time.

**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**.

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 Department does not use other governmental or non-governmental sub-recipients to administer the program.

**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.

<b>Type of Activity</b>	<b>Identify Program Violations</b>	<b>Identify Administrative Error</b>
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 checked="" 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** Arkansas has developed an Enterprise Data Warehouse (EDW) that contains data for the entire agency. This warehouse contains conformed data on clients, vendors, services, funding, finances, and staff as well as specific data needed for divisional reporting stored in divisional data marts. The division of Child Care and Early Childhood Education(DCCECE) is just one of the sources of data for the warehouse. Within the EDW, the DCCECE division has its own data mart named the DCCECE Decision Support System (DSS) . This system integrates data from division business systems. Arkansas is capable of doing database checks and data mining operations. Aggregated data is then rolled up to the agency level for reporting across divisions and offices.

EDW DCCECE DSS is serving two primary purposes. First, executive query and reporting needs and secondly, moved from a reactive reporting mode to a more proactive predictive ability to assist the division in addressing suspicious provider and client behavior. The system is utilizing commercial-off-the-shelf (COTS) software for executive reporting and data mining needs, scorecards, dashboards and geospatial maps.

SQL Server Reporting System was selected to meet the executive query and reporting needs. It provides an integrated query, reporting, and analysis capability to allow users to easily track, understand, and manage the information stored in multiple data sources within and beyond the division.

Data to be analyzed by EDW DCCECE DSS includes information from the following business systems:

1. Child Care Eligibility System: The Child Care Eligibility System (called KIDCare – Keying in Day Care Accurately, Reliably, and Efficiently) is used to administer the Child Care Assistance Program in Arkansas.
2. Special Nutrition Program (SNP) System: This system is used by the division to administer the U.S. Department of Agriculture’s food programs encompassing the Child and Adult Care Food Program (CACFP); the Summer Food Service Program (SFSP); the National School Lunch Program (NSLP); and the Special Milk Program in Arkansas.
3. Child Outcome Planning and Assessment (COPA) System: COPA is used by DHS for oversight and monitoring of the Arkansas Better Chance (ABC) Program, the state-funded public pre K program.
4. Child Care Licensing System (CCLAS). This system is used by the division to administer licenses to Child Care Facilities for the entire state. It also administers the quality program named Better Beginnings.

Additional systems and sources are to be added to the EDW DCCECE DSS in the future.

**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)).****

<b>Strategy</b>	<b>UPV</b>	<b>IPV and/or Fraud</b>	<b>Administrative Error</b>
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Strategy	UPV	IPV and/or Fraud	Administrative Error
_____			
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in subsequent months	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through other means. Describe _____	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**For any option the Lead Agency checked in the chart above other than none, please describe** The majority of improper payment referrals are initiated by Childcare Eligibility specialists. Specialists monitor client activity and refer suspected activity for investigation or improper payment collection.

The DCCECE employs six full time staff members in its Compliance Unit to investigate and analyze provider and client suspicious activity. In addition, the division pays for two full-time fraud investigators, one full-time auditor, and one full-time attorney. This team of professional and technical experts has the ultimate responsibility to ensure the proper administration of federal and state funds that pay for child care services for children, and to take measures to prevent and deter improper activity.

DCCECE converted two existing positions within the Eligibility Unit to become Quality Control Reviewers. Both positions were transferred to the Compliance Unit. The two reviewers conduct 2<sup>nd</sup> party reviews of existing case files and random service for billing reviews of child care providers.

Over the past several years, this team has fully integrated all of its activities to provide for a more robust operation to address the difficult task of reducing improper payments. Many success stories have been documented as a result of hard work and dedication, and “lessons learned” from past experiences are being applied in current day-to-day practices to enhance the overall strategy being undertaken by Arkansas DHS.

**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 Client Disqualification: A disqualification period occurs when a client is found guilty of fraud or when the client fails to repay a child care overpayment within the established timeframes. Penalties imposed are six months for the first offense; one year for the second offense; and permanently disqualified for the third offense. Clients cannot be reinstated for child care assistance until all monies are repaid.

Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified Provider Exclusion: Department policy allows for providers to be excluded from participation in all funded programs not as a penalty, but rather to protect public funds, the integrity of publicly funded programs, and public confidence in those programs. Provider exclusion is a serious action that is used only in the State's best interests. Exclusion applies to all participants, related parties, and their heirs and assigns of the participants and related parties. Providers can be excluded if found guilty of fraud, submission of false information, fail to repay funds owed the Department or violate agreements to participate in funded programs or receive grant funds. Additionally, child care providers can be excluded for failing to submit an annual audit or if the Audit Office disapproves the findings of an audit. Exclusion is for a minimum of 12 months, or until all monies owed the Department have been repaid and all remedial or corrective action has been taken whichever is longer.

Child Care License Revocation: Falsification of any document or the submission of false information may constitute grounds for revocation of the Child Care license. Falsification means the submission of untrue information whether by statement or omission.

Prosecute criminally

Criminal Prosecution : Federal and state prosecution are available in the most serious offenses.

Other. Describe. \_\_\_\_\_

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

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

<b>Activities identified in ACF-402</b>	<b>Cause/Type of Error (if known)</b>	<b>Actions Taken or Planned</b>	<b>Completion Date (Actual or planned) (if known)</b>
<u>Incorrect budget calculations affecting co-payment</u>	<u>Program Eligibility Specialist miscalculating income</u>	<u>Arkansas is moving towards a paperless caseworker process. We currently have an electronic eligibility system which is being enhanced to incorporate the paperless process. The improper payment reviewers reviewed both the electronic record and the paper record. The errors occurred due to a lack of paper documentation. Additionally, we will review the authorization process. Once the problems are identified, we will train and add any additional steps to eliminate repeat problems. Also two Quality Control reviewers conduct 2<sup>nd</sup> party reviews of existing cases.</u>	<u>Our KIDCare system is designed to calculate income. Arkansas continues to improve the ability for the systems to talk to each other which will enhance the ability to identify potential improper authorizations and</u>

**1.4. Consultation in the Development of the CCDF Plan**

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

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

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

<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
<input checked="" type="checkbox"/> <b>Representatives of general purpose local government (required)</b>  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.	<u>The Lead Agency has issued the plan to the Division of County Operation and the Division of Workforce services for guidance and comment.</u>
<b>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.</b>	
<input checked="" type="checkbox"/> State/Territory agency responsible for public education  This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21 <sup>st</sup> Century Community Learning Centers), or higher education.	<u>The Lead Agency has contacted and consulted with our State Pre-K program (ABC) for guidance and comment.</u>
<input type="checkbox"/> State/Territory agency responsible for programs for children with special needs  This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	
<input checked="" type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	<u>The Lead Agency is responsible for licensing</u>
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<u>Agency with Head Start Collaboration grant is Lead Agency.</u>
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	<u>Agency issued the plan to each member of the AR Early Childhood Commission/State wide advisory, County/Partnership Council to obtain guidance and consultation in Development of the CCDF State</u>

	<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
		<u>Plan.</u>
<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 checked="" type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	<u>Agency responsible for CACFP programs is Lead Agency.</u>
<input checked="" type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	<u>Arkansas Children's Hospital and Department of Health</u>
<input checked="" 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)	<u>Department of Health and UAMS</u>
<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	<u>DCFS</u>
<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 checked="" type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	<u>DWS</u>
<input type="checkbox"/>	Indian Tribes/Tribal Organizations  <input 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	<u>Arkansas Out of School Network</u>
<input type="checkbox"/>	Provider groups, associations or labor organizations	
<input type="checkbox"/>	Parent groups or organizations	
<input checked="" type="checkbox"/>	Local community organizations and institutions(child care resource and	<u>Sent to all CCR&amp;R</u>

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	referral, Red Cross)
<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 17, 2013 **Reminder** - Must be at least 20 days prior to the date of the public hearing.
- b) How was the public notified about the public hearing? Facebook, Twitter, Better Beginnings Buzz, Childcare billing site, Child Care Resource and Referral Agencies
- c) Date(s) of public hearing(s): May 31, 2013 **Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).
- d) Hearing site(s): Department of Human Services 400 West Main, Little Rock, AR 72203
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? DCCECE website <http://humanservices.arkansas.gov/dccece/Pages/default.aspx>
- 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. The Lead Agency has used Social Media to notify the public of the time and location of the public hearing.

**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 census.gov.

**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)).**

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></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><input checked="" type="checkbox"/> Representatives of general purpose local government</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><u>Information sharing with all agencies listed to endure adequate knowledge for referrals, parent education and provide framework for partnerships both locally and from State level offices.</u></p> <p><u>Representatives from these entities are active members of the AR Early Childhood Commission/Early Learning Council and the AR Early Childhood Comprehensive</u></p>	<p><u>Increase in information sharing and partnerships.</u></p> <p><u>Representatives from various agencies and entities serve on working groups related to Professional Development, Parent Education, Medical Homes, Early Care and Education and Social Emotional Learning. Active engagement is measured by evaluation of members on annual basis.</u></p>

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></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><u>Systems Partnership Council</u></p>	
<p><input checked="" type="checkbox"/></p>	<p><u>DCCECE is state administering agency for the public pre-K program in a joint collaboration with the AR Department of Education.</u></p> <p><u>DCCECE serves on the Steering committee of AR Out of School Network and supports AR Department of Education 21 CCLC programs through program assessment and Quality of Standards of Out of School Time programs.</u></p>	<p><u>Coordination of programs for public pre-K and CCDF programs to encourage before and after school, wrap-around and holiday/summer care for children. Referrals between programs.</u></p> <p><u>Collaboration in development of grant standards for the Positive Youth Development Act (a grant making authority for school age and youth development programs) including administration of the program aspects, evaluation and reporting.</u></p> <p><u>Issue new licensing requirements for stand-alone Out of School Time Programs and increase number of</u></p>

	<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>  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. <u>programs licensed.</u>
<input checked="" type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services  <b>(required)</b>	<u>Representatives from these entities are active members of the AR Early Childhood Commission/Early Learning Council and the AR Early Childhood Comprehensive Systems Partnership Council</u>	<u>Continued collaboration and partnerships in sharing of information between programs to increase access for families and children to high quality services.</u>

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></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><input checked="" type="checkbox"/> State/Territory agency responsible for public health <b>(required)</b></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><u>Representatives from these entities are active members of the AR Early Childhood Commission/Early Learning Council and the AR Early Childhood Comprehensive Systems Partnership Council</u></p> <p><u>University of Arkansas Medical Sciences/Dept. of Family Medicine/Early Childhood Mental Health Consultation Project</u></p>	<p><u>Work of the AECCS Social Emotional Workgroup includes advising the AR Early Childhood Mental Health Consultation project: Project PLAY (Positive Learning for Arkansas’ Youngest)</u></p> <p><u>Establishment of an Early Childhood Mental Health Consultation Credential Training.</u></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for employment services / workforce development <b>(required)</b></p>	<p><u>The Department of Workforce Services</u></p>	<p><u>The Department of Workforce Services goal is to enable the Arkansas workforce to compete in the global economy by linking a comprehensive array</u></p>

<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>  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.	
			<u>of services for employers and job seekers.</u>
<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies( <b>required</b> )	<u>Department of Workforce Services/ Division of County Operation</u>	<u>The Department of Workforce Services will end the dependence of needy parents on government benefits by promoting job preparation, work, and marriage.</u>
<input type="checkbox"/>	Indian Tribes/Tribal Organizations ( <b>required</b> )  <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
<b>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</b>			
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	<u>DHS/DCCECE is the responsible lead agency</u>	
<input type="checkbox"/>	State/Territory agency responsible for Race to the Top – Early Learning Challenge (RTT-ELC) <input checked="" 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)	<u>DHS/DCCECE is the responsible lead agency</u>	
<input checked="" type="checkbox"/>	State/Territory agency responsible	<u>DHS/Division of</u>	

