

Overall comment:

- In general, the differences in tense and wording of questions make it very confusing whether the questions refer to current activity, planned future activity or past activity.
- Instead of designing questions/check boxes based on the type of answers that have been given in the past, OCC should look at what information they want/need and what type of question/check boxes would give that information.
- Definitions are needed for all terms in order to be able to accurately aggregate data from states.
- Suggest using “Yes” and “No” boxes instead of single checkbox to ensure each question is answered.
- Wherever possible, separate checkbox responses into single points rather than statements containing multiple or conditional points.
- Suggest making it clear which questions are tied to quality measures for OMB.

Part 1 Comments

- **1.2.1 (p. 4)** asks for an estimate of the amounts of State Match and MOE funds; **1.2.2** asks for a listing of the source of the MOE/Match. We recommend combining these questions by adding a sub question to the State funds amounts that also requires the breakdown of the amounts based on the sources of MOE/Match.
- **1.3.2 (p. 6)** In many States there are differences between child care eligibility for welfare families (that is not TANF direct spending) and those who have never been on welfare. I would ask all these questions twice (create two sets) because a lot of states have two separate systems. Need to say, do you have two different systems, fill out second repeat questions, if not, just do first set.
- **1.4. CCDF Program Integrity and Accountability**
 - There seems to be some duplication. There should be a way to streamline this section and get at all issues related to program integrity and accountability. Especially items 1.4.1, 1.4.2, 1.4.3, and 14.6. Consider compiling one list of known practices regarding program integrity and accountability and asking states to check which are applicable and add others as necessary.
 - 1.4.3 - We suggest adding definitions of “Administrative Error” and “Fraud” so that states will consistently answer this question.
 - 1.4.3 - We suggest including training front line staff on policies, and audit of the agencies (private and public implementing direct services).
- **1.5 Consultation in the Development of the CCDF Plan and 1.6 coordination of Activities to Support the Implementation of CCDF Services.**
 - 1.5.1 Add columns requiring the specific name of the agency consulted, and the means by which the consultation took place (e.g. “strategic planning efforts prior to the State Plan”, “public comment”, “participation in writing process”, “verbal input”, “written review”, “participation in internal meeting(s) specific to review of State Plan” and/or other specific items from previous pre-prints.)
 - 1.5.1 - child care licensing, where subsidy agency is not also the licensing agency should be included in this list (sometimes licensed is under health and other times under human services). Special needs is listed under Education, but early intervention is sometimes under health.
 - 1.5.2 - We suggest adding a question about the role of other entities in the review/approval the plan before submission. For instance in some States the finance agency/department can make changes to the plan developed by the Lead Agency.
- **1.6.1 Phrase in the present tense to avoid confusion. Separate each agency/entity category into individual rows** (e.g. separate row for local human services, education and public health) to get more specific information.

Add column requiring the specific name of the agency that was coordinated with. Ask if the resulting coordination was local or statewide.

- **1.6.2 and 1.6.3** – formal plan and entity responsible for coordination. One question is asking about early childhood and in the other is asking about early childhood and school-age. We suggest that one term is used consistently because in many States there are multiple coordinating bodies and they work on separate parts of the system (e.g. one for school age and one for early childhood services).
 - It is entirely possible that a state could have a formal coordination plan for both (joint plan) OR a formal plan for each (separate plans).
 - It is also possible that there is a designated entity responsible for both OR one or the other.
 - Suggest combining the questions and adding a series of checkboxes to capture each type (SAC, other council, public/private partnership, task force, commission, other, none) and for each type the scope (early ed, school age, both/combined, neither) and related responsibilities (statewide strategic plan, policy implementation, policy decision-making authority)
 - It would be good to include a definition of a formal “early childhood (and school age?) coordination plan”.

