



Child Care and Development Fund (CCDF) Plan

For

State/Territory:

Maine

FFY 2014-2015

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

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

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

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

Form ACF-118 Approved OMB Number expires

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PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D (a), §98.10)

Name of Lead Agency: Department of Health and Human Services

Address of Lead Agency: State House Station 11, Augusta, Maine 04333

Name and Title of the Lead Agency's Chief Executive Officer: William Boeschstein, Chief Operating Officer

Phone Number: 207-287-3707

Fax Number: 207-287-3005

E-Mail Address: william.boeschstein@maine.gov

Web Address for Lead Agency (if any):

<http://www.maine.gov/dhhs/index.shtml>

1.1.2. Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c) (1))

CCDF Plan Effective Date: October 1, 2013

Amended Effective: _____

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a) Contact Information for CCDF Administrator:

Name of CCDF Administrator: Kristopher Michaud
Title of CCDF Administrator: Child Care Services Team Leader
Address of CCDF Administrator: 2 Anthony Ave. 11 State House
Station, Augusta, ME 04333
Phone Number: 207-624-7917
Fax Number: 207-287-5282
E-Mail Address: kristopher.michaud@maine.gov
Phone Number for CCDF program information (for the public) (if any):
877-680-5866
Web Address for CCDF program (for the public) (if any):
<http://www.maine.gov/dhhs/ocfs/ec/occhs/payingchildcare.htm>
Web address for CCDF program policy manual: (if any):
<http://www.maine.gov/sos/cec/rules/10/148/148c006.doc>

Web address for CCDF program administrative rules: (if any):
<http://www.maine.gov/sos/cec/rules/10/148/148c006.doc>

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

Name of CCDF Co-Administrator: _____
Title of CCDF Co-Administrator: _____
Address of CCDF Co-Administrator: _____
Phone Number: _____
Fax Number: _____
E-Mail Address: _____
Description of the role of the Co-Administrator: _____

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2014 – FY 2015 plan period? The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2013 through September 30, 2014. (§98.13(a))

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching):
\$16,835,723.00
Federal TANF Transfer to CCDF: \$0
Direct Federal TANF Spending on Child Care: \$20,691,243
State CCDF Maintenance-of-Effort Funds: \$1,749,818
State Matching Funds: \$3,587,776

Reminder – Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds,

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shall be expended on administration costs (\$98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2. Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark N/A here.

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

If checked, identify source of funds: The two funding sources used to meet the Matching Fund requirement are the State Purchased Social Services Grant and Fund for Healthy Maine.

If known, identify the estimated amount of public funds the Lead Agency will receive: \$2,954,902

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

If checked, are those funds:

donated directly to the State?

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

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

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

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

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

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

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

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

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

The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1). Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%): _____

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

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

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

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015. In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Activity	Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)	Purpose	Projected Impact and Anticipated Results (if possible)
	134,307.00 Check if targeted funds for this activity: <input type="checkbox"/> Infant/Toddler Targeted Funds <input checked="" type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds <input checked="" type="checkbox"/> Quality Expansion	Resource and Referral	Supporting families to increase access to child care and parenting resources and supporting the development of child care that meets the needs of families.

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	<p>500,000.00</p> <p>Check if targeted funds for this activity:</p> <p><input checked="" type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input checked="" type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	<p>Quality Differential</p>	<p>To provide financial incentives for quality improvement investments in licensed centers and certified homes.</p>
	<p>1,2000,000.00</p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	<p>Licensing</p>	<p>Ensure the health and safety of children throughout the State who are attending licensed centers and certified homes.</p>

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	<p>1,300,000.00</p> <p>Check if targeted funds for this activity:</p> <p><input checked="" type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input checked="" type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	<p>Workforce Development/Technical Assistance</p>	<p>To provide high-quality, standardized Training and Technical Assistance or Professional Development services that address the unique needs of all of the communities throughout the State of Maine across licensed, certified homes and Family, Friend and Neighbor Care settings. These services encompass:</p> <ol style="list-style-type: none"> 1. Training to providers 2. Technical Assistance to providers 3. Professional Development Systems
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1.2.4 Will the Lead Agency distribute quality funds to counties or local entities? Note: This question is to obtain information on whether the Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level or if funds are distributed to local entities

Does the State maintain decisions at the State level, or are funds distributed to locals that have some decisions on how funds are spent.

- No, the Lead Agency will not distribute any quality funds directly to local entities
- Yes, all quality funds will be distributed to local entities
- Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities _____
- Other. Describe. _____

1.3. CCDF Program Integrity and Accountability

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

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

The Department of Health and Human Services contracts with The University of Southern Maine, Muskie School of Public Service to coordinate child care provider training and technical assistance activities or to otherwise support the quality of child care in the state. Agreement administrators monitor all contracts for financial compliance. This monitoring includes quarterly reporting. Site visits to review performance indicators and client records, if applicable, are completed. Program staff monitor for specific performance requirements including the performance indicators outlined in contracts and agreements. The Lead Agency has staff to conduct audits and review case files for proper authorizations.

All services are scheduled for renewal through a competitive bid process on average, every four years. A calendar is developed noting the dates a request for proposal (RFP) will be available for specific programs. In addition, any new funds are awarded on a competitive basis as required by law.