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></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>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><u>Developmental Disabilities/Part C and AR</u> <u>Department of Education/Part b</u></p>	
<p><input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p><u>AR Department of Health</u></p>	<p><u>Division serves on Advisory Group for Home visitation programs and supports Parents as Teachers and Hippy Program.</u></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for child welfare</p>	<p><u>DHS/Division of Children and Family Services.</u></p>	<p><u>Cooperative efforts related to foster care children to ensure high quality child care. DCCECE maintains all vouchers for Foster Care children. Support of the Zero to Three Court Team Project working with courts to support a continuum of care for children birth to</u></p>

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></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><u>five in the foster care system.</u></p>	
<input type="checkbox"/>	<p>State/Territory liaison for military child care programs or other military child care representatives</p>		
<input checked="" type="checkbox"/>	<p>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</p>	<p><u>Children’s Trust Fund/Strengthening Families</u></p> <p><u>Mott Statewide Afterschool Network/Ready by 21—AR Out of School Network</u></p>	<p><u>Inclusion of Strengthening Families participation in the AR Better Beginnings Standards.</u></p> <p><u>Expansion of high quality school age and youth development programs and policies</u></p>
<input checked="" type="checkbox"/>	<p>Local community organizations (child care resource and referral, Red Cross)</p>	<p><u>7 local child care resource and referral agencies</u></p>	<p><u>Supporting resource and referral core work and addition of child care Health Coordinators/Infant and Toddler Specialists; delivery of Ages and Stages training for child care providers, delivery of NAP-SACC/nutrition assessment and training and delivery of social emotional</u></p>

<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>  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.	
		<u>learning trainings through TIPS and AI's Caring Pals</u>	
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	<u>AR Early Childhood Association</u>  <u>AR Child Care Providers Association</u>  <u>AR Family Child Care Providers Association</u>	<u>Provision of scholarships for attendance at the Annual AECA conference</u>  <u>Provision of scholarships for attendance at the annual ACCPA conference</u>  <u>Conference co-sponsor/grant funding for establishment of association</u>
<input type="checkbox"/>	Parent groups or organizations		
<input checked="" type="checkbox"/>	Other	<u>AR Advocates for Children and Families/Invest Early Coalition</u>	<u>Public education and information sharing related to policies for young children and their families.</u>

**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): AR Early Childhood Commission serving as the State Advisory Council
  - b) Describe the age groups addressed by the plan(s): Birth - School Age (0 months - 18 years)
  - c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
    - Yes
    - No
  - d) Provide a web address for the plan(s), if available: \_\_\_\_\_
- No

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

(658D(b)(1)(D), §98.14(a)(1))

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

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

If yes, describe entity, age groups and the role of the Lead Agency **Arkansas Early Childhood Commission:**

Coordination and collaboration are key factors in all planning and program implementation in Arkansas.

The Arkansas Early Childhood Commission is the responsible entity for ensuring this coordination. The

Commission established by legislative action is a governor-appointed group of 24 members. Web Site:

<http://www.arkansas.gov/childcare/services/aecc/index.html>

1. Advising DCC/ECE on the administration of the Arkansas Child Care Facilities Loan Guarantee Trust Fund.
2. Providing technical assistance in the design of training programs to enhance the skills of professionals in early childhood programs, including the development of an annual comprehensive training plan for providers.
3. Examining the recommendations of national and regional groups and systems producing scientifically proven and cost-effective results used by others to provide child care and early childhood services.
4. Assisting in the development of a comprehensive long-range plan for the expansion, development and implementation of early childhood programs in Arkansas, including recommending the allocation and expenditures of funds appropriated to the Arkansas Better Chance (ABC) Program.
5. Facilitating coordination and communication among state agencies providing early childhood programs to promote non duplication and coordination of services in such programs and recommending a structure for the administration of the currently existing programs and any recommended programs.

6. Advising the Arkansas Department of Education and other appropriate state agencies on the development of programmatic standards for early childhood education programs.
7. Promoting strong local community support for early childhood education programs.
8. Promoting public awareness of childcare and early childhood programs.
9. From the applications submitted, making Child Care Appeal Review Panel selections from persons who meet the qualifications for service and who exhibit willingness and time commitment to serve on the panel.
10. Approving all rules and regulations promulgated by DCC/ECE.

The AECC provides guidance to the Division on all aspects of early care/school-age and youth/development programs. The Lead Agency staffs the AECC and develops reports and recommendations for their consideration.

The Commission will serve as the Arkansas Early Learning Council and provide guidance across early care programs. The goals of the Commission’s comprehensive plan as established at the AECC retreat are to increase the number of infants and toddlers served in quality, licensed programs annually; to increase parental involvement annually in a child’s education through research-based models and programs to enhance outcomes and success in school; support implementation of QRIS; create an integrated system of professional development uniting the early childhood sectors- child care, Head Start, pre-k, public schools, early intervention and special education services.

- State Advisory Council (as described under the Head Start Act of 2007).  
If yes, describe entity, age groups and the role of the Lead Agency \_\_\_\_\_
- Local Coordination/Council  
If yes, describe entity, age groups and the role of the Lead Agency \_\_\_\_\_
- Other.  
Describe \_\_\_\_\_
- None

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

☒ Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership **Arkansas Advocates for Children and Families**

Partnerships exist between Arkansas Advocates for Children and Families (Web Site: [www.aradvocates.org](http://www.aradvocates.org)) and DCC/ECE in several areas. A major focus is support to the Arkansas Out of

School Network (AOSN). The AOSN continues to be funded by the Mott Foundation with the Division as a partner to support expansion of the AOSN and school age/youth development programs.

Arkansas Advocates continues to instrumental in supporting advocacy efforts to expand the public Pre K Program in Arkansas. As a co-collaborator with the Arkansas Early Childhood Association they served as the messengers of the need for high quality early care and education for young children. The collaborative group INVEST EARLY will continue as a partnership.

### **Arkansas Child Care Resource and Referral (ACCR&R) Network**

• Local Child Care Resource and Referral, (CCR&R) agencies work in coordination with DCC/ECE in several projects. Web Site: [www.arkansas.gov/childcare/programsupport/resource.html](http://www.arkansas.gov/childcare/programsupport/resource.html)

• DCC/ECE meets with the local CCR&R staff on a quarterly basis to ensure consistency in service delivery. This has resulted in development of “new baby” boxes, used by the R&R to recruit business participation by offering the boxes to new parents.

• Marketing of the services available through the CCR&R network is completed through use of advertising and displays at statewide professional conferences.

• CCR&R’s statewide offer support to DCC/ECE in sponsoring public meetings to share information with the provider community.

• Local Child Care Resource and Referral agencies (CHILDREN of North Central Arkansas and REACH of Northeast Arkansas) both have active outreach and cooperation from the business community. Both receive financial backing and have business and Chamber of Commerce representatives serving on their Boards. These CCR&R’s receive support both financially and from CEO levels to continue the work of the R&R locally.

• Child Care Resource and Referral agencies also collaborate with local United Way organizations to support Success by Six projects. Two agencies have been recipients of the Success by Six projects; one is a current site.

• CHILDREN of North Central Arkansas is partnering with other businesses in the Independence County area to sponsor Imagination Library, the foundation sponsored by Dolly Parton that provides a book a month to children from birth to age 5. This effort reflects public and private donations and is in cooperation with United Way of Batesville.

### **Arkansas Department of Economic Development/Community Development Block Grant**

A partnership with the Arkansas Department of Economic Development for distribution of \$540,000 in Community Development Block Grant funds for renovation/construction of child care facilities places the Division in a position of assisting county and local governments during planning stages of determining whether child care is necessary in the community. This involves local business and establishes a strong public-private partnership in increasing capacity of childcare opportunities in many areas of the state. Web

Site: [www.arkansas.gov/childcare/programsupport](http://www.arkansas.gov/childcare/programsupport)

### **School Readiness Indicators Initiative-Making Progress for Children**

This Initiative encompasses representatives from the AR Early Childhood Comprehensive Systems

Partnership Council, Higher Education, Department of Education, Department of Human Services, Head Start, Arkansas Children's Hospital, University of Arkansas Children's Data Center, Early Childhood Professionals, parents, teachers and school administrators, working together to develop and track indicators of school readiness. The major focus is on indicators of readiness for children, for families and communities and for schools. The identification of these specific indicators and trend analysis allows the state to develop policy changes to address the areas that need improvement. A group of four (4) national foundations supported this original effort in 2003 that included seventeen (17) states. The results of the collaborative effort was presented by the Governor in a press conference in April of 2004, the national report was released in February of 2005. Arkansas continues to track and report on the identified indicators in our report "Getting Ready for School: Children, Families, Schools, and Communities." The publication is available as a state report and reports are prepared for each of our 75 counties. Web

Site: [www.arkansas.gov/childcare/services/gettingready.html](http://www.arkansas.gov/childcare/services/gettingready.html)

### **Arkansas Children's Week**

Children's Week events planned at the state level with input from early childhood professionals across

the state and are locally supported. Each year a theme is developed for the week.

Teacher guidance

and activity books, a series of state sponsored training sessions in twenty (20)

locations throughout the state and massive public information are shared during the week. The Arkansas Early Childhood

Commission sponsors the Outstanding Early Childhood Professional Awards each year, selecting from nominations made by professionals, parents and the general public. These persons are honored for their service to the state on behalf of young children. Web Site: <http://chs.astate.edu/trainingoverview/archildweek.htm>

### **AECCS and AECCS Partnership Council**

The AECCS plan and AECCS Partnership Council include activities to encourage public-private partnerships. Many of the AECCS strategies include working with private partners such as Arkansas Children's Hospital, the private insurance liaison with the Arkansas Insurance Commission, United Way, AR Blue Cross/Blue Shield, and AR Advocates for Children and Families.

### **Marketing/Public Relations Campaign to Promote Quality in Child Care and to brand and introduce Better Beginnings the Arkansas Quality Rating Improvement System**

A major component of the QRIS implementation plan is the development of a multi-faceted education and outreach campaign. A Public Relations Team, made up of public and private partners, has been working on a plan with two phases to focus on: (1) early childhood community (state agencies, educational practitioners, school administrators, etc.) to promote and support participation in Better Beginnings and (2) Arkansas citizens with a focus on the consumer of child care and early education services, such as business leaders, legislators, and the medical community. Partners from the private sector will continue to provide input to the plan. In addition, the private sector will be approached to help provide financial support for the social marketing campaign on quality in child care and Better Beginnings.

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.

### **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:** We do contact local emergency preparedness personnel of plans and 3. We do have requirements for this in MLR's.

**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
- 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: \_\_\_\_\_

**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.

<b>Implementation of CCDF Services/Activities</b>	<b>Agency (Check all that apply)</b>
<b>Who determines eligibility?</b>	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency

<b>Implementation of CCDF Services/Activities</b>	<b>Agency (Check all that apply)</b>
<p><b>Note:</b> If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____</p>	<input checked="" type="checkbox"/> Other State/Territory agency. Describe. <u>DHS - Division of County Operations (DCO)</u> <u>DHS - Division of Children and Family Services (DCFS)</u> <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 type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<p><b>Who assists parents in locating child care (consumer education)?</b></p>	<input type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency <input checked="" type="checkbox"/> Other State/Territory agency. Describe. <u>Arkansasbetterbeginnings.com</u> <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 type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<p><b>Who issues payments?</b></p>	<input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<p><b>Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)</b></p>	<p><u>Payments to providers are issued electronically through direct deposit.</u></p>
<p><b>Other. List and describe:</b> _____</p>	

**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):  
<http://humanservices.arkansas.gov/dccece/Pages/default.aspx> or  
<https://access.arkansas.gov/>
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe: \_\_\_\_\_

**2.2.2. How can parents apply for CCDF services?**

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

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website) <https://access.arkansas.gov/>
- 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.