Part 2 Comments

- **2.1.1- 2.1.10 (p.14-17)** -- need to distinguish the answers in this whole section as to whether these are parents who are on welfare or who have left welfare/working poor. A lot of states have two totally different systems. It might be good to give states option of telling us they have two different systems. We suggest that question 2.1.10 (p. 17) be the first question in this section. In some the States that serve primarily TANF families and their children (e.g. CA, TN) the process described in this section may not apply to the majority of the children being served if they are describing the process for non-TANF families.
- **2.1.3** –This question may not provide the level of detail desired. Suggest deleting this question here and gathering more specific information regarding parent/consumer engagement and quality assessment by type of provider through Part 3.
- **2.1.6 (p. 16)** first line re: job search, add: If yes, for how long?
- **2.2 (p.18)** – We suggest changing the language in the paragraph “in order to be eligible...if the child is physically or mentally disabled” to “if the child a physical or mental disability”. Similarly, we suggest changing the language in the question **2.2.2 b** to “who have physical or mental disability and are unable to self-care”
- **2.2.1 (p. 18)** The part about “residing with” seems to be redundant with question 2.2.3.
- **2.2.5 d and f (p.20 -21)** -- We suggest clarifying the difference in data source for Territories.
- **2.2.5 e (p. 21)** -- In addition to asking about tiered eligibility for entry and exit, we suggest that a separate question be asked regarding any differences in eligibility income level that are based on other criteria (e.g. children with special needs, TANF families) .
- **2.3.6 (p. 23)** add “federal” before poverty level.
- **2.4.1** Suggest broadening question to “How does the agency prioritize child care services?” and including additional checkboxes that would include waitlist data from 2.4.3, and more detailed options for 2.4.4 regarding other populations such as homeless children, children with open child welfare cases, foster children, etc. Could also just replace “very low incomes” with “at or below the federal poverty level” to avoid confusion.
- **2.5.6 (p.27)** - We suggest separating out how substantiated complaints are kept for licensed care and for license exempt programs receiving subsidy. This may be a completely separate process for States.
- **2.6.5 (p. 28)**- Suggest rephrasing to understand what % of all slots are funded at or above the 75th percentile based on the last MRS, and at various points below that (50th, 25th), with required total=100%.

- **2.6.6 (p.29)** - We suggest clarifying in this section as to whether only rates are being discussed or whether you are really talking about bonuses or premiums outside of the rate structure. Some states it is built into the rate, other places it is stacked on top of rate. Could also combine and/or connect this question with 2.5.1 if desire is to understand more about how payments are made and for what purpose.

Part 3 Overall Comments

- All of NCCIC's comments are based on data collection, review of State activities in response to Federal and State requests, and direct work with States.
- The use of terms such as benchmarks, goals, performance indicators, and outcomes are not clear. A glossary would be helpful to distinguish among them and ensure the most useful, comparable and consistent responses.
- We suggest including a clear definition of the word alignment because that can be interpreted by grantees very differently and could lead to inconsistency in the reported data.

Section 3.1 Comments

Licensing Data Source

Overall comment is that much of the data that the Preprint collects about licensing is already compiled in the Child Care Licensing Study and need not be duplicated here. Some reasons for this include:

- Licensing and subsidy functions are only in the same agency and division in 26 States and only **five States** have a CCDF Administrator who is also the director of child care licensing. In the remaining States these two functions are overseen by different people in different agencies. While the CCDF Administrator in those States may answer the questions, the answers will not be from a direct source, and their reliability is therefore less than other surveys that require direct responses from the licensing entity.
- The Child Care Licensing Study provides more reliable data from direct sources with information and knowledge about States' licensing systems – reading the States' regulations posted on the NRC Web site and a survey of licensing agencies conducted by the National Association for Regulatory Administration (NARA). The regulations are the primary source for understanding States' requirements for providers; licensing administrators are the most knowledgeable about their States' systems and have access to data that other agencies may not. In addition, this information is updated frequently and published and reviewed [annually??].
- The removal of these questions from the preprint could allow for the addition of other questions regarding license-exempt providers (e.g. the processes, requirements, and enforcement methods States have developed for assuring these providers are in compliance with health and safety and other requirements). This information is not collected in any systematic way.