The State Child Care Administrator and other staff meet periodically with grantees, various associations, councils, and advisory groups to evaluate the delivery of services. The Administrator and staff Solicit recommendations from these groups on how to improve services and implement modifications and/or improvements as deemed necessary.

The Lead Agency also participates in finance meetings with program fiscal coordinators and Individuals from the accounting division to monitor and review expenditures to ensure they are in-line with the intention of the grant. Monthly

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management reports and data tracking of finance and program compliance are reviewed at the management level on a consistent basis for compliance and reflect The goals in the state authorized work plan.

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

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient and vendor** (http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010).

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments. Quarterly reporting is required by all sub recipients. This includes financial and performance indicator reports. Site visits, meetings, and on-going communications are also factored in to ensure understanding and compliance with all expectations within the agreements.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	☒	☒

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct supervisory staff reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct data mining to identify trends	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe Implement a tracking system to monitor the reporting of potential fraud and the outcome of the detailed review or referral to State fraud department.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe The Lead Agency will continue to incorporate a peer auditing structure with 6 staff members. This peer auditing structure will review all eligibility records including but not limited to; *application/re-determination forms, priority group placement, general program requirements, income and authorizations.*

Additionally, the Lead Agency will have 2 separate staff members established as anchor points for quality assurance measures that are responsible for managing the accountability initiatives associated with the grant. Moreover, the State of Maine Child Care Subsidy Program will have the Office of Child and Family Services PQI team audit a percentage of eligibility records on an annual basis as an independent record review process.

Audits are done quarterly and are randomly selected to equal 10% of the identified population per quarter. For example, 10% of the Certified Family Child Care providers that have current agreements with the Lead Agency will be audited.

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Supervisory and/or Management staff is responsible for reviewing the following:

- System run reports that flag errors, this is done quarterly
- System match runs that compare client data sets from other sources (i.e. data feeds from TANF/MaineCare), this is done ongoing through monthly meetings with IT individuals
- Conduct data mining to identify trends, this is reviewed monthly via management reports.

Supervisory and/or Management staff is responsible for:

- Conducting staff performance evaluations based upon file audits and database inquiries.
- Training staff on policy and file expectations, bi-monthly staff meetings and monthly individual supervision where dedicated time focuses on policy discussions and training. Additionally, file audit forms are reviewed and shared.

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

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount 1000.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe _____	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in subsequent months	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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Strategy	UPV	IPV and/or Fraud	Administrative Error
intercepts			
Recover through other means. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe The Department shall take prompt action in accordance with the requirements of this section whenever an improper payment occurs that causes benefits to be underpaid or overpaid.

1. **Underpayments** occur when the Parent or the Child Care Provider does not receive all the benefits to which the Parent or the Child Care Provider is entitled due to an administrative error or mistake made by the Department. Evidence shall clearly demonstrate that an agency administrative error occurred. Errors caused by the Parent or the Child Care Provider shall not be considered underpayments, except when a Child Care Provider makes a billing error and the Department receives written notification of the error within thirty (30) calendar days of the date payment is issued to the provider.
2. **Overpayments** occur when the amount paid exceeds the amount that would have been paid if the benefit had been calculated correctly on actual circumstances reported, verified and acted on in a timely manner. Overpayments occur as the result of agency administrative, Parent or Child Care Provider errors.
3. Overpayments are calculated on a month-to-month basis for the period of the overpayment.

12.03 Agency Administrative Errors

An overpayment shall be classified as an agency administrative error if the error was caused solely by actions of the Department.

Agency administrative errors shall include, but not be limited to:

- a. Errors caused by delays in processing applications or acting upon changes that were reported in a timely fashion.
- b. Errors in determining eligibility, calculating the benefit amount or the payment authorization period

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c. Data entry errors

1. Errors caused by the incorrect application of state regulations, policy or procedures
2. Fraud committed by an individual who works for the Department

12.04 Errors Caused by Parents and Providers

12.04.1 Overpayments that are not caused by agency administrative errors shall be classified as caused by the Parent or Child Care Provider.

12.04.2 Overpayments caused by the Parent shall include, but not be limited to:

- a. Errors caused by reporting false information
- b. Errors caused by reporting inaccurate information
- c. Delays in reporting changes in household circumstances, work or school schedules, or provider arrangements.

12.04.3 Overpayments caused by the Child Care Provider shall include, but not be limited to caused by:

1. Inaccurate reporting of licensing status, age or other Child Care Provider eligibility requirements
2. Inaccurate reporting of the Child Care Provider's relationship to the child or the location at which care is given
3. Inaccurate reporting of household circumstances
4. The overpayment shall be considered as both Parent and Child Care Provider caused if the Parent and the Child Care Provider both participated in the action that caused the overpayment to occur.

The Department shall make a preliminary determination of whether the overpayment was caused by a program violation based on the information and evidence and pursuant to these rules. Overpayments shall be considered and pursued if the Parent or Child Care Provider withheld or provided false information on matters affecting eligibility, benefits or a claim for services.

12.04.6 Where the Department makes a preliminary determination that a Parent or Child Care Provide may have committed a program violation, the case may be referred to the DHHS Fraud Investigation Unit pursuant to Title 22 M.R.S.A. §13 and the Department may pursue establishment of a program violation against the Parent and/or Child Care Provider administratively.

