



Child Care and Development Fund (CCDF) Plan

For

State/Territory: **HAWAII**

FFY 2014-2015

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

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

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

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

Form ACF-118 Approved OMB Number 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: [State of Hawaii Department of Human Services](#)

Address of Lead Agency: [1390 Miller Street, #209, Honolulu, HI96813](#)

Name and Title of the Lead Agency's Chief Executive Officer:

[Patricia McManaman, Director](#)

Phone Number: [\(808\) 586-4997](#)

Fax Number: [\(808\) 586-4890](#)

E-Mail Address: pmcmanaman@dhs.hawaii.gov

Web Address for Lead Agency (if any): <http://humanservices.hawaii.gov/>

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: [Pankaj Bhanot](#)

Title of CCDF Administrator: [Benefit, Employment, and Support Services Division Administrator](#)

Address of CCDF Administrator: [820 Mililani Street, #606, Honolulu, HI96813](#)
Phone Number: [\(808\)586-5230](#)
Fax Number: [\(808\)586-5229](#)
E-Mail Address: pbhanot@dhs.hawaii.gov
Phone Number for CCDF program information (for the public) (if any): [\(808\)586-5735](#)
Web Address for CCDF program (for the public) (if any): <http://humanservices.hawaii.gov/bessd/child-care-program/>
Web address for CCDF program policy manual: (if any): [N/A](#)
Web address for CCDF program administrative rules: (if any): http://archive.jan2013.hawaii.gov/dhs/main/har/har_current/DOC216.pdf

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

Name of CCDF Co-Administrator: [Dana Balansag](#)
Title of CCDF Co-Administrator: [Child Care Program Administrator](#)
Address of CCDF Co-Administrator: [820 Mililani Street, #606, Honolulu, HI 96813](#)
Phone Number: [\(808\)586-7187](#)
Fax Number: [\(808\)586-5744](#)
E-Mail Address: dbalansag@dhs.hawaii.gov
Description of the role of the Co-Administrator: [The Child Care Program Administrator drafts, submits, and implements the CCDF State Plan. Also, the Child Care Program Administrator has oversight of the child care subsidy, child care licensing, and child care quality improvement 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 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): [\\$19,648,103.00](#)
Federal TANF Transfer to CCDF: [\\$15,000,000.00](#)
Direct Federal TANF Spending on Child Care: [\\$0.00](#)
State CCDF Maintenance-of-Effort Funds: [\\$4,971,630.00](#)
State Matching Funds: [\\$6,513,871.00](#)

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: General Revenue Funds

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

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

If checked, are those funds:

donated directly to the State?

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

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

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

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

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

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

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

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

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

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

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

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

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: \$ _____
 Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____

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

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
Infant/Toddler Targeted Funds <u>\$511,791.00</u>	Infant/Toddler care on-site at Hawaii DOE schools for teen parents enrolled in parenting program	Providing free, quality child care to participating teens enrolled in the school's parenting program.	Enable teen parents to complete their high school education and graduate.

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
School-Age/Child Care Resource and Referral Targeted Funds <u>\$300,000.00</u>	<u>Child Care Resource and Referral services</u>	Provide public with information about availability of child care resources in the local communities and provide consumer education about choosing quality child care.	Enable families to find and choose quality child care that meets the family and child's needs as well as access needed resources that are available in the communities.
Quality Expansion Targeted Funds —			

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p><u>Quality Funds (not including Targeted Funds)</u></p> <p><u>\$3,762,738.00</u></p>	<p>QRIS pilot, and other contracts which provide quality supports, resource trainings and materials, and technical assistance to child care providers statewide</p>	<p>Provide licensed child care programs with supports and resources necessary to ensure high quality care, including scholarships for ECE practitioners, ensuring availability of community based trainings, technical assistance resources for nutrition and health to child care programs, and outreach, ensuring health and safety by conducting background checks, and resource materials for license-exempt kith and kin providers.</p>	<p>Provide independent evaluations, TA supports and financial incentives to promote programs on the path of continuous quality improvement who voluntarily participate in the pilot QRIS initiative, enable ECE practitioners to pursue continued professional development in order to be able to provide quality care to children, ensuring the health and safety of children in licensed and license-exempt care settings, and supporting CCDF families and kith and kin caregivers in understanding child development and providing resource activities that can be done with their children.</p>

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 internal controls utilized are monthly data reports from the electronic payment system, monthly reviews of expenditures, and reviews of contractor reports for service activities.](#)

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

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

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor

does it include an individual who is a beneficiary of such a program. [OMB Circular A-133](#) Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor**.

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. [For the sub-recipient contracted to implement the subsidy program, monitoring activities include review of monthly data reports, quarterly random case reviews to determine issuance of correct payments and to determine the need for retraining or policy clarifications and a penalty provision in the contract for lack of satisfactory performance as defined by the contract.](#)

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

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

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid)	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input type="checkbox"/>	<input type="checkbox"/>
Audit provider records	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input 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 [Monthly system reports reviewed will include data that](#)

shows the number of untimely applications processed and number of frequent changes to bank accounts. As part of the contracted service, the service provider is required to provide monthly random case reviews, supervisory staff reviews, and identify training needs. The contract monitor for the service is required to conduct quarterly random case reviews, review summaries of staff reviews, and determine whether training needs are met.

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

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount \$1.00	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe In all cases, if repayment plan not followed, the department works with the state tax office to conduct a tax intercept. For IPV and/or fraud, the department works with the state attorney general's office on possible prosecution.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit Unit comprised of 9 investigators to review, investigate and pursue SNAP, TANF, and CCDF intentional improper violations and fraud.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Strategy	UPV	IPV and/or Fraud	Administrative Error
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 [Current administrative rules require the department to collect any type of overpayment. Collection of overpayments are accomplished through an agreement with the family for either a repayment plan or reduction of future child care subsidies. If the balance remains unpaid, the department is allowed to recover the funds through a tax intercept.](#)

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

- None
- Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified _____
- Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified _____
- Prosecute criminally
- Other. Describe. [Criminal prosecution may be an option dependent on whether it meets the state attorney general's thresholds for prosecution and there is adequate evidence to prove that the fraud was intentional.](#)

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

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

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
Random monthly case reviews; automation of activity hour calculations; re-training on policies; and re-evaluation of policies.		Electronic system was modified to allow for automatic calculations of activity hours; random case reviews currently implemented; policies of the First-to-Work program and the child care subsidy program undergoing analysis; re-training for staff completed through written clarifications.	Feb. 2012

1.4. Consultation in the Development of the CCDF Plan

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

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

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

	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The department’s Child Care Advisory Committee includes representatives from each of the counties. These representatives include members of the community, child care providers, and county government representatives. Relevant parts of the state’s plan for implementation of the child care program was discussed with different county representatives.</p>
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.		
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>Partnerships are established with representatives from the State Department of Education (DOE). Discussions have been conducted with DOE representatives about current and future funding for joint projects.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>The department is one of the stakeholders identified that participates in a grant that provides technical assistance on expanding opportunities for children with special needs. Partnerships are established with both the DOE and the State Department of Health (DOH) to discuss how the department can support children with special needs and their families through amending policies or specialized funding.</p>
<input type="checkbox"/>	<p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	
<input checked="" type="checkbox"/>	<p>State/Territory agency with the Head Start Collaboration grant</p>	<p>The State Head Start Collaboration Project Director was formerly under the</p>

	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
		office that administers the CCDF, but has moved to the Executive Office on Early Learning (EOEL) with the Governor's Office, and participates in many of the early childhood committees with the department. Feedback is received from the Project Director about activities stated within the plan.
<input checked="" type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	The department is a member of the state's Early Learning Advisory Board (ELAB). The ELAB is responsible for advising the State's Executive Office on Early Learning (EOEL) in the development of the early learning system within our state, thus the department has opportunities to provide feedback to EOEL and ELAB as to how the child care program contributes and supports the overall system.
<input type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
<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)	Partnerships with the DOH include support for programs that impact children's health and well-being. Discussions with DOH representatives are held to review the department's current and future support for health programs.
<input type="checkbox"/>	State/Territory agency responsible for child welfare	
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	
<input checked="" type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	The TANF program resides in the same division as the child care program office. As such, there is continual coordination of policies that affect low-income families.
<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	The tribal grantee in our state is a member of the department's Child Care Advisory Committee. This relationship has led to discussions about the use of funding to prevent duplication of resources and a maximization of available funding.