Definition of child care settings

Provide specific and consistent terms and definitions of each type of care to increase the reliability of the data. The States use a variety of terms for how they define and the different child care setting/arrangements.

- Requirements for in-home care may differ based on whether the in-home provider is a relative or not. In some States the requirements vary based on four categories of license exempt for this group: in-home relative, in-home non-relative, out of home relative, out of home non relative.
- The preprint restricts the answer based on four categories of care and in some cases these don't align well with categories established by the States for the purpose of establishing health and safety requirements. In previous years States have provided information in the in-home care about their requirements for license-exempt out of the home care because they interpret this question as home-based care (e.g. license exempt FCC, relative care in the relative's home). Even with the definition is provided there is still a lot of confusion between in-home and home-based.

Suggest using the following categories (in combination or alone) and providing specific definitions of each:

1. Relative (in child's home)
2. Relative (in provider's home)
3. Nonrelative (in child's home)
4. License-exempt family child care (nonrelative in provider's home)
5. Licensed family child care
6. Child Care Center

The following are comments on some of the draft Preprint questions:

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

■ 3.1.1b - Child Care Centers (p. 31- 32)

Suggest adding "Centers operated on military installations or operated by the Department of Defense" as a category of exemptions.

■ 3.1.1b - Family Child Care Homes (page 32)

- ◆ Suggest adding questions about the type of process that States/Territories have for family child care homes that are exempt from licensing, but are receiving CCDF payments.

Does your State/Territory require license-exempt family child care home providers participate in a regulatory process in order to receive CCDF payments?

- Yes
- No

If Yes, what is this process called?

- Registration
- Certification
- Other. Describe: _____

If Yes, what does this process entail? (check all that apply)

- Provider attends an orientation meeting prior to applying
- Provider submits an application
- Provider submits references
- Provider's home is inspected
- Provider completes a self-certification form/checklist to show compliance with health and safety requirements
- Other. Describe: _____

(Other common parts of the process are background checks, health statements – but those questions are asked in another section)

■ 3.1.1b - In-Home Providers (page 33)

- ◆ There are no States/Territories where in-home providers are subject to licensing. Suggest adding questions to gather information about the type of process that States/Territories have for in-home providers receiving CCDF payments. In previous years States have provided information in this section about their requirements for license-exempt out of the home care because they interpret this question as home-based care (e.g. license exempt FCC, relative care in the relative's home). Even with the definition presented there is still a lot of confusion between in-home and home-based.

Does your State/Territory require in-home providers to participate in a regulatory process in order to receive CCDF payments?

- Yes
- No

If Yes, what is this process called?

- Registration
- Certification
- Other. Describe: _____

If Yes, what does this process entail? (check all that apply)

- Provider attends an orientation meeting prior to applying
- Provider submits an application
- Provider submits references
- Parent's home is inspected (care is provided in child's home)
- Provider and parent complete a self-certification form/checklist to show compliance with health and safety requirements
- Other. Describe: _____

(Other common parts of the process are background checks, health statements – but those questions are asked in another section)

3.1.2 Enforcement of Licensing Requirements

- Data about States'/Territories' use and frequency of announced and unannounced visits to enforce licensing regulations and background checks are collected in the Child Care Licensing Study. These data are collected from the survey of licensing agencies conducted by NARA.
- Suggest that this section have these same questions (pp. 33-37), but have the focus be on whether providers receiving CCDF payment that are **exempt** from licensing are subject to inspections and background checks. That information is not collected anywhere else.
- In addition, the NARA survey for the Child Care Licensing Study includes questions about whether states have posted licensing information on the Internet for parents and the public.
- If data on licensed programs is collected in this section, we suggest including a final category of other and ask them to describe, because for example, CA is longer than once every two years. This section seems to have cut off the line of Other. Describe.

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

■ 3.1.3a - Prevention and Control of Infectious Disease (pp. 37-38)

- ◆ All of this information for licensed providers is collected in the Child Care Licensing Study. The data are compiled from the regulations posted on the NRC Web site. Suggest that this question focus on the requirements for providers receiving CCDF payments that are exempt from licensing regulations and are subject to other standards set by the State/Territory. That information is not collected anywhere else.