Parents receive consumer education information about CCDF services from Child Care Providers:

through Arkansas Department of Human Services County Offices and Staff Arkansas Health Department Offices and staff; Employers; Schools; Media and Print Publications/Broadcast; the Division of Child Care and Early Childhood Education Web Site. Private, Non-Profit Child Care Resource and Referral staff make referrals, as well as the Division of Child Care and Early Childhood Education licensing staff. The staff provide parents with provider listing showing licensing history and rating in Better Beginnings Quality Rating Improvement System, memorandums of understanding with resource and referrals, or information brochures regarding quality and different care options available.

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

For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities. **The Division has implemented a Coaching Project, assigning an early childhood coach to specific high voucher usage child care programs to assist them in the process of raising the level of quality of care for children. Coaches assist with establishing goals and direct staff in making improvements in policy, environment and scheduling. A mentor endorsement project trains mentors to work in peer to peer situations in assisting improvements and movement towards quality for child care programs. The Quality Initiative program enrolls child care centers and family child care homes in a one year agreement working towards meeting the quality standards of Better Beginnings. Training, technical assistance and assignment of a mentor provides intentional support for improvement. Each of these projects targets programs that are high-voucher usage in an attempt to increase the availability of quality care for children receiving subsidized care.**

**To support high quality programming and continuity of care for children served in Arkansas Better Chance/State funded Pre-K and Head Start programs, the lead agency will only require 1 parent in a two parent household to meet the work requirements for the purpose of eligibility.**

**Pursuant to the guidance in CFR §98.20 (b) Arkansas will prioritize and authorize the care of existing Arkansas Better Chance (ABC) program children, the highest quality of care available in the State of Arkansas, for continuation of care in this high quality setting during the summer**

**months in order to accentuate the carryover of learning through their admittance to the state funded kindergarten program.**

**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 Transitional Employment Assistance, Extended Support

**Services.**

- Protective Services, Foster Care, Supportive Services**
  - 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 Child care assistance may be approved for up to sixty (60) consecutive calendar days to allow applicants to actively seek employment. An applicant may only receive job search benefits one (1) time in a calendar year per adult in the household unit and shall be requested by the applicant within (10) days of employment change.
- 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 The length of eligibility is between one and twelve months.
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe The eligibility period is up to twelve months.
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe Eligible applicants can receive wrap around care during the periods of times when school is not in session.
- 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 \_\_\_\_\_
- 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 Spanish**

**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: Lead Agency will add bi-lingual (English-Spanish) recommendation to our hiring processes.
- 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**

**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

**Attachment 2.2.9** or provide a web address, if available

[http://humanservices.arkansas.gov/dccece/dccece\\_documents/dcc513Blue.pdf](http://humanservices.arkansas.gov/dccece/dccece_documents/dcc513Blue.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.

<b>The Lead Agency requires documentation of:</b>	<b>Describe how the Lead Agency documents and verifies applicant information:</b>
<input checked="" type="checkbox"/> Applicant identity	<u>SSN for the child</u>
<input checked="" type="checkbox"/> Household composition	<u>State or other Governmental systems shall be used to identify and verify household structure for every eligible application.</u>
<input checked="" type="checkbox"/> Applicant's relationship to the child	<u>Birth Certificates, application, data systems, other legal documentation</u>
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	<u>Birth Certificate, Application, data system</u>
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	<u>Check Stubs, Income tax statements, educational schedule/grades, DCO 97</u>
<input checked="" type="checkbox"/> Income	<u>Pay Check Stubs, DCO 97 form, W-9 income tax statements</u>
<input type="checkbox"/> Other. Describe _____	

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

- Time limit for making eligibility determinations. Describe length of time 30 days
- 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 2.2.10 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 services are eligible for child care services. Child Care determination is based on the DWS eligibility guidelines for TANF. The Child Care referral is made electronically for the first 6 months by a DWS Case Manager to the DCCECE Family Support Eligibility Worker. This process is specific to Jefferson and Pulaski County only. This is the process for both Transitional Employment Assistance (TEA) and Extended Support Services (ESS).

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 AR Department of Workforce Services

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

"appropriate child care":

Child Care that meets the minimum health and safety standards and guidelines established by the Division of Child Care and Early Childhood Education Licensing Rules and Regulations. All care must be provided in a center, licensed day care home, a registered or a relative home

"reasonable distance":

The travel time from the parents' home to his or her place of employment must not exceed more than 1 hour one way in order to be required to place a child in child care.

"unsuitability of informal child care":

Care which does not meet the developmental needs of the child or care that has been determined not to be in the best interest of the child or parent.

"affordable child care arrangements":

Care provided at no charge to the family for the first year after the family's TANF case closes due to employment assures affordable care. The sliding fee scale is applied after the first year.

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 - Living with or in a household with a parent or legal guardian or other individual standing in loco parentis
- in loco parentis – "in place of a parent." A foster parent, a county custodial agency or a boarding school which is assuming the parental obligations for the minor, including protecting his/her rights, may be referred to as being in loco parentis. In loco parentis infers that the person or entity is standing in the role of the parent of a minor, without having gone through the formal adoption process
-

### 2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 6 weeks to 12 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 18 (may not equal or exceed age 19). Provide the Lead Agency definition of *physical or mental incapacity* – A child who has a physical or mental condition which substantially limits one or more major life activities.

\_\_\_\_\_ who has a record of such an impairment, or who is regarded as having such an impairment, or and has been diagnosed by a licensed medical or psychological practitioner.

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 18 (may not equal or exceed age 19)

No.

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

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

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

- working – To do work, to be employed and receive payment for the work either in cash or in-kind, seeking or obtaining employment, making contact with potential employers, apply for vacancies, and interviewing for jobs or enrolled as a full time student for a minimum of twelve (12) credit hours per semester.

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 – Activities designed to enhance the employability and self-sufficiency of Applicants which leads to employment at the end of the training program.

- No.

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

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

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

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

**Note** – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are 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 – Services provided by DCFS to a family to prevent further abuse or neglect and to strengthen family functioning and overall well-being of children.

- 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 –Income can be classified as earned or unearned. The family is required to report all income at the time of application, including any income that is anticipated to be regularly received during the certification period. All earned and unearned income of each household member is counted unless specifically excluded in policy.

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.

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	\$2736	\$2326	\$1642	60%
2	\$3673	\$3122	\$2204	60%
3	\$4133	\$3513	\$2480	60%
4	\$4533	\$3853	\$2720	60%
5	\$5158	\$4384	\$3095	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 [hhs.gov](http://hhs.gov).

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

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

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

- No.

f) SMI Year 2010 and SMI Source US Census Data

g) These eligibility limits in column (c) became or will become effective on: October 1, 2011

### 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.)

Yes

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

6 months

24 months

Other. Describe Arkansas is currently exploring the option of linking 1 year authorizations to Level II and Level III Quality facilities.

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. If yes, **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 6 months

Pre-kindergarten programs. Re-determination period 6 months

TANF. Re-determination period \_\_\_\_\_

SNAP. Re-determination period \_\_\_\_\_

Medicaid. Re-determination period \_\_\_\_\_

SCHIP. Re-determination period \_\_\_\_\_

Other. Describe \_\_\_\_\_

No.

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. Case Assessments will be a continual and regular contact method to guide conversation and progress for case management. Case Assessments are required for every case entered into KIDCARE, to include Teen Parents.

- c) Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination In the event that a Case Assessment has not been completed ten (10) days prior to the due date of the Household Update, the PES shall send a Pending Closure Case Action Notice to the Applicant. PES shall also notify the Participant via email or mail that care will end if the Applicant does not complete their Case Assessment.

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). The purpose of the follow-up is to maintain personal contact, develop open communication and to discuss the following items with the Applicant:

- a. Goal progress and potential consequences
- b. Referral updates
- c. Review CCDF program changes
- d. Review household changes
- e. Reminder of Lifetime Limit
- f. Reminder of Rights and Responsibilities

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

- Yes. If yes, describe \_\_\_\_\_
- No.

### 2.3.7. Waiting Lists

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

- Lead Agency currently does not have a waiting list and:
- All eligible families *who apply* will be served under State/Territory eligibility rules
  - Not all eligible families *who apply* will be served under State/Territory eligibility rules
- Lead Agency has an active waiting list for:
- Any eligible family who applies when they cannot be served at the time of application
  - Only certain eligible families. Describe those families: \_\_\_\_\_
- Waiting lists are a county/local decision. Describe \_\_\_\_\_
- Other. Describe The waiting list is only active when funding is not available. Each eligible family that meets the eligibility criteria will be served.

### 2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations Whenever an application is denied, or an adverse action is taken, the case head will be informed in writing of the decision and of the right for a review of the decision. The notice must state that the case head has ten (10) days from the date of the Notice of Action (DCC-531) in which to submit a request for Internal Review of the decision. The complete Internal Review and Appeal Process is outlined in Sections 1.5.2 and 1.5.3 of the

procedure manual. The case head or an individual action on behalf of a case head, may request an Internal Review.

## **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 July 2010  
 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: 60% '2010  
 Federal Poverty Level, Year: \_\_\_\_\_  
 Income source and year varies by geographic region. Describe income source and year: \_\_\_\_\_  
 Other. Describe income source and year: \_\_\_\_\_

### **2.4.3. 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  
 No additional percentage applied charged after certain number of children  
 Fee is per family  
 Contribution schedule varies by geographic area. Describe: \_\_\_\_\_  
 Other. Describe Fee is a percent of the cost of care.

**If the Lead Agency checked more than one of the options above, describe**  
In Arkansas, the family contribution to the cost of care ranges from 0% to 80% of cost of care. Our state uses a sliding fee scale to determine the percent ranges for co-payment/fee. The amount of co-pay/fee is based on the family size and income.

Arkansas is in the process of using North Carolina model of assessing each client's a co-pay. See 2.7.9 (C) for additional discussion of the Divisions copayment policy.

**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: \$19,845  
 SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: \_\_\_\_\_

## **2.5. Prioritizing Services for Eligible Children and Families**

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

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

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

<b>How will the Lead Agency prioritize CCDF services for:</b>	<b>Eligibility Priority (Check only one)</b>	<b>Is there a time limit on the eligibility priority or guarantee?</b>	<b>Other Priority Rules</b>
<p>Children with special needs</p> <p><b>Provide the Lead Agency definition of <i>Children with Special Needs</i> The classification given a child who requires child care because of a condition documented by a physician, a licensed psychologist or a court order.</b></p>	<p><input checked="" type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input 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 checked="" type="checkbox"/> Yes. The time limit is: <u>60 months</u></p> <p><input type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input checked="" 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 type="checkbox"/> Other. Describe _____</p>

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  <b>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i> Children whose family income falls below the federal poverty level or has zero income</b>  _____	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" 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>60 months</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.