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12.04.7 A final determination that a program violation was made shall be made only as the result of a decision by an Administrative Hearing, a court, or waiver of the Administrative Hearing by the Parent and/or Child Care Provider. Failure to request an Administrative Hearing constitutes a waiver.

12.05 Calculating the Improper Payment

12.05.1 Improper Subsidy payments shall be calculated by comparing the subsidy paid during applicable benefit month to the payment that would have been payable if eligibility and payment had been calculated correctly. The difference between the correct subsidy and the amount actually paid shall be the amount of the monthly improper payment.

12.05.2 The monthly calculation is applied on a month-to-month basis for the improper pay. The aggregate sum of the monthly improper payments within the improper payment period is the net amount of the improper payment or the overpayment/underpayment amount.

12.05.3 If subsidy benefits are underpaid, the amount owed shall be paid within sixty (60) c of the date the error was discovered, unless information needed to calculate the improper payment is inadequate or has not been received. If the Parent or Child Care Provider has an outstanding overpayment, the amount of the underpayment shall be used to offset the outstanding overpayment and any remaining balance of the underpayment shall then be payable to the Parent or Child Care Provider.

12.05.4 Improper payments shall be corrected regardless of whether the Parent's case is a closed. The Parent and Child Care Provider shall be notified of the determination.

12.05.5 Repayment of overpayments shall begin on the first day of the month following the circumstances that caused the overpayment occurred.

12.05.6 Repayment of Agency Administrative overpayments shall begin on the first day of following the month in which the circumstances that caused the overpayment occurred, unless a notice of adverse action is required.

12.05.7 If the Department fails to take timely action following discovery of the issue to correct the issue causing the overpayment to accrue any subsequent subsidy benefits overpaid as the result of the delay shall be considered agency administrative error.

Responsibility for Repayment

The Parent shall be responsible for repaying the overpayment unless the overpayment was caused solely by the Child Care Provider. If the Parent is responsible for the overpayment, the Department shall require restitution by billing when the overpayment is due and again on the thirtieth and sixtieth day if the

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Parent fails to pay. Thereafter, the Department may pursue collection in the appropriate venue.

- If the Child Care Provider is responsible for the error, the Child Care Provider shall repay overpayment.
- If the Child Care Provider is responsible for the overpayment and recovery is initiated by the monthly Child Care Subsidy benefits, the Child Care Provider shall not require the household to pay the difference by increasing charges for children subsidized by the Department to compensate for the loss of income due to the recovery of an overpayment.

Notice of Overpayment

- The individuals responsible for the repayment of the overpayment shall be provided with written notice of overpayment upon establishment.
- The written notice of overpayment shall be sent to the Department's last known address individuals, by U.S. Postal Service first class mail and be considered as received upon being sent.
- The written notice of overpayment shall contain:
 - Name(s) of the individual(s) responsible for repayment
 - Last known address of the individual
 - Amount of the overpayment
 - Period of the overpayment
- The overpayment will be considered payable in full thirty (30) days from the date of the notice
- Explanation of why the overpayment occurred
- Responsibility for repayment by recovery through Child Care Provider payment reduction
- Responsibility for repayment when billed
- Responsibility for repayment through Maine Revenue Services Tax Setoff
- Hearing Rights and Appeal Rights
- Selection of repayment method as outlined in 12.08.
- If the Child Care Provider is solely responsible for repaying the overpayment, the Parent shall be notified in advance of the proposed change in benefits and that the Child Care Provider cannot hold the Parent responsible for paying the difference.

12.08 Methods of Repayment

12.08.1 The Department shall attempt to recover overpayments by a lump sum repay quickest means possible.

If the Parent or Child Care Provider does not agree to a lump sum repayment, the Department will then reduce the Child Care Provider's and/or Parent's ongoing

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payments by twenty percent (20%) of the Child Care Provider's monthly payment until the overpayment has been fully recovered.

12.08.3 Recovery by benefit reduction shall be initiated if the Child Care Provider the advance notice or request an Administrative Hearing.

12.08.4 Written request for an Administrative Hearing on establishment of the overpayment the Department within thirty (30) days of the Notice shall stay recovery actions until issuance of a decision which upholds the Department's establishment of the overpayment.

- If the Child Care Provider does not actively receive Child Care Subsidy payments, the Department shall attempt to recover the overpayment through the quickest means possible and through those mechanisms available by law as with other program overpayments.
- If the Parent or Child Care Provider does not comply with any repayment plan, the Department to the extent allowed by law, take whatever action deemed appropriate to recover such overpayment.

Disqualification Penalties for Program Violations

- Parents or Child Care Providers who are found to have committed a program violation must be referred to the DHHS Fraud Investigation Unit pursuant to Title 22 M.R.S.A. § 13.
- The Department shall impose a disqualification penalty of up to one year if the Parent is found to have committed a program violation in connection with obtaining Child Care Subsidy benefits. A penalty shall be imposed after issuance of an Administrative Decision which determines that a Program Violation occurred or the Parent waives an Administrative Hearing.
- Parents are disqualified for up to a year for a Child Care Subsidy if they had their services terminated for an Program Violation related to Family income, Family size, or other eligibility criteria in order to be found eligible for services.
- Parents and/or Child Care Providers convicted of Theft as a Class B or Class C competent jurisdiction regarding the funds administered by the Department through the Child Care Subsidy program, TANF or other cash program shall be permanently disqualified from participation in the Child Care Subsidy program.

