

Child Care and Development Fund (CCDF) Plan  
For

Hawaii  
FFY 2012-2013

**PART 1  
ADMINISTRATION**

**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)

Effective Date: 01-OCT-11

Name of Lead Agency: [State of Hawaii Department of Human Services](#)

Address of Lead Agency: [1390 Miller Street, #209, Honolulu, HI 96813](#)

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](mailto:pmcmanaman@dhs.hawaii.gov)

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

**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:**

Effective Date: 01-OCT-11

Name of CCDF Administrator: [Scott Nakasone](#)

Title of CCDF Administrator: [Acting Division Administrator](#)

Address of CCDF Administrator: [820 Mililani Street, Suite 606, Honolulu, HI 96813](#)

Phone Number: [\(808\) 586-5230](#)

Fax Number: [\(808\) 586-5744](#)

E-Mail Address: [snakasone2@dhs.hawaii.gov](mailto:snakasone2@dhs.hawaii.gov)

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

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://hawaii.gov/dhs/dhs/self-sufficiency/childcare>

Web Address for CCDF program policy manual

(if any): [Not Applicable](#)

Web Address for CCDF program administrative rules

(if any): [http://hawaii.gov/dhs/main/har/har\\_current/DOC216.pdf](http://hawaii.gov/dhs/main/har/har_current/DOC216.pdf)

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

Name of CCDF Co-Administrator: [Julie Morita](#)

Title of CCDF Co-Administrator: [Child Care Program Administrator](#)

Address of CCDF Co-Administrator: [820 Mililani Street, Suite 606, Honolulu, HI 96813](#)

Phone Number: [\(808\) 586-7187](#)

Fax Number: [\(808\) 586-5744](#)

E-Mail Address: [jmorita@dhs.hawaii.gov](mailto:jmorita@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 responsibility for and 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 2012 - FY 2013 plan period?**

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2011 through September 30, 2012. (§98.13(a)).

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FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ [18,594,544](#)

Federal TANF Transfer to CCDF: \$ [15,000,000](#)

Direct Federal TANF Spending on Child Care: \$ 0

State CCDF Maintenance-of-Effort Funds: \$ 4,971,630

State Matching Funds: \$ 6,252,217

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

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

Territories not required to meet CCDF Matching and MOE requirements should mark

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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 will be used to meet the CCDF Matching Fund requirement.

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

14,408,724

Private Donated Funds to meet the CCDF Matching Fund requirement. Only private 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:

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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%): 1%

If percentage is more than 10% of the MOE fund 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: 1,600,000

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

All Pre-K programs are available full-day/full-year. This ensures that the needs of working families are met.

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

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<b>Activity</b>	<b>Estimated Amount of CCDF Quality Funds (indicate if targeted funds will be used)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results</b>
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<p>1. Healthy Child Care Hawaii</p> <p>2. Child Care Provider Registry</p> <p>3. Resource &amp; Referral</p> <p>4. Provider Training</p> <p>5. Child Care Advocacy and Facilitation</p> <p>6. Nutrition Evaluation and Consultation</p> <p>7. Consumer education and quality improvement for family, friend, and neighbor care (Learning To Grow)</p> <p>8. Quality Care Program</p> <p>9. Infant and Toddler Care for Teen Parents</p>	<p>1. 107,957</p> <p>2. 275,000</p> <p>3. 300,000 (R&amp;R earmark)</p> <p>4. 972,000 (some IT earmark)</p> <p>5. 300,000</p> <p>6. 75,000</p> <p>7. 438,557 (Quality Expansion)</p> <p>8. 560,876 (Quality Expansion)</p> <p>9. 632,347 (IT earmark)</p>	<p>1. Provide training to pediatricians in becoming a health resource for licensed child care providers, and to provide technical assistance to licensing staff and child care providers on national health and safety standards.</p> <p>2. Provides for evaluation of educational documents of staff at licensed child care facilities (excluding school-aged center-based programs) statewide; professional development counseling for individuals in the ECE field; and data entry of information collected.</p> <p>3. Provides statewide R&amp;R information that includes available training opportunities for providers, available subsidies for families, listings of licensed providers, etc.</p> <p>4. Provides community-based training on various topics that are relevant to child care providers in family child care homes and center-based programs statewide. Foster parents and license-exempt providers also invited to attend. Also provides approximately \$60,000 in scholarships (included in the estimated amount of funds) so that individuals can access college level ECE classes or the CDA program.</p> <p>5. Provides for county coordinators that assist in discussing and transmitting information to and from their county stakeholders to the state system about early childhood issues. Builds public momentum for early childhood system development through increased public awareness and engagement.</p>	<p>1. Increases the number of trained health consultants who are available for child care providers to utilize. Provides current safety and health standards and practical solutions for providers to follow that ensures the safety and health of all enrolled children.</p> <p>2. Increases the number of qualified staff for licensed centers; eliminates the need for licensing staff to review staff qualifications so that they can spend more time observing the program; supports the ECE filed by providing professional development counseling to improve providers' skills in working with young children.</p> <p>3. Families are able to find a licensed child care setting and receive information about how to choose the best setting for their child. Also, data is collected about the availability and cost of child care by area and statewide.</p> <p>4. Caregivers in licensed infant and toddler centers are able to meet the training requirements for continued employment at the facility; providers are knowledgeable about developmentally appropriate practice; family child care providers become knowledgeable on how to operate their business and care for the enrolled children.</p> <p>5. Increased communication and feedback with communities in each county. Increased public awareness and support for ECE.</p> <p>6. Licensed providers who are not on the USDA Food Program are</p>
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		<p>6. Provides menu reviews to ensure compliance with the USDA requirements for food service in licensed settings. Also, provides consultation and training to licensed providers through workshops, newsletters, website, and on-site discussions.</p> <p>7. Packages consumer education materials and scripts for child care subsidy staff to share with all families receiving child care subsidies. Also, targets families who are receiving child care subsidies, whose children are birth to five years old, and are using a family, friend, or neighbor to care for their child by providing monthly materials about developmentally appropriate practices and activities that assist children's growth and development to be shared with their provider.</p> <p>8. Improves the quality of child care settings by offering training, technical assistance, coaching, and financial incentives for programs that voluntarily participate. This program will create the infrastructure needed to support and pilot a Quality Improvement and Rating System (QIRs) in our state.</p> <p>9. Provides child care in a center-based program either on a public high school campus, or nearby for teen parents who attend that high school and are participating in a specialized program for parenting teens. The child care center requires the teens to participate in program activities so that information about parenting, child development, health and safety, etc. can be shared and discussed.</p>	<p>able to meet the licensing requirement. Increased participation with the USDA Food Program as the service encourages new providers to sign-up for the USDA Food Program. Increased knowledge about nutrition related information.</p> <p>7. CCDF families receive appropriate consumer education; and through the monthly materials families and their providers will provide optimal activities for their young children.</p> <p>8. Programs will improve the quality of service that they provide to young children, and data will be collected to measure improvements.</p> <p>9. Teens will remain enrolled in, and graduate, from high school and will learn about life skills (through school) and appropriate care of their child (through the child care program) in order to prepare them for life beyond high school.</p>
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## 1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

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

- Yes, all quality funds will be distributed to local entities
- Other.

