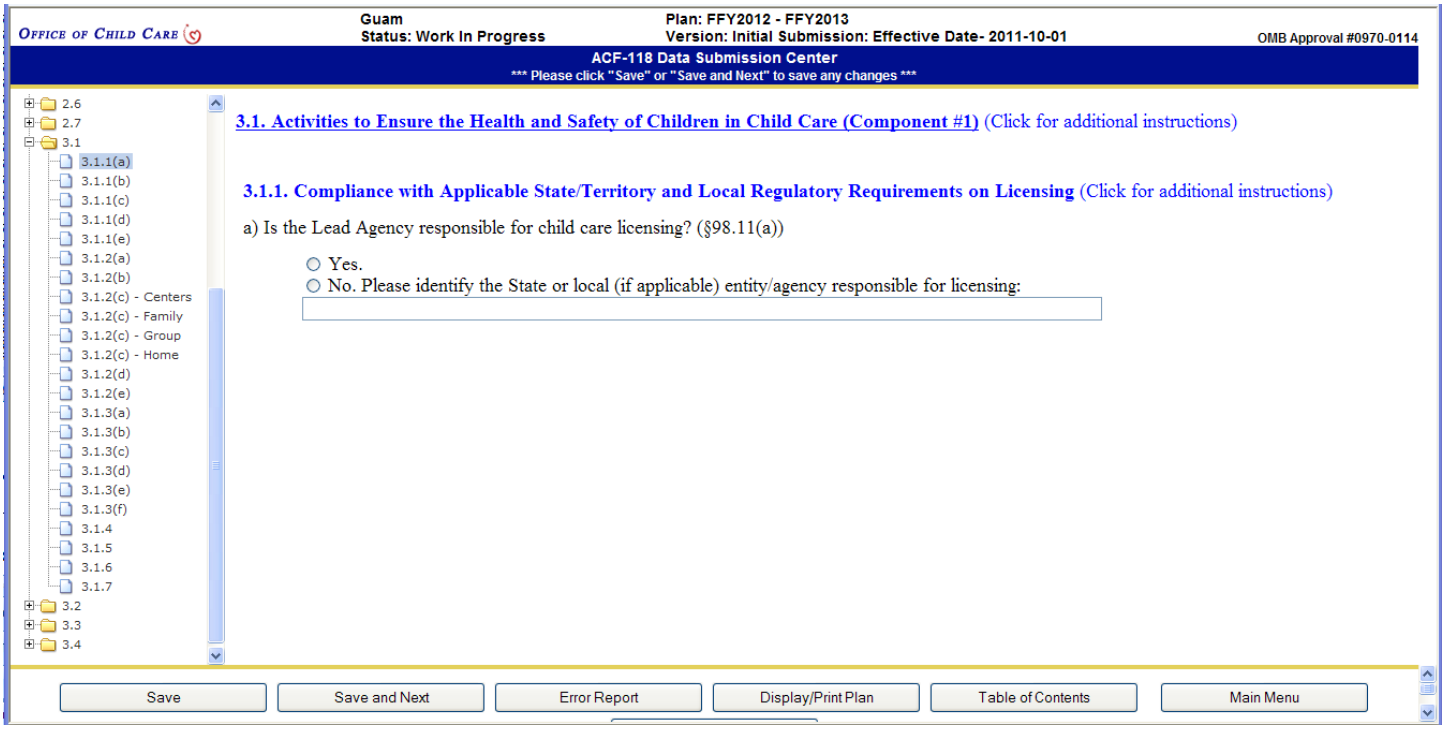
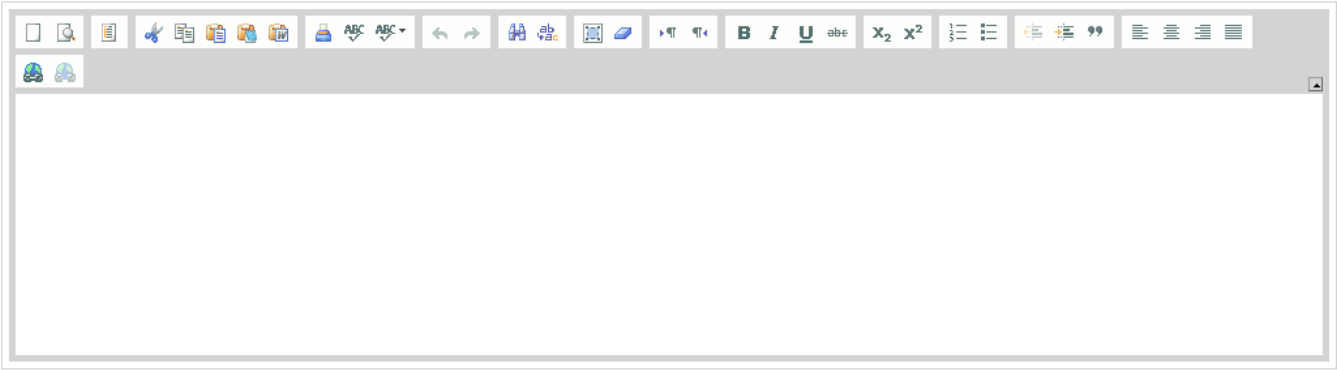
Question 3.1.1(a):



Question 3.1.1(b):

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.



Question 3.1.1(c):

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? |
|---|---|---|
| Center-Based Child Care | Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work. | Describe which types of center-based settings are exempt from licensing in your State/Territory.<br><br>For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs |
| Group Home Child Care<br><br>☐ N/A. Check if your State/Territory does not have group home child care. | Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent (s)' work. | Describe which types of group homes are exempt from licensing: |
| 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. **Reminder** - 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: |
| In-Home Care | In-home child care provider is defined as an individual who provides child care services in the child's own home. **Reminder** - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements. | Describe which types of in-home child care providers are exempt from licensin |

**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:** ☐

Question 3.1.1(d):

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

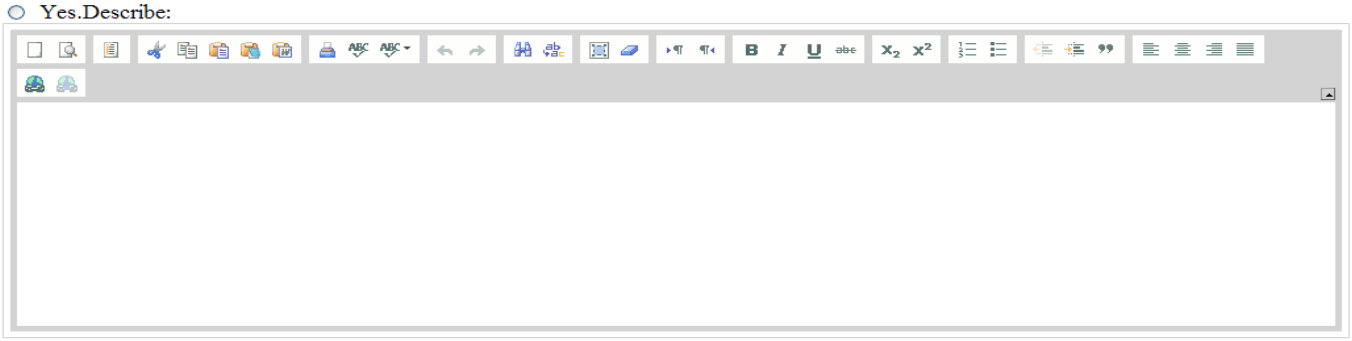
*Source: National Resource Center for Health and Safety in Child Care and Early Education. (2003) Stepping Stones to Using Caring for Our Children: National Health and Safety Performance Standards, 2nd Ed. Health Resources and Services Administration, Maternal and Child Health Bureau. Available online: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

| **Indicator** | For each indicator, check all requirements for **licensing** that apply, if any. | | | |
|---|---|---|---|---|
| | **Center-Based Child Care** | **Group Home Child Care** | **Family Child Care** | **In-Home Care** |
| Do the licensing requirements include **child:staff ratios and group sizes?** If yes, specify age group, where appropriate: | ☐ Child:staff ratio requirement:<br>☐ Group size requirement:<br>☐ No requirements. | ☐ Child:staff ratio requirement:<br>☐ Group size requirement:<br>☐ No requirements. | ☐ Child:staff ratio requirement:<br>☐ Group size requirement:<br>☐ No requirements. | ☐ Child:staff ratio requirement:<br>☐ Group size requirement:<br>☐ No requirements. |
| Do the licensing requirements identify specific experience and educational **credentials for child care directors?** | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: |
| Do the licensing requirements identify specific experience and educational **credentials for child care teachers?** | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: | ☐ High school/GED<br>☐ Child Development Associate (CDA)<br>☐ State/ Territory Credential<br>☐ Associate's degree<br>☐ Bachelor's degree<br>☐ No credential required for licensing<br>☐ Other: |
| Do the licensing requirements specify that directors and caregivers must attain a specific number of **training hours per year?** | ☐ At least 30 training hours required in first year<br>☐ At least 24 training hours per year after first year<br>☐ No training requirement<br>☐ Other: | ☐ At least 30 training hours required in first year<br>☐ At least 24 training hours per year after first year<br>☐ No training requirement<br>☐ Other: | ☐ At least 30 training hours required in first year<br>☐ At least 24 training hours per year after first year<br>☐ No training requirement<br>☐ Other: | ☐ At least 30 training hours required in first year<br>☐ At least 24 training hours per year after first year<br>☐ No training requirement<br>☐ Other: |

Question 3.1.1(e):

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

○ Yes.Describe:

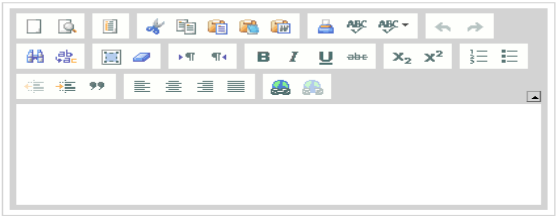


○ No.

Question 3.1.2(a):

**3.1.2. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety** (Click for additional instructions)

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

| **The Lead Agency requires:** | **For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.** | | | |
|---|---|---|---|---|
| | Center-based child care providers | Family child care home providers | Group home child care providers | In-home child care providers |
| ☐ Physical exam or health statement for providers | ☐ | ☐ | ☐ | ☐ |
| ☐ Physical exam or health statement for children | ☐ | ☐ | ☐ | ☐ |
| ☐ Tuberculosis check for providers | ☐ | ☐ | ☐ | ☐ |
| ☐ Tuberculosis check for children | ☐ | ☐ | ☐ | ☐ |
| ☐ Provider immunizations | ☐ | ☐ | ☐ | ☐ |
| ☐ Child immunizations | ☐ | ☐ | ☐ | ☐ |
| ☐ Hand-washing policy for providers and children | ☐ | ☐ | ☐ | ☐ |
| ☐ Diapering policy and procedures | ☐ | ☐ | ☐ | ☐ |
| ☐ Providers to submit a self-certification or complete health and safety checklist | ☐ | ☐ | ☐ | ☐ |
| ☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements | ☐ | ☐ | ☐ | ☐ |
| ☐ Other.Describe:  | ☐ | ☐ | ☐ | ☐ |

Question 3.1.2(b):

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

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

Question 3.1.2(c)-Centers:

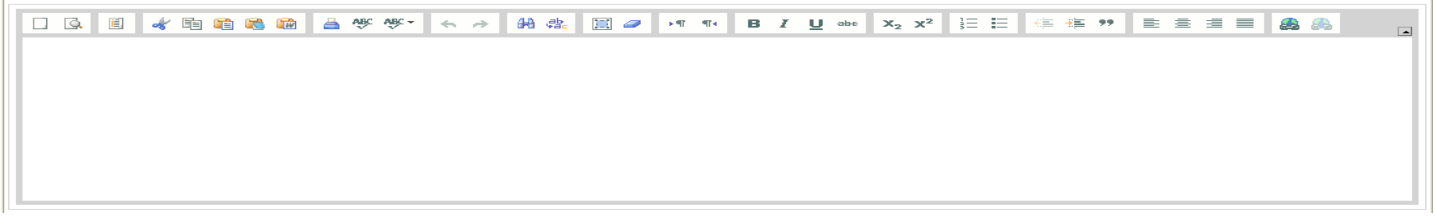
c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3))

**CCDF Categories of Care**
**Health and safety training requirements**

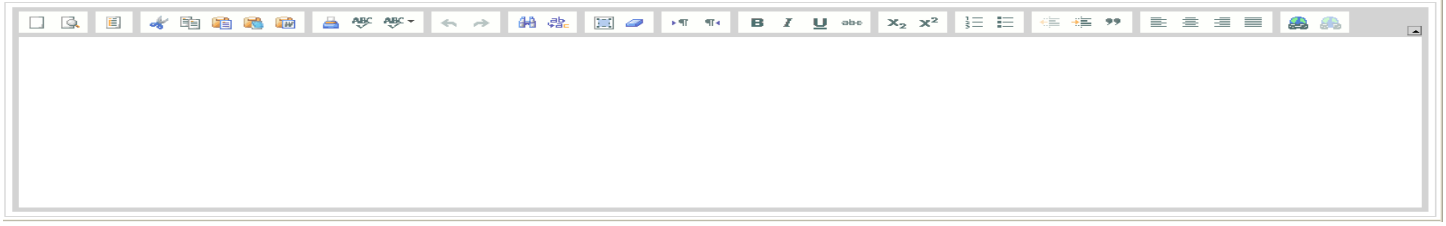
**Child Care Centers**

CPR (Child Care Centers)

Pre-Service:



On-Going:



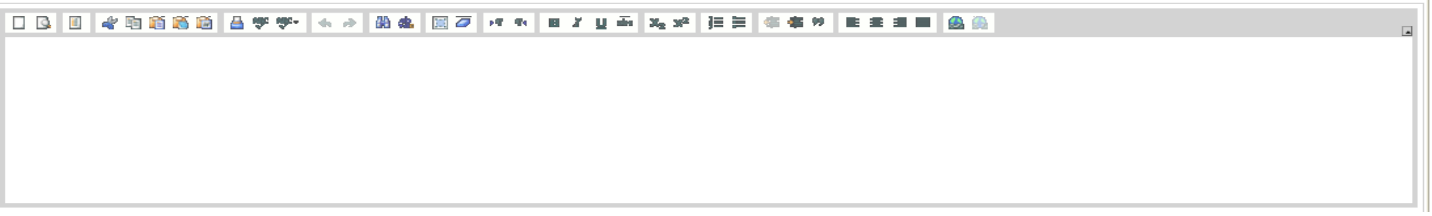
First Aid (Child Care Centers)

Pre-Service:

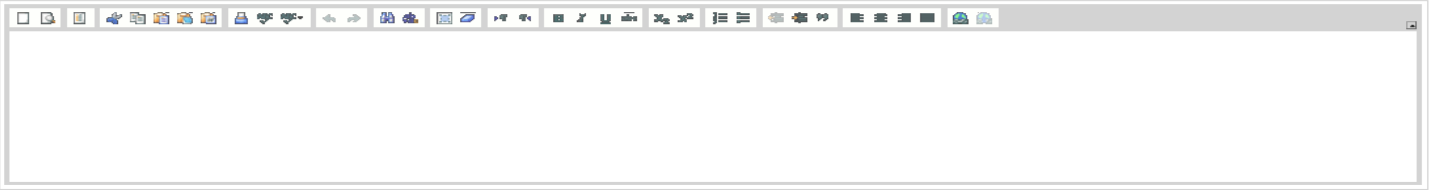
On-Going:

Training on infectious diseases (Child Care Centers)

Pre-Service:



On-Going:



SIDS prevention (i.e., safe sleep) (Child Care Centers)

Pre-Service:

On-Going:

Medication administration (Child Care Centers)

Pre-Service:

On-Going:

Mandatory reporting of suspected abuse or neglect (Child Care Centers)
Pre-Service:

On-Going:

Child development (Child Care Centers)
Pre-Service:

On-Going:

Supervision of children (Child Care Centers)
Pre-Service:

On-Going:

Behavior management (Child Care Centers)
Pre-Service:

On-Going:

Nutrition (Child Care Centers)
Pre-Service:

On-Going:

Breastfeeding (Child Care Centers)
Pre-Service:

On-Going:

Physical activity (Child Care Centers)
Pre-Service:

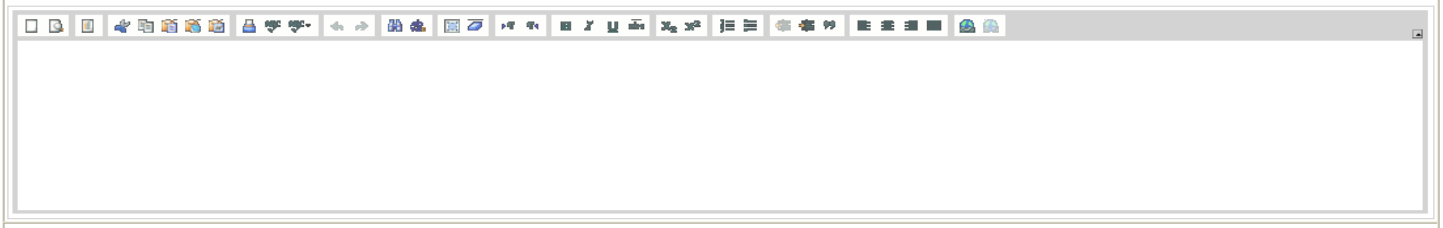
On-Going:

Working with children with special needs or disabilities (Child Care Centers)
Pre-Service:

On-Going:

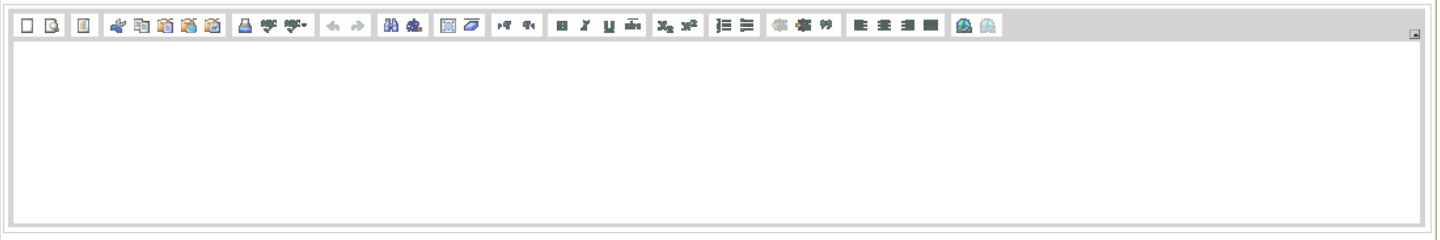
Emergency preparedness and response (Child Care Centers)
Pre-Service:

On-Going:

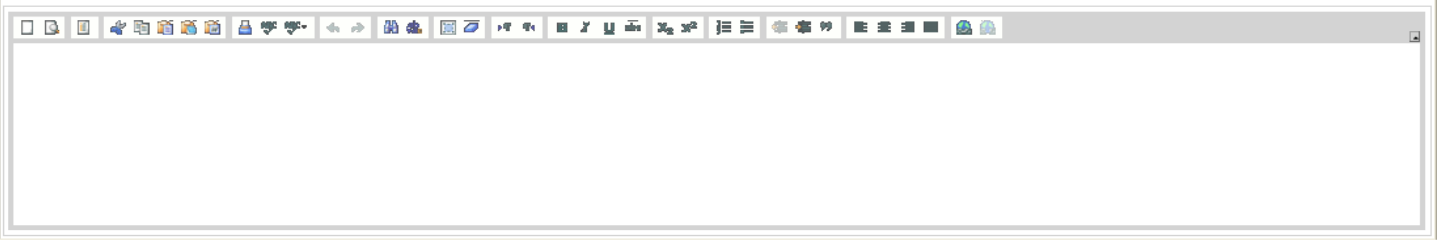


Other. (Child Care Centers)
Describe:

Pre-Service:



On-Going:



Question 3.1.2(c)-Family:

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))**

**CCDF Categories of Care**
**Health and safety training requirements**

**Family Child Care Providers**
CPR (Family Child Care Providers)
Pre-Service:

On-Going:

First Aid (Family Child Care Providers)
Pre-Service:

On-Going:

Training on infectious diseases (Family Child Care Providers)

Pre-Service:

On-Going:

SIDS prevention (i.e., safe sleep) (Family Child Care Providers)

Pre-Service:

On-Going:

Medication administration (Family Child Care Providers)

Pre-Service:

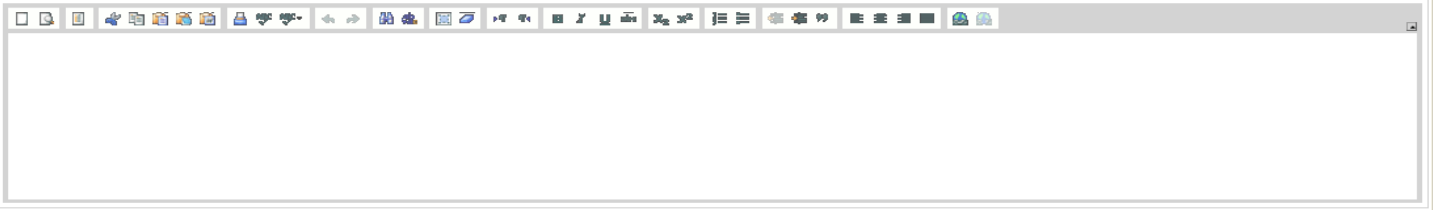
On-Going:

Mandatory reporting of suspected abuse or neglect (Family Child Care Providers)
Pre-Service:

On-Going:

Child development (Family Child Care Providers)
Pre-Service:

On-Going:



Supervision of children (Family Child Care Providers)
Pre-Service:

On-Going:

Behavior management (Family Child Care Providers)
Pre-Service:

On-Going:

Nutrition (Family Child Care Providers)
Pre-Service:

On-Going:

Breastfeeding (Family Child Care Providers)

Pre-Service:

On-Going:

Physical activity (Family Child Care Providers)

Pre-Service:

On-Going:

Working with children with special needs or disabilities (Family Child Care Providers)
Pre-Service:

On-Going:

Emergency preparedness and response (Family Child Care Providers)
Pre-Service:

On-Going:

Other. (Family Child Care Providers)
Describe:

Pre-Service:

On-Going:

Question 3.1.2(c)-Group:

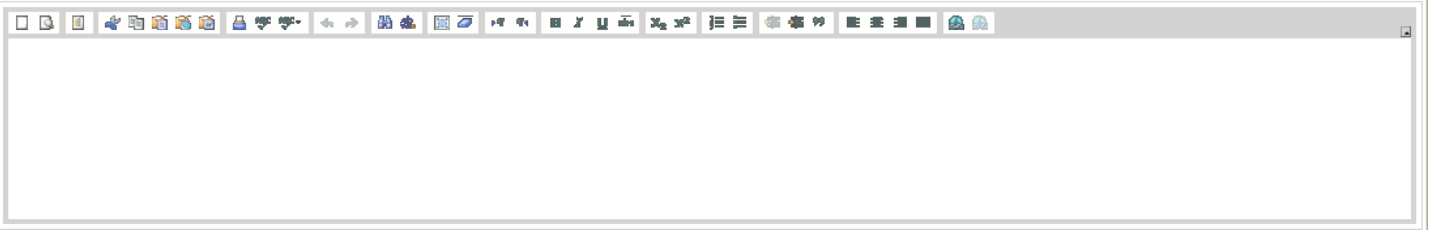
c) **Describe the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3))**

**CCDF Categories of Care**
**Health and safety training requirements**

**Group Home Child Care**

CPR (Group Home Child Care)

Pre-Service:



On-Going:

First Aid (Group Home Child Care)

Pre-Service:

On-Going:

Training on infectious diseases (Group Home Child Care)
Pre-Service:

On-Going:

SIDS prevention (i.e., safe sleep) (Group Home Child Care)
Pre-Service:

On-Going:

Medication administration (Group Home Child Care)
Pre-Service:

On-Going:

Mandatory reporting of suspected abuse or neglect (Group Home Child Care)
Pre-Service:

On-Going:

Child development (Group Home Child Care)

Pre-Service:

On-Going:

Supervision of children (Group Home Child Care)

Pre-Service:

On-Going:

Behavior management (Group Home Child Care)

Pre-Service:

On-Going:

Nutrition (Group Home Child Care)

Pre-Service:

On-Going:

Breastfeeding (Group Home Child Care)
Pre-Service:

On-Going:

Physical activity (Group Home Child Care)
Pre-Service:

On-Going:

Working with children with special needs or disabilities (Group Home Child Care)
Pre-Service:

On-Going:

Emergency preparedness and response (Group Home Child Care)
Pre-Service:

On-Going:

Other. (Group Home Child Care)
Describe:

Pre-Service:

On-Going:

Question 3.1.2(c)-Home:

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))**

**CCDF Categories of Care**
**Health and safety training requirements**

**In-Home Child Care Providers**

CPR (In-Home Child Care Providers)

Pre-Service:

On-Going:

First Aid (In-Home Child Care Providers)

Pre-Service:

On-Going:

Training on infectious diseases (In-Home Child Care Providers)
Pre-Service:

On-Going:

SIDS prevention (i.e., safe sleep) (In-Home Child Care Providers)
Pre-Service:

On-Going:

Medication administration (In-Home Child Care Providers)
Pre-Service:

On-Going:

Mandatory reporting of suspected abuse or neglect (In-Home Child Care Providers)

Pre-Service:

On-Going:

Child development (In-Home Child Care Providers)

Pre-Service:

On-Going:

Supervision of children (In-Home Child Care Providers)

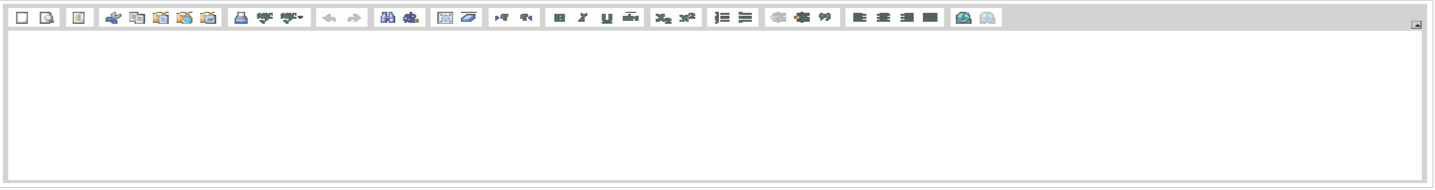
Pre-Service:

On-Going:

Behavior management (In-Home Child Care Providers)

Pre-Service:

On-Going:



Nutrition (In-Home Child Care Providers)

Pre-Service:

On-Going:

Breastfeeding (In-Home Child Care Providers)
Pre-Service:

On-Going:

Physical activity (In-Home Child Care Providers)
Pre-Service:

On-Going:

Working with children with special needs or disabilities (In-Home Child Care Providers)

Pre-Service:

On-Going:

Emergency preparedness and response (In-Home Child Care Providers)

Pre-Service:

On-Going:

Other. (In-Home Child Care Providers)
Describe:

Pre-Service:

On-Going:

## Question 3.1.2(d):

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:

## Question 3.1.2(e):

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

## Question 3.1.3(a):

**3.1.3 Enforcement of Licensing Requirements** (Click for additional instructions)

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

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

| CCDF Categories of Care | Frequency of Routine Announced Visits | Frequency of Routine Unannounced Visits |
|---|---|---|
| ☐ Center-Based Child Care | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: |
| ☐ Group Home Child Care | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: |
| ☐ Family Child Care Home | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: |
| ☐ In-Home Child Care | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: | ☐ Once a Year<br>☐ More than Once a Year<br>☐ Once Every Two Years<br>☐ Other.Describe: |

Question 3.1.3(b):

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

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

| **Licensing Procedures** | **Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements. |
|---|---|
| The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license. | ○ Yes.Describe:<br>○ No.<br>☐ 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.<br>☐ Licensing staff approve the plans of correction submitted by providers.<br>☐ Licensing staff verify correction of violation.<br>☐ Licensing staff provide technical assistance regarding how to comply with a regulation.<br>☐ No procedures in place.<br>☐ Other.Describe: |
| Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility. | ☐ Provisional or probationary license<br>☐ License revocation or non-renewal<br>☐ Injunctions through court<br>☐ Emergency or immediate closure not through court action<br>☐ Fines for regulatory violations<br>☐ No procedures in place.<br>☐ Other.Describe: |

| | |
|---|---|
| The State/Territory has procedures in place to respond to illegally operating child care facilities. | ☐ Cease and desist action<br>☐ Injunction<br>☐ Emergency or immediate closure not through court action<br>☐ Fines<br>☐ No procedures in place.<br>☐ Other.Describe: |

| | |
|---|---|
| The State/Territory has procedures in place for providers to appeal licensing enforcement actions. | ○ Yes.Describe:<br><br>○ No.<br>☐ Other.Describe: |

## Question 3.1.3(c):

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

## Question 3.1.3(d):

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.

- ○ No.

| CCDF Categories of Care | Types of Background Check | Frequency |
|---|---|---|
| ☐ **Center-Based Child Care**<br><br>Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers: | ☐ Child Abuse Registry | ☐ Initial Entrance into the System<br>☐ Checks Conducted Annually<br>☐ Other.Describe: |
| | ☐ State/Territory Criminal Background | ☐ Initial Entrance into the System<br>☐ Checks Conducted Annually<br>☐ Other.Describe: |
| | ☐ FBI Criminal Background (e.g., fingerprint) | ☐ Initial Entrance into the System<br>☐ Checks Conducted Annually<br>☐ Other.Describe: |
| | ☐ Sex Offender Registry | ☐ Initial Entrance into the System<br>☐ Checks Conducted Annually<br>☐ Other.Describe: |

| | | |
|---|---|---|
| **Group Child Care Homes**<br><br>Who is subject to background checks for group homes? For example, provider, non-provider residents of the home: | Child Abuse Registry | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | State/Territory Criminal Background | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | FBI Criminal Background (e.g., fingerprint) | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | Sex Offender Registry | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |

| | | |
|---|---|---|
| **Family Child Care Homes**<br><br>Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home: | Child Abuse Registry | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | State/Territory Criminal Background | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | FBI Criminal Background (e.g., fingerprint) | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | Sex Offender Registry | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |

| | | |
|---|---|---|
| **In-Home Child Care Providers**<br><br>Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home: | Child Abuse Registry | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | State/Territory Criminal Background | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | FBI Criminal Background (e.g., fingerprint) | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |
| | Sex Offender Registry | Initial Entrance into the System<br>Checks Conducted Annually<br>Other.Describe: |

Question 3.1.3(e):

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)):

Question 3.1.3(f):

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?

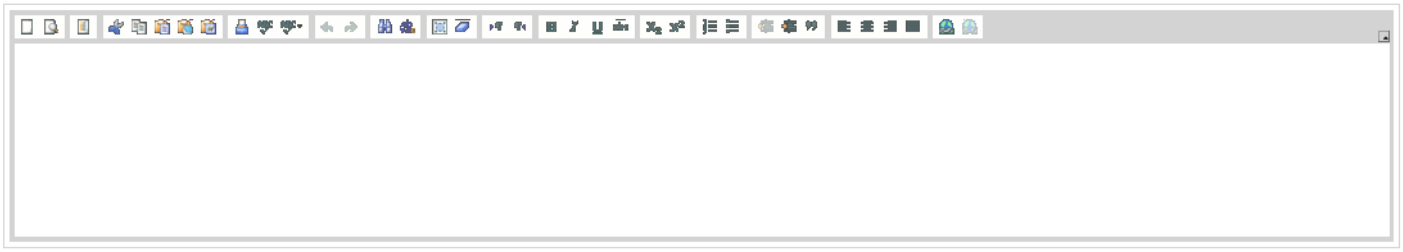
- ○ Yes.Describe:

- ○ No.