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input 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	
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Providers are an integral part of the child care program. Providers, both individually and as part of a larger organized group, are members of the department's Child Care Advisory Committee. Input from this group is continually received to determine improvements to the subsidy program and quality improvement activities of child care in Hawaii.
<input type="checkbox"/>	Parent groups or organizations	
<input type="checkbox"/>	Local community organizations and institutions(child care resource and 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 31, 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? Newspaper, email, and internet posting.
- c) Date(s) of public hearing(s): June 21, 2013**Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).
- d) Hearing site(s): Benefit, Employment & Support Services Division/Child Care Program Office (820 Mililani Street, #606, Honolulu, HI), Central Hilo Office (1990 Kinoole Street, #109), North Kona II Office (75-5722 Hanama Place, #1105), Central Maui Unit (270 Waiehu Beach Road, #107), and South Unit (4473 Pahee Street, Suite G).
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? Available via the internet, and hard copies available upon request.
- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? Comments made by the public relative to service deliveries will be reviewed and considered. Minor amendments may be immediately completed, however other substantive amendments to the plan may need further review, as there considerations may be needed for available funding, changes to administrative rules, and discussions with department's child care advisory committee.

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 public was additionally informed of the public hearing and the plan draft through community partners via email messages. Also, the public hearing was held on Oahu, with other islands able to participate through video or phone conferencing technology.](#)

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>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe results expected from the coordination</p> <p>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>The department has continuous discussions with county coordinators to exchange information about resources available and each county's needs.</p>	<p>These discussions will lead to maximization of resources when the county is supplying similar resources. Also, it will lead to improved and more effective delivery of services as each county has unique needs.</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education;</p>	<p>The department coordinates with the DOE on school readiness efforts.</p> <p>Select school complexes are partnering with private preschools licensed by the department in a demonstration model to enhance transitions to kindergarten. DOE is also working to develop and provide voluntary EC trainings to DOE teachers who teach K-3.</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>The expectation is that through coordinated efforts, Hawaii can increase the number of children who are prepared with the skills necessary for school.</p>
<input checked="" type="checkbox"/> <p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>The department is a member of several different groups that are organized to improve school readiness of children by improving the quality of care provided to children or by increasing the access to high quality early learning opportunities.</p>	<p>This coordination strives to improve the school readiness of young children, increase parent awareness of high quality settings, and increased access to high quality early learning opportunities.</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Coordination with the DOH is targeted towards improving children's health, safety, and overall well-being.</p> <p>The department will collaborate with the DOH and the EOEL and other EC stakeholders in the development of early learning wellness guidelines for licensed child care programs and providers.</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>The expectation is that children will be cared for in settings that support their health, safety, and well-being and meets their developmental needs.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>Coordination with work programs is to provide participants with information on child care subsidies available, parent education about choosing quality child care providers, and resource and referrals for available child care providers in their area.</p>	<p>The goal is that families will be supported with their child care needs and choose supervised settings that meet minimum health and safety standards.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies(required)</p>	<p>The coordination with TANF administrators seeks to support families who are required to participate in work activities. Families are provided with information on child care subsidies available, parent education about choosing quality child care providers, and resource and referrals</p>	<p>The goals are to support parents' employment activities, support parents with their child care needs, and that parents be better informed about all of the child care options that are available.</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
	for available child care providers in their area.	
<input checked="" type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	Discussions are held with the tribal organization that receives CCDF tribal funds to understand the programs offered.	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. The goal of these discussions is to ensure maximization of resources available to families statewide.
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery		
<input type="checkbox"/> State/Territory agency with the Head Start Collaboration grant		
<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)	The department contracts the University of Hawaii (UH) to provide nutrition consultation and menu reviews for licensed providers. This contractor has an established relationship with the CACFP to ensure alignment of services with CACFP policies and to recruit new providers to participate in the program.	The expectation is that there will be an increase in the number of providers who participate in the CACFP to take advantage of the nutrition education and financial incentives of cash reimbursements of the CACFP program.
<input checked="" 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	The department will be discussing with the DOH on how to support their program for infants and toddlers. The department also coordinates with the DOE who manages the	Coordination with the DOH may result in more families supported with their child care needs. Coordination with the DOE may result in an increase in the number of settings that are inclusive for children with special needs.

	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination 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.
	State/Territory agencies that support children with special needs	Section 619 program to allow for inclusion in licensed settings.	
<input checked="" type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The department will be discussing with the DOH which is responsible for the home visitation program about ways that the department's services can support DOH's efforts.	Coordination with the home visiting program may result in maximizing the training resources available to providers through the department.
<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	The department invites foster parents to participate in trainings that are available to child care providers.	Allowing foster parents to participate in the same training resources as child care providers should maximize their knowledge about child development and best practices in working with children ages birth to five years.
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives		
<input 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		
<input type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)		
<input type="checkbox"/>	Provider groups, associations or labor organizations		
<input type="checkbox"/>	Parent groups or organizations		
<input type="checkbox"/>	Other		

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

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

- Yes. If yes,
- a) Provide the name of the entity responsible for the coordination plan(s): [Hawaii Executive Office on Early Learning](#)
 - b) Describe the age groups addressed by the plan(s): [prenatal through 8 years of age](#)
 - 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: <http://earlylearning.hawaii.gov/wp-content/uploads/2013/02/early-childhood-action-strategy.pdf>
- 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 [Hawaii Executive Office on Early Learning \(EOEL\) is a Cabinet-level agency operating out of the Hawaii Governor's Office which is tasked with coordinating a comprehensive and integrated early learning system in Hawaii for children prenatal through eight years of age. The department is a member of the Early Learning Advisory Board \(ELAB\) which was created to advise and provide recommendations to the Executive Office, promote collaboration across public and private agencies and stakeholders serving young children, and to be an independent voice for children's healthy, safety, development and learning. The department also collaborates with the EOEL in the implementation of the State's early childhood coordination plan particularly in the focus area of high quality child care and early education.](#)
- 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 [For the department's QRIS pilot program, the private sector has donated funds toward the quality grant awards to center-based participating programs. This partnership has allowed the department to maximize funding available, support and provide needed financial incentives to the participating programs in the pilot project, and increased recognition of the need for continued and expansion of support from the private sector for early learning activities and improvements within the state. In considering statewide implementation of the QRIS program, the department will continue to seek support as well as financial grants from the private sector for quality improvement initiatives throughout the state.](#)
- 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. [The state is currently working with the Child Care State Systems Specialist in the revision and refinement of the department's draft plan for emergency readiness to ensure alignment with OCC requirements. The state is also planning to involve key stakeholders from public and private agencies and child care providers to ensure that the department's plan for emergency preparedness, continuity and recovery and aligned with state civil defense procedures as well as coordinating with other agencies.](#)
- Developed.** A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available: _____

Other. Describe: _____

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

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

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

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility?	<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

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____	social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Who assists parents in locating child care (consumer education)?	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" 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 checked="" type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Who issues payments?	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" 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. _____
Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)	Payments are issued to the parents onto an Electronic Benefits Transfer card if the parents are using license-exempt child care providers. If the child is attending a licensed child care program or provider, the parents authorize the department to issue the payments to the providers via the providers' financial institution via an electronic funds transfer.
Other. List and describe: _____	