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

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None

Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified Intentional program violation will disqualify a client from applying for one year. Upon termination of services, the client has 10 calendar days to request a hearing regarding the decision. Once the hearing decision is issued, the decision stands for one year.

Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified Intentional program violation disqualifies a provider from participating in the subsidy program. Upon termination of services, the provider has 10 calendar days to request a hearing regarding the decision. Once the hearing decision is issued, the decision stands for one year.

Prosecute criminally

Other. Describe

1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
Improper authorizations	Missing or insufficient documentation.	Hire new Subsidy Program Supervisor.	Done July 2010
	Most commonly identified items were: Paystubs Income documentation Applications Contracts/Awards Outdated tax returns	Training for subsidy staff at monthly staff meetings Centralize all eligibility determinations	Done monthly since July 2010 Will be completed by September 2011
		More complete audit of eligibility files	Starting March 2010 and ongoing

1.4. Consultation in the Development of the CCDF Plan

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

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

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<p><input checked="" type="checkbox"/> Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The Child Care Advisory Council submitted in writing recommendations to consider when drafting the CCDF plan. The CCAC council is a 28 Members council appointed as follows:</p> <ul style="list-style-type: none"> • Employee of DHHS, Office of Family Independence • Employee of DHHS State Child Care Administrator • Employee of DHHS, Concerned with children's behavioral health services • Employee of DHHS, Head Start collaboration • Two Employees of Department of Education, one special education focus, one public 4 yr. old programs focus • State Fire Marshal • Employee of the Office of Substance Abuse • Employee of the

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Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	<p>Department of Economic and Community Development</p> <ul style="list-style-type: none"> • One member of the Senate • Two members of the House of Representatives • One parent who receives child care subsidy • One Business representative from Maine Chamber of Commerce • One Center Based care provider • One Head Start provider • One Family Child Care provider • One child care provider that does not receive public funds • One person representing a nonprofit advocacy organization working on behalf of children and families • One person associated with Child Development Services • One person representing Maine Center for Community Inclusion and Disabilities Studies • One representative from Maine Women's Lobby • One provider representing school age care providers • One person representing Maine Roads to Quality

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Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.	
<input checked="" type="checkbox"/> State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21 st Century Community Learning Centers), or higher education.	The Lead Agency consulted with the Early Childhood Consultant through the Department of Education who is responsible for the public 4 year old pre-kindergarten programs.
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	The Lead Agency consulted with the State Director of Child Development Services (CDS) through the Department of Education who is responsible for the early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool). The Lead Agency also requested written information from all of the 8 CDS Regional Site Directors on components of this plan.
<input checked="" type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	Part of the Lead Agency
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	The Lead Agency requested written information and utilized programmatic data for the drafting of the CCDF plan.
<input type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	
<input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	The Lead Agency requested written information and utilized programmatic data for the drafting of the CCDF plan.
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	The Lead Agency is responsible for the Child and Adult Care Food Program as well. The

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	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
		management of the CACFP program provided insight and considerations for the CCDF plans during the drafting process.
<input checked="" type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The Lead Agency partners closely with the Maternal and Early Childhood Home Visitation program.
<input type="checkbox"/>	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children’s emotional and mental health)	
<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	Part of the Lead Agency
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input checked="" type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	The Lead Agency requested written information from Maine Roads to Quality, our Professional Development Network and utilized programmatic data in drafting this CCDF plan.
<input checked="" type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	The Lead Agency is also responsible for TANF services in Maine. TANF staff were encourage to provide feedback and considerations for the CCDF plan during the drafting process
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	The Lead Agency requested written information from the AfterSchool Network (Mott Statewide AfterSchool Network).
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	The Child Care Advisory Council submitted recommendations to the Lead Agency to consider during the drafting process.
<input type="checkbox"/>	Parent groups or organizations	

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Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)	
<input checked="" type="checkbox"/> Other: Maine Association for the Education of Young Children ; Maine Early Learning and Investment Group	The Lead Agency requested written information from these 2 groups.

1.4.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description should include:

- a) Date(s) of notice of public hearing: 05/28/13 **Reminder - Must be at least 20 days prior to the date of the public hearing.**
- b) How was the public notified about the public hearing? Newspaper; website, Email to available contacts
- c) Date(s) of public hearing(s): 06/19/2013 **Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).**
- d) Hearing site(s): Lead Agency Office site in Augusta, Maine. Satellite sites in Portland, ME , Ellsworth, ME, Machias, ME, Bangor, ME and in Caribou, ME.
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? Posted on Website and in print upon request
- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? Lead Agency will review the comments and recommendations and modify the plan as necessary prior to final submission.

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules. Public hearings were held in multiple sites across the state. One in the central area of the state, one in the eastern area of the state and the other in the southern area of the state where the population is greater. The hearing was two hours in length, in the evening, and in public buildings that are designed to accommodate individuals of all abilities. Additionally, video feed were available to parts of the state for convenience and ease of travel burdens. Translators available in locations that are most heavily populated with non-English speaking populations.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

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

Note: Descriptions of how governments are organized for each State are provided at: http://www2.census.gov/govs/cog/all_ind_st_descr.pdf.