<b>Term(s)</b>	<b>Definition(s)</b>
<b><u>EPSDT- The Early Periodic Screening, Diagnosis, and Treatment (EPSDT)</u></b>	<u>designed to address physical, mental, and developmental health needs. Screening services “to detect physical and mental conditions” must be covered at periodic intervals as well as diagnostic and treatment coverage.</u>

**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://humanservices.arkansas.gov/dccece/Pages/default.aspx>
- Community outreach meetings, workshops, other in person activities

- Multiple points of communication throughout the eligibility and renew process
- Other. Describe \_\_\_\_\_

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

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

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

### 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:  
The lead agency plans to provide grants or contracts for wrap around services for Head Start, Early Head Start, pre-k, summer programs to serve infant/toddlers, and school-age programs.
- 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.
- No, and **identify** the localities (political subdivisions) and services that are not offered: \_\_\_\_\_

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

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

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

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

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

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

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

- No
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.
  - Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
  - Restricted based on provider meeting a minimum age requirement

- Restricted based on hours of care (certain number of hours, non-traditional work hours)
- Restricted to care by relatives
- Restricted to care for children with special needs or medical condition
- Restricted to in-home providers that meet some basic health and safety requirements
- Other. Describe In order to receive CCDF money, in-home care providers must be licensed or registered, and be monitored by child care licensing.

**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)**  
Arkansas has a computer system that tracks all licensing regulation complaints, such as health and safety issues. The public can go to our website to see violations and founded complaints within the past year.

**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.**  
[http://humanservices.arkansas.gov/dcece/dcece\\_documents/caprates.pdf](http://humanservices.arkansas.gov/dcece/dcece_documents/caprates.pdf)  
 Will the attached payment rates be used in all parts of the State/Territory?

- Yes. Effective Date: 11/1/2006
- 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 have 60 days to bill.
- Track and monitor the payment process
- Other. Describe \_\_\_\_\_
- 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 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 2013.

b) Provide a **summary of the results** of the survey. \_\_\_\_\_ The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings. The Division changed the methodology utilized to capture market rate data in the current year in order to assemble a more accurate portrait of real market conditions in the State. In the past that division has relied on surveys and phone calls to validate current rate structures. In the current year the Division tasked Licensing Specialists with gathering this information for each provider. Arkansas licensing regulations require multiple visits to each facility on an annual basis. Every licensed facility has been included in the current data resulting in a 100% response rate. All data was keyed into the CCLAS (Child Care Licensing and Accreditation System) and market rate survey reports have been generated from that system.

DCC-ECE believes the data paints a more precise picture of the existing rates. This methodology includes information from all private providers. These providers have been less inclined to participate in the previous surveys as many do not participate in the child care assistance program. The concern was that this negatively skewed the results and lowered the market rate unreasonably. The results of the current analysis confirm this phenomenon.

In addition, Arkansas has previously grouped market rate geographic areas by county which has caused large disparities in rates between more urban communities and rural Arkansas. Effective 10/1/13 Arkansas will utilize two geographic areas (rather than 75 counties) for purposes of market rate caps. Based on data derived from the most recent census, we segregated those counties classified as Urban from the rest of the state. In the course of our review we noted increased market rates in these counties versus rural areas and determined that a distinct geographic area and a rate differential was in order to reasonably capture the market characteristics of these regions. Since Arkansas is largely rural the results were eight Urban counties with the remaining sixty seven counties classified as Rural. The division believes this provides a more reasonable basis for market rate classifications and that it will provide the ability for smaller markets to make the jump to quality care in the future as lightly populated counties often suffered under very low rate restrictions. The market rate data included in this report includes these two geographic areas.

Since these changes are so significant, there is no reasonable manner to directly compare prior market rate survey information to the current data. The data sets (75 areas versus 2) and participation rates for private providers are just too disparate for suitable comparison.

There is no tiered reimbursement currently in place for those participating in the Better Beginnings QRIS system. However, plans are currently under way

to devise a system with a Floor rate for all programs participating in Better Beginnings Level One and then tiered reimbursement rates for those providers moving through the various levels of quality. Arkansas is working with our information technology partner, Northrup Grumman, to make KIDCare system modifications allowing the implementation of this tiered reimbursement system. We expect to implement the first portion of the program in early federal fiscal 2014 with the remainder to be completed by the end of that year.

It is the Division's intent to set the Floor quality rate for Better Beginnings Level 1 (a small but necessary jump from minimum licensing standards) at or near the 65<sup>th</sup> percentile with additional bumps for Better Beginnings Levels 2 and 3. Better Beginnings Level 3 is currently the highest rank in Arkansas's QRIS and will have additional reimbursement enhancements pushing it beyond the 75<sup>th</sup> percentile of the current MRS. Levels 4 and 5 are currently "under construction" and additional rate incentives are planned upon their introduction.

The Division feels this approach to rate reform is the most conducive to the promotion of quality care as it affords small increases for many minimum licensed facilities while focusing rate increases for those committed to high quality early education. Any rates currently above the new base rate will be grandfathered in for a reasonable period of time in order to allow providers to make the appropriate move to a higher level of quality or adjust their business plans to accommodate the lower level inherent in the minimum licensing rate.

**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 75<sup>th</sup> percentile. These tables allow Lead Agencies to use a common metric – the 75<sup>th</sup> 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 the lowest maximum payment rate ceiling for child care centers (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75<sup>th</sup> 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 75<sup>th</sup> 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 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.

<b>2.7.4a – Highest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	<u>\$698.21</u>	<u>\$552.08</u>	<u>50th Percentile</u>
Full-Time Licensed Center Preschool (59 months)	<u>\$569.40</u>	<u>\$443.83</u>	<u>50th Percentile</u>
Full-Time Licensed Center School-Age (84 months)	<u>\$523.06</u>	<u>\$415.68</u>	<u>50th Percentile</u>

<b>2.7.4b – Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed			

<b>2.7.4b – Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Center Infants (11 months)	<u>\$515.27</u>	<u>\$424.34</u>	<u>50th Percentile</u>
Full-Time Licensed Center Preschool (59 months)	<u>\$449.24</u>	<u>\$359.39</u>	<u>50th Percentile</u>
Full-Time Licensed Center School-Age (84 months)	<u>\$415.68</u>	<u>\$350.73</u>	<u>50th Percentile</u>

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

<b>2.7.4c – Highest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	<u>\$541.25</u>	<u>\$443.83</u>	<u>50th Percentile</u>
Full-Time Licensed FCC Preschool (59 months)	<u>\$497.95</u>	<u>\$404.86</u>	<u>50th Percentile</u>
Full-Time Licensed FCC School-Age (84 months)	<u>\$422.18</u>	<u>\$337.74</u>	<u>50th Percentile</u>

<b>2.7.4d – Lowest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	<u>\$487.13</u>	<u>\$389.70</u>	<u>50th Percentile</u>
Full-Time Licensed FCC Preschool (59 months)	<u>\$433.00</u>	<u>\$357.23</u>	<u>50th Percentile</u>
Full-Time Licensed FCC School-Age (84 months)	<u>\$422.18</u>	<u>\$324.75</u>	<u>50th Percentile</u>

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

- a) Describe how license-exempt center payment rates are set: Same as for licensed child care centers.
- b) Describe how license-exempt family child care home payment rates are set: Same as for licensed child care homes.
- c) Describe how license-exempt group family child care home payment rates are set: Same as for licensed child care homes.
- d) Describe how in-home care payment rates are set: Same as for licensed child care homes.

**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 Higher rates for nights and weekends.
- Differential rate for children with special needs as defined by the State/Territory. Describe Arkansas may pay a differential rate for documented special needs children if funding is available.
- Differential rate for infants and toddlers. Describe \_\_\_\_\_
- Differential rate for school-age programs. Describe \_\_\_\_\_
- Differential rate for higher quality as defined by the State/Territory. Describe \_\_\_\_\_
- Other differential rate. Describe \_\_\_\_\_
- None.

**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), 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 (only if the provider is at level 2 or higher in Better Beginnings)
- Pays for provider fees (e.g., registration, meals, and supplies). Describe \_\_\_\_\_
- 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) a) Number of absent days allowed. Describe Absentee days are allotted by trimester.
  - March – June 12 days total with no more than 6 in a given month;
  - July – October 12 days total with no more than 6 in a given month;
  - November – February 16 days total with no more than 8 in a given month

- b) Paying based on enrollment. Describe N/A
- c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe N/A
- d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe Automated billing and direct deposit are requirements for providers.

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

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

- a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) Parents may choose from any facility type when making decisions regarding care for their children. It is up to their discretion to choose the facility which most closely meets the needs of the family with regard to quality, locale or home/center type.
- b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)) Current rates are consistent (and never lower) than those historically in place. See 2.7.4 for a lengthy discussion of the changes in the current market rate survey methodology and the plans to reach the 75th percentile for high quality facilities.
- c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) Current copayment policies base family fees on the cost of care. The Division has determined that a more appropriate approach to copayments is to base them on a percentage of family income and to use a single family copayment amount rather than the current payment per child (which can become punitive for families with multiple children). These policies are still under discussion but the KIDCare system changes necessary to implement the proposed policies are currently underway in an effort to have systems ready to put into place the policies at the beginning of the 2014 federal fiscal year. Current thoughts limit the total family copayment to no greater than 10% of family income. The Division believes this will encourage the utilization of high quality care as a family's out of pocket cost will be no greater at a high quality, more expensive facility, than they would incur at a lower cost facility meeting minimum licensing standards. In addition, reductions in copayment percentages based on Better Beginnings quality

levels are under consideration. The higher quality level chosen, the lower out of pocket cost for the family.

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 \_\_\_\_\_

**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 - <u>Increase the number of voucher children in quality facilities</u>
Goal 2 - <u>Implement Community Outreach initiatives for Latino Families</u>
Goal 3 – <u>Increase the number of infant and toddlers slot</u>
Goal 4 -

## **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.

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.

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 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 checked="" type="checkbox"/>
Yes, for some providers in this category	Describe _____	Describe _____	Describe _____	Describe _____

	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 type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe <input type="text"/>	Describe <input type="text"/>	Describe <input type="text"/>	Describe <input type="text"/>

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  <u>When one or more persons provide care to 6 or fewer children from more than one family</u>	Describe which types of center-based settings are exempt from licensing in your State/Territory <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>  For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.
Group Home Child Care  <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	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 the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes are subject to licensing  <u>When one or more persons provide care to 6 or fewer children from more than one family</u>	Describe which types of group homes are exempt from licensing <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>
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	Describe which types of family child care home providers are subject to licensing  <u>When one or more persons provide care to 6 or fewer children from more than one family</u>	Describe which types of family child care home providers are exempt from licensing <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>

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?
	<p>than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.</p> <p><b>Reminder</b> - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>		
In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child's own home.</p> <p><b>Reminder</b> - 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.</p>	<p><input type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.</p> <p>Describe which in-home providers are subject to licensing</p> <p><u>To participate, the in-home provider must apply to meet Registry rules; and Registry rules are very close to licensed rules; monitored exactly the same</u></p>	<p>Describe which types of in-home child care providers are exempt from licensing</p> <p><u>Only Block Grant families eligible, use the in home option.; an individual going into the home to provide care to one family is exempt otherwise</u></p>

**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](#) 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 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 at the [NCRKid's website](#).