2.2. Family Outreach and Application Process

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

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

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

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet (provide website): <http://humanservices.hawaii.gov/bessd/child-care-program/ccch-subsidies/>

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

2.2.2. How can parents apply for CCDF services?

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

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website) _____
- By Email
- 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. [As part of the interview process, the subsidy worker provide information to each family about choosing the right provider for their child. Informational packets are made available to each family that include available community resources for families, as well as tips on points to consider when choosing a provider and potential questions that families could ask providers when searching for child care.](#)

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

For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities. [The state has tiered reimbursement rates which provide a higher subsidy amount for accredited programs. The state started in FFY 2013 the first year of implementation of a Quality Rating and Improvement System \(QRIS\) pilot](#)

[program, which provides programs independent evaluations, assistance in developing the quality improvement plan, and financial grants and incentive awards for continued participation and progress toward completion of the quality improvement plan. For FFY 2014, the state will continue the pilot program in supporting the participating programs' progress in their quality improvement plans. In FFY 2015, the state will receive the independent evaluative results of the QRIS pilot program and the state will assess the QRIS for areas needing improvement and areas that are successful in the design and development of a statewide QRIS program for Hawaii.](#)

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 [Financial assistance program and SNAP](#).
 - 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 [30 days of job search once every 12 months](#) (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 [30 days](#).
- 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 Eligibility reviews are conducted every 6 months.
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe _____
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe _____
- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
- 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 _____

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
- Collect information to evaluate on-going need, recruit, or train a culturally or linguistically diverse workforce

- 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 _____

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

<http://humanservices.hawaii.gov/bessd/files/2013/01/DHS-911-Application-for-Child-Care-Services.pdf>

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

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	Applicants are required to provide a picture identification (i.e. driver's license or state ID)
<input checked="" type="checkbox"/> Household composition	Applicants self-certify the household composition on the application, and birth certificates of all children indicated on the application are required.
<input checked="" type="checkbox"/> Applicant's relationship to the child	Birth certificates or other legal documents provide verification of the relationship of the child to the applicant.
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	Child information is obtained through birth certificate or other legal documents.
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Applicants are required to provide school registration information, verification from job training program of enrollment, verification from new employers about prospective employment, or employment information obtained through paystubs.
<input checked="" type="checkbox"/> Income	Applicants are required to provide income information by submitting documents, such as paystubs, child support documents, income tax information for self-employed individuals, etc.
<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 The child care subsidy program is contracted to a private organization for on-going administration. A condition of the contract is to provide timely eligibility determinations, and a financial penalty will be imposed on the contractor if they do meet the threshold set by the department.
- 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: For TANF families, their child care subsidies are issued by a case manager who is assigned to them to ensure compliance with TANF work participation requirements. No strategy is need to prompt timely processing of eligibility determination as child care subsidy is a support service that ensures that families meet their TANF work participation requirements. All other policies and processes are similar to the child care subsidy program that serves non-TANF families.
- 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 State of Hawaii Department of Human Services

- b) Provide the following definitions established by the TANF agency.
- "appropriate child care": child care provided by a caregiver who meets the eligibility criteria established in §17-798.2-9(c)
 - "reasonable distance": located within one hour of travel from the participant's home to the child care provider to the participant's place of employment or work activity
 - "unsuitability of informal child care": friends or family members being considered to provide care who do not meet the criteria established in §17-798.2-9(c)
 - "affordable child care arrangements": arrangements for child care that requires no co-payment or a co-payment not exceeding 90% of the state's maximum child care rate per care type
- 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* - An eligible child is living in a home or family setting with the child's eligible caretaker.
- *in loco parentis* – In place of the parent, i.e., charged with the rights, responsibilities and duties of a parent defined as an adult who resides with and is responsible for the care of a child, and who is a birth, hanai (child who is taken permanently to be reared, educated, and loved by someone other than the natural parents at the time of the child's birth or early childhood. The child is given outright and the natural parents renounce all claims to the child. The natural parents cannot reclaim the child except for the death or serious injury of the hanai parents.), foster parent, adoptive parent, guardian, step-parent, or relative who is related to the child by blood, marriage, or adoption, or a person authorized by the caretaker through a power of attorney valid for a period no to exceed twelve months. The caretaker designation may remain even when the caretaker is temporarily absent from the home as long as the caretaker continues to maintain responsibility for the care, education and financial

support of the child. This includes a foster parent who may not be providing financial support to the child but may be receiving support for the child from a public or private agency.

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 0 weeks to under 13 years (may not equal or exceed age 13).

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

Yes, and the upper age is under 18 years old (may not equal or exceed age 19). Provide the Lead Agency definition of *physical or mental incapacity* – A physical or mental condition that prevents a child from doing self-care, as determined by a State-licensed physician or psychologist.

No.

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

Yes, and the upper age is _____ (may not equal or exceed age 19)

No.

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

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* – The caretaker is engaged in an activity for wages or salary, or actively looking for work: a) up to two weeks prior to the scheduled start of employment ; or b) up to 30 calendar days during a break in employment, if employment is scheduled to resume within 30 calendar days.

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* – [Job training programs is an approved work program that requires the participant to engage in activities that provide work experience and training to individuals to assist them toward employment and self-sufficiency. An educational program has a curriculum that is established by an institution, agency, or business for the purpose of the development of skills or academic study necessary for an identified occupation.](#)

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* – [Child welfare services provided by the Department of Human Services to children and their caretakers and siblings, who reside together in their family unit, and are children who are: 1\) confirmed to have been abused or neglected, or 2\) confirmed to have been threatened with abuse or neglect, or 3\) in foster care. The assigned social worker must specify the need for child care services in the family’s or child’s case plan as ordered by the court.](#)

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* – [monies received from wages, salaries, commissions, tips, and other sources. For a complete list of countable income, refer to administrative rules 17-798.2-10\(b\) Income considered in eligibility determination. The administrative rules can be found at http://archive.jan2013.hawaii.gov/dhs/main/har/har_current/DOC216.pdf](http://archive.jan2013.hawaii.gov/dhs/main/har/har_current/DOC216.pdf)

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 [Refer to administrative rules 17-798.2-11 Excluded monthly income. The administrative rules can be found at http://archive.jan2013.hawaii.gov/dhs/main/har/har_current/DOC216.pdf](http://archive.jan2013.hawaii.gov/dhs/main/har/har_current/DOC216.pdf)

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	2,860	2,431		
2	3,740	3,179		
3	4,620	3,927		
4	5,501	4,675		
5	6,381	5,423		

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.

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 [2004](#) and SMI Source [Census data](#)

g) These eligibility limits in column (c) became or will become effective on: [November 1, 2005](#)

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 _____

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 _____

Pre-kindergarten programs. Re-determination period _____

TANF. Re-determination period _____

SNAP. Re-determination period _____

Medicaid. Re-determination period _____

SCHIP. Re-determination period _____

Other. Describe _____

No. [TANF and SNAP have 6 month re-determination periods as well, however, the CCDF program does not coordinate its re-determination periods with the TANF and SNAP programs, therefore families may possibly have four re-determination periods throughout the year for the CCDF and TANF/SNAP programs.](#)

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

Families are required to report changes within 10 calendar days when the following changes occur: 1) Monthly gross income and the source of the household income when it is in excess of the 8% SMI for a family of the same size (except for licensed foster parents with approved activities or families receiving child protective services); 2) address, including place of residence or mailing address; 3) household composition; 4) marital status; 5) child care provider; 6) cost of care; 7) child care type; 8) loss of activity; or 9) closure of child protective services case.