■ 3.1.3b - Building and Physical Premises (pp. 38-39)

- ◆ All of this information for licensed providers is collected in the Child Care Licensing Study. The data are compiled about health and fire inspections from the NARA survey; the remaining data are compiled from the regulations posted on the NRC Web site. Suggest that this question focus on the requirements for providers

receiving CCDF payments that are exempt from licensing regulations and are subject to other standards set by the State/Territory. That information is not collected anywhere else.

- ◆ Suggest adding a category to this question about emergency plans.

■ 3.1.3c - Health and Safety Training (pp. 39-41)

- ◆ All of this information for licensed providers is collected in the Child Care Licensing Study. The data are compiled from the regulations posted on the NRC Web site. Suggest that this question focus on the requirements for providers receiving CCDF payments that are exempt from licensing regulations and are subject to other standards set by the State/Territory. That information is not collected anywhere else.

■ 3.1.3c (p. 39) - “pre-service” needs to be defined if it means prior to employment or people will include the orientation that is more commonly offered within the first days/week of employment

■ 3.1.4 (p. 41, 2nd box) - 3.1.4 (p. 41, 2nd box) - States would not necessarily know the number of exempt programs. Could be clarified to say “legally exempt receiving CCDF subsidy funding”? Similarly, question 1.2.5 (p.63) asks about how many legally exempt providers were brought into licensing. Need to clarify how a state would quantify this if they are not aware of the provider’s prior operating status. Given the ambiguity, it may not be worth tracking until further information is provided regarding State’s knowledge of providers operating on a license-exempt basis.

■ 3.1.4 (p. 41 , 4th box) Injuries should be separated from fatalities. Both good statistics but very different in severity.

Section 3.2 Comments

■ 3.2.5 and 3.2.6 (page 43) - Combine questions 3.2.5 and 3.2.6 and focus on how standards are used to complement other standards.

Are early learning guidelines aligned with other standards and used in the following ways:

- 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 require programs in licensing standards to develop curriculum/learning activities based on the ELGs.
- To require programs in quality improvement standards to develop curriculum/learning activities based on the ELGs.
- To develop State approved curricula.
- To define the content of training required for the career lattice or credential.
- Crosswalked to Head Start Outcomes Framework
- Crosswalked to K-12 content standards
- Crosswalked or used as State Pre-K standards
- Other. Describe: _____

Section 3.3 Comments

■ 3.3.1 Do your State/Territory’s quality improvement standards (expectations for quality *above licensing standards*) include indicators that cover the following areas?

Program Standards Indicators	Yes	No, covered adequately in Licensing	No, not seen as a priority at this time	No, for other reasons (describe below)	Does the answer to the left apply to all settings and age groups
Ratio and group size	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health and safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Curriculum and instruction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learning environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Director, teacher, and family child care provider qualifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Family partnerships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administration and management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Child assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cultural and linguistic diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community involvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Teacher/child interaction</i>	<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"/>	<input type="checkbox"/>

- b) For each “**No, for other reasons**” response in the question above, please describe why the area is not included in your quality improvement standards. _____
- c) How do your State/Territory’s quality standards link to State/Territory 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 include provisions about the care of these groups of children?
- Children with special needs?
 - Infants and toddlers?
 - School-age children?
 - Children who are dual language learners?
 - Other. Describe: _____

- e) Quality improvement standards are aligned with other State/Territory or National program standards in the following ways:
- Programs that meet State/Territory prekindergarten standards are able to meet all or part of the quality improvement standards (for example, content of the standards are the same, or there is a reciprocal agreement between prekindergarten 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 (for example, content of the standards are 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 (for example, content of the standards is equivalent or an alternative pathway to meeting the standards)
 - Other. Please describe other ways that quality improvement standards are aligned with other program standards. _____

3.3.2 Element 2 - Non-Monetary Supports (page 45)

a) The State/Territory uses the following methods to support child care programs improving quality.