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
<p>Do the licensing requirements include <b>child: staff ratios and group sizes</b>?</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): <u>Birth to 18 months: 1 caregiver per 6 children</u></p> <p>Toddler ratio (35 months): <u>18 months to 36 months - 1 caregiver per 9 children</u></p> <p><u>Ages 2 1/2 through 3 years - 1 caregiver per 12 children</u></p>	<p><input checked="" type="checkbox"/> Yes, Child: <u>staff ratio requirement</u></p> <p><u>1 Adult Caregiver:</u></p> <p><u># of children:</u></p> <p><u>Ages of Children</u></p> <p><u>A. 3-6: 0-up (no more than 3 under 2 years)</u></p> <p><u>B. 7: 0-up (no more than 1 under 2 years)</u></p>	<p><input checked="" type="checkbox"/> Yes, Child: <u>staff ratio requirement.</u></p> <p><u>List ratio requirement by age group: : 1 Adult Caregiver:</u></p> <p><u># of children:</u></p> <p><u>Ages of Children</u></p> <p><u>A. 3-6: 0-up (no more than 3 under 2 years)</u></p> <p><u>B. 7: 0-up (no more</u></p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group: : <u>No more than 5 children in care</u></p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement</p>

Indicator	For each indicator, check all requirements for <b>licensing</b> 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 type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
	<p>Preschool ratio (59 months): <u>4 years - 1 caregiver per 15 children</u></p> <p><u>5 years to kindergarten - 1 caregiver per 18 children</u></p> <p><u>Kindergarten and above - 1 caregiver per 20 children</u></p> <p><input checked="" type="checkbox"/> Yes, Group size requirement            Infant group size (11 months): <u>Group size is limited to two times the number of children allowed with one staff member. School age has no group size cap.</u></p> <p>Toddler group size (35 months):</p>	<p><u>C. 8: 0-up (no more than 2 under 2 years)</u></p> <p><u>D. 9: 2-up (no more than 3 between 2 &amp; 3 years)</u></p> <p><u>E. 10: 3-up</u></p> <p><u>2 Adult Caregivers:</u></p> <p><u># of children: Ages of Children</u></p> <p><u>A. 3-6: 0-up</u></p> <p><u>B. 7: 0-up (no more than 4 under 2 years)</u></p> <p><u>C. 8: 0-up (no more than 4 under 2 years)</u></p> <p><u>D. 9: 0-up (no more than 4 under 2 years)</u></p> <p><u>E. 10-14: 0-up (no more than 4 under 2 years)</u></p>	<p><u>than 1 under 2 years)</u></p> <p><u>C. 8: 0-up (no more than 2 under 2 years)</u></p> <p><u>D. 9: 2-up (no more than 3 between 2 &amp; 3 years)</u></p> <p><u>E. 10: 3-up</u></p> <p><b><u>2 Adult Caregivers:</u></b></p> <p><u># of children: Ages of Children</u></p> <p><u>A. 3-6: 0-up</u></p> <p><u>B. 7: 0-up (no more than 4 under 2 years)</u></p> <p><u>C. 8: 0-up (no more than 4 under 2 years)</u></p> <p><u>D. 9: 0-up (no more than 4 under 2 years)</u></p>	<p>by age group</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>

<b>Indicator</b>	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	<b>Center-Based Child Care</b>	<b>Group Home Child Care</b> <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<b>Family Child Care</b>	<b>In-Home Care</b> <input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
	<p><u>Group size is limited to two times the number of children allowed with one staff member. School age has no group size cap.</u></p> <p>Preschool group size (59 months): <u>Group size is limited to two times the number of children allowed with one staff member. School age has no group size cap.</u></p> <p><input type="checkbox"/> No group size requirements.</p>	<p><u>F. 15-16: 0-up (no more than 2 under 2 years)</u></p> <p><u>3 Adult Caregivers</u></p> <p><u># of children:</u> <u>Ages of Children</u></p> <p><u>A. 7: 0-up (no more than 5 under 2 years)</u> <u>B. 8: 0-up (no more than 5 under 2 years)</u> <u>C. 9: 0-up (no more than 5 under 2 years)</u> <u>D. 10-14: 0-up (no more than 5 under 2 years)</u> <u>E. 15-16: 0-up (no more than 4 under 2 years)</u></p>	<p><u>E. 10-14: 0-up (no more than 4 under 2 years)</u> <u>F. 15-16: 0-up (no more than 2 under 2 years)</u></p> <p><b>3 Adult Caregivers</b></p> <p><u># of children:</u> <u>Ages of Children</u></p> <p><u>A. 7: 0-up (no more than 5 under 2 years)</u> <u>B. 8: 0-up (no more than 5 under 2 years)</u> <u>C. 9: 0-up (no more than 5 under 2 years)</u> <u>D. 10-14: 0-up (no more than 5 under 2 years)</u> <u>E. 15-16: 0-</u></p>	

Indicator	For each indicator, check all requirements for <b>licensing</b> 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 type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
		<input type="checkbox"/> <u>No ratio requirements.</u>  <input checked="" type="checkbox"/> <u>Yes. Group size requirement</u> <u>Infant group size (11 months): limited based on ratios as listed above</u>  <u>Toddler group size (35 months): limited based on ratios as listed above</u>  <u>Preschool group size (59 months): limited based on ratios as listed above</u>  <input type="checkbox"/> <u>No group size</u>	<u>up (no more than 4 under 2 years)</u>  <input type="checkbox"/> <u>No ratio requirements</u> <input checked="" type="checkbox"/> <u>Yes. Group size requirement. List ratio requirement by age group : limited based on ratios as listed above</u>  <input type="checkbox"/> <u>No group size requirements</u>	

Indicator	For each indicator, check all requirements for <b>licensing</b> 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 type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
		<u>requirements..</u>		
Do the licensing requirements identify specific educational <b>credentials for child care directors</b> ?	<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: <u>directors may have 4 program years of experience or BS or BA or higher in Early childhood or Bachelors in nonrelated field; AA in Early Childhood or CDA or Tech. Cert. 1yr.</u>	Do the licensing requirements identify specific educational <b>credentials for child care directors</b> ? NO	<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 type="checkbox"/> Other:	Do the licensing requirements identify specific educational <b>credentials for child care directors</b> ? NO
Do the licensing requirements identify specific educational <b>credentials for child</b>	<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	Do the licensing requirements identify specific educational <b>credentials for child</b>	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory	Do the licensing requirements identify specific educational <b>credentials for child</b>

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
care teachers?	degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.  <b>care teachers?</b> <u>NO</u>	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:	<input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)  <b>care teachers?</b>
Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year?</b>	<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: <u>15 hours</u>	Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year?</b> <u>15 hours</u>	<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: <u>15 hours</u>	Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year?</b> : <u>15 hours</u>

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

Yes. Describe We are in the beginnings process of adding to the Playground requirements; program; and some health and safety items.

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 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

<b>CCDF Categories of Care</b>	<b>Frequency of Routine Announced Visits</b>	<b>Frequency of Routine Unannounced Visits</b>
<input checked="" type="checkbox"/> Center-Based Child Care	<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 <u>As Needed</u>	<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 <u>At a minimum, once every 4mo. Unless deficiencies’ noted in essential standards.</u>
<input checked="" type="checkbox"/> Group Home Child Care  <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<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 <u>As Needed</u>	<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 <u>At a minimum, once every 4mo. Unless deficiencies’ noted in essential standards.</u>
<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.	<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 <u>At a minimum, once every 4mo. Unless deficiencies’ noted in</u>

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
	Describe <u>As Needed</u>	<u>essential standards.</u>
<input checked="" type="checkbox"/> In-Home Child Care  <input 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 checked="" type="checkbox"/> Other. Describe <u>As Needed</u>	<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 <u>At a minimum, once every 4mo. Unless deficiencies' noted in essential standards.</u>

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

<b>Licensing Procedures</b>	<b>Describe</b> 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 <u>Each applicant for licensure has to attend a pre-licensure training.</u> <input type="checkbox"/> No. <input checked="" type="checkbox"/> Other. Describe <u>Within 30 days of receipt of the application</u>
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 type="checkbox"/> Programs self-certify. Describe [redacted] <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe [redacted]
Licensing staff has procedures in place to address violations found in an inspection.	<input 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 type="checkbox"/> Licensing staff verify correction of violation. <input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply

<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
	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 checked="" 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 type="checkbox"/> Emergency or immediate closure not through court action
	<input 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 <u>Licensee submits request for appeal that then is heard by a panel defined in the licensing Act.</u>
	<input type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe _____

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

<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>	<b>Who is Subject to Background Checks?</b>
--------------------------------	----------------------------------	------------------	---

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> <b>Center-Based Child Care</b>	<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 <u>every 2 years thereafter</u>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <u>Anyone coming into the facility other than parents, who come in routine contact with children</u>
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <u>Any volunteer or employee who has supervisory of disciplinary control over the children.; ie therapist left alone with child</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 <u>owner/operators once and staff that have not resided in the state every 5 years.</u>	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <u>Staff not residing in the state the previous 5 years</u>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>This is provided</u>	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
		<u>when criminal background checks are completed.</u>	
<input checked="" type="checkbox"/> <b>Group Child Care Homes</b>  <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 type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>Every 2 years</u>	<input checked="" type="checkbox"/> Provider <input checked="" 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 <u>Every 5 years.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home 
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>once for owner operator; for staff if have not resided in the state previous 5 years</u>	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home <u>not resided in state last 5 years</u>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>this is completed and checked against criminal history checks per the Arkansas State Police.</u>	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home 

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> <b>Family Child Care Homes</b>	<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 <u>Every 2 years</u>	<input checked="" type="checkbox"/> Provider <input checked="" 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 type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>Every 2 years</u>	<input checked="" type="checkbox"/> Provider <input checked="" 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 type="checkbox"/> Other. Describe 	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <u>Staff haven't lived in the State 5 years</u> 
	<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>Get this when criminal checks are done</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home 
<input checked="" type="checkbox"/> <b>In-Home Child Care Providers</b>  <input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)	<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 <u>Every 2 years</u>	<input 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	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home 

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Other. Describe <u>Every 5 years</u>	
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<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"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>this is checked against criminal history</u>	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____

d) 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 Criminal checks are free; maltreatment reg. \$10; FBI \$16.50

d-2) Who pays for background checks Provider pays for FBI and maltreatment

d-3) What types of violations would make providers ineligible for CCDF? Describe Minimum Licensing Regulation’s Publication-001 and 002 and 003 (very lengthy)

d-4) The process for providers to appeal the Lead Agency’s decision based on the background check findings. Describe It is in state law and subject to no appeal

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? Describe \_\_\_\_\_ (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 Compliance history on the web for public  
 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 type="checkbox"/> Physical exam or health statement for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Physical exam or	<input type="checkbox"/>	<input checked="" type="checkbox"/> may	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

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
health statement for children		<input checked="" type="checkbox"/> <u>Maybe indicators are present</u>	<input checked="" type="checkbox"/> <u>same</u>	<input checked="" type="checkbox"/> <u>same</u>
<input type="checkbox"/> Tuberculosis check for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<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 checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 <span style="background-color: #ADD8E6; display: inline-block; width: 50px; height: 1em; vertical-align: middle;"></span>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/> <u>More than 10 children</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> <u>zoning</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> <u>provide meal service to more than 10 children</u>	<input checked="" 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 checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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
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<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre- Service</b>	<b>On- Going</b>
<b>Child Care Centers</b>	First Aid		x
	CPR		x
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		x
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		<u>X;not breast feeding yet</u>
	Physical Activities		x
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		x
	Recognition and mandatory reporting of suspected child abuse and neglect		x
	Emergency preparedness and planning response procedures		x
	Management of common childhood illnesses, including food intolerances and allergies		x
	Transportation and child passenger safety (if applicable)		x
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		x
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		x
	Supervision of children		x
	Behavior management		x
Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; padding: 2px;"> </span>			
<b>Group Home Child Care</b>	First Aid		x
	CPR		x
	Medication Administration Policies and Practices		x
	Poison Prevention and Safety		x

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre- Service</b>	<b>On- Going</b>
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		X
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		X
	Physical Activities		X
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		X
	Recognition and mandatory reporting of suspected child abuse and neglect		X
	Emergency preparedness and planning response procedures		X
	Management of common childhood illnesses, including food intolerances and allergies		X
	Transportation and child passenger safety (if applicable)		X
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		X
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		X
	Supervision of children		X
	Behavior management		X
	Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>		
<b>Family Child Care Providers</b>	First Aid		X
	CPR		X
	Medication Administration Policies and Practices		X
	Poison Prevention and Safety		X
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		X
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		X
	Physical Activities		X