- d) Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination The eligibility worker would review and redetermine whether the family continues to be eligible for child care subsidy assistance based on the household size and income, as well as the required approved activity, child care provider, child care cost, and child care type.
- e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples). The state allows for retention of eligibility during temporary changes, including temporary disability from usual employment, even if payment is suspended.

The state allows for coverage when a child is absent due to illness or temporary absences from child care, the child care monthly benefit may remain the same as long as the family continues to pay the provider to hold the child's slot.

- f) Does the Lead Agency use a simplified process at re-determination?
- Yes. If yes, describe The family must submit copies of pay stubs, child care receipt(s), and employment, training or education schedule, as well as the redetermination simplified reporting form. If there are no changes to the family's circumstances, the child care subsidy continues. If there are changes, the eligibility worker redetermines the family's child care subsidy benefit amount.
- No.

2.3.7. Waiting Lists

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

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

- Any eligible family who applies when they cannot be served at the time of application
- Only certain eligible families. Describe those families: _____
- Waiting lists are a county/local decision. Describe _____
- Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations [Families may request an informal review with the unit supervisor of their eligibility determination and/or may request in writing a formal administrative hearing to be heard by the department’s administrative appeals office. If not satisfied with the administrative hearing officer’s decision, the family can appeal the administrative hearing officer’s decision to a court of law.](#)

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 [February 1, 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: _____
- Federal Poverty Level, Year: [2004](#)
- 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 Based on the income level and household size of the family, the department will pay only a percentage of the child care cost, up to the maximum rate allotted for the type of child care selected. The percentage paid is the same for each child. In addition, if the child care cost is in excess of the maximum allotted by the department, the family must also cover the excess cost in addition to the calculated co-payment.

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

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

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

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

Select **ONE** of these options.

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

- ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: \$_____
- SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: The department subsidizes the cost of care up to the maximum allowable rate for the type of child care selected for families are up to or at 50% of the poverty level.

2.5. Prioritizing Services for Eligible Children and Families

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

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

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

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p>Provide the Lead Agency definition of Children with Special Needs Documentation verifies that the eligible child, under P.L. 105-7, Part C services, meets one of the conditions that follow: 1) has a physical, developmental, behavioral, or emotional health condition that is outside of the normal range; 2) meets the State Department of Health criteria for environmental risk as defined in HRS §321-351; 3) resides in a Limited English Proficiency (LEP) household; or 4) is homeless. Per the Department of Health, part C eligibility includes those who are developmentally delayed, or at biological risk (e.g. Down's syndrome) or environmental risk (parental age is less than 16 years</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input 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
old) for developmental delay.			
Children in families with very low incomes Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i> Gross income is less than 100% of the Federal Poverty Guidelines.	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input checked="" type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input type="checkbox"/> Other. Describe _____

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

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

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

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

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

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

Term(s)	Definition(s)

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.hawaii.gov/bessd/child-care-program/ccch-subsidies/what-are-child-care-subsidies/>
- 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 The child care certificate seeks information from the provider about their care operation that includes their name, address, type of care, tuition rate, time periods that they care for the child, and names of staff (center-based programs) or household members (home-based programs).

d) What is the estimated proportion of services that will be available for child care services through certificates? 95%

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 department currently has three types of contracted services for slots. One contracted service targets infant and toddler care for teen parents at center-based licensed programs on-site at public high schools throughout the state operated by the DOE or a private provider. The second contracted service provides drop-in care for TANF families, who are meeting with their case manager or participating in other activities at the First-To-Work offices, and do not have child care for their children ages 2 years old up to 12 years old. Private providers bid for the contract services which are provided at the First-To-Work offices. The third contracted service is with the DOE to fund slots at after-school care providers at public elementary schools for the children who qualify for free and reduced lunch. The DOE operates the after-school care programs, or the DOE contracts with private providers to operate the after-school care 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? [Contract costs are determined by estimating the cost for care per child and the number of children that can be served at a particular site.](#)

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts? [5%](#)

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 [Must not have a known history of child abuse or neglect, physical or psychological or psychiatric problems, or criminal convictions that may adversely affect or interfere with the care of children. Background clearance checks are done for the in-home child care provider that may include Federal fingerprint search, state fingerprint search, state name search, national sex offender registry search, state sex offender registry search, child abuse and neglect registry search, and adult protective services registry search.](#)

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) [All complaints are registered, and a written report is completed for all complaint investigations. Information is available on the licensing electronic system which indicates that a complaint is on file for a specific provider. If requested, information about the complaint is provided to the public on request.](#)

2.7. Payment Rates for Child Care Services

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

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

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

- Yes. Effective Date: [February 1, 2010.](#)
- 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 [The child care subsidy program is contracted to a private organization for implementation. The contractor is expected to issue payments within 30 days from determination of eligibility. Non-satisfactory performance of](#)

[the contract may lead to contract termination and possible penalties to the contractor.](#)

- 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)): [October 2012](#).
- b) Provide a **summary of the results** of the survey. [See attachment 2.7.3](#). The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

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

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

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

Note - Report the "base" maximum reimbursement rate ceiling, not including any rate add-ons or tiered reimbursements. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest

level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

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

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

2.7.4a – Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$1420	\$1395	73 percentile
Full-Time Licensed Center Preschool (59 months)	\$810	\$675	38 percentile
Full-Time Licensed Center School-Age (84 months)	\$140	\$155	<u>n/a</u>

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$575	\$1395	<u>n/a</u>
Full-Time Licensed Center Preschool (59 months)	\$575	\$675	<u>n/a</u>
Full-Time Licensed Center School-Age (84 months)	\$155	\$155	<u>n/a</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 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

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

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

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

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$700	\$650	63 percentile
Full-Time Licensed FCC Preschool (59 months)	\$675	\$600	42 percentile
Full-Time Licensed FCC School-Age (84 months)	<u>n/a</u>	<u>n/a</u>	<u>n/a</u>

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
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2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$600	\$650	<u>n/a</u>
Full-Time Licensed FCC Preschool (59 months)	\$600	\$600	<u>n/a</u>
Full-Time Licensed FCC School-Age (84 months)	<u>n/a</u>	<u>n/a</u>	<u>n/a</u>

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

- a) Describe how license-exempt center payment rates are set: The state determines the rates for license-exempt center rates for military center based programs to be the same as licensed center based care or accredited and licensed center based care.
- b) Describe how license-exempt family child care home payment rates are set: The state analyzed the utilization of in-home and license-exempt family child care by families receiving CCDF subsidies and did a cost estimation projection based on the amount of total CCDF funds available for all families using all types of care and adjusted the license-exempt family child care rate such that the state could continue to provide sufficient subsidies for in-home care while not depleting the CCDF funds such that new families could continue to be served and a wait-list would not result.
- c) Describe how license-exempt group family child care home payment rates are set: The state does not have license-exempt group family child care homes. All group child care homes must be licensed by the department
- d) Describe how in-home care payment rates are set: The state analyzed the utilization of in-home and license-exempt family child care by families receiving CCDF subsidies and did a cost estimation projection based on the amount of total CCDF funds available for all families using all types of care and adjusted the in-home care rate such that the state could continue to provide sufficient subsidies for in-home care while not depleting the CCDF funds such that new families could continue to be served and a wait-list would not result.