## Question 3.1.4:

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

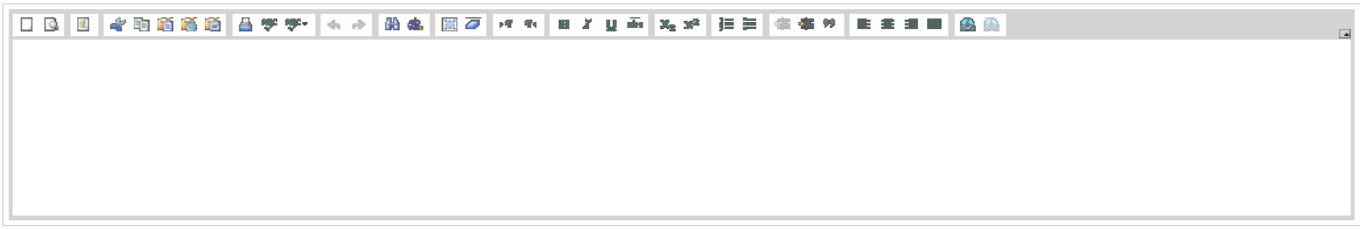
For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described above for licensed providers, please describe the health and safety enforcement measures in place. Include in this description whether and how the State/Territory uses on-site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



## Question 3.1.5:

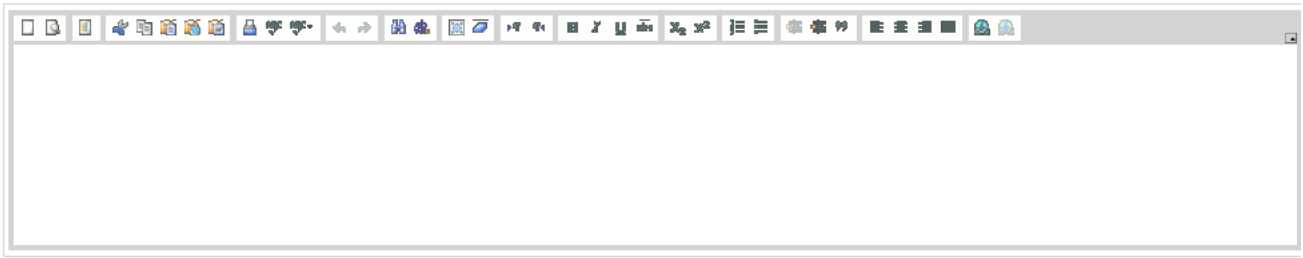
**3.1.5 Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs?** Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers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

- Yes. Describe

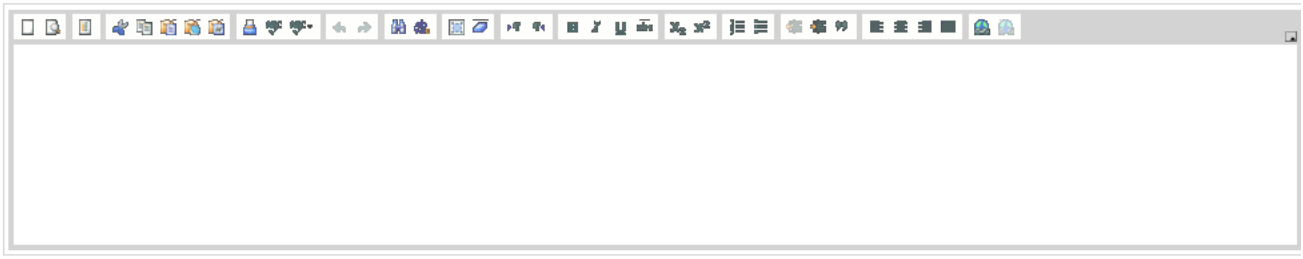


a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

- Yes.Describe

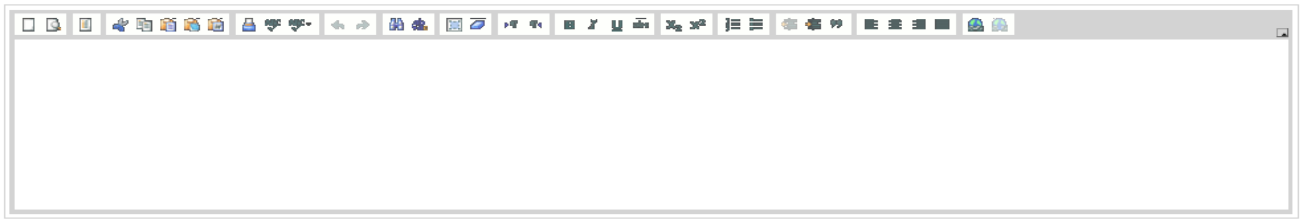


- No
- Other.Describe

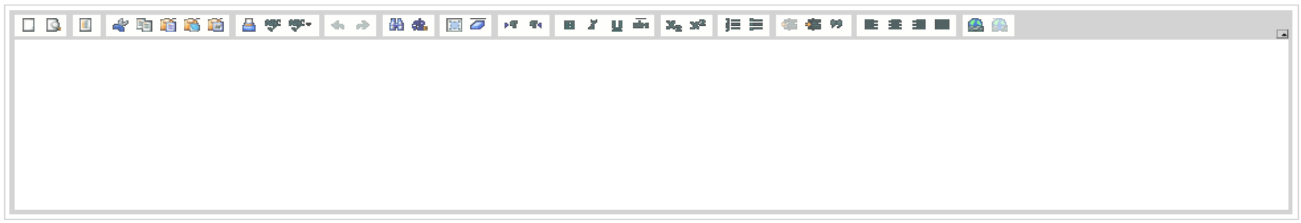


b) If yes, are resources and supports provided to programs to help them understand how families are referred to indicated services and how to work with the health, mental health, and developmental disabilities agencies to support children when follow-up to screening is needed?

- Yes.Describe



- No
- Other.Describe



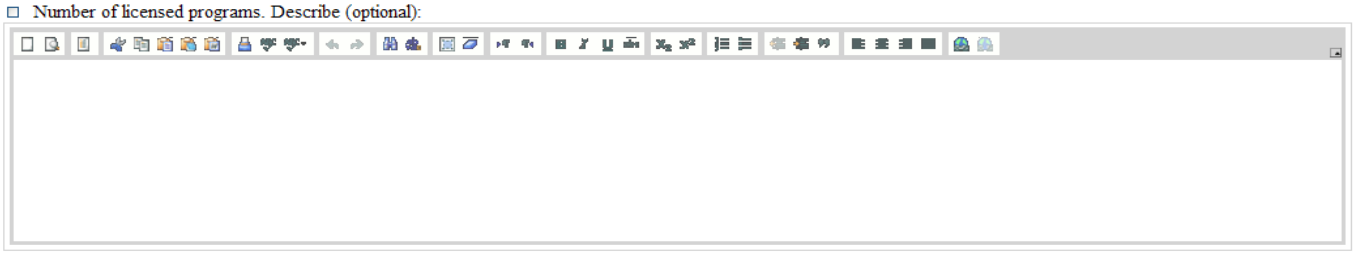
- No
- Other.Describe

## Question 3.1.6:

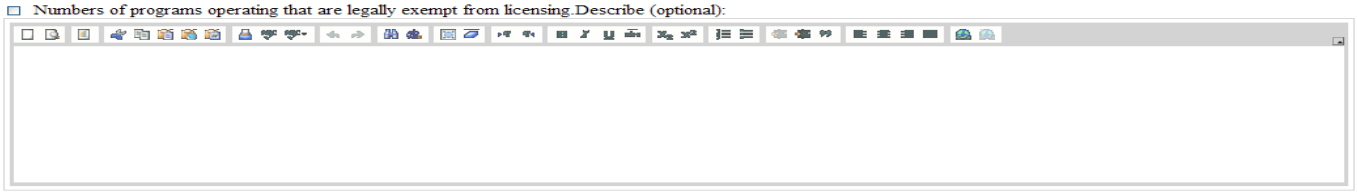
**3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance** - What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose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

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

- ☐ Number of licensed programs. Describe (optional):

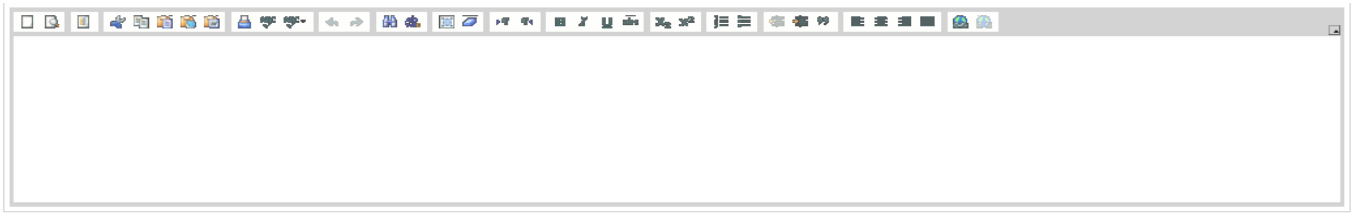


☐ Numbers of programs operating that are legally exempt from licensing.Describe (optional):

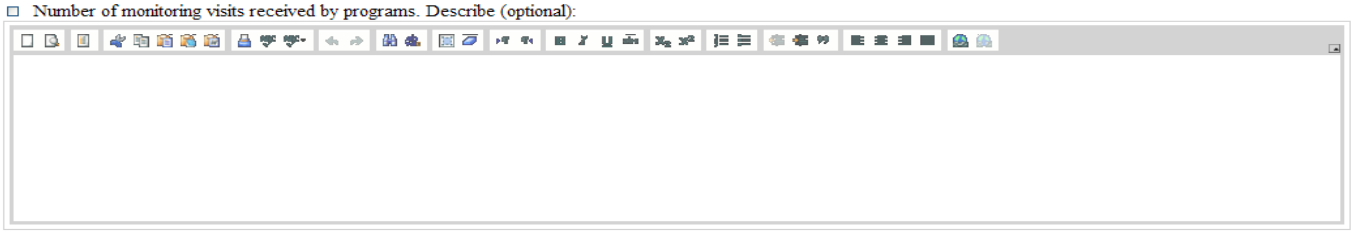


☐ Number of programs whose licenses were suspended or revoked due to non-compliance.Describe (optional):

☐ Number of injuries and fatalities in child care as defined by the State/Territory. Describe (optional):

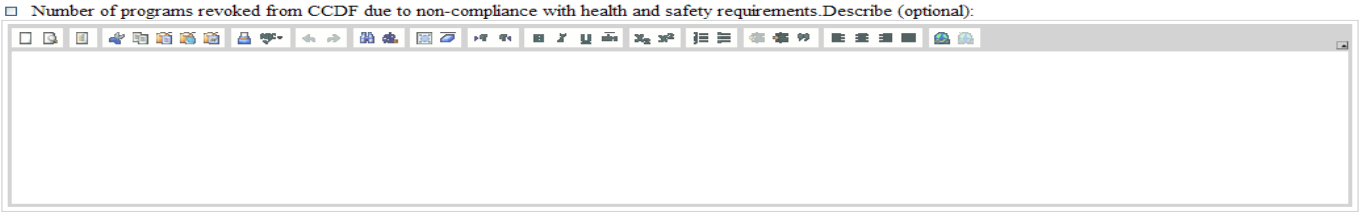


☐ Number of monitoring visits received by programs. Describe (optional):



☐ Caseload of licensing staff.Describe (optional):

☐ Number of programs revoked from CCDF due to non-compliance with health and safety requirements.Describe (optional):

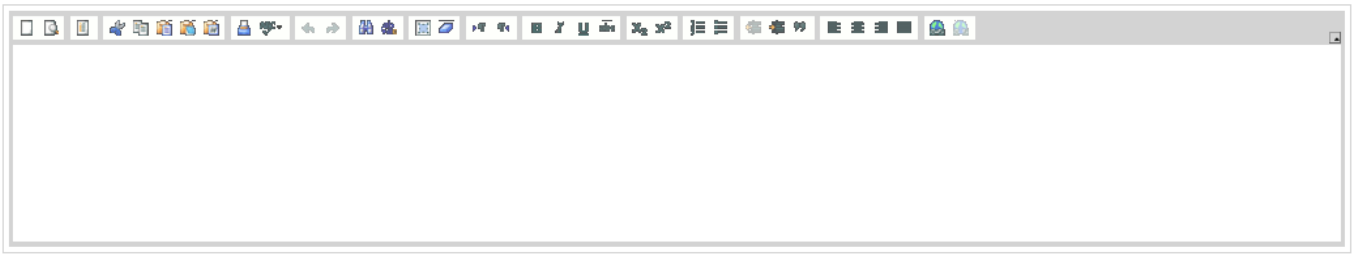


☐ Other.Describe:

☐ 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?

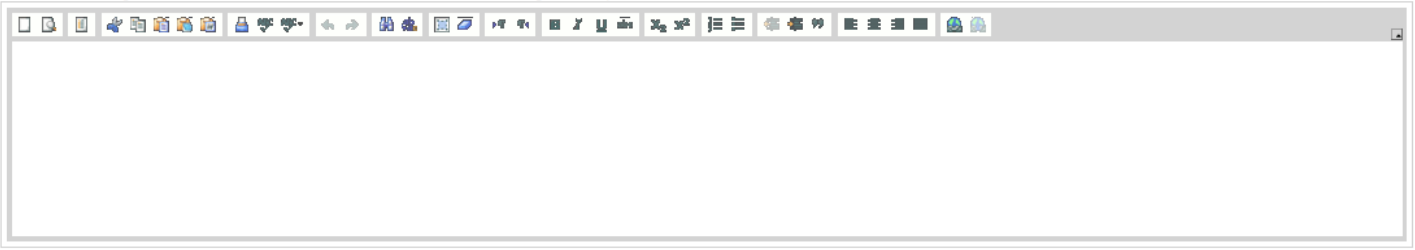
c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system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



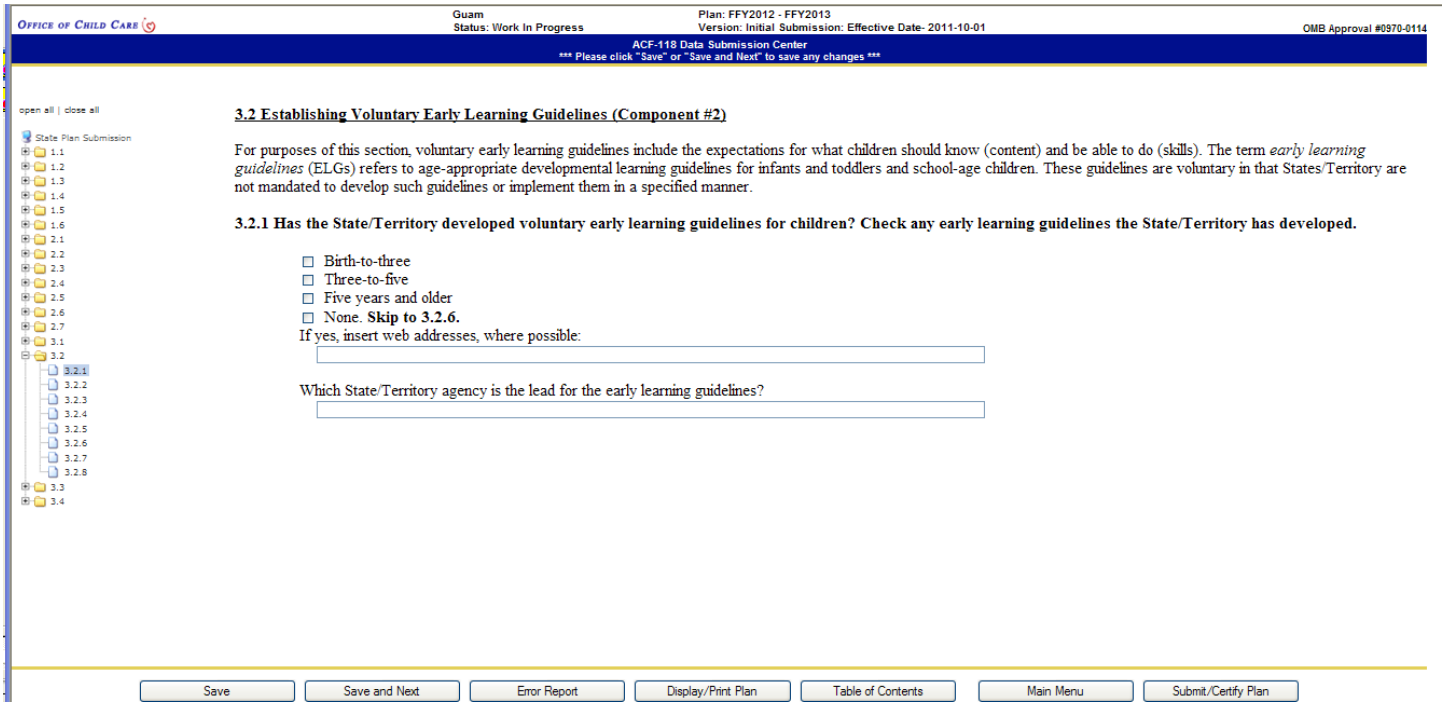
## Question 3.1.7:

**3.1.7 Goals for the next Biennium -**

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. 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?)