Describe:

## 1.3 CCDF Program Integrity and Accountability

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

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

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Describe:

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** ([http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2010](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010)). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

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Describe:

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.

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input 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:**

The CCDF Lead Agency's electronic payment system shares client information with the TANF, SNAP, and Medicaid programs. Client demographics shared between the programs, and any changes results in all programs being notified of the change. System reports such as reports showing frequent EBT changes assist in monitoring program violations. Case reviews are instrumental in determining training needs and assist in monitoring accuracy of payments issued. Monthly meetings on payment and caseload information helps to determine trends in the subsidy program and whether those trends are reasonable. Anomalies to the trends are explored to determine whether there are errors in data entry, application of the program procedures, etc. Staff determine the level of training needed depending on the frequency of errors, i.e. training for all staff, training isolated to one unit, training isolated to one worker.

**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)).**

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Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p data-bbox="65 815 410 1115">Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe:</p> <p data-bbox="65 1128 410 1476">In all cases, if repayment plan is not followed, the department works with the state tax office to conduct a tax intercept. For IPV and fraud, the department works with the state attorney general's office on possible prosecution.</p>	<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 the 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"/>
<p data-bbox="65 1836 410 1948">Recover through other means. Describe:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Establish a unit to investigate and collect improper payments. Describe composition of unit:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 a repayment plan that allows the family to submit monthly payments to the department, to submit a lump sum payment to the department, to reduce future child care subsidies incrementally until the balance is paid, or to reduce future child care subsidies in a lump sum amount. 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?**

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- 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

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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.	Missing documentation; incorrect payment calculations due to incorrect calculations of activity hours or income.	The electronic payment system has been modified to allow for automatic calculations of activity hours; random case reviews are currently implemented; policies of the First-To-Work (TANF Work Program) and the child care subsidy program is undergoing analysis; re-training for staff completed.	Electronic payment system modified and put into production in October 2010.  Retraining for staff completed in July 2010.  Other actions are currently in process and on-going.

#### **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
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<input checked="" type="checkbox"/> <p><b>Representatives of general purpose local government (required)</b></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>
<p><b>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</b></p>	
<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 to 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 is a part of the office that administers the CCDF. Input is received from the Project Director about activities stated within the plan.</p>
<input checked="" type="checkbox"/> <p>Statewide Advisory Council authorized by the Head Start Act</p>	<p>The department is a member of the state's Early Learning Council (ELC). The ELC is responsible for the development of the early learning system within our state, thus having input as to how the child care program contributes to supporting the overall system.</p>

<input type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The Director of the DOH participates on the department's Child Care Advisory Committee and provides information about the home visitation programs as another component of the early childhood system.
<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 checked="" type="checkbox"/> State/Territory agency responsible for child welfare	Discussion with administrators who oversee the child welfare services include sharing information about the subsidy program and sharing of resources, i.e. training, that may be helpful for both child care providers and foster parents (resource caregivers).
<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 discussion about the use of funding to prevent duplication of resources and a maximization of funding available.

<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	<p>Child care 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.</p>
<input type="checkbox"/> Parent groups or organizations	
<input checked="" type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)	<p>The organization that provides child care resource and referral services for the State has representation on the department's Child Care Advisory Committee. As such, there is continuous communication about improvements in accessibility and availability of child care resources for families.</p>
<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:

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a) Date(s) of notice of public hearing: [07/03/2011](#)

**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 ad, email notice, and internet postings.](#) c) Date(s) of public hearing(s): [07/23/2011](#)

**Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).

d) Hearing site(s) [Child Care Program Office \(820 Mililani St., #606\), Central Hilo Office \(1990 Kinoole St., #109\), North Kona II Office \(75-5722 Hanama Pl., #1105\), Central Maui Unit \(270 Waiehu Beach Rd., #107\), and South Unit \(4473 Pahee St., #G\).](#)

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? [The Plan was made available via the child care program website, through email to the Child Care Advisory Committee Members, and hard copies were 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 may need to be consideration for available funding, changes to administrative rules, and discussions with the 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.

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**1.4.3. Describe:**

The public was additionally informed of the public hearing and the Plan draft through community partners via email messages and listserves. Also, the public hearing was held on Oahu, with other islands able to participate through video conferencing 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

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

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

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<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe the goals or results you are expecting from the coordination</b>
<p>Representatives of general purpose local government <b>(required)</b></p> <p>This may include, but is not limited to:</p> <p><input checked="" type="checkbox"/> 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 has continuous discussions with county coordinators to exchange information about resources available and each county's needs.</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>These discussions will lead to maximization of resources when the county may be supplying similar services and resources. Also, it will lead to improved service delivery as each county has unique needs.</p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education <b>(required)</b> 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>The expectation is that through coordinated efforts we can increase the number of children who are ready for school thereby improving outcomes for children.</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 <b>(required)</b></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>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health <b>(required)</b></p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Coordination with the DOH is targeted towards improving children's health, safety, and overall well-being.</p>	<p>The expectation is that children will be cared for in settings that support their health, safety, and well-being.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services / workforce development <b>(required)</b></p>	<p>Coordination with work programs is to provide participants with information on child care subsidies available.</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) <b>(required)</b></p>	<p>The coordination with TANF administrators seeks to support families who are required to participate in work activities.</p>	<p>The goal is to have parents better informed about the child care options that are available to them and allows them to fully meet their work participation requirements.</p>
<input checked="" type="checkbox"/> <p>Indian Tribes/Tribal Organizations (required)</p> <p><input type="checkbox"/></p> <p>N/A: No such entities exist within the boundaries of the State</p>	<p>Discussions are held with the tribal organization that receives CCDF tribal funds to understand the programs offered.</p>	<p>The goal of these discussions is to ensure maximization of resources available to families statewide.</p>

**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 responsible for licensing (if separate from the Lead Agency)		
<input type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant		
<input checked="" type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	The department is a member of the ELC, and is equally responsible to assist in the creation of an early learning system.	Participation in the ELC by all members will serve to maximize resources and result in agreements about the early learning system.
<input checked="" type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	The department contracts the University of Hawaii to provide nutrition consultation and menu reviews for licensed providers. This contractor has an established relationship with the CACFP to ensure alignment with policies and to recruit new providers to the program.	The expectation is that there will be more providers who take advantage of the CACFP to access reimbursements and nutrition education.

<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 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 Section 619 program to allow for inclusion in licensed settings.</p>	<p>Coordination with the DOH may result in more families supported with their child care needs. Coordination with the DOE may result in more inclusive settings for children with special needs.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>The department will be discussing with the DOH that is responsible for the home visitation program about ways that our services can support their efforts.</p>	<p>Coordination with the home visiting program may result in maximizing the training resources available through the department.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for child welfare</p>	<p>The department invites foster parents to participate in trainings that are available to child care providers.</p>	<p>Allowing foster parents to participate in the same training resources as child care providers should maximize their knowledge of child development and best practices in working with children ages birth to five years.</p>

<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 checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	The department contracts with an organization to provide child care resource and referral information to families.	This contracted service has provided families statewide with information about available licensed child care and other types of resources that families find useful.
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	The department collaborates with provider organizations to seek input when proposing amendments to the child care programs.	The collaboration has been useful in crafting policy to determine the possible effects of the proposed changes, and implementation strategies.
<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.