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

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

- Differential rate for nontraditional hours. Describe _____
- Differential rate for children with special needs as defined by the State/Territory. Describe _____
- Differential rate for infants and toddlers. Describe [The state provides a higher rate for Infant/Toddler care up to age 1 year of age. The rates are based on the Market Rate Studies for center-based and home-based care rates.](#)
- Differential rate for school-age programs. Describe _____
- Differential rate for higher quality as defined by the State/Territory. Describe _____
- Other differential rate. Describe [The state provides a higher rate for center-based care providers accredited by NAEYC or NECPA.](#)
- 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
- Pays for provider fees (e.g., registration, meals, and supplies). Describe [The state will pay for registration, supplies, and/or activity fees charged by the child care provider once per state fiscal year per child up to \\$125.00.](#)
- Policies vary across region, counties and or geographic areas. Describe _____
- Other. Describe _____

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

- a) Number of absent days allowed. Describe [The state pays based on actual hours of child care needed from the previous month during recertifications and projects that income and child care need into the next six month](#)

eligibility period. The child care subsidy is paid at the beginning of each month for that month's child care needs. If the child is absent the entire month, but the child care provider is paid for that month to hold the child's place and the family receives the receipt to document payment to the provider, the family continues to be eligible. However, once the child is disenrolled from the child care provider's program, the family must notify the state and assistance would be suspended until the family finds a new child care provider and the provider completes a child care certificate.

b) Paying based on enrollment. Describe The state pays based on actual hours of child care needed from the previous month during recertifications and projects that income and child care need into the next six month eligibility period. The child care subsidy is paid at the beginning of each month for that month's child care needs. If the child is absent for a portion of the month, but the child care provider is paid for that month to hold the child's place and the family receives the receipt to document payment to the provider, the family continues to be eligible. However, once the child is disenrolled from the child care provider's program, the family must notify the state and assistance would be suspended until the family finds a new child care provider and the provider completes a child care certificate.

c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe The child care subsidy is paid at the beginning of each month for that month's child care needs. This is consistent with the schedule that providers charge private pay families in the state.

d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe The state utilizes EBT cards given to the families to make payments to license-exempt child care providers. For licensed child care providers, the state utilizes direct deposit to the bank account which the provider has registered with the state's direct deposit program.

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)) The department allows families to choose any type of care that is appropriate for their child and the family's needs as long as the provider is licensed or legally exempt and meets the criminal history and background check clearances.

b) How payment rates are adequate based on the most recent local MRS (\$98.43(a)(2)) The payment rates are currently between the 54 percentile and 60 percentile for family child care and group child care of the current MRS. This allows our families to be able to access all care types and a large number providers throughout the state as the median rates charged statewide are still the same or slightly lower than the department's payment rates.

c) How family co-payments based on a sliding fee scale are affordable (\$98.43(a)(3)) The co-payment structure is based on the principle that as families earn more, they will be able to pay a greater percentage of the cost of care, so that once they exceed the income eligibility requirements, the family is better prepared to fully fund the cost of child care and the loss of the child care subsidy will have less of an impact on the family's finances.

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.)

<p>Goal 1 - <u>Improve access to high quality licensed child care settings by considering tiered rates for QRIS rated programs, once the state's QRIS pilot initiative has been completed and statewide implementation is scheduled, upon cost estimation analysis and approval of additional state general revenues.</u></p>

Goal 2 -Improve health and safety standards for license-exempt caregivers and their household members to include adult protective services registry check and national and state sex offender registry checks.

Goal 3 -Improving outreach to families and license-exempt providers receiving subsidies to provide educational resources on child development and activities to do with children, as well as to provide information and support for families in choosing high quality child care providers.

Goal 4 -Reducing families' co-payment percentages by restructuring from the current 10-tiers (from 0 – 90%) to 6-tiers (from 0 – 50%) to reducing the financial burden for families in affording child care, particularly center-based care (i.e. preschool).

Goal 5 -

PART 3

HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

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

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

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

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care program 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 checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Yes, for some providers in this category	Describe Only for licensed center-based child care programs. If	Describe _____	Describe Only for licensed family child care programs. If a family child care provider is legally	Describe _____

	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
	a center-based program is legally exempt from licensure per the state statute, then only a subset of the licensing requirements are imposed for the CCDF health and safety requirements.		exempt from licensure per the state statute, then only a subset of the licensing requirements are imposed for the CCDF health and safety requirements	
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>School aged before- and after-school or intercession care, infant and toddler child care centers, preschools (aka group child care centers) which are not exempted under Hawaii Revised Statutes 346-152(a).</u>	Describe which types of center-based settings are exempt from licensing in your State/Territory <u>Exemptions include programs that care for children less than 6 hours per week, programs that offer a specialized training or skill, multi-service organizations or community associations, county operated programs, programs operated by the DOE, programs that operate for only two consecutive weeks in a 3-month period, and programs licensed or certified by the U.S. department of defense and located on federal property. The Hawaii Revised Statutes 346-152(a) provides a list of exemptions from licensing and can be found at: http://www.capitol.hawaii.gov/hrscurrent/Vol07_Ch0346-0398/HRS0346/HRS_0346-0152.htm</u> 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>All group homes are required to be licensed.</u>	Describe which types of group homes are exempt from licensing <u>All group homes are required to be licensed.</u>
Family	Family child care	Describe which types of	Describe which types of

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?
Child Care	<p>provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.</p> <p>Reminder - 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>	<p>family child care home providers are subject to licensing Family child care homes which are not exempt under the law, caring for more than 2 unrelated children but less than 7 children.</p>	<p>family child care home providers are exempt from licensing The law exempts family child care providers who care for children related to themselves by blood, marriage, or adoption, and care for up to two enrolled children who are unrelated to themselves.</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. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input checked="" 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>Describe which types of in-home child care providers are exempt from licensing All in-home child care providers are exempt from licensing requirements.</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 licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
<p>Do the licensing requirements include child: staff ratios and group sizes?</p> <p>If yes, provide the ratio for age specified.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>2 yr olds – 1:8 4 yr olds – 1:16</p> <p>Infant ratio (11 months):</p> <p>Toddler ratio (35 months): 3 yr olds – 1:12</p> <p>Preschool ratio (59 months): 5 yr olds – 1:20</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement Infant group size (11 months):</p> <p>Toddler group size (35 months):</p> <p>Preschool group size (59 months):</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>2 yr olds – 1:8 4 yr olds – 1:16</p> <p>Infant ratio (11 months):</p> <p>Toddler ratio (35 months): 3 yr olds – 1:12</p> <p>Preschool ratio (59 months): 5 yr olds – 1:20</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement Infant group size (11 months):</p> <p>Toddler group size (35 months):</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group: 1:6 and no more than two children under 18 months old, unless there is another adult in the home to assist full-time, then no more than four children under 18 months old.</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group No more than six children at any one time.</p> <p><input type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)</p> <p><input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input type="checkbox"/> No group size requirements.</p>

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
	<input checked="" type="checkbox"/> No group size requirements.	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care. <input checked="" type="checkbox"/> No group size requirements.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements identify specific educational credentials for child care directors ?	<input type="checkbox"/> High school/GED <input checked="" type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: 2 years college education	<input type="checkbox"/> High school/GED <input checked="" type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: 2 years college education	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:
Do the licensing requirements identify specific educational credentials for child care teachers ?	<input type="checkbox"/> High school/GED <input checked="" type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input checked="" type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: Organized 60 credit college program and certificate in ECE	<input type="checkbox"/> High school/GED <input checked="" type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input checked="" type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other: Organized 60 credit college program and certificate in	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: Caregivers in an infant and toddler center-based program are required to complete 30 hours of training in infant and toddler development; and another 15 hours of infant and toddler development within two years.	ECE <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 checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:	<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: Required to show evidence of increased knowledge in two areas annually.	<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 type="checkbox"/> Other:

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

Yes. Describe [Anticipated revisions to the qualifications requirements for staff education, training and experience for infant and toddler centers for the following positions: director, lead caregiver, and caregiver. Revised qualifications were developed in a statewide early childhood stakeholder workgroup, including the state, ECE practitioners, the University of Hawaii and Community Colleges, the Hawaii Association for the Education of Young Children, and the Childcare Business Coalition. Other planned changes to the licensing rules include Safe Sleep requirements, amendments to the criminal history and background clearance check requirements and assessments to be conducted by the state.](#)