Question 3.2. 1:



Question 3.2. 2:

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

| Domains | Birth-to-Three ELGs | Three-to-Five ELGs | Five and Older ELGs |
|---|---|---|---|
| Physical development and health | ☐ | ☐ | ☐ |
| Social and emotional development | ☐ | ☐ | ☐ |
| Approaches to learning | ☐ | ☐ | ☐ |
| Logic and reasoning (e.g., problem-solving) | ☐ | ☐ | ☐ |
| Language development | ☐ | ☐ | ☐ |
| Literacy knowledge and skills | ☐ | ☐ | ☐ |
| Mathematics knowledge and skills | ☐ | ☐ | ☐ |
| Science knowledge and skills | ☐ | ☐ | ☐ |
| Creative arts expression (e.g., music, art, drama) | ☐ | ☐ | ☐ |
| Social studies knowledge and skills | ☐ | ☐ | ☐ |
| English language development (for dual language learners) | ☐ | ☐ | ☐ |
| List any domains not covered in the above: | ☐ | ☐ | ☐ |
| Other. Describe: | ☐ | ☐ | ☐ |

## Question 3.2. 3:

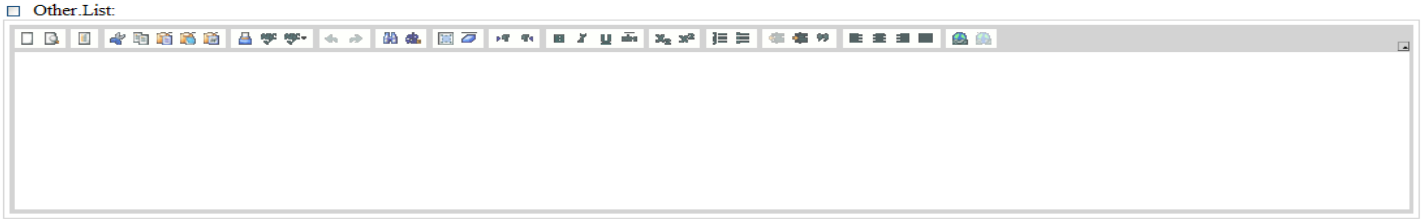
**3.2.3 To whom are the early learning guidelines disseminated and in what manner?** Check all audiences and methods that your State/Territory has chosen to use in the chart below.

| | Information Dissemination | Voluntary Training | Mandatory Training |
|---|---|---|---|
| Parents in the child care subsidy system | ☐ | ☐ | ☐ |
| Parents using child care more broadly | ☐ | ☐ | ☐ |
| Practitioners in child care centers | ☐ | ☐ | ☐ |
| Providers in family child care homes | ☐ | ☐ | ☐ |
| Practitioners in Head Start | ☐ | ☐ | ☐ |
| Practitioners in Early Head Start | ☐ | ☐ | ☐ |
| Practitioners in public Pre-K program | ☐ | ☐ | ☐ |
| Practitioners in elementary schools | ☐ | ☐ | ☐ |
| Other. List: | ☐ | ☐ | ☐ |

## Question 3.2. 4:

**3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system?** Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

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

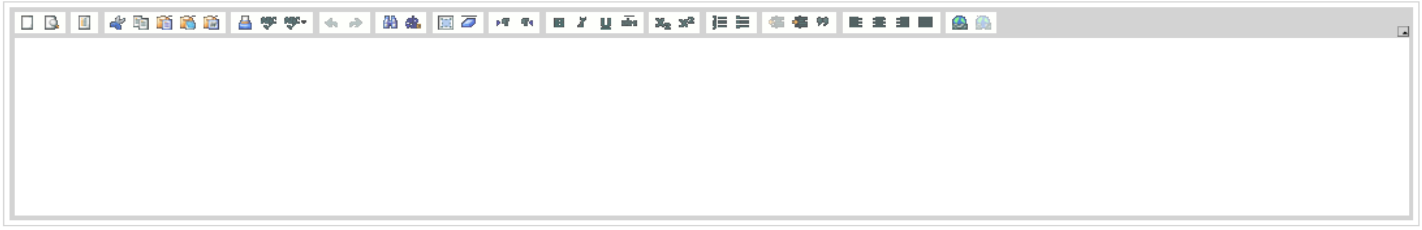


- ☐ None.

## Question 3.2. 5:

**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.

- ☐ 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.List:



- ☐ None.

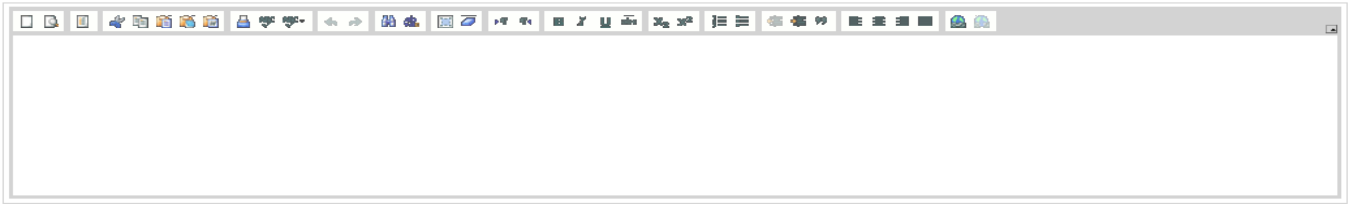
## Question 3.2. 6:

**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.

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?

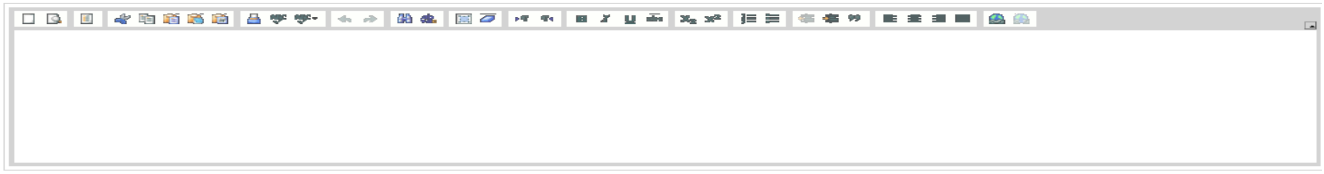
- ○ Yes. Describe:



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:

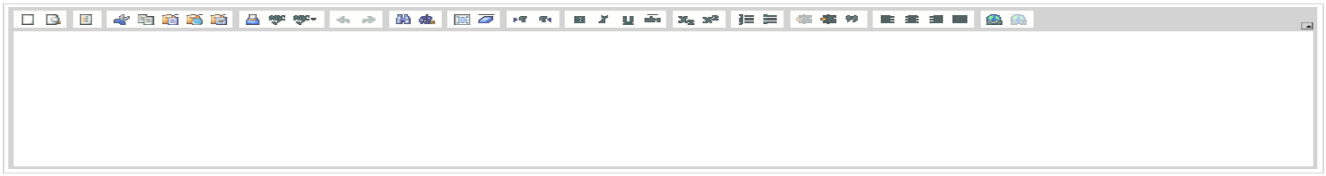
b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children as they enter kindergarten?

Yes. Describe:

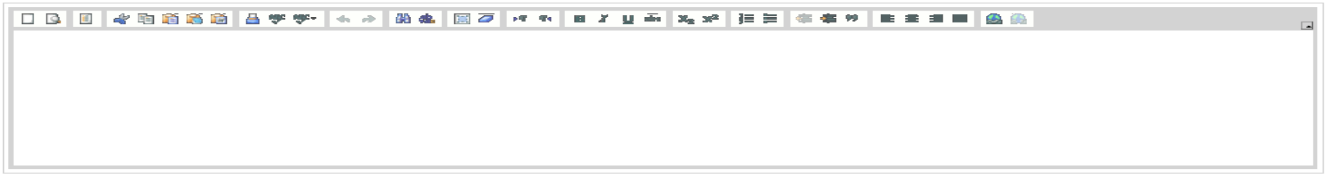
c-1) If yes, do the tools cover the developmental domains identified in 3.2.2?
Yes.Describe:

No
Other.Describe:

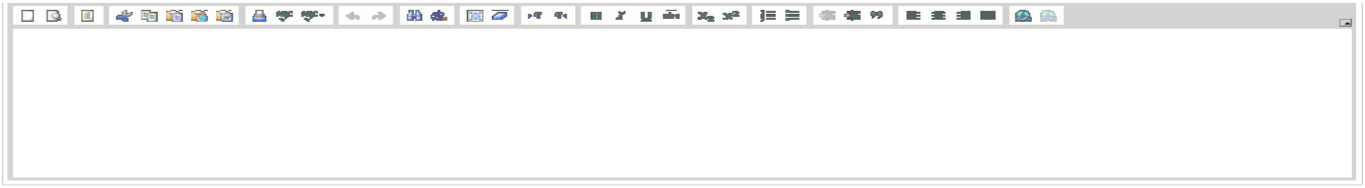
c-2) If yes, are the tools used on all children or samples of children?
All children.Describe:



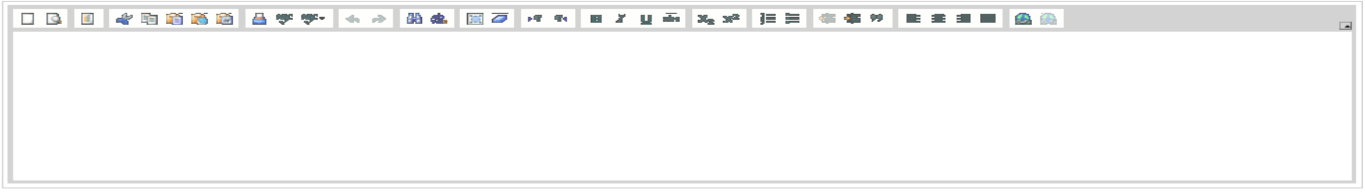
Samples of children.Describe:



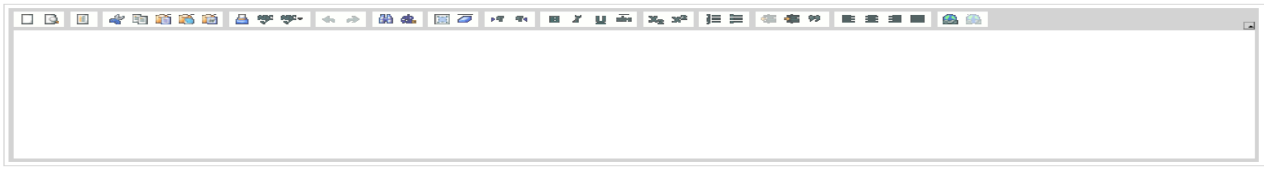
Other.Describe:



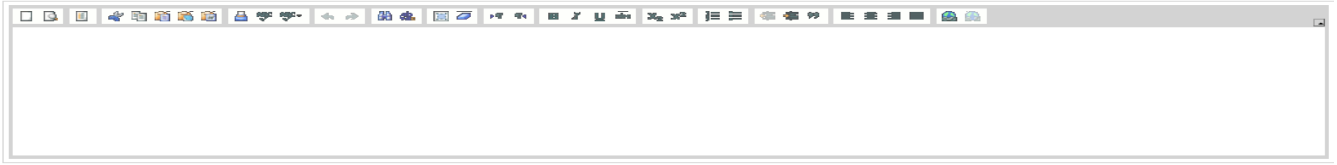
c-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?
Yes.Describe:



No
Other.Describe:

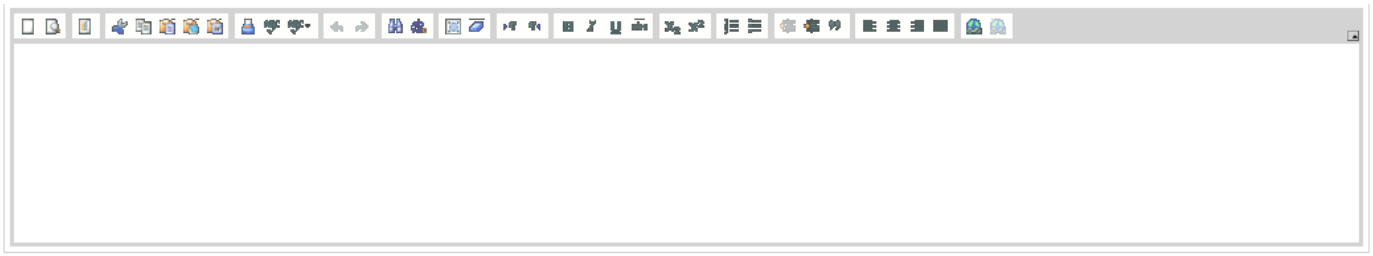


○ No
□ Other.Describe:



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

○ Yes. Describe:



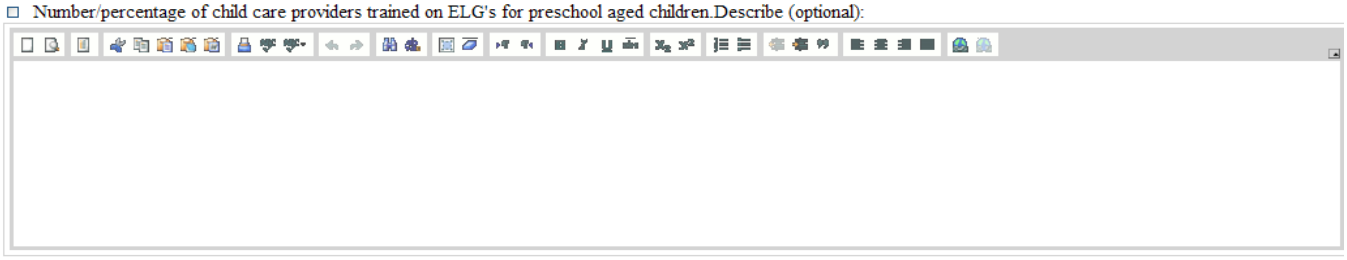
○ No
○ Not applicable. State does not have an SLDS.