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Yes. If yes,

a)

Provide the name of the entity responsible for the coordination plan(s):

c)

Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):

Yes

No

d)

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

No

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

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

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

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

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

The Early Learning Council (ELC) is our state's advisory council. The ELC is statutorily created, and has the responsibility of creating an early learning system for children ages birth to five years old. The department is one of the members of the ELC .

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))**

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Yes .

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

In crafting a QIRs, the private sector has shown interest in participating with funding. These partnerships will allow for maximization of funds available, encourage other private sector involvement, and possibly create momentum for early learning activities.

No

**1.6. Child Care Emergency Preparedness and Response Plan**

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

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

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**Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

**Developed.** A plan has been developed as of **[insert date]**: and put into operation

as of **[insert date]**: , if available. Provide a web address for this plan, if available:

**Other.**  
**Describe:**

A plan for emergency readiness has been drafted, and is currently being reviewed with the state civil defense department to ensure alignment with state procedures. The date for completion of this plan is in December 31, 2011. Currently, instructions have been provided to licensing staff to work with licensed child care providers in developing their emergency readiness plans.

**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.

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

**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.

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Eligibility rules and policies (e.g., income limits) are set by the:

State/Territory

Local entity.

If checked, provide the name(s) of the local entity:

Other.

Describe:

Sliding fee scale is set by the:

State/Territory

Local entity.

If checked, provide the name(s) of the local entity:

Other.

Describe:

Payment rates are set by the:

State/Territory

Local entity.

If checked, provide the name(s) of the local entity:

Other.

Describe:

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

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### Implementation of CCDF Services/Activities

#### Who determines eligibility?

**Note:** If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:

Families who receive TANF and participate in a work program receive child care subsidies from their work program's case manager. Case managers are either State staff or contracted staff. The eligibility requirements to receive child care subsidies for TANF and non-TANF families are the same.

#### Agency (Check all that apply)

CCDF Lead Agency

TANF agency

Other State/Territory agency.

Describe:

Local government agencies such as county welfare or social services departments

Child care resource and referral agencies

Community-based organizations

Other.

Describe:

For non-TANF families the CCDF Lead Agency contracts with a private organization, ARBOR E&T, to determine eligibility on the Department's behalf. ARBOR E&T utilizes the CCDF Lead Agency's rules regarding eligibility.

#### Who assists parents in locating child care (consumer education)?

#### Agency (Check all that apply)

CCDF Lead Agency

TANF agency

Other State/Territory agency.

Describe:

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

**Who issues payments?**

**Agency (Check all that apply)**

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

ARBOR E&T issues child care subsidies to eligible and approved families on the CCDF Lead Agency's behalf. ARBOR E&T implements the CCDF Lead Agency's rules for issuance of subsidies to non-TANF families statewide.

**Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)**

Child care payments are issued to the parent through electronic benefit transfer (EBT). Parents can opt to have their child care payment issued to their licensed child care provider via EBT to the provider's account.

**Other. List and describe:**

As stated above, the CCDF Lead Agency contracts with ARBOR E&T to implement the child care payment program statewide for non-TANF families. Also, for families receiving TANF, the TANF agency has State or contracted case managers issuing child care payments to their families who participate in their work programs, and the staff abide by the CCDF Lead Agency's requirements for issuance of child care payments.

**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://hawaii.gov/dhs/self-sufficiency/childcare/services/>

- 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.

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- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet

(provide website):

- By Email
- Other.

Describe:

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

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

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

As part of the interview process, the subsidy worker provides information to each family about choosing the right provider for their child. Packets of information is available to each family that contains information about questions to ask providers, points to consider when choosing a provider, and other resource information that families may find useful.

**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.**

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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 that provides for a higher subsidy for accredited programs. Also, the state plans to pilot a Quality Improvement and rating System (QIRs) that will assist programs to improve or maintain the quality of their program.

**2.2.5. How will the Lead Agency promote access to the CCDF subsidy program?**

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

Effective Date: 01-OCT-11

- Provide access to program office/workers such as by:
- Providing extended office hours
- Accepting applications at multiple office locations
- Providing a toll-free number for clients
- Other.

Describe:

- Using a simplified eligibility determination process such as by:
- Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
- Developing a single application for multiple programs
- Developing web-based and/or phone-based application procedures
- Coordinating eligibility policies across programs.

List the program names:

- Streamlining verification procedures, such as linking to other program data systems
- Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).

Length of time: [2 weeks for job search for new applicants; 30 days for on-going cases to find alternate employment.](#)

Other.

Describe:

Other.

Describe:

None

**2.2.6. Describe the Lead Agencies 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.

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- 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:

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

Describe:

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

Describe:

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

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

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

Other.

Describe:

None

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

Effective Date: 01-OCT-11

Application in other languages

Informational materials in non-English languages

Training and technical assistance in non-English languages

Website in non-English languages

Lead Agency accepts applications at local community-based locations

Bilingual caseworkers or translators available

Other.

Describe:

None

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

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

Effective Date: 01-OCT-11

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages
- Website in non-English languages
- Bilingual caseworkers or translators available
- Other.

Describe:

None

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

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

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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://hawaii.gov/dhs/self-sufficiency/childcare/services/forms/DHS%20911%20Website%20version.pdf>

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 picture identification (i.e. driver's license, 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?**

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Time limit for making eligibility determinations.

Describe length of time [30 days](#)

Track and monitor the eligibility determination process

Other.

Describe

[The child care subsidy program is contracted to a private organization for implementation. A condition of the contract is to provide timely eligibility determinations, and a financial penalty will be imposed on the contractor if they do not meet the threshold set by the department.](#)

None

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

Yes.

If yes, describe:

For TANF families, their child care subsidies are issued by a case manager who is assigned to them to ensure compliance with work participation requirements. No strategy is needed to prompt timely processing of eligibility determination as it is a support service that ensures that families meet their 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.

Effective Date: 01-OCT-11

a) Identify the TANF agency that established these criteria or definitions:

State/Territory TANF Agency [State 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 20% 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.

Describe:

## **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?**

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*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, or 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 not 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

Effective Date: 01-OCT-11

a) The Lead Agency serves children from 0 (birth) weeks to under 13 years (maximum age under age 13).

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

Yes, and the upper age is [under 19 years old](#)

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

No.

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

Effective Date: 01-OCT-11

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

Effective Date: 01-OCT-11

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. The assigned social worker must specify the need for child care services in the family'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

Effective Date: 01-OCT-11

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://hawaii.gov/dhs/main/har/har\\_current/DOC216.pdf](http://hawaii.gov/dhs/main/har/har_current/DOC216.pdf)

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

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation



Other types of income not listed above:

Refer to administrative rules 17-798.2-11 Excluded monthly income. The administrative rules can be found at:

[http://hawaii.gov/dhs/main/har/har\\_current/DOC216.pdf](http://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 living with parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other.

Describe:

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.