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input checked="" 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 Also for complaint investigations.
<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 checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input checked="" 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 Also for complaint investigations.
<input checked="" type="checkbox"/> Family Child Care Home	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input checked="" 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 Also for complaint investigations.
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

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

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

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input type="checkbox"/> Yes. Describe
	<input checked="" type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input checked="" type="checkbox"/> An on-site inspection is conducted.
	<input type="checkbox"/> Programs self-certify. Describe
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections.
	<input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers.
	<input checked="" type="checkbox"/> Licensing staff verify correction of violation.
	<input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation.
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license
	<input checked="" type="checkbox"/> License revocation or non-renewal
	<input type="checkbox"/> Injunctions through court
	<input 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 type="checkbox"/> Injunction
	<input type="checkbox"/> Emergency or immediate closure not through court action
	<input checked="" type="checkbox"/> Fines

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	<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 Adverse actions on a license can be informally appealed through an informal administrative review or through a formal written request for an administrative hearing by a separate office from the licensing division.
	<input type="checkbox"/> No.
	<input checked="" 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

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" 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 type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Initial clearance includes fingerprint check; annual clearances thereafter do name search only.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<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"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" 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 type="checkbox"/> Other _____
<input checked="" type="checkbox"/> Group Child Care Homes <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" 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 _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" 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 Initial clearance includes fingerprint check; annual clearances thereafter do name search only.	<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 _____
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" 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 _____

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> Family Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" 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 _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" 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 Initial clearance includes fingerprint check; annual clearances thereafter do name search only.	<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 _____
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" 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 _____
<input type="checkbox"/> In-Home Child Care Providers <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 type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes	<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 _____

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	fingerprints		
	<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 type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____

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 The FBI fingerprint processing fee is \$16.50. There are no other processing fees assessed to providers for the remaining background clearance checks.

d-2) Who pays for background checks The state pays for most of the fees associated with the background clearance checks, except for the FBI fingerprinting processing fee. The providers are required to pay the FBI processing fee. Providers are also responsible for a “no show” fee if they fail to show up for their scheduled fingerprinting appointment. This “no show” fee of \$15.00 would be assessed against the provider at the time he/she attempts to reschedule his/her fingerprinting appointment.

d-3) What types of violations would make providers ineligible for CCDF? Describe Providers who have a suspended or revoked license due to non-compliance with licensing regulations are considered ineligible providers for the subsidy program during the period of the license suspension or revocation. Violations could include possible threats to the health, safety, or well-being of children in care, such as

hazardous environments or an employee whose background clearance check indicates that the individual poses a risk to children in care.

d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe Providers may submit a written request to appeal the state's decision based on the background clearance check findings. The administrative appeal hearing would be conducted by another office within the department, but separate from the licensing division. The hearings officer would review the written reports submitted by the state and the provider, ask questions of both parties and any witnesses at the hearing, and render a written, final binding decision after the hearing. The provider may then appeal the hearing officer's decision to a court of law if the provider does not agree with the officer's decision.

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 _____
 No

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

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

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

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

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

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

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

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

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		

CCDF Categories of Care	Health and safety training requirements	Pre- Service	On- Going
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and planning response procedures		X
	Management of common childhood illnesses, including food intolerances and allergies		
	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		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		
	Supervision of children		
	Behavior management		
	Other. Describe 		
Group Home Child Care	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and planning response procedures		X
	Management of common childhood illnesses, including food intolerances and allergies		
	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		

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		
	Supervision of children		
	Behavior management		
	Other. Describe 		
Family Child Care Providers	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and planning response procedures		X
	Management of common childhood illnesses, including food intolerances and allergies		
	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		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		
	Supervision of children		
	Behavior management		
Other. Describe 			
In-Home Child Care Providers	First Aid		
	CPR		
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and planning response procedures		
	Management of common childhood illnesses, including food intolerances and allergies		
	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		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		
	Supervision of children		
	Behavior management		
	Other. Describe 		

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

- All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
- Relative providers are NOT required to meet any health and safety requirements as described in 3.1.2a-c, as appropriate.
- Relative providers are subject to certain requirements. Describe the different requirements [Legally exempt providers are required to self-certify that they have appropriate practices for toileting and diapering, hand-washing, use of car seats for transporting children, available first aid kits, emergency exit plans, working smoke detectors, appropriate discipline methods, and satisfactory TB clearance or chest x-ray.](#)

e) Provide a web address for the State/Territory's health and safety requirements, if available: [Health and safety requirements for licensed settings are found within the licensing rules \(chapters 891.1, 892.1, 895, and](#)

896) found at <http://humanservices.hawaii.gov/admin-rules-2/admin-rules-for-programs/>

3.1.4 Effective enforcement of the CCDF health and safety requirements.

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

- a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced) The state does not use on-site visits (announced or unannounced) for legally-exempt providers, unless it is part of a complaint investigation, in which case the on-site visit would be unannounced to determine regulation compliance.
- b) Describe whether the Lead Agency uses background checks The state does conduct background clearance checks for legally exempt providers, including state criminal justice database name search, national sex offender registry search, state sex offender registry search, the state child abuse and neglect registry search, the state adult abuse and neglect registry search, and also includes both the fingerprint-based national criminal justice database search and state criminal justice database for all persons other than federally defined relatives. The background clearance checks are required initially and then annually for legally exempt providers who receive child care subsidies, including center-based staff, primary caregivers in home-based settings, and their adult household members.
- 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 The return of the completed self-certification checklist form for license-exempt providers is filed in the associated family's child care subsidy case record along with the completed child care certificate form. If the self-certification checklist form is not received, the case manager cannot authorize child care subsidies and notifies the family to have the self-certification checklist form completed and returned or to find a new child care provider.

No

- d) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements No other enforcement policies and practices for the health and safety requirements are used.

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
- 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
- No
- Other. Describe

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

- Yes. Describe
- No
- Other. Describe

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

- Yes. If Yes, provide the name of the tool(s)
- 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) [We have an electronic case management system that captures information about licensed providers statewide.](#)
- Numbers of programs operating that are legally exempt from licensing. Describe (optional)) [We have an electronic case management system that captures information about programs that are legally exempt and caring for subsidized children.](#)
- Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) [We have an electronic case management system for licensed providers also captures information about suspended and revoked licenses.](#)
- Number of injuries in child care as defined by the State/Territory. Describe (optional) [We track data on the number of injuries in child care reported to the Child Welfare Services agency.](#)
- Number of fatalities in child care as defined by the State/Territory. Describe (optional) [We track data on the number of fatalities in child care reported to the Child Welfare Services agency](#)
- Number of monitoring visits received by programs. Describe (optional)
- Caseload of licensing staff. Describe (optional)) [We have an electronic case management system for licensed providers which indicates which licensing worker is assigned to each licensed provider.](#)
- Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional)
- Other. Describe
- None

b) Performance measurement. What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements? [None.](#)

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. [There are no immediate plans to evaluate the licensing program or its providers at this time.](#)

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 - Review licensing procedural requirements and assess whether differential monitoring tool or weighted licensing tool may be designed and implemented for the state without compromising the health and safety of children in care.
Goal 2 - Develop and implement SIDS prevention licensing requirements to be included in the rules for Infant and Toddler Centers and Family Child Care homes.
Goal 3 - Develop and implement breastfeeding licensing requirements to be included in the rules for Infant and Toddler Centers and Family Child Care homes.
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:

Which State/Territory agency is the lead for the early learning guidelines? [The Governor's Office through the Executive Office on Early Learning.](#)



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

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

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Approaches to learning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
English language development (for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
dual language learners)			
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.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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