Question 3.2. 7:

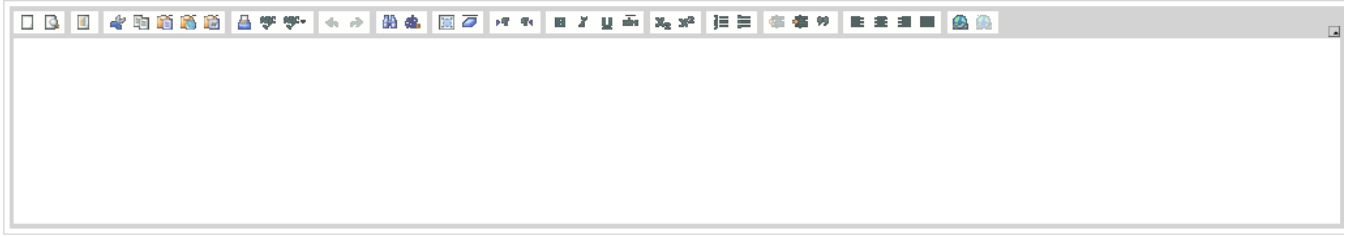
### 3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines (Click for additional instructions)

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

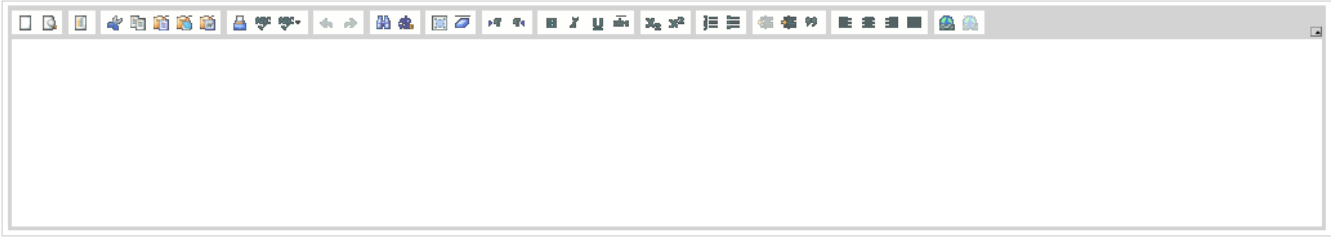
☐ Number/percentage of child care providers trained on ELG's for preschool aged children.Describe (optional):



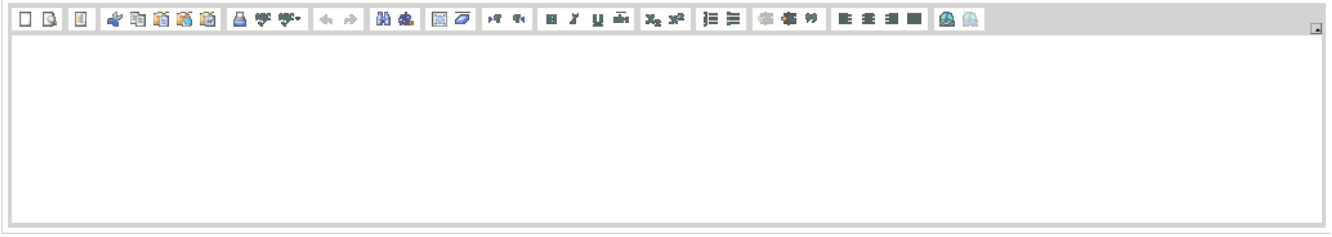
☐ Number/percentage of child care providers trained on ELG's for infants and toddlers.Describe (optional):



☐ 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.

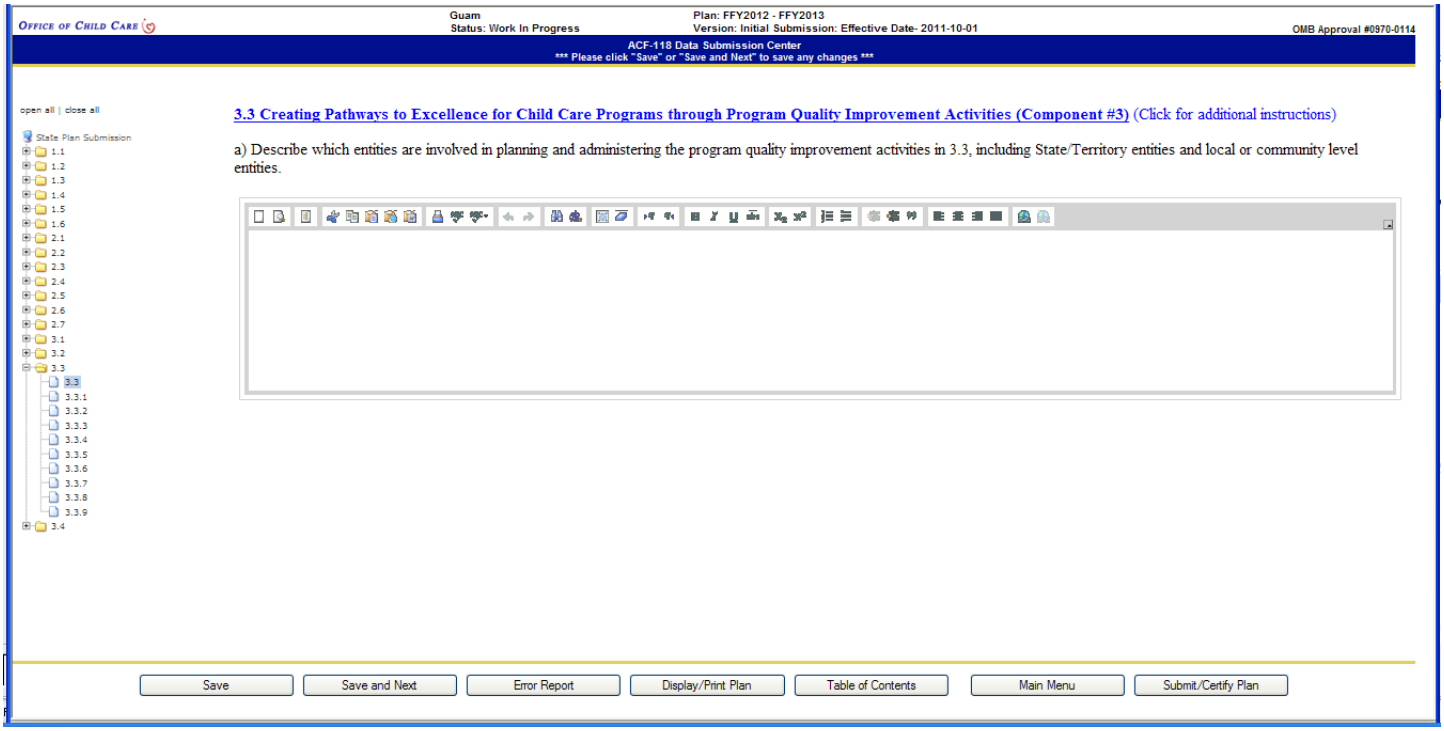
b) **Performance measurement.** What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines?

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.

## Question 3.2.8:

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

Question 3.3:


Office of Child Care
Guam
Status: Work In Progress
Plan: FFY2012 - FFY2013
Version: Initial Submission: Effective Date- 2011-10-01
OMB Approval #0970-0114
ACF-118 Data Submission Center
*** Please click "Save" or "Save and Next" to save any changes ***
open all | close all
State Plan Submission
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3.3.6
3.3.7
3.3.8
3.3.9
3.4
3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3) (Click for additional instructions)
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.
Save
Save and Next
Error Report
Display/Print Plan
Table of Contents
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## Question 3.3.1:

**3.3.1 Element 1 - Program Standards**

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

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

- ☐ Ratios and group size
- ☐ Health, nutrition and safety
- ☐ Learning environment and curriculum
- ☐ Staff/Provider qualifications and professional development
- ☐ Teacher/providers-child relationships
- ☐ Teacher/provider instructional practices
- ☐ Family partnerships and family strengthening
- ☐ Community relationships
- ☐ Administration and management
- ☐ Developmental screenings
- ☐ Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- ☐ Cultural competence
- ☐ Other.Describe:

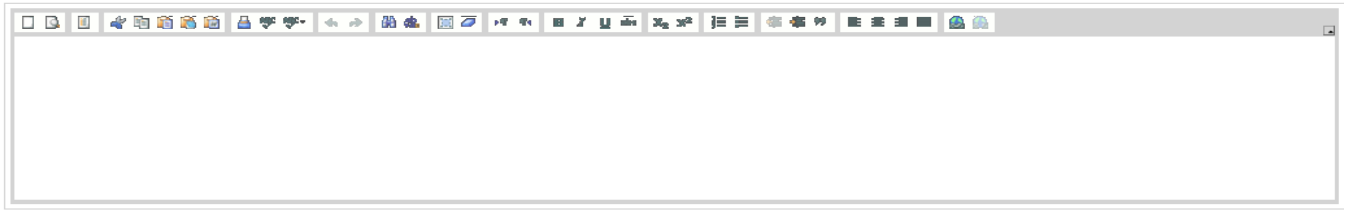
- ☐ None. If checked, **skip to 3.3.2.**

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

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

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

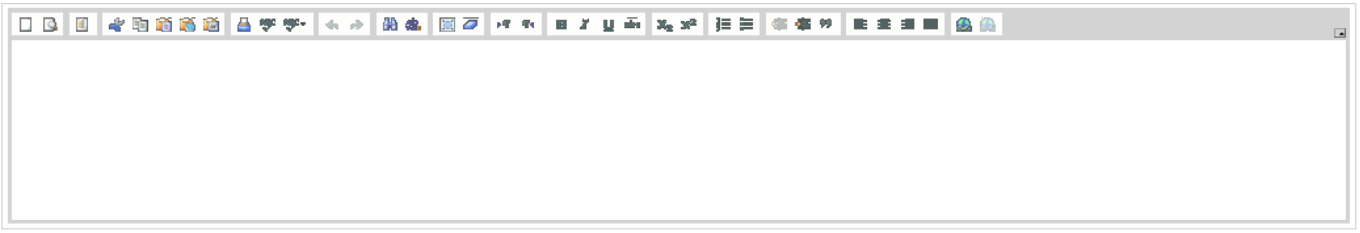
- ☐ Licensing is a pre-requisite for participation
- ☐ Licensing is the first tier of the quality levels
- ☐ State/Territory license is a "rated" license.
- ☐ Other.Describe:



☐ Not linked.

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

☐ Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
☐ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
☐ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
☐ Other.Describe:



☐ None.

## Question 3.3.2:

**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 |
|---|---|---|---|
| ☐ Attaining and maintaining licensing compliance | ☐ | ☐ | ☐ |
| ☐ Attaining and maintaining quality improvement standards beyond licensing | ☐ | ☐ | ☐ |
| ☐ Attaining and maintaining accreditation | ☐ | ☐ | ☐ |
| ☐ Providing targeted technical assistance in specialized content areas: | | | |
| Health and safety | ☐ | ☐ | ☐ |
| Infant/toddler care | ☐ | ☐ | ☐ |
| School-age care | ☐ | ☐ | ☐ |
| Inclusion | ☐ | ☐ | ☐ |
| Teaching dual language learners | ☐ | ☐ | ☐ |
| Mental health | ☐ | ☐ | ☐ |
| Business management practices | ☐ | ☐ | ☐ |
| Other. Describe: | ☐ | ☐ | ☐ |

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:

- ○ No
- ☐ Other.Describe:

Question 3.3.3:

**3.3.3 Element 3 - Financial Incentives and Supports**

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

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

☐ None. **skip to 3.3.4.**

| Types of Financial Incentives and Supports for Programs | Child Care Centers | Child Care Homes | License-Exempt Providers |
|---|---|---|---|
| ☐ Grants to programs to meet or maintain licensing | ☐ | ☐ | ☐ |
| ☐ Grants to programs to meet QRIS or similar quality level | ☐ | ☐ | ☐ |
| ☐ One-time awards or bonuses on completion of quality standard attainment | ☐ | ☐ | ☐ |
| ☐ Tiered reimbursement tied to quality for children receiving subsidy | ☐ | ☐ | ☐ |
| ☐ On-going, periodic grants or stipends tied to maintaining quality | ☐ | ☐ | ☐ |
| ☐ Tax credits tied to meeting program quality standards | ☐ | ☐ | ☐ |
| ☐ Other.Describe: | ☐ | ☐ | ☐ |

## Question 3.3.4:

**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 |
|---|---|---|---|
| ☐ Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS)<br>Describe, including frequency of assessments. | ☐ Infant/Toddler<br>☐ Preschool<br>☐ School-Age | ☐ | ☐ |

| | | | |
|---|---|---|---|
| ☐ Classroom Assessment Scoring System (CLASS)<br>Describe, including frequency of assessments. | ☐ | N/A | ☐ |
| ☐ Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homesDescribe, including frequency of assessments. | ☐ | ☐ | ☐ |

| | | | |
|---|---|---|---|
| ☐ 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 programsDescribe, including frequency of assessments. | ☐ | ☐ | ☐ |
| ☐ Other.Describe: | ☐ | ☐ | ☐ |

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.

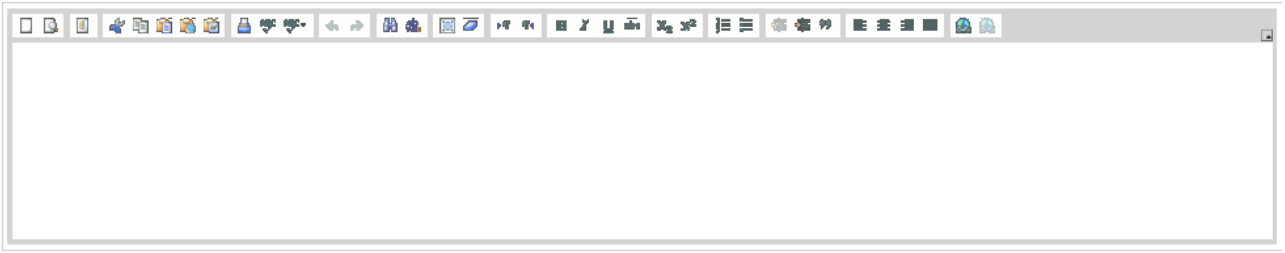
Question 3.3.5:

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

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

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

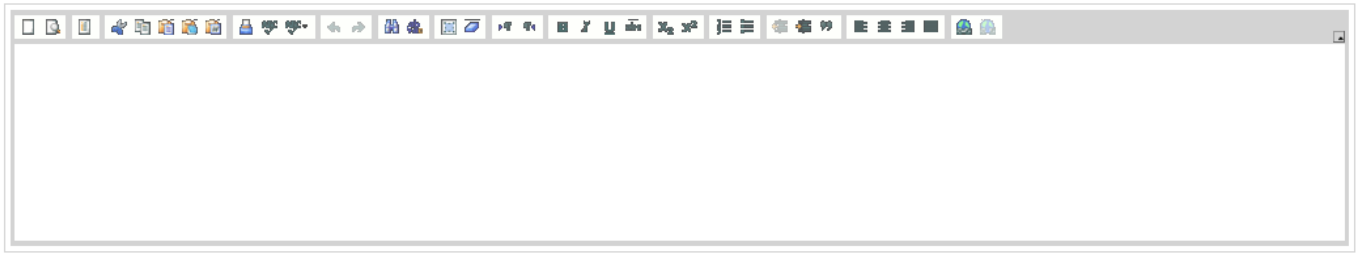
- ○ Yes. If yes, how is it used?
  - ☐ Resource and referral/consumer education services use with parents seeking care
  - ☐ Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
  - ☐ Searchable database on the web
  - ☐ Voluntarily,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



- ○ No. If no, **skip to 3.3.6.**

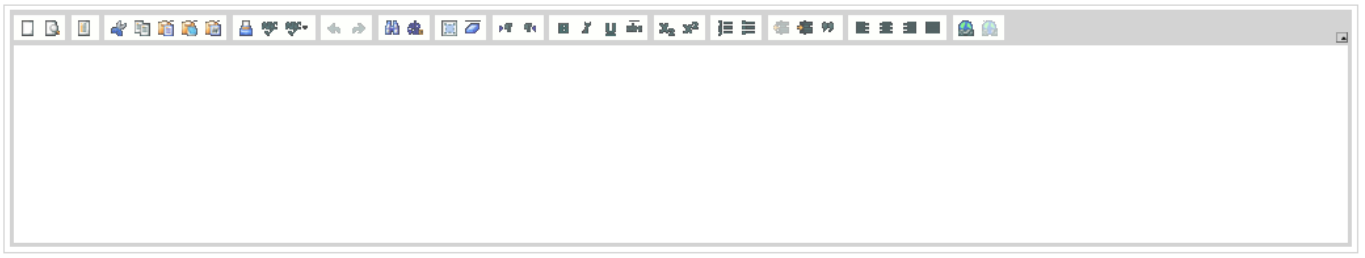
b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

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



- ☐ None.