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre- Service</b>	<b>On- Going</b>
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		X
	Recognition and mandatory reporting of suspected child abuse and neglect		X
	Emergency preparedness and planning response procedures		X
	Management of common childhood illnesses, including food intolerances and allergies		XX
	Transportation and child 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		X
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		X
	Supervision of children		X
	Behavior management		X
	Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>		
<b>In-Home Child Care Providers</b>	First Aid		X
	CPR		X
	Medication Administration Policies and Practices		X
	Poison Prevention and Safety		X
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		X
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		X
	Physical Activities		X
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		X
	Recognition and mandatory reporting of suspected child abuse and neglect		X
	Emergency preparedness and planning response procedures		X

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Management of common childhood illnesses, including food intolerances and allergies		x
	Transportation and child passenger safety (if applicable)		x
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		x
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		x
	Supervision of children		x
	Behavior management		x
	Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>		

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 Relative providers that wish to participate in the CCDF funded programs must meet our regulations for registration of family child care homes.

e) Provide a web address for the State/Territory's health and safety requirements, if available:  
[http://humanservices.arkansas.gov/dccece/Pages/ChildCareLicensing.aspx#Child\\_Care\\_Licensing](http://humanservices.arkansas.gov/dccece/Pages/ChildCareLicensing.aspx#Child_Care_Licensing)

**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. All programs receiving CCDF are subject to the enforcement procedures listed 3.1.2.

a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced) All programs receiving CCDF are subject to the enforcement procedures listed 3.1.2.

b) Describe whether the Lead Agency uses background checks yes

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 \_\_\_\_\_

No

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

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 The state public pre-k program (AR Better Chance) administered by DCCECE does mandate developmental screenings for all children. DCCECE currently has a pilot project being conducted by the 6 local Child Care Resource and Referral agencies to deliver ages and stages questionnaires and ASQ-SE training to local child care providers with high voucher usage. Each child care program participating receives the ASQ kits and is informed on the process for using the developmental screens. A comprehensive evaluation is being conducted by University of Arkansas Medical Sciences/Family Medicine Department to track the outcomes, barriers and success of this project.

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 Ages and Stages Questionnaire Developmental Screening Kits are provided by the local Child Care Resource and Referral agencies under a pilot project to child care centers/family

child care homes, training for programs to use with parents as they complete the ASQ and process for referrals to physicians for services as indicated. A comprehensive evaluation is being conducted by the University of Arkansas Medical Sciences, Department of Family Medicine.

- No  
 Other. Describe

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

Yes. Describe A database has been established through the evaluation pilot project for ASQ to gather information on referrals made.

- No  
 Other. Describe

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

Yes. If Yes, provide the name of the tool(s) The following screening tools have been approved for use within the ABC Program:

- Ages and Stages Questionnaires (ASQ-3), Third Edition
- Battelle
- Brigance
- Carolina
- Denver II
- Dial
- Early Screening Inventory (ESI)

LAP-D

- 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) Lead Agency, we have approx. total of 2600 licensed programs statewide

Numbers of programs operating that are legally exempt from no licensing. Describe (optional) Those that are not required to be licensed by law are not tracked in our system (for example, those caring for 5 or less children are not required to be licensed).

Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) Lead Agency, one this year

Number of injuries in child care as defined by the State/Territory. Describe (optional) Lead Agency reviews at monitor visits or complaint investigations; only recently captured in data base, not able to report on.

Number of fatalities in child care as defined by the State/Territory. Describe (optional) Lead Agency, none this year.

Number of monitoring visits received by programs. Describe (optional) Lead Agency

Caseload of licensing staff. Describe (optional) ranges from 60 to 85

Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional) One facility was revoked last Fall due to health, safety and other licensing non-compliance issues. However, the facility had already lost their voucher children due to exclusion in the Food Program.

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? We track the number of violations in our four critical areas: Transportation, Ratios, Supervision, and Behavior Guidance. We use this report to identify trends in the violations, where to focus training for both providers and staff, and to identify areas of the state that have a higher violation ratio over time that need a redistribution of staffing needs/reassignments.

**c) Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. We track the number of violations in our four critical areas: Transportation, Ratios, Supervision, and Behavior Guidance. We use this report to identify trends

in the violations, where to focus training for both providers and staff, and to identify areas of the state that have a higher violation ratio over time that need a redistribution of staffing needs/reassignments.

**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.

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 - <u>review and revise standards in playgrounds; program; health and safety; PD and educational requirements for staff</u>
Goal 2 – <u>train all licensing staff in Strengths Based Coaching to enhance problem solving and ta</u>
Goal 3 – <u>try to standardize Key Indicators of rules and enhance consistency</u>
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 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://humanservices.arkansas.gov/dccece/dccece\\_documents/aeceframw\\_ork.pdf](http://humanservices.arkansas.gov/dccece/dccece_documents/aeceframw_ork.pdf)  
[http://humanservices.arkansas.gov/dccece/dccece\\_documents/infantframework.pdf](http://humanservices.arkansas.gov/dccece/dccece_documents/infantframework.pdf)

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



#### **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.

<b>Domains</b>	<b>Birth-to-Three ELGs</b>	<b>Three-to-Five ELGs</b>	<b>Five and Older ELGs</b>
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<b>Domains</b>	<b>Birth-to-Three ELGs</b>	<b>Three-to-Five ELGs</b>	<b>Five and Older ELGs</b>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 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.

	<b>Information Dissemination</b>	<b>Voluntary Training</b>	<b>Mandatory Training</b>
Parents in the child care subsidy system	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. List _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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

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

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



**3.2.5 Are voluntary early learning guidelines 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
- 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 The Arkansas Better Chance for School Success program. Arkansas’s pre-K initiative requires participating programs to utilize the Work Sampling System for ongoing child specific assessment as a part of its curriculum

design. The assessment is administered on a local level by classroom staff and requires periodic daily and/or weekly informal assessments of each child. A variety of methods are used to collect data including: anecdotal notes, checklists, samples of child work, and child initiated art. The system is curriculum neutral and aligns with Arkansas's established frameworks and benchmarks.

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

Yes. Describe All classroom staff are required to have initial Work Sampling training and then a refresher training every two years. Staff is provided instruction on how to interpret assessment results to identify areas in which a child needs additional support. In addition, classroom staff is provided with the support of an educational mentor to assist them throughout the program year with Work Sampling and child assessment

No

Other. Describe \_\_\_\_\_

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

Yes. Describe Parent/teacher conferences are conducted a minimum of two times per year to discuss the child's development using information gathered from the assessment.

No

Other. Describe

a) 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 Division of Child Care and Early Childhood Education partners with the Arkansas Department of Education to conduct a longitudinal study to assess the impact the Arkansas Better Chance Program has on a child's success in school. The Division just released a study by Rutgers University focused on pre-kindergarten to fourth grade students. Additionally, the Division works with a state contracted research entity to conduct an assessment annually.

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

Yes. Describe Arkansas' longitudinal study covers a specific domains identified in 3.2.2. The areas of focus are: mathematical thinking, early literacy, and receptive vocabulary.

No

Other. Describe \_\_\_\_\_

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

All children. Describe \_\_\_\_\_

Samples of children. Describe Yes, the study includes a random sample of 500 children each year who receives pre-k services and compares with a sample of 500 children who do not receive pre-k services to assess success in each of the identified areas.

Other. Describe \_\_\_\_\_

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

Yes. Describe The results are reviewed and serve to influence policy changes and quality improvement strategies.

No

Other. Describe \_\_\_\_\_

No

Other. Describe \_\_\_\_\_

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

Yes. Describe Rutgers University staff worked with the ADE's SIS data system to gather demographic information on the sample selected annually.

No

Not applicable. State does not have an SLDS.

### **3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines –**

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

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

Number/percentage of child care providers trained on ELG's for preschool aged children. Describe (optional) Tracking through the TAPP registry of all programs with staff participating in training related to ELG

Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional) Tracking through the TAPP registry of all programs with staff participating in training related to ELG

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? Establish baseline of number of web site inquires for ELG for IT and Pre-School
- Report on number of materials distributed related to ELG, kindergarten readiness (calendars) parental info on ELG, etc.
- Determine increase in number of programs using ELG as basis for curriculum

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. Working group/Early Care and Education will review and revise approved curriculum and approved screening tools using ELG as indicator for selection

### 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? Work continues with AR Department of Education to ensure that the PreK and IT ELG are consistent with the newly adopted Common Core for

K-12. Additionally with the issuance of new Head Start Performance standards (ELG), a review to update the current Association of Measures document will be conducted during the next Biennium.

### **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. Our agency has the assistance of a planning and implementation team to assist in the planning. Our agency administers the program, and uses contractors to assist with evaluations. Entities involved include Division staff, contract staff responsible for environmental review visits, PAS/BAS reviewers and program reviewers.

#### **3.3.1 Element 1 – Program Standards**

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



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

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

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

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

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

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

Not linked.

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

Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)

Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)

Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)

Other. Describe Programs that meet the CARF accreditation with the early childhood component as a part of it will have a reciprocal agreement.

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.

<b>Types and Purposes of Support</b>	<b>Information or Written Materials</b>	<b>Training</b>	<b>On-Site Consultation</b>
<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 checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>Types and Purposes of Support</b>	<b>Information or Written Materials</b>	<b>Training</b>	<b>On-Site Consultation</b>
School-age care	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe <input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 Programs can request TA, and if they are struggling, we can require the TA.
- No
- Other. Describe

### 3.3.3 Element 3 – Financial Incentives and Supports

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



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

<b>Types of Financial Incentives and Supports for Programs</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Types of Financial Incentives and Supports for Programs</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input 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 <span style="background-color: #ADD8E6;">          </span>	<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.**

<b>Types of Program Quality Assessment Tools</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS)  Describe, including frequency of assessments. <u>Once per three years for levels 2 and 3.</u>	<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 type="checkbox"/> Classroom Assessment Scoring System (CLASS)  Describe, including frequency of assessments. <span style="background-color: #ADD8E6;">          </span>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<b>Types of Program Quality Assessment Tools</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
Administration Scale (BAS) for family child care homes  Describe, including frequency of assessments. <u>Once per three years for levels 2 and 3(score not counted at level 2).</u>			
<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 <sup>st</sup> Century Learning Center programs  Describe, including frequency of assessments. <span style="background-color: #ADD8E6;">      </span>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6;">      </span>	<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 and monitoring across funding streams and sectors in order to minimize duplication?

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

### **3.3.5 – Element 5 - Outreach and Consumer Education**

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

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

- Yes. If yes, how is it used?
  - Resource and referral/consumer education services use with parents seeking care
  - Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
  - Searchable database on the web
  - Voluntarily, visibly posted in programs
  - Mandatory to post visibly in programs
  - Used in marketing and public awareness campaigns
  - Other. Describe
- No. If no, skip to 3.3.6.

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

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

c) Describe any targeted outreach for culturally and linguistically diverse families. We have some materials available in Spanish. We also work to ensure that all print, audio, and video materials are visually diverse among cultures.

### 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 All licensed and registered programs

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



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

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

**3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above, please describe These providers are given the chance to become either licensed or registered homes and either of these can participate in our QRIS.**

### **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) Licensing Agency

Number of programs that move program quality levels annually (up or down). Describe (optional) Licensing Agency

Program scores on program assessment instruments. List instruments: PAS/BAS Describe (optional) We can pull this information from our contractors

Classroom scores on program assessment instruments. List instruments: ERS/YPQA Describe (optional) We can pull this information from our contractors

Qualifications for teachers or caregivers within each program. Describe (optional)

---

Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) Licensing Agency

Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory Licensing Agency

Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional) Licensing Agency

Other. Describe \_\_\_\_\_

None

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures on program quality? We have criteria at each level that we can measure if programs are meeting those or not.