<i>Areas of Support</i>	<i>Information or Written Materials</i>	<i>Training</i>	<i>On-Site Consultation</i>
Attaining and maintaining licensing compliance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attaining and maintaining quality improvement standards above licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attaining and maintaining accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing targeted TA in specialized content areas:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Infant/toddler care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School-age care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business management practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Describe)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) Methods are used to *customize* quality improvement supports to the needs of individual programs.

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

3.3.3 Element 4 - Financial Incentives and Supports

b) The State's financial incentives for program quality improvement:

- Are designed to help programs achieve specific aspects of the quality improvement standards
- Are awarded based on individualized program quality improvement plans
- Prioritize direct financial support to practitioners based on their employer's participation in quality improvement activities
- Prioritize available funding for providers who serve children receiving CCDF financial assistance (subsidy)
- Are limited to only programs serving children receiving CCDF financial assistance (subsidy)
- Provide a higher level of CCDF rate reimbursement (through tiered reimbursement or quality grants) to providers meeting specific quality improvement standards
- Include incentives for parents receiving CCDF financial assistance to choose higher quality programs (e.g. co-pay fees that are not based on cost of care)
- Include other incentives for parents, providers, practitioners and businesses to support or participate in higher quality programs, such as tax credits, loan forgiveness, etc.
- Other. Describe _____

3.3.4 Element 4 - Quality Assurance and Monitoring

Either in addition to or in lieu of b), suggesting that this question be included to articulate whether State/Territory policy includes alignment across sectors to reduce duplication in quality assurance monitoring:

b) Has the State/Territory taken any of the following steps to align quality assurance and monitoring across funding streams and sectors?

- Have a mechanism to track the various quality assessments/monitoring to avoid duplication?
- Expand licensor job responsibilities to include QRIS or other quality reviews
- Have compliance monitoring in one system (e.g. Head Start) serve as validation for compliance with another quality improvement initiative or funding stream (e.g. QRIS or state Pre-K) without further review
- Other. Describe: _____

Suggesting that these two questions are added to get more details about how assessments are conducted.

c) Do the methods used to assess and monitor program quality in your State/Territory have the following characteristics?

- Assessments are administered by trained, reliable assessors Assessor reliability is routinely monitored and addressed.
- Assessments are conducted at regular intervals?
- Other. Describe: _____

3.3.5- Outreach and Consumer Education

a) Under "Yes. If yes, how is it used?", add:

- Is the searchable database connected to licensing/compliance data referenced in 3.1.2 d)?

Section 3.4 Comments

Suggested edits to the PD elements and to most of the questions in this section based on the approach that States currently take to building professional development systems.

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

- 1) Core knowledge and competencies
- 2) Career Pathways – career Lattice, qualifications, credentials
- 3) PD Capacity Building – articulation; PD specialist development; faculty development
- 4) Financial Incentives and supports
- 5) Quality Assurance Financial Incentives and supports
- 6) Governance

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

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

- Yes
- No, the State/Territory has not developed core knowledge and competencies. Skip to question 3.4.2.
- Other: ____
Insert web addresses, where possible:

b) Check which of the following teaching and learning topics are covered in the CKC's:

- Child growth and development
- Health, safety, and nutrition
- Learning environment and curriculum
- Interactions with children
- Family and community relationships
- Professionalism and Leadership
- Observation and Assessment
- Program Planning and Management
- Diversity
- Other

c) Are CKCs aligned and used in the following ways with other State/National Standards:

- 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 credential
- To correspond to the early learning guidelines
- To provide the basis of articulation (For example, articulation of higher education courses/programs/degrees or articulation of training/credentials across state lines)
- Crosswalked with CDA competencies,
- Crosswalked with NAEYC/NCATE standards
- Crosswalked with National Board of Professional Teaching Standards,
- Crosswalked with Head Start SOLAR staff skills indicators

- Crosswalked with apprenticeship competencies
- Other. Describe: _____

d) Has the State/Territory developed supplemental or specialized competencies for any of the following roles? Check all that apply.