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

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	2860	2431		
2	3740	3179		
3	4620	3927		
4	5501	4675		

5	6381	5423		
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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 below:**

**Note:** This information can be included in the table below.

No.

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				
3				
4				
5				

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

Effective Date: 01-OCT-11

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

6 months

12 months

24 months

Other.

Describe:

Length of eligibility varies by county or other jurisdiction.

Describe:

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

Yes.

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

Families enrolled in Head Start and/or Early Head Start Programs.

Re-determination period:

Families enrolled in pre-kindergarten programs.

Re-determination period:

Families receiving TANF.

Re-determination period:

Families who are very-low income, but not receiving TANF.

Re-determination period:

Other.

Describe:

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

Yes.

If yes, describe:

Pre-populated forms are issued to each family. Pre-populated information includes the names of all household members, the household residence and mailing address, employment information, and provider information (i.e. provider name, care type, tuition rate). The caretaker is responsible to review the document, if no changes to a particular section, they initial that section. If there are changes, they note directly onto the form the information that has changed. Also, they attach copies of their paystubs, other sources of income, school or job training verifications (if the caretaker attends school or job training), and child care receipts.

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

Effective Date: 01-OCT-11

Describe the process for families to appeal eligibility determinations:

Families may request an informal administrative review 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 then appeal 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.**

Effective Date: 01-OCT-11

The attached sliding fee scale was or will be effective as of: [February 2010](#)

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

Effective Date: 01-OCT-11

- Yes  
 No.

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

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

Effective Date: 01-OCT-11

- 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:

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

Effective Date: 01-OCT-11

- Fee as dollar amount and
  - Fee is per child with the same fee for each child
  - Fee is per child and discounted fee for two or more children
  - No additional fee charged after certain number of children
  - Fee per family
- Fee as percent of income and
  - Fee is per child with the same percentage applied for each child
  - Fee is per child and discounted percentage applied for two or more children
  - No additional percentage applied charged after certain number of children
  - Fee per family
- Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

Based on the income level of the family, the department will pay only a percentage of the child care cost, up to the maximum rate allotted. The percentage is the same for each child.

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

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

Effective Date: 01-OCT-11

Yes,  
and describe those additional factors:

The department also considers the number of hours activity that the caretakers are engaged in to determine whether they qualify for a full-time, or part-time rate. If they qualify for only a part-time rate, then that increases their contribution to the cost of care, depending on the amount that the provider charges.

No.

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

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

Effective Date: 01-OCT-11

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 Lead Agency waives the fee for the following families:

The department subsidizes the cost of care up to the maximum allowable rate for families who are 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*.

Effective Date: 01-OCT-11

Children with special needs

**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 (e.g. parental age is less than 16 years old) for developmental delay.

Describe:

Children in families with very low incomes

**Provide the Lead Agency definition of *Children in Families with Very Low Incomes*:**

Gross income is less than 100% of the Federal Poverty Guidelines.

Describe:

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children with special needs	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other.	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input checked="" type="checkbox"/> Other. Describe: <input type="text" value="N/A"/>



Children in families with very low incomes	<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.	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input checked="" type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input type="checkbox"/> Other. Describe: <input type="text"/>
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**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.

Effective Date: 01-OCT-11

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.  
 Describe:

**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.

Effective Date: 01-OCT-11

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

Describe:

When there is a lack of funds for the program, priority is given to families who need child care for protective reasons, TANF families, and families who transitioned off of welfare due to increased gross income.

## **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**

Effective Date: 01-OCT-11

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://hawaii.gov/dhs/self-sufficiency/childcare/services/subsidy>

- 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). Child care subsidy staff work with the child care licensing staff to ensure that the provider is either licensed or legally exempt, and also work with the clearance staff to ensure that the provider and their attached household members or staff all meet criminal history and background check requirements in order to be deemed as an authorized provider.

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

80%

## 2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-11

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. The first targets infant and toddler care for teen parents. This center-based care is provided at public high schools. Either the DOE

or a private provider is contracted to provide the service. The second type of contract is for drop-in care for TANF families who need to meet with their case manager or participate in other activities in the First-To-Work office and have no other child care arrangements available for their children ages 2 years old to 12 years old. Space is allotted in the First-To-Work offices, and private providers are contracted for this service. The third type of contract is to pay for after-school care costs for children in public elementary schools who qualify for free and reduced lunch. The DOE either provides the after-school care themselves or contracts with private providers to operate the after-school care program.

No.

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

- Increase the supply of specific types of care
- Programs to serve children with special needs
- Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
- Programs to serve infant/toddler
- School-age programs
- Center-based providers
- Family child care providers
- Group-home providers
- Programs that serve specific geographic areas
- Urban
- Rural
- Other.

Describe:

- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families.

Specify:

Other.

Describe:

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

Yes.

No,

and **identify** the localities (political subdivisions) and services that are not offered:

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

Contract costs are determined by estimating the cost for care per child and the number of children that can be cared for at a particular site.

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

20%

**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.

Effective Date: 01-OCT-11

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?

Effective Date: 01-OCT-11

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

Describe:

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

Effective Date: 01-OCT-11

All complaints are registered, and a written report is completed. Information is available on our electronic system that indicates that a complaint is on file for a specific provider. If requested, information about the complaint is provided.

**2.7. Payment Rates for Child Care Services**

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

**2.7.1. Provide a copy of your payment rates as Attachment 2.7.1.**

Effective Date: 01-OCT-11

The attached payment rates were or will be effective as of: [February 1, 2010](#)

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

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

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

Effective Date: 01-OCT-11

- 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

### 2.7.4. Market Rate Survey

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

Effective Date: 01-OCT-11

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): [06/2010](#)

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

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

Effective Date: 01-OCT-11

Yes

No.

If no, list the MRS year that the payment rate ceiling is based upon: [2007](#)

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

Effective Date: 01-OCT-11

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

[The current payment rates are between the 65th and 75<sup>th</sup> percentile for the type of care in the current market survey.](#)

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

Effective Date: 01-OCT-11

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:

Infant and toddler care in licensed centers, and the care for infants and toddlers in home-based settings each have their own maximum child care rates that is above the rates set for children ages 2 years and older in center and home based settings.

Differential rate for school-age programs.

Describe:

Differential rate for higher quality as defined by the State/Territory.

Describe:

Higher rates are provided for programs accredited by NAEYC or NECPA.

Other differential rate.

Describe:

None.

**2.7.8. Will the Lead Agency allow providers to charge parents any additional fees?**

Check the policies, if any, the Lead Agency has chosen to establish regarding additional fees.

Effective Date: 01-OCT-11

Providers are allowed to charge the difference between the maximum reimbursement rate and their private pay rate

Providers are allowed to charge registration fees

Providers are allowed to charge for transportation fees

Providers are allowed to charge for meals.

Providers are allowed to charge additional incidental fees such as field trips or supplies

Policies vary across region, counties and or geographic areas.

Describe:

No, providers may not charge parents any additional fees

Other.

Describe:

None

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

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

Effective Date: 01-OCT-11

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 as long as the provider is licensed, or legally exempt and meets criminal history and background check requirements. About 60% of families utilize relative care, 22% utilize licensed center-based care, 9% utilize friend or neighbor care, 6% utilize licensed family child care, and 3% utilize other types of legally exempt center-based care.