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



## Question 3.3.6:

**3.3.6. Quality Rating and Improvement System (QRIS)**

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

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

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

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

## Question 3.3.7:

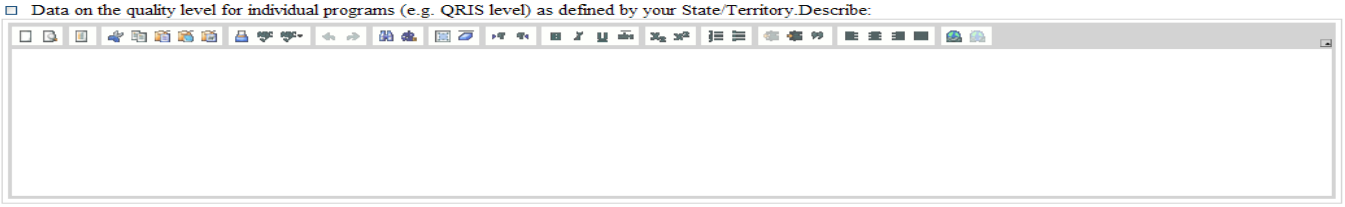
**3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above, please describe:**

Question 3.3.8:

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

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:



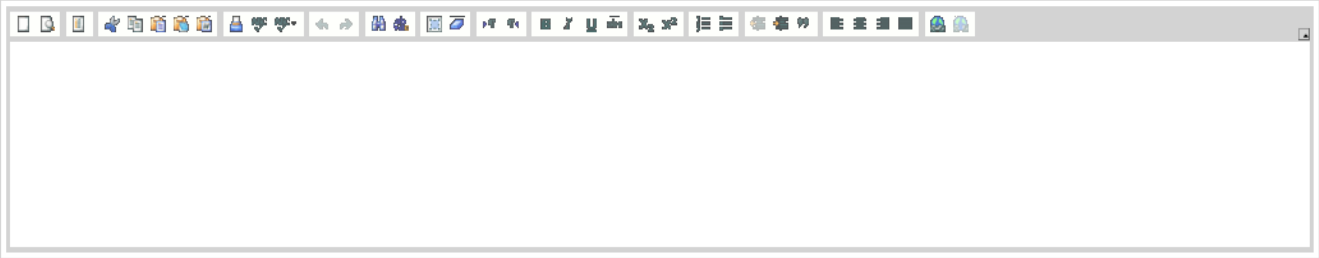
☐ Number of programs that move program quality levels annually (up or down).Describe:

☐ Program scores on program assessment instruments.List instruments:

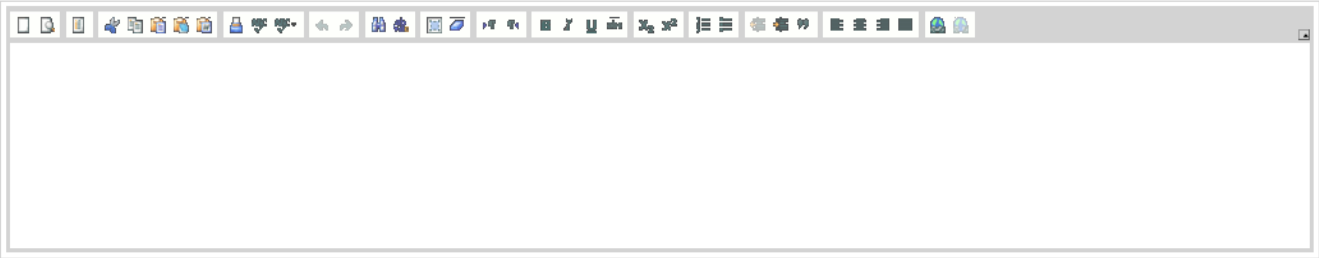
Describe:

☐ Classroom scores on program assessment instruments. List instruments:

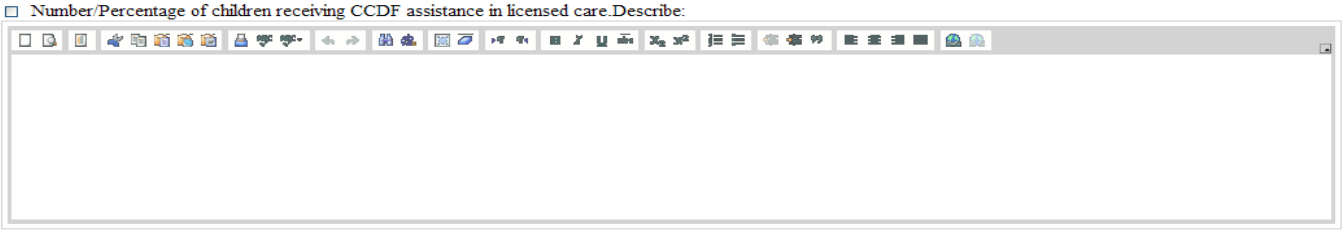
Describe:



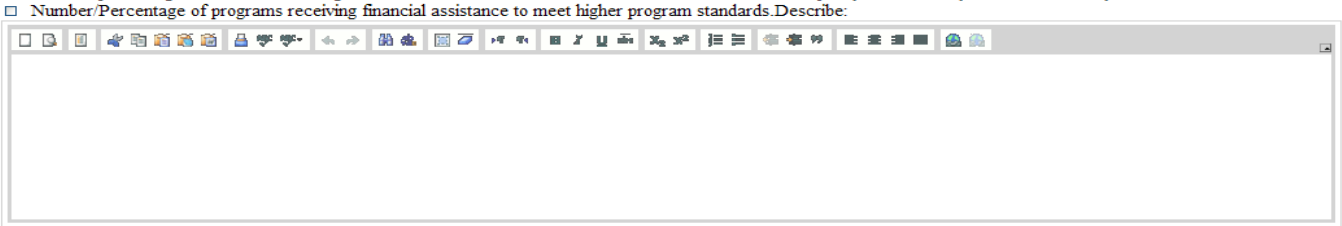
☐ Qualifications for teachers or caregivers within each program.Describe:



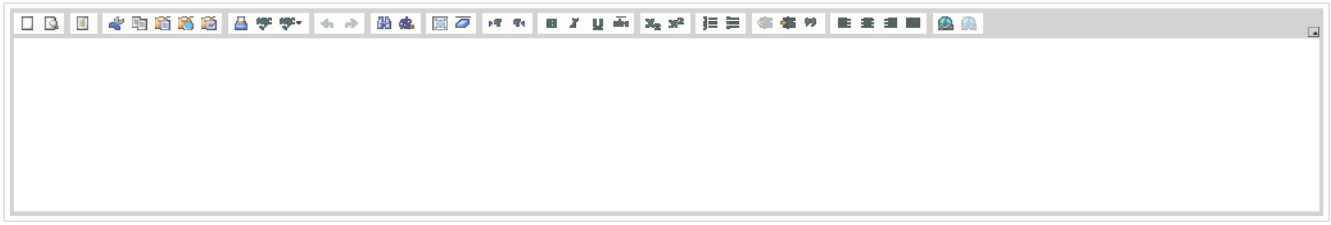
☐ Number/Percentage of children receiving CCDF assistance in licensed care.Describe:



☐ 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:



☐ Other.Describe:



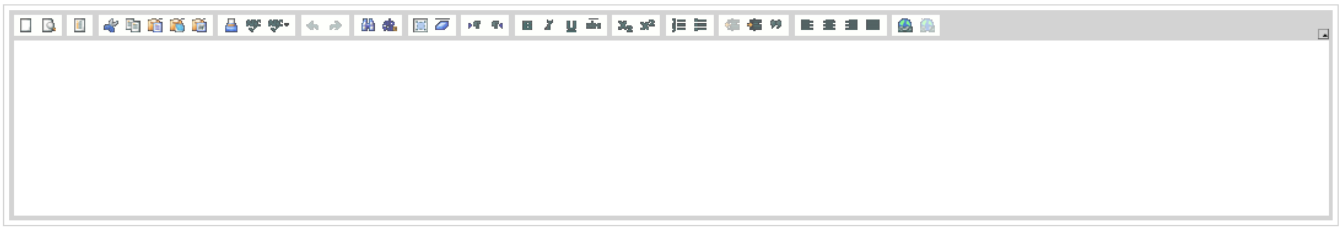
☐ None.

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

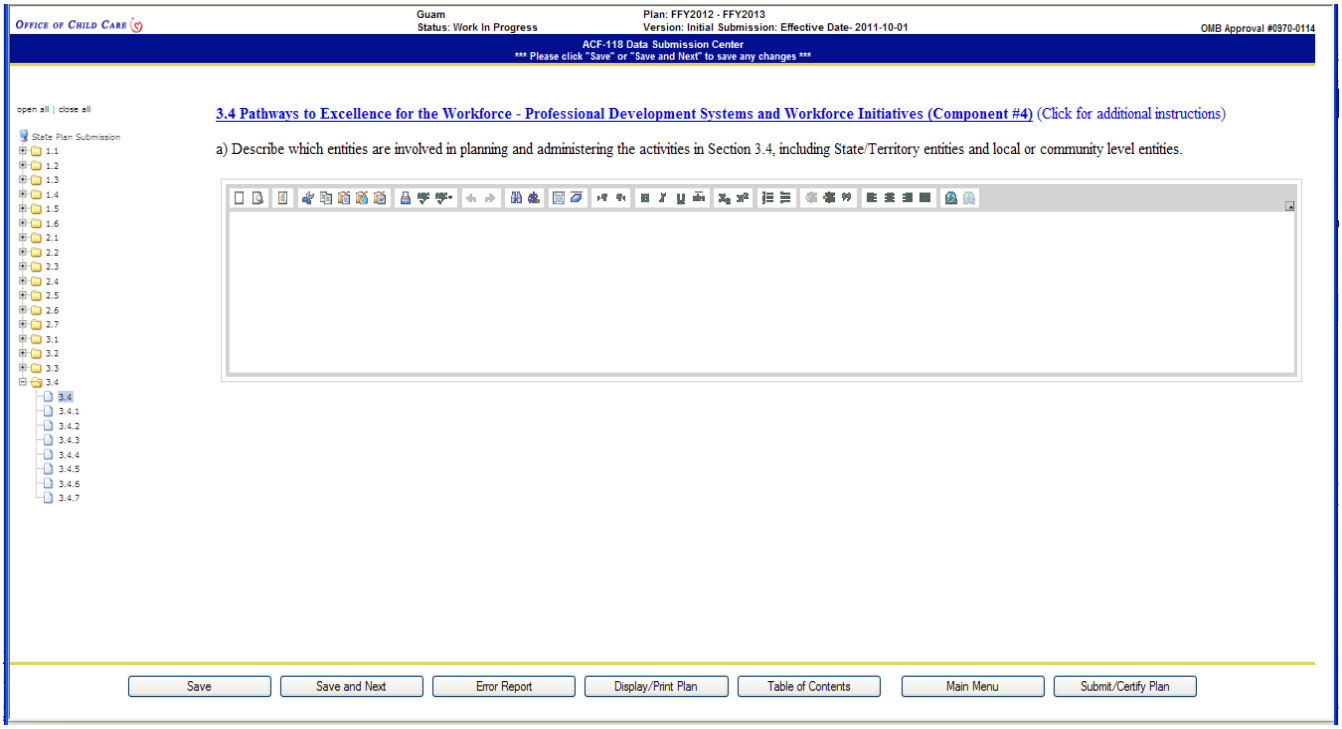
c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing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

Question 3.3.9:

**3.3.9 Goals for the next Biennium** - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub -section in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?



## Question 3.4:



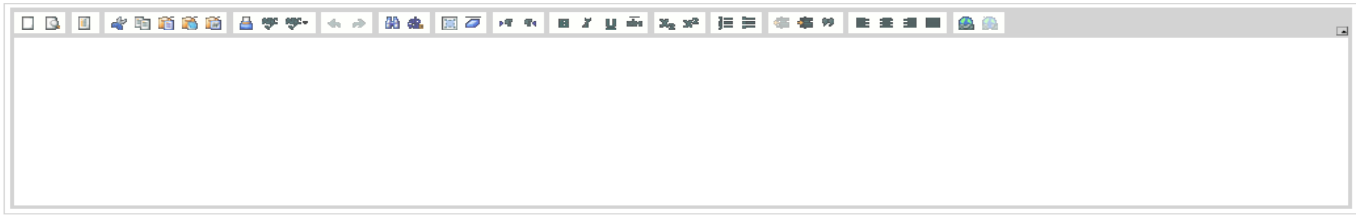
## Question 3.4.1:

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

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

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

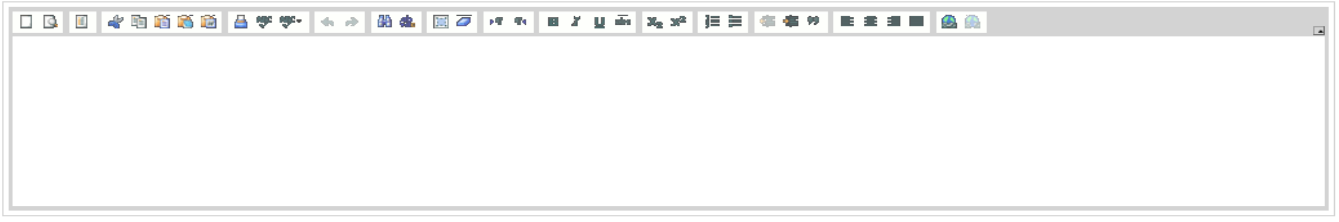
- ○ Yes
- ○ No, the State/Territory has not developed core knowledge and competencies. **Skip to question 3.4.2.**
- ☐ Other.Describe:



If yes, insert web addresses, where possible:

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

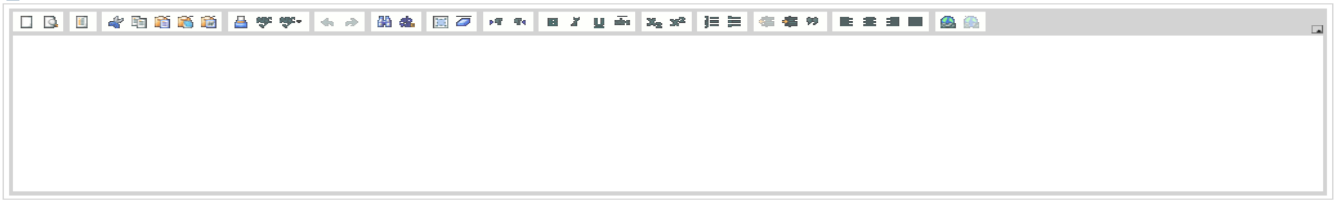
- ☐ Child growth, development and learning
- ☐ Health, nutrition, and safety
- ☐ Learning environment and curriculum
- ☐ Interactions with children
- ☐ Family and community relationships
- ☐ Professionalism and leadership
- ☐ Observation and assessment
- ☐ Program planning and management
- ☐ Diversity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



- ☐ None.

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

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



- ☐ None.

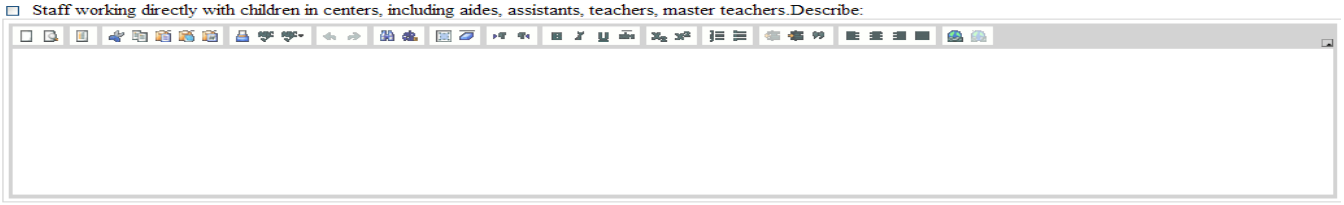
d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

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

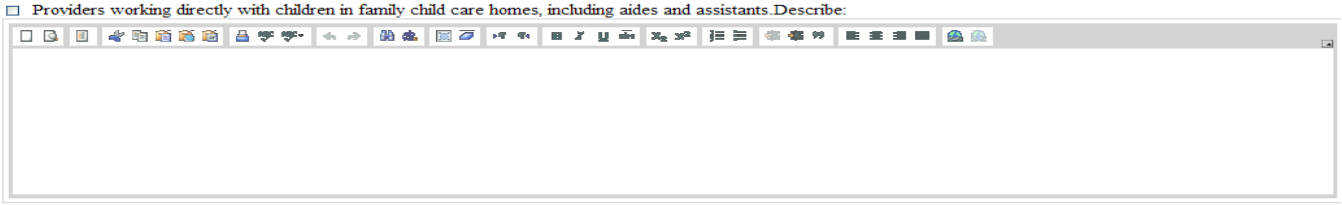
- ☐ None.