- Director/administrator
- TA specialist (e.g. infant/toddler specialists, inclusion specialists, trainers, TA provider)
- Afterschool/youth professionals
- Infant/Toddler teacher
- Family Child Care
- Other. Describe: _____

f) Are there mechanisms and processes to ensure that the CKCs remain appropriate and current (for example, incorporate new research-based criteria; are required to be reviewed and updated on a regular basis; etc.)?

- Yes. Describe.
- No.

3.4.2 Workforce Element 2 - **Career Pathways**

Definition – For purposes of this section, career pathways defines the options and sequence of qualifications to work with children. Career pathways assist professionals in understanding the professional possibilities, planning for the achievement of increased qualifications, and linking advancement to appropriate compensation.

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 and on behalf of young children?

- Yes.
- No, the State/Territory has not developed a career pathway. Insert web addresses, where possible:

c) The career lattice includes qualifications and levels for the following:

- Those who work directly with children (teaching roles: aides, teaching assistants, lead teachers, master teachers)
- Family Child Care (combination of teaching and administrative)
- Directors/administrators
- TA providers
- Education and Training Staff
- Other. Describe: _____

b) Does the State/Territory career pathway that includes credentials in the following areas? Check all that apply.

- Infants and toddlers
- Preschoolers
- School-age children
- Director/administrator
- Dual or multiple language learners
- Inclusion
- Family child care
- TA provider/specialist
- Other. Describe: _____

c) The career lattice is used in the following ways:

- Levels in the career lattice are used as the staff qualifications standards in licensing requirements (For example, to meet licensing requirements, a director must meet qualifications that are equal to a level on the career ladder)
- Levels in the career lattice are used as the staff qualifications indicators in program quality improvement standards (For example, to meet quality improvement standards, a center teacher must meet qualifications that are equal to a level on the career ladder)
- Levels in the career lattice include required Head Start staffing qualifications for all roles
- Levels in the career lattice include Prekindergarten staffing qualifications and/or Early Childhood teacher certification requirements
- Levels in the career lattice include qualifications for early intervention (EI) staff
- Levels in the career lattice include qualifications for early childhood special education teachers
- Levels in the career lattice include PD specialists as defined by NAEYC and NACCRRA
- Levels in the career lattice apply to practitioners working in programs that receive public funds to serve children birth to age 13
- Levels in the career lattice apply to professional development specialists (those that provide training, education, and/or technical assistance).
- Other. Describe: _____

d) How are college ECE courses/degree programs included in the Professional Development System?

- College courses count on the career lattice
- College courses count toward the requirements for credentials

3.4.3 Workforce Element 3 – Professional Development Capacity Building

Higher Education Capacity

Definition – For purposes of this sub section, 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 young children.

a) Mapping professional development capacity

- Has the State/Territory assessed the availability of T/TA, courses, and related degree programs in the state (for example, location--both physical location and distance-based, degree level(s), etc.)?
- Is there a system (web-based or other) that informs practitioners of the availability of T/TA, courses, and degrees, including those that transfer between and among colleges and universities?
- Does the State/Territory have career advisors for the workforce?
- Does the PDS include leadership development activities that help practitioners become trainers, TA providers, and faculty?

b) Articulation

- Is there a statewide process or system of articulation among Institutions of Higher Education? Describe
- Are represents of IHE members of PDS advisory councils?
- Does the State have a system or process for articulating community based training to college credit
- Has CCDF been used to support faculty or course/degree development or articulation planning or processes?

Training and Technical Assistance Capacity

Definition: Training and technical assistance capacity refers to capability of the training and technical assistance offerings to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of young children.

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

- Yes. If yes, are there areas of specialization offered to practitioners? Check all that apply:
 - Health
 - Infant/toddler
 - School-age care
 - Inclusion
 - Mental health
 - Family, friend, and neighbor caregivers
 - Business management practices for directors
 - Other. Describe:
- No

b) Does the State/Territory offer peer groups, training or education program cohorts, and/or other peer support networks to support the workforce?