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

<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe results expected from the coordination</p>
<p><input checked="" type="checkbox"/> Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>The Lead Agency will participate in the following early childhood coordinating groups: State Agencies Interdepartmental Early Learning Team (SAIEL)</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>To serve as the administrative governance structure between the Department of Education and the Department of Health and Human Services to ensure interagency coordination, streamline decision-making, allocate resources effectively, incorporate findings from the various demonstration projects statewide, and create long term sustainability for its early learning and development reform.</p>

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		Maine Children's Growth Council (MCGC) Child Care Advisory Council (CCAC)	The purpose of these committees is facilitate services across the systems and sectors in order to facilitate the creation of safe and stable child care environments.
<input checked="" type="checkbox"/>	State/Territory agency responsible for public education (required) This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21 st Century Community Learning Centers), or higher education;	Participate in: Higher Education Committee Early Childhood Accountability Team Professional Development Accountability Team	Increase accessibility of higher education options for professionals in the State of Maine by maintaining and coordinating articulation agreements with our professional workforce system, community colleges and the university system.
<input checked="" type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)	Participate in: Maine Children's Growth Council Child Care Advisory Council Shared Service Alliance Advisory Council	The purpose of these committees is facilitate services across the systems and sectors in order to facilitate the creation of safe and stable child care environments.

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<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe results expected from the coordination</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Part of the State Agencies Interdepartmental Early Learning Team (SAIEL)</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>To serve as the administrative governance structure between the Department of Education and the Department of Health and Human Services to ensure interagency coordination, streamline decision-making, allocate resources effectively, incorporate findings from the various demonstration projects statewide, and create long term sustainability for its early learning and development reform.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for employment services / workforce development (required)</p>	<p>The Lead Agency will continue to collaborate with the Office of Family Independence, the Office responsible for determining financial eligibility for Child Care Subsidy. This Office is responsible for</p>	<p>Supports individuals in increasing access to the CCDF subsidy along with streamlining and creating efficiencies in family independence to support their access to the workforce.</p> <p>The Career Centers work with people who are looking for work or</p>

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		supporting the work force and independence of families throughout the State of Maine. The Lead Agency also coordinates with the Department of Labor's Career Centers.	have been displaced from another position.
<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies(required)	The Lead Agency will collaborate with the Office for Family Independence through interdepartmental collaboration.	The goal of this collaboration is to avoid duplication of services to families and increase efficiency in serving families to access the child care subsidy Program. Additionally this provides a level of oversight and accountability between the data systems that are used to monitor client services.
<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	The Lead Agency will invite the lead contact for Tribal CCDF to participate in the Child Care Advisory Council	Coordinate and reduce duplication of services.

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full- day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery		
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant		
<input checked="" type="checkbox"/> State/Territory agency responsible for Race to the Top – Early Learning Challenge (RTT-ELC) <input checked="" type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC		
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)		
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs		
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant		
<input type="checkbox"/> State/Territory agency responsible for child welfare		
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives		
<input checked="" type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21		
<input type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)		
<input type="checkbox"/> Provider groups, associations or labor		

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full- day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
<input type="checkbox"/> organizations		
<input type="checkbox"/> Parent groups or organizations		
<input type="checkbox"/> Other		

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

- Yes. If yes,
- a) Provide the name of the entity responsible for the coordination plan(s): The Maine Children’s Growth Council
 - b) Describe the age groups addressed by the plan(s): Prenatal through eight years old
 - c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
 - Yes
 - No
 - d) Provide a web address for the plan(s), if available:
www.maineccgc.org
- No

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

- State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.
If yes, describe entity, age groups and the role of the Lead Agency
- State Advisory Council (as described under the Head Start Act of 2007).
If yes, describe entity, age groups and the role of the Lead Agency The Maine Children's Growth Council is created to develop, maintain and evaluate a plan for

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sustainable social and financial investment in healthy development of the State's young children and their families. This body has no authority, provides advisement to the State and includes birth through eight years of age as the focus ages.

This council is a 35 seat council with the following representation:

Two members from the Senate, one from each political party

Two members from the House of Representatives, one from each political party

The Governor or designee

The Attorney General or designee

Three parents

Two persons representing public funding

One Child Abuse and Prevention representative

One Postsecondary education representative

Three representatives from early care and education

One law enforcement organization

One community mobilization organization

One public health representative

One Maine Economic Growth Council representative

One labor organization representative

One business representative

Eight members of the public Commissioner of Education or designee

DHHS employee within Early Childhood programs

DHHS employee within Early Childhood programs fiscal agent

Local Coordination/Council

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

Other.

Describe _____

None

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

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

The Lead Agency will actively seek out opportunities for collaboration and promoting linkages with community agencies and businesses.

No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-01) located on the Office of Child Care website at: <http://www.acf.hhs.gov/programs/occ/resource/im-2011-01>

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

- Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- Developed.** A plan has been developed as of 6/1/2005 and put into operation as of 6/1/2005, if available. Provide a web address for this plan, if available: <http://www.maine.gov/dhhs/ocfs/ec/occhs/yikesplanning.pdf>
- Other. Describe:** _____

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

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, sliding fee scale, payment rate policies and procedures, and how Lead Agencies ensure continuity of care and parental choice of high quality settings for families.