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

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

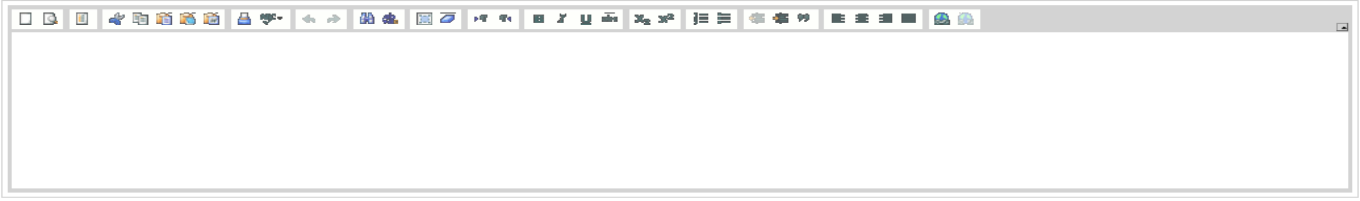


☐ Providers working directly with children in family child care homes, including aides and assistants.Describe:



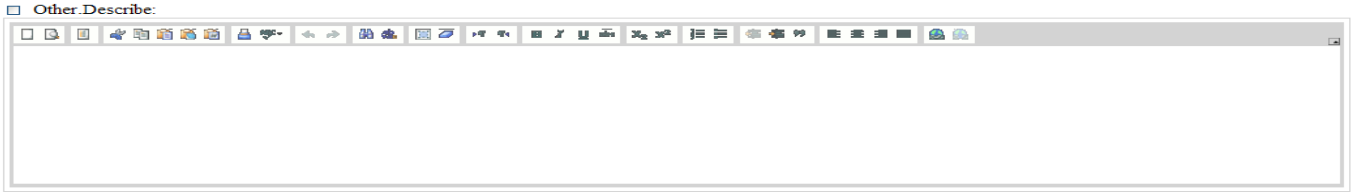
☐ Administrators in centers (including educational coordinators, directors).Describe:

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



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

☐ Other.Describe:



☐ None.

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

☐ Birth-to-three
☐ Three-to-five
☐ Five and older
☐ Other.Describe:

☐ None.

## Question 3.4.2:

### 3.4.2 Workforce Element 2 - Career Pathways

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

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

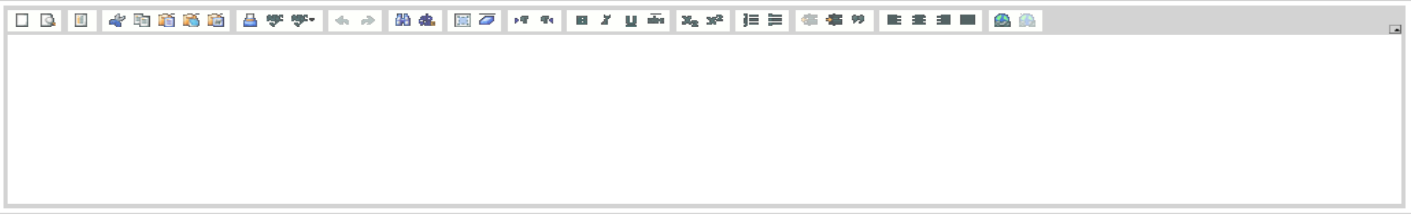
- ○ Yes.Describe:
- ○ No, the State/Territory has not developed a career pathway. **Skip to question 3.4.3.**

Insert web addresses, where possible:

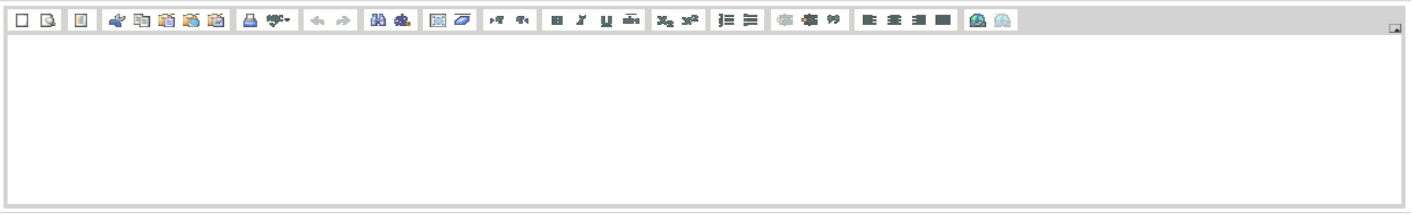
b) Check for which roles, if any, the career pathway (or lattice) include qualifications, specializations or credentials.

- ☐ 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:



☐ None.

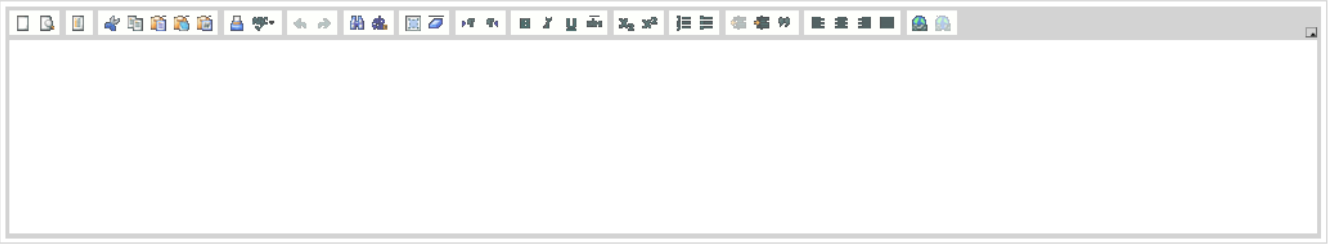
c) Does the career pathway (or lattice) include specializations or credentials, if any, for working with any of the following children?

☐ 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:

☐ None.

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

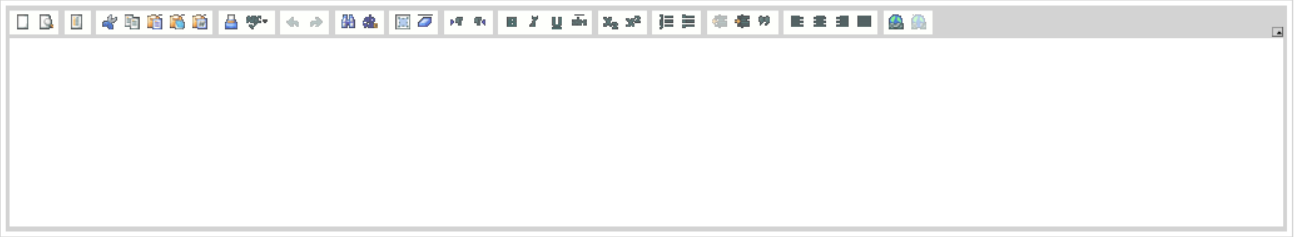
- ☐ Voluntary guide and planning resource
- ☐ Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
- ☐ Required placement for all practitioners working in programs that receive public funds to serve 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:



- ○ No.

## Question 3.4.3:

### 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.

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:
- ○ No.

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

- ○ Yes.If yes, describe:
- ○ No.

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

- ☐ Standards set by the institution
- ☐ Standards set by the State/Territory higher education board
- ☐ Standards set by program accreditors
- ☐ 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:

○ No.

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

○ Yes.If yes, describe:

○ No.

## Question 3.4.4:

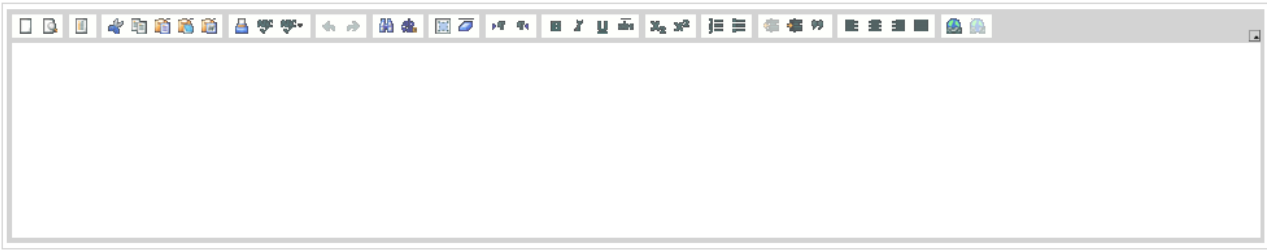
**3.4.4 Workforce Element 4 - Access to Professional Development**

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

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

○ Yes. If yes, for which sectors?

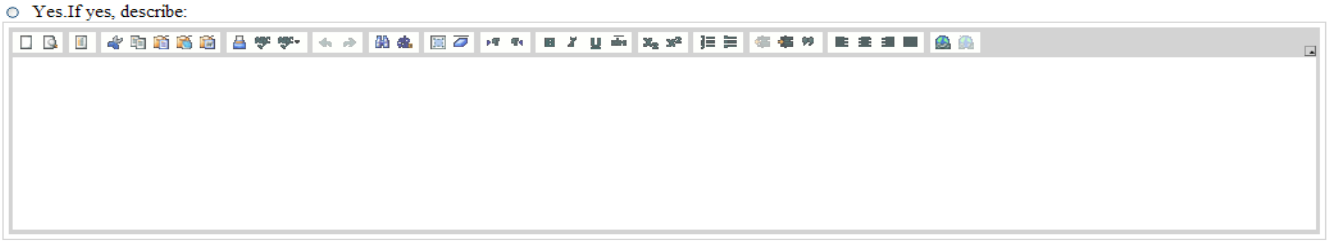
- ☐ Child care
- ☐ Head Start/Early Head Start
- ☐ Pre-Kindergarten
- ☐ Public schools
- ☐ Early intervention/special education
- ☐ Other.Describe:



○ No.

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

- ○ Yes.If yes, describe:

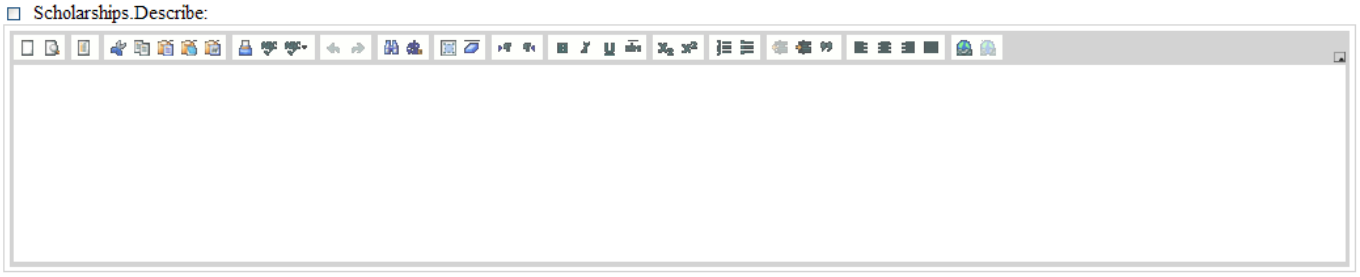


- ○ No.

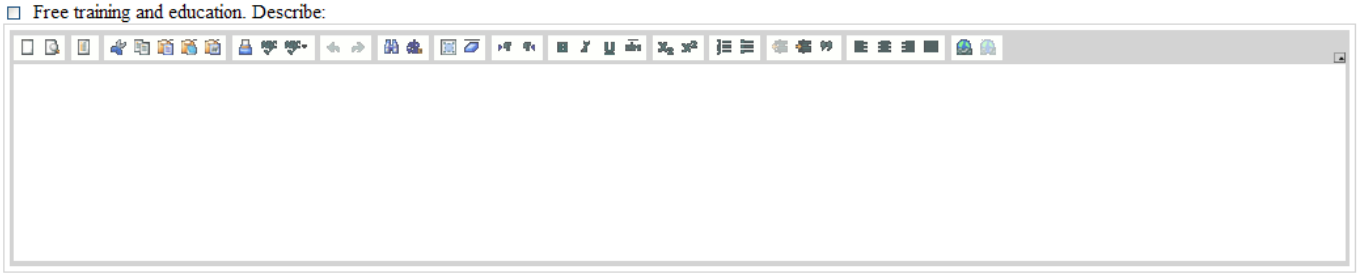
Insert web addresses, where possible:

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

- ☐ Scholarships.Describe:



- ☐ Free training and education. Describe:



- ☐ Reimbursement for training and education expenses.Describe:

- ☐ Grants.Describe:

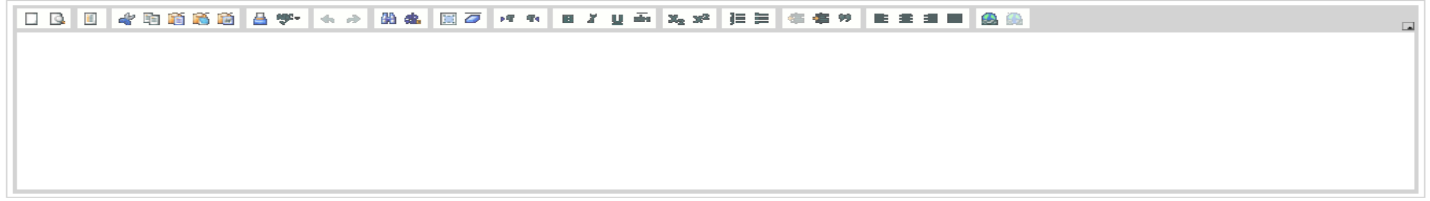
☐ Loans.Describe:

☐ Loan forgiveness programs.Describe:

☐ Substitute pools. Describe:

☐ Release time. Describe:

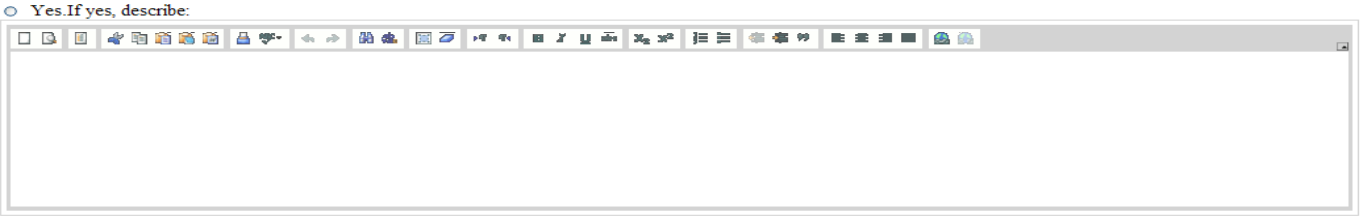
☐ Other.Describe:



☐ None.

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

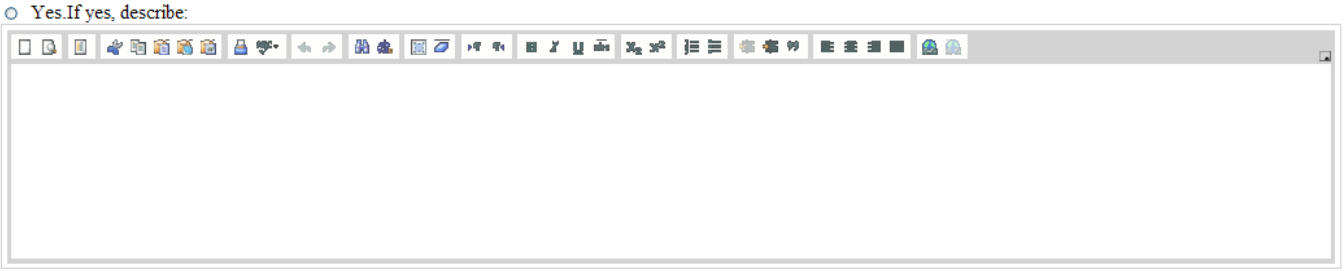
○ Yes.If yes, describe:



○ 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:



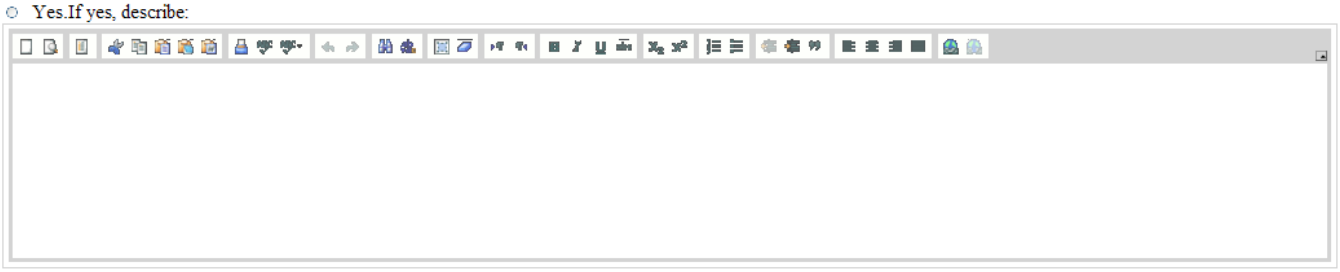
○ No.