- Yes. Describe
- No.

c) Does the State have a coordinated system of Technical assistance (e.g. TA Networks)?

- Yes. Describe
- No.

Access

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

a) Is the State/Territory professional development system designed to serve professionals in various or all sectors of the early childhood field?

- Yes. If yes, check all sectors that apply.
 - Child care
 - Head Start/Early Head Start
 - Pre-kindergarten
 - Public schools
 - Early intervention/special education
 - Other. Describe
- No. Describe the target sector(s) of the State/Territory professional development system.

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about opportunities in professional development and higher education available to all members of the early childhood and school-age workforce?

- Yes. Describe.
- No

Insert web addresses, where possible:

3.4.4 Workforce Element 4 - Financial Incentives and Supports

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

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

- Yes. Describe
- No

b) 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. Describe
- No

c) Does the State/Territory have a program to offer or facilitate access to benefits (for example, health insurance coverage, retirement, etc.) to the workforce?

- Yes. Describe
- No

d) Does the State/Territory's QRIS (if checked yes to 3.3.6a) include activities linked to compensation or benefits?

- Yes. Describe
- No.

e) Does the State/Territory provide any of the following financial supports for training and education? Check all that apply.

- Scholarships and grants
- Reimbursement for training expenses (for example, for travel and supplies)
- Loans
- Loan forgiveness programs
- Substitute pools
- Support for directors
- Other. Describe

3.4.5 Workforce Element 5 - Quality Assurance

a) What quality assurance mechanisms are in place for the degree programs and courses offered by the state institutions of higher education? Check all that apply.

- Institution standards/processes
- Standards/processes set by the state higher education boards
- Standards/processes set by institution and/or program accreditors (national or regional, etc.). Describe.
 - All credit bearing courses and degree programs are regionally accredited
 - All credit bearing courses and degree programs are NCATE/NAEYC accredited
- Other. Describe.

b) Does the State/Territory track degree completion or attrition rates?

- Yes. Describe
- No.

c) What quality assurance mechanisms are in place for the trainings and technical assistance programs offered? Check all that apply.

- Trainer approval processes
- Training approval processes
- Technical Assistance approval process
- System of orientation or adult learning theory requirement
- Credentialing system
- System of ongoing support

- System for evaluating trainings and/or technical assistance
- Other. Describe.

3.4.6 Workforce Element 6 - Governance

- a) How does the professional development system advisory structure operates in the State/Territory?
- There is a single State/Territory advisory structure for the professional development system
 - There are multiple advisory structures for the State/Territory professional development system.
 - The professional development system advisory structure is a subcommittee or workgroup of the overarching State/Territory early learning or SAC advisory council.
 - There is not an advisory structure for the State/territory professional development system.

- b) Which sectors of the early childhood field are part of the advisory body? Check all that apply.

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

- c) Has the advisory structure developed or approved any of the following planning and communication mechanisms for the State/Territory professional development system? Check all that apply.

- Mission statement
- Vision statement
- Goal(s) statement
- Strategic plan. Provide link if available
- Progress Report
- Other. Describe

Insert web addresses, where possible:

- d) What is the Lead Agency's role on or relationship with the professional development advisory structure?

- Funds
- Staffs
- Leads
- Other. Describe:

3.4.7 Data & Performance Measures on the Child Care Workforce and Professional Development System - What data elements is the State/Territory currently collecting on the child care workforce? What performance measures does the State/Territory use to determine its progress on professional development and workforce initiatives?

- a) **Data collected on the child care workforce.** At a minimum, indicate if the Lead Agency or a partner agency collects:

- Data on the size of the child care workforce
- Data on the demographic characteristics of practitioners working directly with young children
- Records of individual practitioners and their qualifications
- Records of individual professional development specialists (those that provide training, education, and/or technical assistance) and their qualifications
- Qualifications of practitioners linked to the programs in which they teach
- Number of scholarships awarded
- Number of individuals receiving bonuses or other financial rewards or incentives
- Number of credentials and degrees conferred annually
- Data on T/TA completion or attrition rates
- Data on degree completion or attrition rates

- Other. Describe

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?