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. We have a contractor that conducts all of our evaluation and data collection.

### **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?

We intend to increase growth in our QRIS by 10% each year. We are also looking a adding tiered reimbursement for those programs participating in QRIS, increasing provider and consumer education, and building our mentoring/coaching programs for our providers. We will continue on working to develop levels 4-5.

### **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. TAPP (Traveling Arkansas Professional Pathways Steering group and working committees (Higher Education, Registry Review, Core Competencies/Spectrum working groups to support the Steering Committee) review, advise the Division on all issues related to Early Childhood Professional Development and the TAPP system)

**Arkansas Children's Program Administrator Certificate/Credential – A 60-hour course with topics**

that include: effective organization management, supervision, staffing, legal/financial management, family and community relations and program development issues. The Credential is a more

Individualized program with modules covering topics such as: managing change, mentoring, leadership, performance management, team building, and leadership in diversity, managing conflict, financial management, and child-centered curriculum.

**Director Orientation** – A four day session to prepare new directors of child care programs, also

appropriate for seasoned directors as a refresher course. Sessions deal with health and safety in facilities, management, administration, quality programming and communication with staff, children and parents. Training is required for all new child care directors.

**PAS/BAS Trainings**- Basics training for the PAS or BAS assessment available online or in person. Digging into PAS workshops uses a community of learners to assist program administrators in understanding the Program Administrator Scale and preparing for assessments. BAS basics are presented in workshops or online. PAS program portfolio lab assist administrators with developing systems and documentation to organize their portfolios for the PAS assessment.

**Physical Activity and Nutrition Workshops**- Trainings emphasize the importance of physical activity and good nutrition for children in early childhood settings. Suggestion and strategies for nutrition and physical activity education opportunities for children and families are included.

**Fiscal Management**- This training teaches basic financial principles and organization to administrators of early childhood programs. Trainings are available in a traditional or online format.

**Framework Basics Workshops for Infants, Toddlers, and Preschoolers**- These workshops are available both traditional and online. These courses are designed to introduce the Frameworks (Early Learning Goals) to practitioners to support their use in daily lesson plans.

**Wrapping up Quality: Infant and Toddler Framework**– This 12-hour training course introduces the Infant and Toddler Framework. Each of the three 4-hour sessions address: Purposes of the Framework and Elements of Quality Care, Development Strands, the Benchmarks and Assessment for Infant/Toddler age children and supporting early language and literacy development.

**Technical Assistance Visits**- Technical Assistance Visits provided to support best practices in program administration, and will include the development of a program plan to work toward Better Beginnings level.

**Quality First Coaching Visits to early childhood programs working towards obtaining or maintaining level one of Better Beginnings Level 1**- Coaches will work with the program's administrator to provide support, build skills specific to leading and managing an early education program, and build the administrators capacity to maintain a higher level of quality services to children and families.

**Curriculum Implementation**- Curriculum Forums are offered around the state to assist administrators and teachers select a curriculum that is appropriate for their program. Thinking about Curriculum workshops are offered around the state. This

advanced level training assist teachers and administrators in evaluating their curriculum and reviewing the elements of high quality curriculum while exploring strategies for more effective curriculum planning.

**Conscious Discipline Trainings and coaching-** Basic, intermediate and advanced Conscious Discipline trainings will be offered. Coaching will also be offered to strengthen implementation of concepts and practices learned in trainings.

**Ages & Stages, Ages & Stages – Training Providers to work with parents in order to discover any developmental delays a child may have.**

**NAPSACC– Training to assist providers in improving nutrition and physical activity environments**

Including information on preventing obesity in preschool children by use of a child care nutrition and

physical activity self-assessment, goal setting, and technical support from local health professionals...

**AR Fit Kids-** Training, support and educational materials to promote physical activity and fitness

**Pre Licensing training for license applications**

**Business Management Training**

**Elements of Successful Grant Writing–** These trainings will be offered to early care professionals in the following 3 topics: Basics of Grant Writing, Intermediate Grant Preparation, and Advanced Grant Preparation.

**Better Beginnings-** Program monitoring and review for compliance with BB standards, training

and technical assistance in Better Beginnings guidelines, submission of application, review of

ERS and PAS, and consultation on curriculum issues will be offered. This will act to support and advance programs through the levels of Better Beginnings.

**Essentials of Mentoring and Coaching-** Modules introduce skills and strategies for mentors and coaches. In addition, Instructional Coaching online which is designed for administrators will be offered. Seminar for Coaching will include Strengths Based Coaching and Powerful Coaching trainings based on *Powerful Interactions* and *The Coach's Guide*.

**YPQA–** This training fundamentally prepares participants to conduct program self-assessment using

YPQA.

**Youth Development Institute:** These programs consist of a series of on-line training opportunities to support school age and youth development practitioners'.

**Youth Program Quality Intervention Continuous Improvement**

**Initiative-** An introduction to the YPQI model will be taught face-to-face or by webinar.

**Out of School Network –** Technical Assistance to school-age programs that are involved with QRIS by connecting programs with resources based on their needs, helping them navigate thru the QRIS

requirements and helping them to connect with community support.

**Family Child Care Business Training–** One-on-one business training for new family child care home providers, learning a system of basic record keeping for income tax, types of tax deductions they can claim, how to market their business,

insurance issues. There are two 2-hour home visits, usually 4-5 weeks apart. The training is to strengthen business management skills of providers.

**Emergency Preparedness workshops and planning for child care providers**

**Child Care Specialist Certificate**– This training provides 60-hours for the specific professional development needs of differing age groups: infant/toddler, preschool, school-age, or family child care.

**Coaching Project** – Intensive coaching to programs serving high-risk children in order to consistently maintain minimum licensing requirements and to move toward participation in the Better Beginnings Quality Improvement System.

**Financial Planning** – To assist administrators of child care facilities in establishing and maintaining sound fiscal management practices

**Index: Investigate, Discover and Explore: Math/Science for young children** 30 hour course on framework and benchmarks for math and science strategies in working with young children.

**Mentor Endorsement**– a 45-hour course prepares mentors to work with early care professionals in a variety of settings. There are 3 options for completion: 32 hours online with 14 contact hours; series of monthly 6-hour seminars; or completion of a series of Saturday and evening sessions.

**Pre-Employment Training**– a 30-hour program designed to prepare new employees who desire to enter the field of early care and education. Training is available online; on site; or a combination of online and on site. Topics include: health, safety and nutrition; child development, learning environment, language and literacy; curriculum development, and professionalism.

**Continuum for Effective Teaching - Online-** Early Care and Education Direct Courses for practitioners who work with children ages birth to age five providing basic-level knowledge of early and education practices. Intentional Teaching Direct Courses focus on early brain development and effective teaching practices. Basics of Assessment course will be offered to teach and strengthen the observe-document-plan cycle of curriculum-based assessment.

**Arkansas Children's Week-** Workshops will be offered and include practical, hands-on ideas for using the Arkansas Children's Week Resource Book and Toolkit to assist adults who work with children in early childhood and youth programs as they highlight the children while celebrating Arkansas Children's Week in Arkansas.

**Baby Basics-** This workshop will be offered to assist new providers working with infant toddlers on basic health and safety and best practices while working in an infant or toddler classroom.

**Project Play and Reach** - Will provide technical assistance and planning as it relates to classroom management and an appropriate social/emotional classroom environment.

**University of Arkansas for Medical Science/Partners in Health Sciences Healthy Hearts** – 3 hour workshop on healthy heart, health science and science literacy curriculum to

increase the trainee's knowledge of the cardiopulmonary system and one of its major diseases, atherosclerosis. Each trainee will receive a Resource Kit that includes a syllabus, plastic heart model, plastic model of an artery showing development of atherosclerosis, a stethoscope. The training is available statewide at no charge.

**Healthy Lungs** – A 3-hour workshop designed to increase the trainee's knowledge of the pulmonary components of the cardiopulmonary system and its major diseases, lung cancer and emphysema. Each trainee will receive a Resource Kit that includes an illustrated syllabus, plastic lung model, and lung demonstration apparatus, sponge lung smoking kit and w hours of continuing education. The training is available state wide at no cost.

**Welcome the Children**– A Two 7-hour training modules: Cultural Diversity and Second Language Development Assessment in Early Childhood. Condensed versions of 3 hours each are also available for the two trainings, plus several other specialized trainings including: Exploring Differences in Families; Anti-Bias Every day; Cross Cultural Perspectives; Enhancing Language Development for English Language Learners; Building Skill Sets of Bilingual Personnel; Working with Bilingual Interpreters; and Including Children with Disabilities in Early Childhood Programs. Consultants are available to visit facilities and provide technical assistance.

**TIPS**– Training providers to implement a parenting education program. Parents receive a TIPS storage box to store cards with Tips on parenting as they receive them from providers. Early Childhood Services Design and Development of Curriculum materials will be available online.

**Al's Caring Pals**– Training to develop social skills and healthy decision-making in children three to eight years old and strengthens the abilities of caregivers to support children's positive development, build meaningful relationships with children and create a nurturing environment.

**Al's Pals**– A two-day training for providers working with children, teaching them to make healthy choices.

**Strengthening Families Trainings**

**Managing Infectious Disease Trainings**

**Medication Administration Trainings**

**Project SPAECS**- These trainings will focus on spotting autism in early childhood settings.

**The Best Care** – 10-hour training designed to bring early childhood professionals up-to-date

information topics and methods. Training focuses on four main subject areas: resource management,

nutrition and food safety, health and safety, and child development.

**The Best Care Connected**– web-based training in topics including: behavior management, parent

involvement, music and movement, cooking with young children, health and safety issues, and inclusion.

**Guiding Children Successfully**– Providing 28 hours of self-guided training on Guiding Children Successfully, The Parenting Journey and See the World through My Eyes resources. Materials/Resources are available through each Cooperative Extension office.

**Arkansas 4H After School Program**– A training for caregivers in after school setting those targets rural areas and those that provide care in summer programs.

Topics include: youth development, hands-on learning techniques, life skills development, discipline, health, nutrition, & program management.

**Child Care Orientation Training (CCOT)** – A 10-hour orientation course for those new to the field of

early child care. Basic orientation training for child care workers and covers: Early Care and Education as a Professional, Best Practice for the Developing Child, Children’s Health, Children’s Safety, and Guiding Children.

**Family Child Care Provider Training (FCCP)** – An 8-hour mandated course for licensed family child care providers within first 6 months of operation. Topics include: The Profession & Regulations, Business

Management, Organizing the Home, & Guiding Children through the Day.

**Pre-K Early Literacy Learning in Arkansas (Pre-K Ella)** – This 30-hour professional development course, assists early childhood teachers in planning programs that encourage language and literacy development.

**Index: Investigate, Discover and Explore: Math/Science for young children** This 30 hour course on frameworks and benchmarks for math and science strategies in working with young children

**Introduction to Child Care**– Three-hour training course designed to inform potential caregivers about options and regulations in opening a child care center, a registered/ licensed family child care home or working in a childcare center, to acquaint all with options in early care profession, how to open a program & the regulations/requirements necessary to get started.

**Pre-K Social Emotional Learning for Young Children**– This 45 hour course addressing strategies and activities to ensure healthy social emotional development in programs for children ages 3-5 years.

### **3.4.1 Workforce Element 1 - Core Knowledge and Competencies**

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

(including instructional practices) and other quality improvement efforts.