2.1. Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

- Eligibility rules and policies (e.g., income limits) are set by the:
 - State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set _____
 - Other. Describe: _____
- Sliding fee scale is set by the:
 - State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set _____
 - Other. Describe: _____
- Payment rates are set by the:
 - State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set _____
 - Other. Describe: _____

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

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

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Implementation of CCDF Services/Activities	Agency (Check all that apply)
<p>Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____</p>	<p><input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____</p>
<p>Who assists parents in locating child care (consumer education)?</p>	<p><input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____</p> <p><input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____</p>
<p>Who issues payments?</p>	<p><input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____</p> <p><input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____</p>
<p>Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)</p>	<p>Payments are issued directly to the provider. Payments are the balance of the caregiver's rate (up to the assessed market rate or private fee, whichever is lower), minus the assessed parent fee.</p> <p>Payments are made in check or electronically, at the request of the provider.</p>
<p>Other. List and describe: _____</p>	

2.2. Family Outreach and Application Process

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

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet (provide website):
<http://www.childcarechoices.me/ccchoices/home.aspx>
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe: _____

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website) _____
- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other. Describe: _____

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

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

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

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support to find the child care that best suits their family needs. The information provided at that time includes information on the Quality for ME, Maine's Quality Rating and Improvement System and quality measures for child care. Additionally, the State of Maine utilizes a website designed for families This site includes parent resources in addition to a child care search tool. This site can be navigated at <http://www.childcarechoices.me/ccchoices/home.aspx>

Families are able to request information from the Division of Licensing and Regulatory Services if there have been any substantiated reports made against a provider, as this information is a matter of public record.

Brochures and pamphlets are available at the Lead Agency and all collaborative partner sites regarding quality child care and Quality for ME, Maine's Quality Rating and Improvement System in order for all consumers of child care to be informed of the importance of quality child care.

In order for licensed providers to receive Child Care Development Funds through subsidy payments, they must be deemed eligible and sign a provider agreement which indicates they will participate in Quality for MER, Maine's Quality Rating and Improvement System.

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory. For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.

Maine has implemented a building block Quality Rating and Improvement System, Quality for ME with four steps of quality. Any provider that is enrolled in our system has access to low cost or no cost training, have access to technical assistance providers and are eligible for scholarships. By providing care to children receiving CCDF subsidy, providers who are at Step 2-4 in Quality for ME may be eligible to receive quality differentials of 2%, 5% or 10%.

2.2.5. Describe how the Lead Agency promotes access to the CCDF subsidy program? Check the strategies implemented by your State/Territory.

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

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- Using a simplified eligibility determination process such as:
 - Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
 - Developing a single application for multiple programs
 - Developing web-based and/or phone-based application procedures
 - Coordinating eligibility policies across programs. List the program names Child Care Subsidy, MaineCare, Supplemental Nutrition Assistance Program, Transitional Child Care (through TANF)
 - Streamlining verification procedures, such as linking to other program data systems
 - Providing information multi-lingually
 - Including temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment). Length of time

3.05 Parents on Maternity/Paternity Leave

3.05.1 The eligibility for Child Care Subsidy services will continue for up to twelve (12) weeks for a child of a Parent on maternity or paternity leave. The subsidy will be reinstated at the end of maternity leave when the parent returns to work and the child returns to child care.

3.05.2 DHHS will pay for no more than two (2) weeks of care for a child who is absent from child care during the Parent's maternity or paternity leave. If the child who has been receiving subsidy attends child care while the Parent is on maternity or paternity leave, the provider shall be paid for the hours of care the child receives based on the original Award Letter.

4.03 Activity: Job Search for Active Recipients.

Interim child care may be provided for **up to** two (2) months for current recipients who have lost work or who have completed school and are looking for work. Parents, who contact the Department or the Contracted Slots Agency, complete a Job Search Request form and request job search time shall be granted:

- a. One job search per six (6) month period.
- b. Job search time is limited to 20 hours per week.

4.07 Seasonal Employment

Parents whose employment status has changed because of seasonal employment or a planned lay-off shall not be required to re-apply for their child care voucher when they return to work, if the following action and criteria are met:

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- a. The Parent must provide the Department or the contracted agency a written notice two (2) weeks prior to the end of seasonal employment or the planned lay off.
- b. The written notice must include a statement from the Parent's employer stating the date employment will commence again, the number of hours to be worked, and the hourly rate of pay.
- c. The starting date of employment may not exceed sixty (60) days from the last date of employment.

(Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).

- Other. Describe: _____
- Other. Describe: _____
- None

2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

- Provide CCDF assistance during periods of job search. Length of time

Interim child care may be provided for up to two (2) months for current recipients who have lost work or who have completed school and are looking for work. Parents, who contact the Department, complete a Job Search Request form and request job search time shall be granted:

- a. One job search per six (6) month period.
- b. Job search time is limited to 20 hours per week.

- Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

Synchronize review date across programs. List programs:
Child Care Subsidy review date aligns with all other state or federal public benefits a family may be receiving.

Longer eligibility re-determination periods (e.g., 1 year). Describe
One Year

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- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe _____
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe _____
- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
- Individualized case management to help families find and keep stable child care arrangements. Describe _____
- Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
- Other. Describe _____
- None

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

- Application in other languages (application document, brochures, provider notices)
- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Outreach Worker
- Other: _____
- None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered

The Lead Agency has access to a language line for non-English speaking individuals.