Definition- For purposes of this section, a workforce and professional 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, QRS, wage incentives, and credentials.

- Yes. If yes, which roles are included in the workforce data system? Check all that apply.
 - Practitioners working directly with children in centers or schools (including aides, assistant teachers, teachers, and master teachers). Describe
 - Practitioners working directly with children in family child care homes (including aides, assistants, and providers). Describe
 - Administrators in centers or schools (including educational coordinators, directors, principles, etc.). Describe
 - Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.) Describe
 - Education and training staff (such as CCR&R staff, trainers, faculty, etc.). Describe
 - Other. Describe

c) **Performance Measures.** What performance measures does the State/Territory use to track progress in its workforce and professional development systems?

d) **Evaluation.** What are the Lead Agency's plans for evaluation related to its workforce and professional development system? 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. (Please refer back to specific sub-sections of 3.4 as appropriate).

Goals for the next Biennium - What are the State's/Territory's goals for building the professional development system and improving conditions for the workforce in the coming biennium? Consider projected progress across the elements of the workforce and professional development system described above as well as the system mission, vision, goals and strategic plans (as appropriate), and offer as many specifics as possible (e.g. implement wage supplement program, develop articulation agreements, increase the number of BA graduates of early childhood programs by 10%, etc.).

New Section Recommendation

Section 3.5 - Data Systems Integration

3.5.1 - Program Data

a) The State/Territory has established a unique program identifier that applies to establishments in all sectors of the ECE system.

- Yes. Describe
- No.

b) The State/Territory data system (single or linked system) is based on a single set of data definitions for key elements of program structure (i.e. elements that have been selected from across the existing data systems of programs of differing auspices).

- Yes. Describe
- No.

c) The State/Territory data system (single or linked system) includes data for

- licensed or regulated center-based child care

- license-exempt or regulation-exempt center-based child care
- licensed or regulated home-based child care.
- license-exempt or regulation-exempt home-based child care.
- Head Start programs.
- Childhood programs located in public schools.
- Early childhood programs located in private school
- Early childhood programs operated by an early intervention services provider
- Before-or after-school program

3.5.2. Practitioner data

a) The State/Territory has established a unique practitioner identifier that applies to practitioners in all sectors of the ECE system.

- Yes. Describe
- No.

b) The State/Territory data system (single or linked system) is based on a single set of data definitions for key data elements on practitioners (i.e. elements that have been selected from across the existing data systems of practitioners working in programs of differing auspices).

- Yes. Describe
- No.

c) The State/Territory data system (single or linked system) includes data for

- Practitioners in licensed or regulated center-based child care
- Practitioners in license-exempt or regulation-exempt center-based child care
- Practitioners in licensed or regulated home-based child care.
- Practitioners in license-exempt or regulation-exempt home-based child care.
- Practitioners in Head Start programs.
- Practitioners in childhood programs located in public schools.
- Practitioners in early childhood programs located in private school
- Practitioners in early childhood programs operated by an early intervention services provider
- Practitioners in before-or after-school program

3.5.3 Using Data to Inform Quality Improvements

a) The State/Territory links and analyzes data on practitioners and programs to inform quality improvement.

- Links the unique practitioner ID to the programs in which the individual is/has been employed.
- Regularly reports on practitioner characteristics by program, including education, experience, and turnover.
- Regularly reports on the supply and quality of early childhood education and school age care programs, including the number and proportion of programs meeting specific levels of quality as may be articulated in a QRIS.
- Regularly reports on enrollment of specific populations of children in what type of program and what level of program quality, including available information on family income and work status, child care subsidy, dual language learners, and children with disabilities.
- Regularly reports on the number of practitioners and programs receiving funding and specific quality supports (e.g. training, quality grants, and scholarship assistance) through CCDF.