## Question 3.4.5:

**3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce Conditions Definition** - For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

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

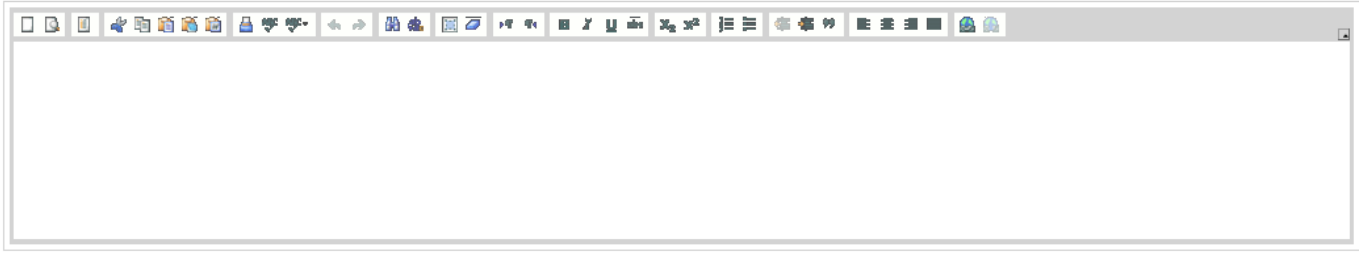
○ Yes.If yes, describe:



○ No.

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

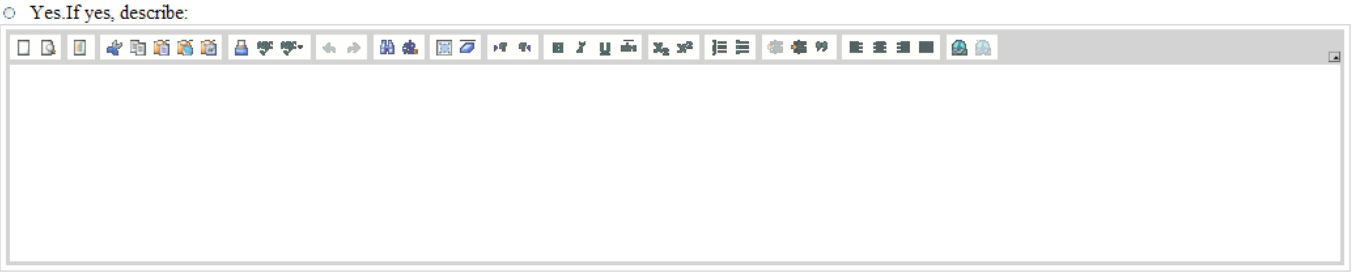
○ Yes.If yes, describe:



○ No.

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

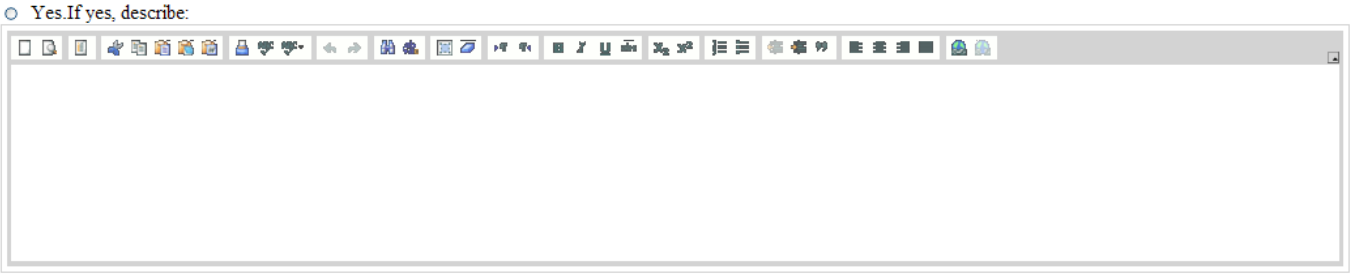
- ○ Yes.If yes, describe:



- ○ No.

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

- ○ Yes.If yes, describe:



- ○ No.

Question 3.4.6:

### 3.4.6 Data & Performance Measures on the Child Care Workforce (Click for additional instructions)

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):

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

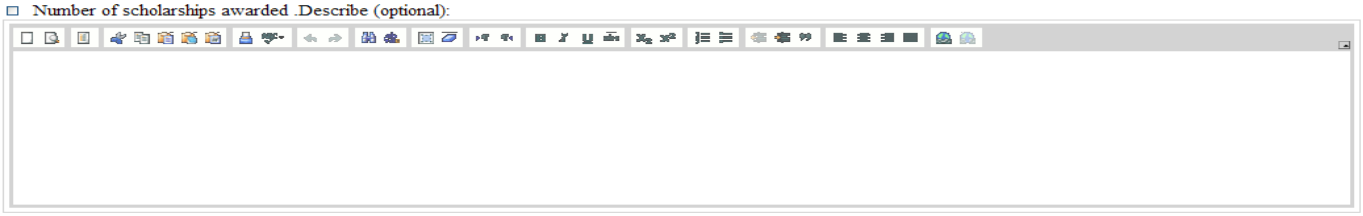
☐ Records of individual teachers or caregivers and their qualifications.Describe (optional):

☐ Retention rates.Describe (optional):

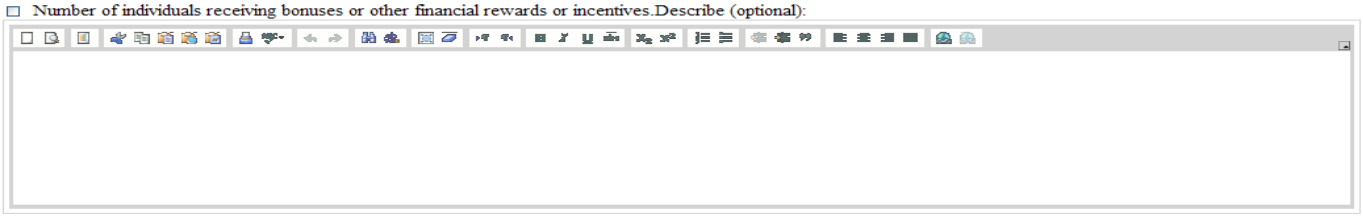
☐ Records of individual professional development specialists and their qualifications.Describe (optional):

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

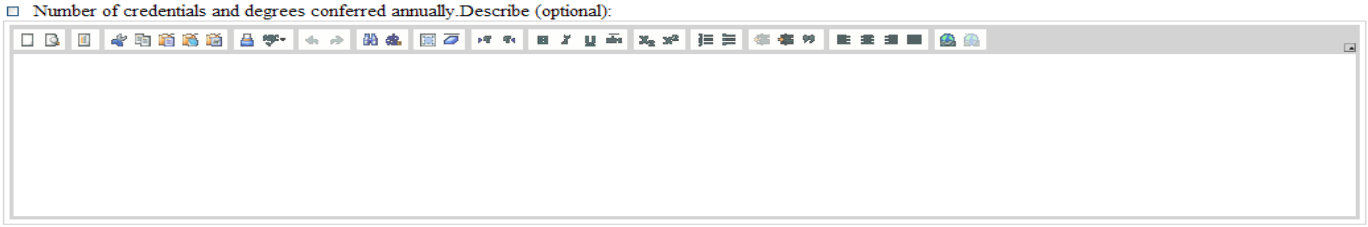
☐ Number of scholarships awarded .Describe (optional):



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

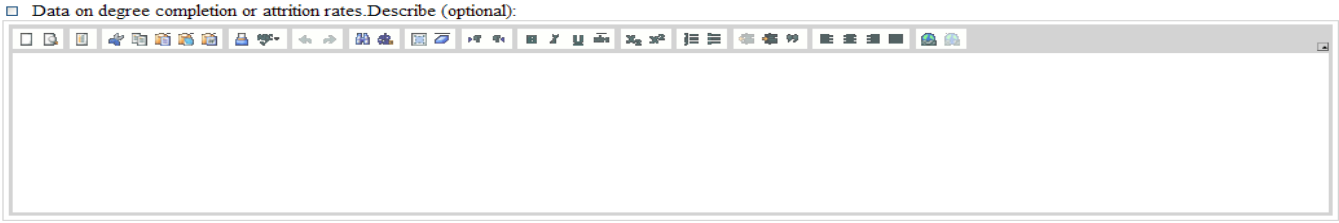


☐ Number of credentials and degrees conferred annually.Describe (optional):

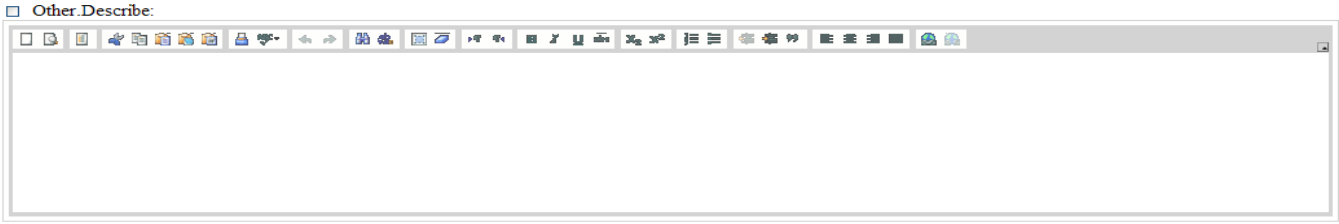


☐ Data on T/TA completion or attrition rates.Describe (optional):

☐ 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.

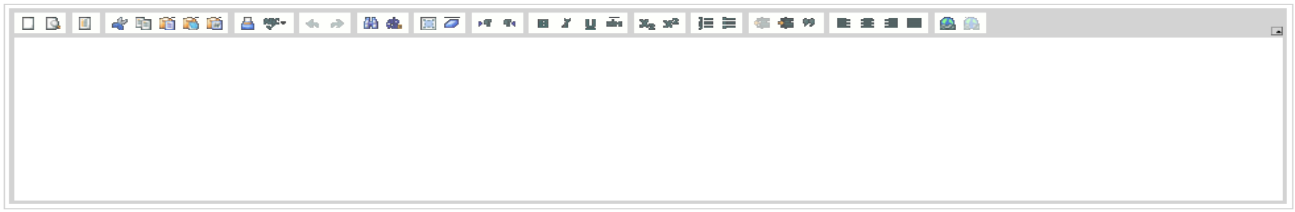
b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

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

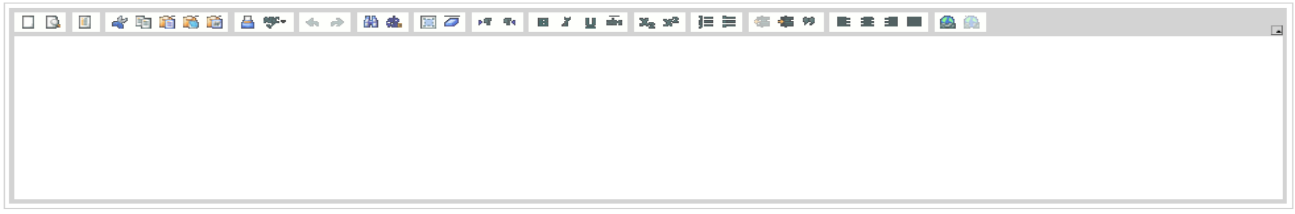
- ☐ Providers working directly with children in family child care homes, including aides and assistants.Describe:

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

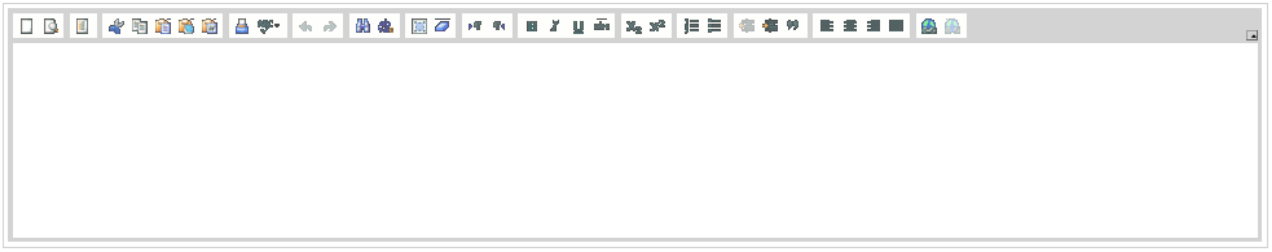
- ☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).Describe:



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



☐ Other.Describe:



☐ None.

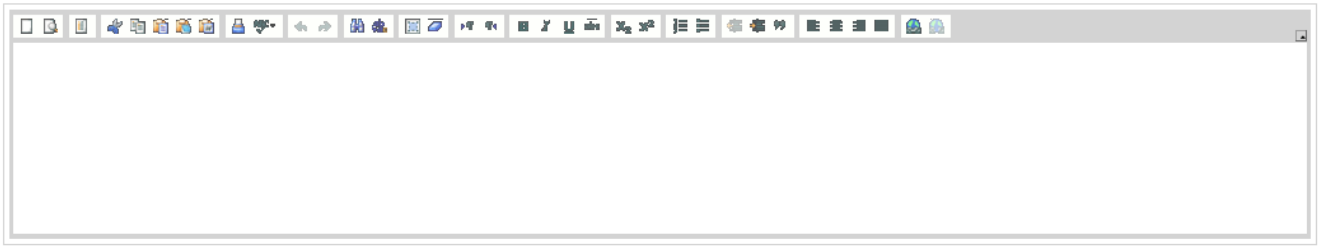
b-2) Does the workforce data system apply to:

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

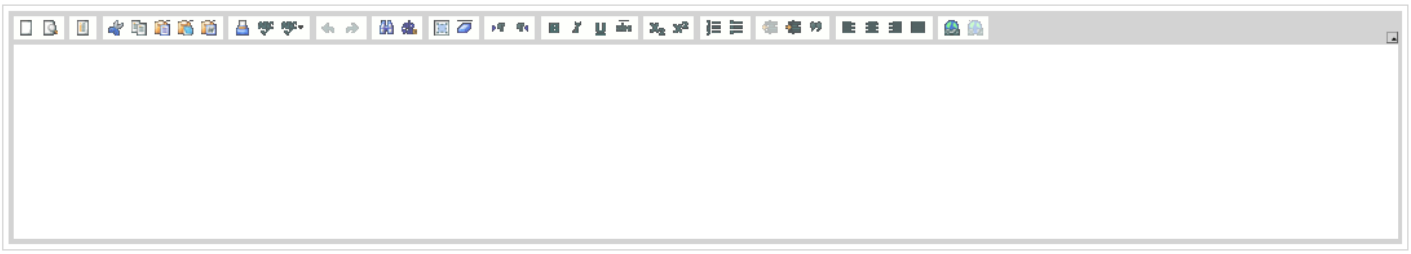
☐ all practitioners working in programs that receive public funds to serve children birth to age 13?

○ No.

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



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.

Question 3.4.7:

**3.4.7 Goals for the next Biennium** - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. 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?