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

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

If yes, insert web addresses, where possible: AR Key Content Areas and Core Competencies for early Care and Education Professionals

<http://www.arkansas.gov/childcare/newsandevents/Arkansas%20Key%20Content%20Areas%20and%20Core%20Competencies%20Final%20DRAFT%20Version.pdf>

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

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

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

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

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, 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 \_\_\_\_\_
- Administrators in centers (including educational coordinators, directors). Describe \_\_\_\_\_
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe under development
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe under development
- Other. Describe
- None

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

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

### 3.4.2 Workforce Element 2 - Career Pathways

**Definition** – For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the

workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.



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

- Yes. Describe TAPP MAP
- No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible: [http://professionalregistry.astate.edu/chsdownloads/Promulgated\\_Document.pdf](http://professionalregistry.astate.edu/chsdownloads/Promulgated_Document.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 \_\_\_\_\_
- Providers working directly with children in family child care homes, including aides and assistants. Describe \_\_\_\_\_
- Administrators in centers (including educational coordinators, directors). Describe \_\_\_\_\_
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe \_\_\_\_\_
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe
- Other. Describe
- None

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

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

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

- Voluntary guide and planning resource
- Required placement for all practitioners and providers working in

programs that are licensed or regulated in the State/Territory to serve children birth to 13

Required placement for all practitioners working in programs that receive public funds to serve children birth to 13

Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)

Required placement for participation in scholarship and/or other incentive and support programs

Required placement for participation in the QRIS or other quality improvement system

Other. Describe

None

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

Yes. If yes, describe Originals are obtained upon application to the registry, verification of education, continuing education and professional development and training is verified prior to placement with the registry which places a participant within a specified location within the TAPP Map

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.)?

Yes. If yes, describe Act 187 of 2009 created the Birth-PreK Teaching Credential and Endorsement. The rules for the credential were made effective 1/1/11. The credential requires a range of 18-27 college hours in coursework that covers the required competencies.

No

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

Yes. If yes, describe

No

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

Standards set by the institution

Standards set by the State/Territory higher education board

Standards set by program accreditors

Standards set by State/Territory departments of education

Standards set by national teacher preparation accrediting agencies

Other. Describe An assessment with a required cut score will be taken by each candidate.

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 Training is registered in the TAPP system and allows for tracking for practitioners. Training in the TAPP registry is also "approved training" for AR Department of Education requirements registry is also "approved training" for AR Department of Education requirements

Trainer approval process. Describe

Training and/or technical assistance evaluations. Describe

Other. Describe

None

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

Yes. If yes, describe On a limited basis between community college and universities based on individual agreements locally.

No

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

Yes. If yes, describe On a limited basis specific Professional Development Modules (literacy, math/science, framework and social-emotional learning) consisting of 30-40 hours each are infused into college course work and completion of the course work ensure the student also receives TAPP registry credit for completion of the PD module.

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 Visiting, trainers, evaluators, technical assistance providers, early care professionals in university/college settings, school age and youth development programs.

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 The TAPP (Traveling Arkansas Professional Pathways) is an on-line repository of training opportunities and provides on-line registration for these trainings.

No

Insert web addresses, where possible:

<http://professionalregistry.astate.edu/registry.asp>

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

Scholarships. Describe Scholarship assistance is available for major conferences such as the AR Child Care Providers Association, the AR Early Childhood Association and the WEE (Weekday Early Ed) Workshop

Free training and education. Describe Professional Development Contracts are in place with over 20 organizations, institutions to deliver training opportunities to support early care and education.

Reimbursement for training and education expenses. Describe [redacted]

Grants. Describe [redacted]

Loans. Describe [redacted]

Loan forgiveness programs. Describe [redacted]

Substitute pools. Describe [redacted]

Release time. Describe [redacted]

Other. Describe [redacted]

None

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

Yes. If yes, describe [redacted]

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

**Technical Assistance Visits-** Technical Assistance Visits provided to support best practices in program administration, and will include the development of a program plan to work toward Better Beginnings level.

**Quality First Coaching Visits to early childhood programs working towards obtaining or maintaining level one of Better Beginnings Level 1-** Coaches will work with the program's administrator to provide support, build skills specific to leading and managing an early education program, and build the administrators capacity to maintain a higher level of quality services to children and families.

**Conscious Discipline Trainings and coaching-** Basic, intermediate and advanced Conscious Discipline trainings will be offered. Coaching will also be offered to strengthen implementation of concepts and practices learned in trainings.

**Ages & Stages, Ages & Stages – Training Providers to work with parents in order to discover any developmental delays a child may have.**

**NAPSACC– Training to assist providers in improving nutrition and physical activity environments**

**Including information on preventing obesity in preschool children by use of a child care nutrition and**

**physical activity self-assessment, goal setting, and technical support from local health professionals...**

**AR Fit Kids-** Training, support and educational materials to promote physical activity and fitness

**Better Beginnings-** Program monitoring and review for compliance with BB standards, training and technical assistance in Better Beginnings guidelines, submission of application, review of

ERS and PAS, and consultation on curriculum issues will be offered. This will act to support and advance programs through the levels of Better Beginnings.

**Essentials of Mentoring and Coaching-** Modules introduce skills and strategies for mentors and coaches. In addition, Instructional Coaching online which is designed for administrators will be offered. Seminar for Coaching will include Strengths Based Coaching and Powerful Coaching trainings based on *Powerful Interactions* and *The Coach's Guide*.

### **Youth Program Quality Intervention Continuous Improvement**

**Initiative-** An introduction to the YPQI model will be taught face-to-face or by webinar.

**Out of School Network –** Technical Assistance to school-age programs that are involved with QRIS by connecting programs with resources based on their needs, helping them navigate thru the QRIS requirements and helping them to connect with community support.

**Family Child Care Business Training–** One-on-one business training for new family child care home providers, learning a system of basic record keeping for income tax, types of tax deductions they can claim, how to market their business, insurance issues. There are two 2-hour home visits, usually 4-5 weeks apart. The training is to strengthen business management skills of providers.

**Coaching Project –** Intensive coaching to programs serving high-risk children in order to consistently maintain minimum licensing requirements and to move toward participation in the Better Beginnings Quality Improvement System.

**Project Play and Reach -** Will provide technical assistance and planning as it relates to classroom management and an appropriate social/emotional classroom environment.

**Welcome the Children–** A Two 7-hour training modules: Cultural Diversity and Second Language

Development Assessment in Early Childhood. Condensed versions of 3 hours each are also available

for the two trainings, plus several other specialized trainings including: Exploring Differences in Families; Anti-Bias Every day; Cross Cultural Perspectives; Enhancing Language Development for English Language Learners; Building Skill Sets of Bilingual Personnel; Working with Bilingual Interpreters; and Including Children with Disabilities in Early Childhood Programs. Consultants are available to visit facilities and provide technical assistance.

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 Salary scale for teachers and aides in public pre-K classes  
 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 Option available to programs certified under the Better Beginnings program through the Better Beginnings Incentive Grant  
 No



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

- Yes. If yes, describe                       
 No

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

- Yes. If yes, describe                       
 No

### 3.4.6 Data & Performance Measures on the Child Care Workforce –

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

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

- Data on the size of the child care workforce. Describe (optional) Practitioners in the TAPP registry, ABC providers, providers enrolled in Better Beginnings
- Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) Practitioners in the TAPP registry, ABC providers, providers enrolled in Better Beginnings
- Records of individual teachers or caregivers and their qualifications. Describe (optional) Practitioners in the TAPP registry, ABC providers, providers enrolled in Better Beginnings
- 

Retention rates. Describe (optional) ) programs enrolled in Better Beginnings

- Records of individual professional development specialists and their qualifications. Describe (optional) Trainers/Consultants verified in TAPP Trainer registry
- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) ) Trackable for ABC and Better Beginnings programs
- Number of scholarships awarded . Describe (optional) Programs in Better Beginnings
- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) Programs in Better Beginnings
- Number of credentials and degrees conferred annually. Describe (optional) ) Number of completed credentials (Infant/Toddler Specialist, Preschool Credential, School Age Credential, Early Childhood Mental Health Consultation Credential)
- Data on T/TA completion or attrition rates. Describe (optional) Available in TAPP registry for completion rates
- Data on degree completion or attrition rates. Describe (optional) \_\_\_\_\_
- Other. Describe \_\_\_\_\_
- None

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

**Definition** – For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of

the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

Yes.

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe voluntary
- Providers working directly with children in family child care homes, including aides and assistants. Describe voluntary
- Administrators in centers (including educational coordinators, directors). Describe voluntary
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe voluntary
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe voluntary
- 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? Tracking of number of participants in Training and Professional Development activities and percentage of completers; changes in TAPP registry reflecting number of practitioners at increasing levels; and tracking of trainers at increasing levels. Gathering specific information on benefits and salary range/education for Better Beginnings programs for annual comparison.

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.)

<u>Goal 1 - Core Knowledge: Finalization of the Core Competencies for preschool teachers, school age caregivers and development of competencies for trainers/consultants and TA providers.</u>
<u>Goal 2 - Career Lattice: Development of more extensive definitions of the TAPP Map</u>
<u>Goal 3 - Professional Development Capacity: Establish training modules for trainers of early care providers.</u>
<u>Goal 4 - Access to Professional Development: Mapping of all Professional Development opportunities to ensure access to broad range of providers.</u>
<u>Goal 5 - Develop plan for all early care providers to enroll in TAPP.</u>

## 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.

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 meeting 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

- 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.

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

**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. \_\_\_\_\_**

**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

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: \_\_\_\_\_

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
<b>Child Care Centers</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
<b>Group Child Care Homes</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

	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
<b>Family Child Care Homes</b>	<u>          </u>	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>
<b>In-Home Providers</b>	<u>          </u>	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>

**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.

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

**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.

<b>Provider Categories</b>	<b>Birth to Three ELG’s</b>	<b>Three-to-Five ELG’s</b>	<b>Five and Older ELG’s</b>	<b>N/A</b>	<b>Describe</b>
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"/>	_____

<b>Provider Categories</b>	<b>Birth to Three ELG's</b>	<b>Three-to-Five ELG's</b>	<b>Five and Older ELG's</b>	<b>N/A</b>	<b>Describe</b>
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.

<b>Provider Categories</b>	<b>Birth to Three ELG's</b>	<b>Three-to-Five ELG's</b>	<b>Five and Older ELG's</b>	<b>N/A</b>	<b>Describe</b>
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 family child care 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 legally exempt programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-	_____ _____	_____ _____	_____ _____	<input type="checkbox"/>	_____

<b>Provider Categories</b>	<b>Birth to Three ELG's</b>	<b>Three-to-Five ELG's</b>	<b>Five and Older ELG's</b>	<b>N/A</b>	<b>Describe</b>
age children)					

**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.

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

**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:

- 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: \_\_\_\_\_
- 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 \_\_\_\_\_

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	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>
Family Child Care Homes	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>
License-Exempt Providers	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>

**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	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>
Family Child Care Homes	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>
License-Exempt Providers	<u>          </u>	<u>          </u>	<input type="checkbox"/>	<u>          </u>

**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? \_\_\_\_\_
- 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:
  
- 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.

	<b>Child Care Center Teachers</b>	<b>Family Child Care Providers</b>	<b>N/A</b>	<b>Describe</b>
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.

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.

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

<p style="text-align: center;"><b>APPENDIX 2</b> <b>CCDF PROGRAM ASSURANCES AND CERTIFICATIONS</b></p>
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The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

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

- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

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

- 1. Assurance of compliance with Title VI of the Civil Rights Act of 1964**
- 2. Certification regarding debarment**
- 3. Definitions for use with certification of debarment**
- 4. HHS certification regarding drug-free workplace requirements**
- 5. Certification of Compliance with the Pro-Children Act of 1994**
- 6. Certification regarding lobbying**

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.