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

Payment rates are currently between the 65<sup>th</sup> and 75<sup>th</sup> percentile of the current MRS. This allows our families to access all care types.

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 get more income they will be able to afford to pay more of the cost of the care so that once they no longer meet the income eligibility requirements the impact will be less felt by the family.

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

**2.7.10 Goals for the next Biennium -**

Effective Date: 01-OCT-11

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

The department has created a small workgroup that is discussing possible improvements to the child care subsidy program that may improve and increase services to families.

## PART 3

### Health and Safety and Quality Improvement Activities

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

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

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

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

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

Lead Agencies shall certify that they have in effect licensing requirements applicable to

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

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

Effective Date: 01-OCT-11

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

Yes.

No.

Please identify the State or local (if applicable) entity/agency responsible for licensing:

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

[The CCDF health and safety requirements imposed on legally-exempt providers is only a subset of the licensing requirements.](#)

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

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?

<p>Center-Based Child Care</p>	<p>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.</p>	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory.</p> <p>For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs</p> <p>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. The Hawaii Revised Statutes 346-152(a) provides a list of exemptions from licensing and can be found at: <a href="http://www.capitol.hawaii.gov/hrscurrent/Vol07_Ch0346-0398/HRS0346/HRS_0346-0152.htm">http://www.capitol.hawaii.gov/hrscurrent/Vol07_Ch0346-0398/HRS0346/HRS_0346-0152.htm</a></p>
<p>Group Home Child Care</p> <p>N/A. Check if your State/Territory does not have group home child care.</p> <p><input type="checkbox"/></p>	<p>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.</p>	<p>Describe which types of group homes are exempt from licensing:</p> <p>All group homes are required to be licensed.</p>

Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. <b>Reminder</b> - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are exempt from licensing: The law exempts family child care providers who care for children who are related to themselves by blood, marriage, or adoption, and care for only one or two enrolled children who are unrelated to themselves.
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. <b>Reminder</b> - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing: All in-home child care providers are exempt from licensing requirements.

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



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

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

Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
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Do the licensing requirements include **child:staff ratios and group sizes?** If yes, specify age group, where appropriate:

<input checked="" type="checkbox"/> Child:staff ratio requirement:	<input checked="" type="checkbox"/> Child:staff ratio requirement:	<input checked="" type="checkbox"/> Child:staff ratio requirement:	<input type="checkbox"/> Child:staff ratio requirement:
2s 1:8; 3s - 1:12; 4s - 1:16, 5s - 1:20	2s 1:8; 3s - 1:12; 4s - 1:16, 5s - 1:20	1:6, and no more than two children under 18 months old unless there is another adult in the home, then no more than four children under 18 months old.	<input type="checkbox"/> Group size requirement:
<input type="checkbox"/> Group size requirement:	<input checked="" type="checkbox"/> Group size requirement:	<input checked="" type="checkbox"/> Group size requirement:	<input checked="" type="checkbox"/> No requirements.
<input type="checkbox"/> No requirements.	Can only care for a maximum of 12 children	Can only care for a maximum of 6 children.	
	<input type="checkbox"/> No requirements.	<input type="checkbox"/> No requirements.	



Do the licensing requirements identify specific experience and educational **credentials for child care directors?**

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input checked="" type="checkbox"/>	Child Development Associate (CDA)	<input checked="" type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input checked="" type="checkbox"/>	Bachelor's degree	<input checked="" type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input checked="" type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:
	2 years college education		2 years college education				Not required to be licensed.

Do the licensing requirements identify specific experience and educational **credentials for child care teachers?**

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input checked="" type="checkbox"/>	Child Development Associate (CDA)	<input checked="" type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input checked="" type="checkbox"/>	Associate's degree	<input checked="" type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input checked="" type="checkbox"/>	Bachelor's degree	<input checked="" type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input checked="" type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	Organized 60 credit college program and certificate in ECE		Organized 60 credit college program and certificate in ECE		Not required to be licensed.

Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first 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"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after 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"/> No training requirement	<input checked="" type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement
	<input checked="" type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<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			Not required to be licensed.

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

Yes.

Describe: [Planned changes to the licensing rules primarily include amendments to the criminal history and background clearance assessments, and more explicit requirements for complaint reporting and processing.](#)

No.

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

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

Effective Date: 01-OCT-11

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))

<b>For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.</b>				
<b>The Lead Agency requires:</b>	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 checked="" 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 checked="" 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 checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
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<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input 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 checked="" 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 checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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))

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	Pre-Service	On-Going
<b>Child Care Centers</b>	CPR (Child Care Centers)	At least one staff member must be available at all times who is CPR certified. The CPR training and certification must be from an organization or program approved by the department.	At least one staff member must be available at all times who has current CPR certification. As CPR certificates expire, plans must be made in advance to have staff scheduled for and complete training to ensure that the program is compliant with the requirements.
	First Aid (Child Care Centers)	At least one staff member must be available at all times who is first aid certified. The first aid training and certification must be from an organization or program approved by the department.	At least one staff member must be available at all times who has current first aid certification. As first aid certificates expire, plans must be made in advance to have staff scheduled for and complete training to ensure that the program is compliant with the requirements.
	Training on infectious diseases (Child Care Centers)	N/A	N/A
	SIDS prevention (i.e., safe sleep) (Child Care Centers)	N/A	N/A
	Medication administration (Child Care Centers)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (Child Care Centers)	N/A	N/A
	Child development (Child Care Centers)	N/A	N/A

	Supervision of children (Child Care Centers)	N/A	N/A
	Behavior management (Child Care Centers)	N/A	N/A
	Nutrition (Child Care Centers)	N/A	N/A
	Breastfeeding (Child Care Centers)	N/A	N/A
	Physical activity (Child Care Centers)	N/A	N/A
	Working with children with special needs or disabilities (Child Care Centers)	N/A	N/A
	Emergency preparedness and response (Child Care Centers)	The provider is required to complete an emergency preparedness plan. Licensing staff provide consultation, and may refer the provider to civil defense agencies for additional information, if necessary.	The provider is required to practice evacuation of the facility monthly in preparation for a natural disaster. Licensing staff provide consultation, and may refer the provider to civil defense agencies for information, if necessary.



	<p>Other. (Child Care Centers)</p> <p>Describe:  The training described above is for licensed providers only. Training is offered to legally exempt providers by inviting them to attend community-based workshops offered through the department to licensed providers. Legally exempt providers are required to self-certify that they meet the requirements of the department's health and safety checklist devised for exempt providers.</p>	N/A	N/A
<b>Group Home Child Care</b>	CPR (Group Home Child Care)	At least one staff member must be available at all times who is CPR certified. The CPR training and certification must be from an organization or program approved by the department.	At least one staff member must be available at all times who has current CPR certification. As CPR certificates expire, plans must be made in advance to have staff scheduled for and complete training to ensure that the program is compliant with the requirements.