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

Yes. Describe

No

Other. Describe

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

Yes. Describe

No

Other. Describe

No

Other. Describe

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

Yes. Describe [Kindergarten teachers participate in the Hawaii State School Readiness Assessment which is an on-line survey that asks teachers about the readiness of their incoming kindergarteners.](#)

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

- Yes. Describe _____
 No
 Other. Describe [The assessment tool covers some, but not all of the domains listed.](#)

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

- All children. Describe _____
 Samples of children. Describe _____
 Other. Describe [The assessment tool teachers complete assesses the school readiness of their classrooms as a whole, not for each individual child.](#)

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

- Yes. Describe _____
 No
 Other. Describe [The assessment is used mainly as a way for kindergarten teachers to assess the needs of the class in order to provide extra support to their students in different areas. It can also provide early learning programs with general guidance as to areas to improve upon to bolster students' readiness in the various domains.](#)

- No
 Other. Describe _____

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

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

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines –

What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children's attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for

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

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

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

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines? None

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. [Evaluation for the progress of children may be included as part of the QRIS initiative.](#)

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? [For programs voluntarily participating and meeting Levels 3 -5 in the state's QRIS initiative to develop tools and provide technical assistance to programs to voluntarily align their program curricula with the Hawaii Early Learning and Development Standards \(HELDS\) by end of FFY 15. The EOEL in](#)

[collaboration with the department and ELAB partners will plan a strategy to infuse the HELDS within the early learning system, from courses and training offered to caregivers/practitioners as well as evaluation tools.](#)

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

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

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

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

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

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities. [The EOEL and the department will be involved in the planning and administration of the QRIS initiative, which is contracted to the University of Hawaii Center on the Family to administer the QRIS pilot program and have an independent evaluation of the pilot project conducted. The Center on the Family has partnered with Honolulu Community College, Hawaii Association for the Education of Young Children, and People Attentive to Children to provide various services in the QRIS pilot implementation.](#)

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 [Working with children with special needs.](#)
- None. If checked, skip to 3.3.2.

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

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

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

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

d) Do your State/Territory's quality improvement standards align with or have

reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory’s quality standards and other standards.

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

3.3.2 Element 2 –Supports to Programs to Improve Quality

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



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

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input type="checkbox"/> Attaining and maintaining licensing compliance	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
practices			
Other. Describe Cultural sensitivity	☒	☒	☒
<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 [For programs entering QRIS , there is a mandatory orientation session that describes the QRIS process, an overview of the assessment tools, and the many supports available to programs to assist in programs moving up to higher levels of quality. After a program is enrolled into the QRIS pilot, the technical assistance is individualized to meet the program’s needs. This is done following a self-assessment using the ERS tool and TA guidance provided both prior to and after the independent assessment is completed by a trained assessor and the independent evaluation report. Technical assistance will also be provided prior to and subsequent to the development of a Quality Improvement Plan by the program.](#)
- No
- Other. Describe

3.3.3 Element 3 – Financial Incentives and Supports

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



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

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

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving/maintaining quality	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/> Other. Describe Incentive awards are also provided once per year, based on the number of CCDF children enrolled in the program multiplied by a set incentive rate.	<input checked="" type="checkbox"/>	<input checked="" 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.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <u>After a program enrolls in the QRIS, a baseline ERS assessment occurs. In order for a program to apply for the next level of QRIS, another ERS assessment would occur. This time frame would range from 2 months to 1 year. Also, with the revision to the QRIS design, programs are able to do a self-assessment ERS and make program improvements prior to the external ERS assessment by the QRIS assessor.</u>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. <u>The first CLASS assessment occurs when a program applies for the next QRIS level following their initial placement on a QRIS level based on their ERS scores. This time frame would range from 2 months to 1 year. If a program is already NAEYC accredited when they enroll in QRIS, the first CLASS assessment occurs within the first 2 months. Then, the next CLASS assessment would occur within 2 years.</u>	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
<input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. <u>The first BAS/PAS assessment occurs when a program applies for the next QRIS level following their initial placement on a QRIS level based on their initial ERS scores. This time frame would range from 2 months to 1 year. If a program is already NAEYC accredited when they enroll in QRIS, the first BAS/PAS assessment occurs within the first 2 months. Then, the next BAS/PAS assessment would occur within 2 years.</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
improvements in 21 st Century Learning Center programs Describe, including frequency of assessments. [redacted]			
<input type="checkbox"/> Other. Describe [redacted]	<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 [redacted]
- None

3.3.5 – Element 5 - Outreach and Consumer Education

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



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

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

- Used in marketing and public awareness campaigns
- Other. Describe
- No. If no, skip to 3.3.6.

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

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

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

3.3.6. Quality Rating and Improvement System (QRIS)

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

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

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

- Child care centers
- Group child care homes
- Family child care homes
- In-home child care

- License exempt providers
- Early Head Start programs
- Head Start programs
- Pre-kindergarten programs
- School-age programs
- Other. Describe

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

3.3.8 Data & Performance Measures on Program Quality –

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

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

- Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional) [For programs voluntarily participating in the QRIS pilot.](#)
- Number of programs that move program quality levels annually (up or down). Describe (optional) [For programs voluntarily participating in the QRIS pilot.](#)
- Program scores on program assessment instruments. List instruments: [PAS/BAS and ERS](#) Describe (optional) [Tools being used in the QRIS pilot.](#)
- Classroom scores on program assessment instruments. List instruments: [CLASS](#) Describe (optional) [Tools being used in the QRIS pilot.](#)
- Qualifications for teachers or caregivers within each program. Describe (optional) [Provider Registry](#)
- Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) [Percentage determined on enrollment figures at time of assessment.](#)
- Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory

- Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional) [For programs voluntarily participating in the QRIS pilot.](#)
- Other. Describe [Family Child Care providers enrolled in the Quality Care Program who receive training and technical assistance, even if not participating in the voluntary QRIS pilot and programs enrolled in NAEYC accreditation project.](#)
- None

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures on program quality? [This information is collected with the assessment tools \(i.e. CLASS, ERS, PAS/BAS\) and other measures \(i.e. NAEYC and NAFCC accreditation\).](#)

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.
[Hawaii's QRIS pilot initiative began in Spring of 2012. A Listening Tour preliminary feedback study of participating providers was conducted in early 2013 to receive initial feedback from the providers as to the initial assessment process and any modifications recommended to the process.](#)

[The pilot is addressing the following issues:](#)

- [Cost analysis of various quality improvement efforts, like quality grants, coaching, and training opportunities, and the degree of overall quality improvement associated with them.](#)
- [Threshold scores on standardized tools and practitioner Registry level for QRIS levels.](#)
- [If provisions for special groups \(children with special needs, English Language Learners, infants and toddlers, etc.\) need to be separated out of the program standards and indicators or if the inclusive approach is able to address their needs.](#)
- [Identification of existing infrastructure supports in programs and Family Child Care homes and analysis of how they can best be used for QRIS purposes.](#)
- [Evaluation of effectiveness of QRIS design in promoting desired quality improvement outcomes for licensed programs.](#)

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?

Program standards: as research on the pioneering QRIS states is released, revisiting Hawaii's standards to ensure they are the best predictors of quality in an early childhood education program. During the pilot, it will be evaluated if additional program standards are necessary for special groups or if our inclusive approach meets the needs of those groups. When the CLASS releases its toddler assessment, it will be reviewed to see if it effectively evaluates our indicators of quality.

Supports to programs to improve quality: As the QRIS pilot initiative continues into its second year of implementation and expansion, documenting and defining the most effective methods of coaching or technical assistance delivery and support for programs. During this time, there will also be the goal of identifying the supports that exist within programs. We will assist programs in development of their internal resources so that the programs will be able to sustain supports to their own program staff with some support from the QRIS program.