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

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages

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- Website in non-English languages
- Bilingual caseworkers or translators available
- Other: _____
- None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered

All non-English languages are listed on the State's master agreements.

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a)) Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available _____

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

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	Proof of identity is required and shall be established by showing a valid photo ID. If applicants do not have proof of identity, they shall be given ten (10) days to provide it. 5.02.1 Acceptable Forms of Proof of Identity: <ul style="list-style-type: none"> a. An original, valid, current Maine driver’s license, permit, or ID card, with photograph; b. An original, valid, current, unexpired Certificate of U. S. Citizenship (INS Form N-560) with photograph; c. An original, valid, current, unexpired Certificate of Naturalization (INS Form 550 or INS Form 570) with photograph; d. An original, valid, current, unexpired U. S. Military ID Card; e. U. S. Military Retiree Card or Uniform Service Identification Privilege Card (DD 1173) with

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	<p>current photograph;</p> <p>f. An original, valid, current, unexpired or legally extended United States passport with current photograph.</p>
<input checked="" type="checkbox"/> Household composition	See program application- parent self-report and self-certify
<input checked="" type="checkbox"/> Applicant's relationship to the child	See program application- parent self-report and self-certify
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	<p>Ages of Children In order to be eligible for Child Care Subsidy, children must be at least 6 weeks of age and not reached their 13th birthday</p> <p>Children with special needs who have not reached their 19th birthday may be served if they are physically or mentally incapable of caring for themselves as diagnosed by a qualified professional or court ordered.</p> <p>A Child Care Subsidy award may be issued for children less than 6 weeks of age who have approval by the Department of Health and Human Services, Division of Licensing and Regulatory Services to be cared for in a Child Care Facility or a Family Child Care.</p> <p>Age is reported on the application by the applicant, it is self-reported. Most often it is confirmed through birth certificate used to verify citizenship.</p> <p>5.01 Child's Citizenship Requirement The child must be a U. S. citizen or a "qualified alien" as defined by the Immigration and Nationality Act, 8 USC §§ 1101 <i>et seq.</i> Only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes. Applicants who cannot provide verification of citizenship of children receiving Child Care Services are not eligible for subsidy.</p> <p>5.01.1 A U.S. Citizen is either: a. A person born in the territory of the United States; OR</p>

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	<p>b. An individual born of a parent who is a U.S. citizen or who otherwise qualifies for U.S. citizenship under §301 <i>et seq.</i> of the Immigration and Nationality Act; [8 U.S.C. §§ 1401-1409], OR</p> <p>c. A person who has undergone naturalization. Naturalization is the process by which a citizen of a foreign country becomes a United States citizen, OR</p> <p>d. A national (both citizen and non-citizen national)</p> <ol style="list-style-type: none">1. Citizen National. A citizen national is an individual who otherwise qualified as a U.S. citizen under §301 <i>et seq.</i> of the Immigration and nationality Act [8 U.S.C. §§ 1401-1409]2. Non-Citizen National. A non-citizen national an individual of the United States, including American Samoa and Swain’s Island, to a parent who is a non-citizen national. <p>5.01.2 As defined by the Immigration and Naturalization Act, a qualified alien is:</p> <ol style="list-style-type: none">a. Lawfully admitted for permanent residenceb. Granted asylumc. A refugee admitted to the United Statesd. An alien paroled into the United States for a period of at least one yeare. An alien whose deportation or removal is being withheldf. An alien granted conditional entryg. An alien who is a Cuban Haitian entrant under the Refugee Education Assistance Act of 1980h. An alien who (or whose child or Parent) has been battered or subjected to extreme the U. S. <p>5.01.3 Acceptable Proofs of Citizenship: Citizenship can be verified by submission of any document that proves a U.S. place of birth or documents showing that the person is a U.S. citizen. All documents must be either an original or a copy certified by the issuing agency. Verification of citizenship is required only once, unless later evidence makes it questionable.</p> <p>5.01.4 Child Born in Maine and Verification of Citizenship Lost or Destroyed: When applicants</p>
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	<p>cannot provide proof of citizenship for a child born in Maine, the application should be processed as usual and the Parent given a thirty (30) day Award Letter. The Parent must supply verification of citizenship within thirty (30) calendar days or the case will be closed.</p> <p>5.01.5 Child Born Out-of-State and Verification Citizenship Lost or Destroyed: When applicants cannot provide proof of citizenship for a child born out-of-state, the application should be processed as usual and the Parent given a ninety (90) day Award Letter. The Parent must supply verification of citizenship within ninety (90) calendar days or the case will be closed. Caseworkers should set a tickler as a reminder to follow up on the requirement. If verification is supplied, the worker should issue an Award Letter for the remaining nine months. If verification is not supplied and the parent can provide a copy of the original dated document requesting verification of citizenship and a copy of a second dated document following-up on the status of the request, an additional ninety (90) day Award Letter shall be granted.</p> <p>5.01.6 The Jay Treaty of 1794 recognizes the aboriginal right of Native Americans to pass the border of the U.S. and Canada. When a Native American with Canadian citizenship moves to Maine, they are recognized as lawfully admitted for permanent residence.</p> <p>5.01.7 U.S.born children of illegal immigrants shall not be denied services based upon the citizenship status of their Parent(s).</p>
<p><input checked="" type="checkbox"/> Work, Job Training or Educational Program</p>	<p>To be eligible for Child Care Subsidy, families must demonstrate a need for care. In general, that means that the Parent must be Employed or attending an Educational Program which prevents the Parent from providing care and supervision of the children in the household during the time the Parent is participating in the activity. If there are two (2) Parents in the home, both must be</p>