	First Aid (Group Home Child Care)	At least one staff member must be available at all times who is first aid certified. The first aid training and certification must be from an organization or program approved by the department.	At least one staff member must be available at all times who has current first aid certification. As first aid certificates expire, plans must be made in advance to have staff scheduled for and complete training to ensure that the program is compliant with the requirements.
	Training on infectious diseases (Group Home Child Care)	N/A	N/A
	SIDS prevention (i.e., safe sleep) (Group Home Child Care)	N/A	N/A
	Medication administration (Group Home Child Care)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (Group Home Child Care)	N/A	N/A
	Child development (Group Home Child Care)	N/A	N/A
	Supervision of children (Group Home Child Care)	N/A	N/A
	Behavior management (Group Home Child Care)	N/A	N/A
	Nutrition (Group Home Child Care)	N/A	N/A
	Breastfeeding (Group Home Child Care)	N/A	N/A
	Physical activity (Group Home Child Care)	N/A	N/A
	Working with children with special needs or disabilities (Group Home Child Care)	N/A	N/A

	Emergency preparedness and response (Group Home Child Care)	The provider is required to devise an emergency preparedness plan. Licensing staff provide consultation to the providers, and may also refer them to civil defense agencies, as necessary.	The provider is required to practice evacuation procedures in the event of fire or other type of disaster. Licensing staff provide consultation and referrals to civil defense agencies for specific technical assistance.
	Other. (Group Home Child Care)	N/A	N/A
	Describe: The information above pertains to only licensed settings. Legally exempt providers are required to self-certify that they meet the requirements of the department's health and safety checklist for exempt providers. Also, legally exempt providers are invited to attend community-based training offered by the department to licensed providers.		
<b>Family Child Care Providers</b>	CPR (Family Child Care Providers)	The family child care provider must be CPR certified. The CPR training and certification must be from an organization or program approved by the department.	The family child care provider is required to maintain current CPR certification at all times, therefore must plan to attend and complete CPR training prior to the expiration of the current CPR certificate.

	First Aid (Family Child Care Providers)	The family child care provider must have a current first aid certificate. The first aid training and certification must be from an organization or program approved by the department.	The family child care provider must maintain a current first aid certificate at all times, therefore, must plan to attend and complete a first aid training course to receive a certificate prior to the current first aid certificate expiring.
	Training on infectious diseases (Family Child Care Providers)	N/A	N/A
	SIDS prevention (i.e., safe sleep) (Family Child Care Providers)	N/A	N/A
	Medication administration (Family Child Care Providers)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (Family Child Care Providers)	N/A	N/A
	Child development (Family Child Care Providers)	N/A	N/A
	Supervision of children (Family Child Care Providers)	N/A	N/A
	Behavior management (Family Child Care Providers)	N/A	N/A
	Nutrition (Family Child Care Providers)	N/A	N/A
	Breastfeeding (Family Child Care Providers)	N/A	N/A
	Physical activity (Family Child Care Providers)	N/A	N/A
	Working with children with special needs or disabilities (Family Child Care Providers)	N/A	N/A

	Emergency preparedness and response (Family Child Care Providers)	Family child care providers are required to prepare an emergency preparedness plan. Licensing staff provide consultation, and referral to civil defense agencies for more specific information, as necessary.	Family child care provider are required to practice evacuation procedures monthly in preparation for any emergency situation that would require them to do so. Licensing staff provide consultation, and referrals to civil defense agencies for more specific information, as necessary.
	Other. (Family Child Care Providers) Describe: The information provided above is only for licensed family child care providers. Legally exempt providers are required to self-certify that they meet the requirements indicated on the department's health and safety checklist for exempt providers. Also, legally exempt providers who care for subsidized children are invited to attend community-based workshops provided by the department for licensed providers.	N/A	N/A
<b>In-Home Child Care Providers</b>	CPR (In-Home Child Care Providers)	N/A	N/A
	First Aid (In-Home Child Care Providers)	N/A	N/A
	Training on infectious diseases (In-Home Child Care Providers)	N/A	N/A

	SIDS prevention (i.e., safe sleep) (In-Home Child Care Providers)	N/A	N/A
	Medication administration (In-Home Child Care Providers)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (In-Home Child Care Providers)	N/A	N/A
	Child development (In-Home Child Care Providers)	N/A	N/A
	Supervision of children (In-Home Child Care Providers)	N/A	N/A
	Behavior management (In-Home Child Care Providers)	N/A	N/A
	Nutrition (In-Home Child Care Providers)	N/A	N/A
	Breastfeeding (In-Home Child Care Providers)	N/A	N/A
	Physical activity (In-Home Child Care Providers)	N/A	N/A
	Working with children with special needs or disabilities (In-Home Child Care Providers)	N/A	N/A
	Emergency preparedness and response (In-Home Child Care Providers)	N/A	N/A

	Other. (In-Home Child Care Providers)	N/A	N/A
	Describe: In-home care providers are required to self-certify that they meet the requirements of the department's health and safety checklist for exempt providers. In-home child care providers are also invited to participate in community-based training that the department offers to licensed providers.		

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:

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

n/a

### 3.1.3 Enforcement of Licensing Requirements

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

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

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

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- 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 type="checkbox"/> Other. Describe:
<input checked="" type="checkbox"/> Group Home Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input 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"/> 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 type="checkbox"/> Other. Describe:
<input type="checkbox"/> In-Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:

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

Yes. If "Yes" please refer to the chart below and check all that apply.

No.

<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
-----------------------------	---

The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.

Yes.

Describe:

No.

Other.

Describe:

Licensing staff has procedures in place to address violations found in an inspection.

Providers are required to submit plans to correct violations cited during inspections.

Licensing staff approve the plans of correction submitted by providers.

Licensing staff verify correction of violation.

Licensing staff provide technical assistance regarding how to comply with a regulation.

No procedures in place.

Other.

Describe:

Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

The State/Territory has procedures in place to respond to illegally operating child care facilities.



Cease and desist action



Injunction



Emergency or immediate closure not through court action



Fines



No procedures in place.



Other.

Describe:

The State/Territory has procedures in place for providers to appeal licensing enforcement actions.



Yes.

Describe:

Adverse actions on a license can be informally appealed through an informal administrative review, or through a formal written request for an administrative hearing.



No.



Other.

Describe:

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

Providers who have a suspended or revoked license are considered ineligible providers for the subsidy program during the period of the suspension or revocation.

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

Yes.

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

Caregivers in center-based programs who are found to have a background that may pose a risk to children are required to be terminated from the program. If the program does not terminate the individual from their program, they may have their license suspended or revoked. The caregiver who is determined to pose a risk to children can appeal the decision through an informal administrative review, or through a formal written request for an administrative hearing.

Caregivers who operate a family child care home who are found to pose a risk to children will have their application to operate a licensed family child care home denied, or their license revoked. If a household member is found to pose a risk to children, the primary caregiver will have to submit a written statement indicating their plan of action. If they choose to continue to have the individual live in the home, their application to operate a licensed family child care home will be denied or their license will be revoked. If they choose to have the household member move out of the home, their written statement would indicate where the individual will move to, and unannounced monitoring visits would be conducted to ensure that the individual no longer lives in the home. The caregiver who is determined to pose a risk to children can appeal the decision through an informal administrative review, or through a formal written request for an administrative hearing.

No.