Financial incentives and supports: continue development of outside, private funding to increase financial supports to programs applying for the Quality Improvement grants to assist in quality improvement achievement and progression.

Quality assurance and monitoring: maintain the new Quality Care Program data management system which will include the information collected for QRIS purposes and analyze data for validation and evaluation purposes.

Outreach and consumer education: As the pilot moves to statewide implementation, the outreach to programs to promote participation in the QRIS will begin. Marketing and public education need to be developed for recruitment purposes to programs as well as consumer awareness and understanding to drive demand and encourage programs to participate in the QRIS.

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

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

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

1) Core Knowledge and Competencies

- 2) Career Pathways (or Career Lattice)
 - 3) Professional Development Capacity
 - 4) Access to Professional Development
 - 5) Compensation, Benefits and Workforce Conditions
- a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities. [The Hawaii Careers for Young Children \(HCYC\) is the entity responsible for crafting and integrating all aspects of the professional development system within the state. The HCYC is comprised of individuals from higher education, the Head Start Association, child care providers, state agencies, private organizations, county representatives, and representatives from the Provider Registry.](#)

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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



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

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

If yes, insert web addresses, where possible:

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

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

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

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

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, 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 [The CKC defines what all practitioners in all ECE roles and settings are required to know and be able to do.](#)
- Providers working directly with children in family child care homes, including aides and assistants. Describe [The CKC defines what all practitioners in all ECE roles and settings are required to know and be able to do.](#)
- Administrators in centers (including educational coordinators, directors). Describe [The CKC includes competencies for administrators in centers that include the management aspects of the role.](#)
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____

- Education and training staff (such as trainers, CCR&R staff, faculty). Describe [Higher education faculty are covered by their systems performance standards. CKCs were also developed for community-based trainers who provide clock hour professional development.](#)
- Other. Describe [Our state includes Family Child Interaction Learning \(FCIL\) Programs and Home Visitor programs that employ ECE practitioners. The CKCs also address these roles.](#)
- None

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

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

3.4.2 Workforce Element 2 - Career Pathways

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



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

- Yes. Describe [The HCYC developed a framework document that specifies increasing education, training, and experience requirements for a career lattice. The HCYC is currently in the process of updating and revising the Hawaii ECE Career Lattice and Framework.](#)
- No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible:

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

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

- Administrators in centers (including educational coordinators, directors). Describe _____
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____
- Other. Describe [The current Career Lattice and Framework is not tied to jobs and roles. HCYC is in the process of updating and revising the document.](#)
- None

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

- Infants and toddlers
- Preschoolers
- School-age children
- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs
- Other. Describe [The current Career Lattice and Framework works in alignment with the state group child care licensing matrix.](#)
- 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 [Practitioners are required to submit documentation to the Provider Registry that verifies their education, training, and experience to determine what level they qualify for on the Career Lattice and Framework.](#)
- 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 [Higher education professionals in ECE have formal gatherings to discuss the availability and accessibility of ECE courses. In their discussions, they are trying to address these issues and creating alternative methods of delivery of classes \(i.e. on-line training\) to have more classes accessible to individuals. The EOEL has contracted a vendor to also conduct an independent inventory and assessment of available programs and course offerings available to practitioners in Hawaii to identify gaps in the professional development system as well as areas that are working effectively.](#)

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 [The HCYC is aware of training available to all practitioners. Technical assistance and coaching is available through limited resources. The department has contracted an organization to provide community-based training and requires that the trainings be available and accessible to all communities. The organization is currently working on expanding the number of trainings that can be taken on-line to increase accessibility.](#)

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
- None

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

- Training approval process. Describe
- Trainer approval process. Describe
- Training and/or technical assistance evaluations. Describe
- Other. Describe
- None

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

- Yes. If yes, describe [There are articulation agreements in place across and within institutions of higher education within the state. This is also monitored within the group of higher education representatives that meet regularly to discuss ways to increase the availability and accessibility of higher education courses.](#)
- No

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

- Yes. If yes, describe [There are training classes offered by community colleges that can be translated into higher education credit.](#)
- No

3.4.4 Workforce Element 4 – Access to Professional Development

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



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

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

- Other. Describe
- No

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

- Yes. If yes, describe [The Career Access and Navigation of Early Childhood Systems \(CANOES\) website is the clearinghouse for all ECE workforce and professional development information. The website was launched in early 2013.](#)
- No

Insert web addresses, where possible:

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

- Scholarships. Describe [Scholarships are available through the department's contracted organization which provides training. The scholarships may be used toward coursework in ECE.](#)
- Free training and education. Describe [The department's contracted organization offers community-based trainings at no charge to potential and current child care providers.](#)
- Reimbursement for training and education expenses. Describe
- Grants. Describe
- Loans. Describe
- Loan forgiveness programs. Describe
- Substitute pools. Describe
- Release time. Describe
- Other. Describe
- None

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

- Yes. If yes, describe [Career counseling is available through the department's contracted Provider Registry service.](#)
- No

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

- Yes. If yes, describe

No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

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

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

Yes. If yes, describe
 No

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

Yes. If yes, describe
 No

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

Yes. If yes, describe
 No

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

Yes. If yes, describe
 No

3.4.6 Data & Performance Measures on the Child Care Workforce –

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

a) **Data on the child care workforce.** Indicate if the Lead Agency or

another agency has access to data on:

- Data on the size of the child care workforce. Describe (optional) [Information is captured in an electronic system about the workforce in licensed preschools and infant/toddler centers.](#)
- Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) [Information is captured in an electronic system about each practitioner in licensed preschools and infant/toddler centers.](#)
- Records of individual teachers or caregivers and their qualifications. Describe (optional) [Information is captured in an electronic system that indicates the educational, training, and experience qualifications of each practitioner in licensed preschools and infant/toddler centers.](#)
- Retention rates. Describe (optional) _____
- Records of individual professional development specialists and their qualifications. Describe (optional) _____
- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) [Information about each practitioner is captured in an electronic system, and the practitioner is associated to a specific licensed program.](#)
- Number of scholarships awarded . Describe (optional) [The number of scholarships awarded is known only as it relates to the department's contracted service that distributes the scholarships.](#)
- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) _____
- Number of credentials and degrees conferred annually. Describe (optional) _____
- Data on T/TA completion or attrition rates. Describe (optional) _____
- Data on degree completion or attrition rates. Describe (optional) _____
- Other. Describe _____
- None

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

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

Yes.

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

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

Describe [Information about each practitioner's education, training, and experience qualifications is required to be submitted to the department's contracted Provider Registry service as it relates to qualifying for positions in a licensed preschools or infant/toddler center.](#)

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

Administrators in centers (including educational coordinators, directors). Describe [Information about each director's education, training, and experience qualifications is required to be submitted to the department's contracted Provider Registry service as it relates to qualifying for positions in a licensed preschools or infant/toddler center.](#)

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

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

Other. Describe

None

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

all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13? [All practitioners in licensed centers and infant/toddler centers that serve children birth to 5 years.](#)

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? [None](#)

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. [The QRIS will utilize CLASS as one of the tools to evaluate the workforce and professional development of practitioners. The EOEL has contracted a vendor to also conduct an independent inventory and assessment of available programs and course offerings available to practitioners in Hawaii to identify gaps in the professional development system as well as areas that are working effectively.](#)

3.4.7 Goals for the next Biennium –

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

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

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

Goal 1 - Improve supports to practitioners working directly with children by increasing accessibility to training and higher education courses
Goal 2 - Increase quality of interactions with children by providing external evaluations by QRIS assessors to assist in identifying areas that are working well and areas that could use improvement.
Goal 3 - Increase the variety of supports available to practitioners, including technical assistance, coaching, mentoring, and types of training to support professional development of current and potential ECE practitioners.
Goal 4 -
Goal 5 -