<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>
--------------------------------	----------------------------------	------------------

**Center-Based Child Care**

Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers:

The Director, teaching staff, and any other staff, including volunteers, who are used to meet the staff-child ratios are required to undergo a criminal history and background check.

**Child Abuse Registry****State/Territory Criminal Background****FBI Criminal Background (e.g., fingerprint)****Sex Offender Registry****Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

**Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

**Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

If a caregiver has left the state for six consecutive months or more, or has not been doing child care for six consecutive months or more, then another fingerprint clearance is required.

**Initial Entrance into the System****Checks Conducted Annually**

Other.

		Describe:
--	--	-----------

**Group Child Care Homes**

Who is subject to background checks for group homes? For example, provider, non-provider residents of the home:

The provider, residents of the home, and any staff, including volunteers, who are used to meet the staff-child ratios are required to undergo criminal history and background checks.

**Child Abuse Registry****State/Territory Criminal Background****FBI Criminal Background (e.g., fingerprint)****Sex Offender Registry****Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

**Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

**Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

If a caregiver has left the state for six consecutive months or more, or has not been doing child care for six consecutive months or more, then another fingerprint clearance is required.

**Initial Entrance into the System****Checks Conducted Annually**

Other.



		Describe:
--	--	-----------

**Family Child Care Homes**

Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home:

The primary provider, all household members who are over 18 years old, and any staff are required to undergo criminal history and background checks.

**Child Abuse Registry****State/Territory Criminal Background****FBI Criminal Background (e.g., fingerprint)****Sex Offender Registry****Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

**Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

**Initial Entrance into the System****Checks Conducted Annually**

Other.

Describe:

If a caregiver has left the state for six consecutive months or more, or has not been doing child care for six consecutive months or more, then another fingerprint clearance is required.

**Initial Entrance into the System****Checks Conducted Annually**

Other.

		Describe:
--	--	-----------



### In-Home Child Care Providers

Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home:

Provider only



Child Abuse Registry



State/Territory Criminal Background



FBI Criminal Background (e.g., fingerprint)



Sex Offender Registry



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

Fingerprint checks through FBI and the State are conducted only on in-home providers who do not meet the definition of "relative" (grandparents, great-grandparents, uncles, aunts, and siblings over 18 years old who do not live with the subsidized child).



Initial Entrance into the System



Checks Conducted Annually



Other.

		Describe:
--	--	-----------

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

Site visits and background checks are required for licensed programs.

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

Yes.

Describe:

--

No.

**3.1.4 Describe the State/Territory's policies for effective enforcement of the CCDF health and safety requirements.**

Effective Date: 01-OCT-11

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

Site visits are not conducted for legally exempt providers (which includes center-based staff, primary caregivers in home-based settings, adult household members who live with primary caregivers, and in-home care providers) unless it is part of a complaint investigation. Also, legally exempt providers who care for children who receive child care subsidies are required to complete initial and annual criminal history and background checks. However, federally defined relatives do not have to undergo the FBI clearance, but they are required to complete an initial and annual state name check, child abuse registry check, and sex offender registry check.

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

Yes.

Describe

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

Yes.

Describe

No

Other.

Describe

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

Yes.

Describe

No

Other.

Describe

No

Other.

Describe

### 3.1.6 Data & Performance Measures on Licensing and Health and Safety

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

Effective Date: 01-OCT-11

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):

The department utilizes an electronic case management system that captures information about licensed providers statewide.

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

The department's electronic system 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):

The department's electronic system captures information about which program's license was revoked or suspended due to non-compliance.

Number of injuries and fatalities in child care as defined by the State/Territory.

Describe (optional):

Number of monitoring visits received by programs.

Describe (optional):

Caseload of licensing staff.

Describe (optional):

The department's electronic case management system captures information about which worker is assigned to a licensed setting.

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. However, as our state will be piloting a Quality Improvement and rating System (QIRs), some of the data collected may relate to areas of health and safety that would need to be addressed through licensing requirements.

### 3.1.7 Goals for the next Biennium -

Effective Date: 01-OCT-11

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



With reductions in staffing, there will be a need to evaluate whether licensing staff will be able to comply with set procedures for licensing visits and complaint investigations. In the evaluation, a determination will be made on how to adjust procedures, if necessary, without compromising the goal of licensing which is to ensure the health and safety of all children in care.

### **3.2 Establishing Voluntary Early Learning Guidelines (Component #2)**

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

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

Effective Date: 01-OCT-11

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

If yes, insert web addresses, where possible:

<http://uhfamily.hawaii.edu/publications/guides/DevelopmentalGuidelinesAndEarlyLearningActivities.htm>

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

Currently, the department has taken the lead to ensure that there are developmental guidelines.

However, the State Early Learning Council would ultimately be the lead to adopt and amend the early learning guidelines.

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

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

<p>Other. Describe:</p> <p>Although our state has a developmental guidelines that have already been adopted for children birth to three years old, there are early learning standards that are being finalized for children birth to five years old. The domains checked off reflect what is included in the draft of the early learning standards.</p> <p>The developmental guidelines and the early learning standards both address children ages birth to three years old, and are not competing documents nor does it contain contrary information. They may be used towards different target audiences.</p>	<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.

Effective Date: 01-OCT-11

	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.

Effective Date: 01-OCT-11

- 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.
  
- None.

**3.2.5 Are voluntary early learning guidelines aligned with into other parts of the child care system?** Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

Effective Date: 01-OCT-11

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

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

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

Effective Date: 01-OCT-11

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

Yes.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

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.

c-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.

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

All children.

Describe:

The assessment tool measures all children as an aggregate within a kindergarten classroom.

Samples of children.

Describe:

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

The assessment is used mainly as a way for kindergarten teachers to assess what the needs of their class is in order to provide extra support to their students in different areas. It can also provide early learning programs, in general, with information about areas that they can make improvements to bolster students' readiness in different 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 (Click for additional instructions)

Effective Date: 01-OCT-11

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? 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 will be included as part of the department's Quality Improvement and rating System.

### 3.2.8 Goals for the next Biennium -

Effective Date: 01-OCT-11

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

The department will work with the Early Learning Council to plan a strategy to infuse the early learning guidelines within the early learning system, from courses and training offered to caregivers/practitioners, and evaluation tools to assess children's progress and needs.

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

Effective Date: 01-OCT-11



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 department has contracted the University of Hawaii Center on the Family to develop and pilot the Quality Improvement and rating System (QIRs). The Center on the Family has partners that include individuals from the Honolulu Community College, Hawaii Association for the Education of Young Children, and People Attentive To Children that will assist in the process.

### 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.

Effective Date: 01-OCT-11

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.**

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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
School-age care	<input 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 practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
<table border="1" style="width: 100%;"> <tr> <td data-bbox="52 1928 424 1984">Other. Describe:</td> </tr> <tr> <td data-bbox="52 1984 424 2031">Cultural sensitivity.</td> </tr> </table>	Other. Describe:	Cultural sensitivity.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe:					
Cultural sensitivity.					

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 QIRs, there is a mandatory orientation session that describes the QIRs process, an overview of the assessment tools, and the many supports available to programs to achieve higher levels of quality. After a program is enrolled in the QIRs, the technical assistance is individualized to meet that program's needs. This is done following an initial assessment using the ERStools and then the development of a Quality Improvement Plan.

- 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.

Effective Date: 01-OCT-11

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.**

- None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers

<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input 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 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: <a href="#">In addition to the annual one-time awards or bonuses on completion of quality standard attainment there is a supplement of a set amount multiplied by the number of children receiving subsidies.</a>	<input checked="" type="checkbox"/>	<input checked="" 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.**

None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<p><input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments.</p> <p>After a program enrolls in QlRS, a baseline ERSassessment occurs. In order for a program to apply for the next level of QlRS, another ERSassessment would occur. This time frame would range from 2 months to 1 year.</p>	<p><input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input type="checkbox"/> School-Age</p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p><input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments.</p> <p>The first CLASS assessment occurs when a program applies for the next QlRS level following their initial placement on a QlRS level based on ERSscores. This time frame would range from 2 months to 1 year. If a program already has NAEYC accreditation when they initially enroll in QlRS, then their first CLASS assessment occurs within the first two months. The next CLASS assessment would occur within 2 years.</p>	<p><input checked="" type="checkbox"/></p>	<p>N/A</p>	<p><input type="checkbox"/></p>
<p><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.</p> <p>The first BAS/PAS assessment occurs when a program applies for the next QlRS level following their initial placement on a QlRS level based on ERSscores. This time frame would range from 2 months to 1 year. If a program already has NAEYC or NAFCC accreditation when they initially enroll in QlRS, then their first BAS/PASassessment occurs within the first two months. The next BAS/PASassessment would occur within 2 years.</p>	<p><input checked="" type="checkbox"/></p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>

<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

- Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
- Include QRIS or other quality reviews as part of licensing enforcement
- Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Other.  
Describe:

None.

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

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

Effective Date: 01-OCT-11

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)

Effective Date: 01-OCT-11

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,**

Effective Date: 01-OCT-11

**please describe:**

[N/A.](#)

**3.3.8 Data & Performance Measures on Program Quality** (Click for additional instructions)

Effective Date: 01-OCT-11

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:

[For programs that participate in the QIRs pilot.](#)



Number of programs that move program quality levels annually (up or down).

Describe:

[For programs that participate in the QIRs pilot.](#)



Program scores on program assessment instruments.

List instruments:

[PAS/BAS; ERS.](#)

Describe:

Tools planned for use in QIRs to determine areas of strengths and areas that need improvement.



Classroom scores on program assessment instruments.

List instruments:

CLASS

Describe:

Tool planned for use in QIRs to assess strengths and areas of improvement.



Qualifications for teachers or caregivers within each program.

Describe:

The Provider Registry will be utilized to collect and report data.



Number/Percentage of children receiving CCDF assistance in licensed care.

Describe:

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:

Data will be collected for programs participating in the QIRs pilot.



Other.

Describe:

Data will also be collected for Family Child Care Providers enrolled in the Quality Care Program who receive training and technical assistance (as not all will enroll in the QIRs) and center-based programs enrolled in the Hawaii Early Childhood Accreditation Project.



None.

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

The information collected with the assessment tools (i.e. CLASS, ERS, PAS, BAS) and other measures (i.e. NAEYC and NAFCC accreditation) will be used to determine the current areas that need improvement, and a re-evaluation using the tools would determine that the area has improved.

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.

The QIRs will be piloted in the Spring of 2012. This pilot is addressing the following issues:

- Cost Analysis of various improvement efforts (Quality grants, coaching, training opportunities) and the degree of change associated with them.
- Threshold cores on standardized tools and practitioner Registry level for QIRs 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 QIRs purposes.
- Evaluation of effectiveness of QIRs design in promoting desired quality improvement outcomes for licensed programs.

### 3.3.9 Goals for the next Biennium -

Effective Date: 01-OCT-11

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 Pioneer QRIS states is released, revisiting our standards to ensure they are the best predictors of quality in an early childhood education program. During the pilot it will be assessed 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 out indicators of quality.

Supports to programs to improve quality: As the QIRs pilot is conducted, documenting and defining the best methods of coaching delivery and support for programs. During this time, there will also be the goal of identifying the supports that exist within programs. We will help programs develop so that in the long-term they will be able to provide the coaching to their practitioners with QIRs support.

Financial Incentives and Supports: Look for outside, private funding to add to the monies available to programs applying for Quality Improvement grants to aid in their progression to the next QIRs level.

Quality Assurance and Monitoring: Modify and maintain the Quality Care Program data management system to include the information collected for QIRs purposes.

Outreach and Consumer Education: As the pilot moves to statewide implementation, the outreach of programs to enroll in QIRs will begin. A marketing and public awareness campaign will be developed for both programs and consumers.

### **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

Effective Date: 01-OCT-11

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 body responsible for crafting 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.

Effective Date: 01-OCT-11

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:

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

Child growth, development and learning

Health, nutrition, and safety

Learning environment and curriculum

Interactions with children

Family and community relationships

Professionalism and leadership

Observation and assessment

Program planning and management

Diversity

Other.

Describe:

None.

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (as reported in section 3.3)
- To define the content of training required for the career lattice or credential
- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other.

Describe:

None.

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other.

Describe:

None.

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

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

Describe:

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.

Effective Date: 01-OCT-11

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 document that specifies increasing education, training, and experience requirements for a career lattice. However, 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.**

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b) Check for which roles, if any, the career pathway (or lattice) 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 pathway (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 levels 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.

Effective Date: 01-OCT-11

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.

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 to make it available and accessible to all communities.

No.

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

Standards set by the institution

Standards set by the State/Territory higher education board

Standards set by program accreditors

Other.

Describe:

None.

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

Training approval process.

Describe:

Trainer approval process.

Describe:

Training and/or technical assistance evaluations.

Describe:

Other.

Describe:

None.

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

Yes.

If yes, describe:

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.

Effective Date: 01-OCT-11

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 expected to be the clearinghouse for all ECE workforce and professional development information. Full implementation of the website is expected in 2013.

No.

[www.canoeshawaii.net](http://www.canoeshawaii.net)

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 contractor for courses in ECE.

Free training and education.

Describe:

The department's contractor offers community-based training 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 Provider Registry.](#)

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.

Effective Date: 01-OCT-11

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).

Effective Date: 01-OCT-11

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 the 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 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 is required to be submitted to the Provider Registry as it relates to qualifying for positions in a licensed preschool or infant/toddler center.

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

Describe:

Information about each director's education, training, and experience is required to be submitted to the Provider Registry as it relates to qualifying for positions in a licensed preschool or infant/toddler center.

Administrators in centers (including educational coordinators, directors).

Describe:

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

Describe:

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

Describe:

Other.

Describe:

None.

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

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

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

No.

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

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 QIRs will utilize CLASS as one of the tools to evaluate the workforce and professional development of practitioners.

### 3.4.7 Goals for the next Biennium -

Effective Date: 01-OCT-11

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

The goal of the department is to seek ways to support practitioners who work directly with children through accessibility to training and higher education courses, evaluation of their interaction with children to determine additional supports (i.e. coaching and mentoring, training, etc.) that the practitioner may need.