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	<p>Employed or attending an Educational Program. See Rules 5.13.5</p> <p>One of the following is required for each job to document work schedule: 4 weeks of current, consecutive pay stubs showing hours worked</p> <p>Employment information sheet completed and signed by supervisor/Human Resources (enclosed), followed by submitting 4 weeks consecutive pay stubs as soon as available</p> <p>If self-employed, submit your current federal income taxes (Form 1040 and all schedules)</p> <p>For each student attach a current official class schedule showing name, class times, and semester dates.</p> <p>Class schedules must be provided 30 days prior to semester beginning and previous semester grades will be required within 3 weeks of semester ending. On-line classes have special eligibility and may or may not be approved.</p>
<p><input checked="" type="checkbox"/> Income</p>	<p>5.13 Verification, Documentation and Treatment of Gross Family Income</p> <p>5.13.1 The Parent shall have the primary responsibility to provide verification of Family income.</p> <p>5.13.2 Income verification must be requested from all program applicants. Eligibility cannot be determined prior to income verification; and Child Care Subsidy services shall not be provided prior to verification.</p> <p>5.13.3 Income verification must be documented in the computer data base.</p> <p>5.13.4 If income verification has not been provided within ten (10) days of the application date, the application will be denied.</p> <p>5.13.5 Acceptable verification of earned income includes one or more of the following:</p>

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	<ul style="list-style-type: none">a. Four (4) weeks of current, consecutive and complete pay stubsb. Four (4) weeks of current, consecutive and complete pay envelopesc. W-2 Form (if representative of current and future earnings)d. State and/or Federal Income Tax Returne. Self-employment bookkeeping recordsf. Sales and expenditure recordsg. Statement of employment and expected gross earnings, signed and dated by the employer on company letterheadh. Employer's wage recordi. Employment Security Office recordsj. Verbal verification from Caseworker for Care and Custody Department/Tribal referralsk. A signed release of information from the applicant which authorizes the Department to pursue verification or further clarification <p>5.13.6 Documentary evidence is the primary source of verification of unearned income. Whenever attempts to verify income have failed for reasons other than Parent's non-cooperation, an amount to be used shall be determined based on the best available information. If verification (other than documentary evidence) is used, the reason why shall be explained in the Parent's record. Acceptable verification of unearned income includes, but is not limited to, the following:</p> <ul style="list-style-type: none">a. Benefit check (viewed and photocopied by the Department)b. All types of Award Lettersc. Signed income tax records (interest income, dividends, royalties, estates, trusts, deferred compensation plans, capital gains, etc.)d. Support and alimony payments evidenced by court order, divorce or separation papers, or check copiese. Social Security Query Card Responsef. Social Security District Office verificationg. Bank statementh. Maine Employment Security Commission verification
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	<ul style="list-style-type: none">i. Worker's Compensation verificationj. Insurance company verificationk. Verbal verification from Caseworker for Care and Custody Department/Tribal referralsl. A signed release of information from the applicant which authorizes the Department or the contracted agency to pursue verification or further clarification <p>5.13.7 The calculation of Gross Family Income is based on the Family's income and other circumstances expected to exist until the next eligibility period. The calculation is based on the Parent's and the Department's reasonable expectations and knowledge of current, past and future circumstances.</p> <p>5.13.8 The calculation is determined by the following steps:</p> <ul style="list-style-type: none">a. Income received within four (4) or more weeks immediately preceding application or redetermination must be verifiedb. Determine, through a careful review of the income documentation and a discussion with the Parent, if there has been any Significant Income Changes during this periodc. If there have been changes, and the changes are of a continuous nature, the changes must be taken into consideration when determining the calculation. <p>5.13.9 The calculation for self-employment income must be the average income over a twelve-month period when it represents the Family's major source of support.</p> <ul style="list-style-type: none">a. This applies even when it is received in a shorter period of timeb. If the twelve-month average is not an accurate reflection of circumstances or a business has been in operation only a part of a year, income will be averaged for the months in operation or the Department may calculate the self-employment income based on anticipated earningsc. Seasonal self-employment income which supplements other income shall be averaged over the seasond. Income from self-employment shall be calculated as follows:
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	<ol style="list-style-type: none"> 1. Add all gross self-employment income together including the full amount of capital gains. This means that a Family with more than one self-employment enterprise shall have all self-employment gross income added together 2. Add all costs of producing income together 3. Costs not allowed as costs of producing income are: <ol style="list-style-type: none"> i. Payments on the principal of the purchase price of income producing real estate, capital assets, equipment, machinery or other durable goods; ii. Net losses from previous periods; iii. Depreciation expense Note: The employer's share of FICA tax is an allowable deduction 4. Subtract the total costs of producing the income from the total gross income of the self-employment enterprise(s). 5. Divide net earnings by number of months over which income has been averaged, when appropriate. 6. Add self-employment income to any other income received by the household. Losses from a farm enterprise shall be deducted from any other countable Family income. This special consideration applies only to farms with annual gross sales of \$1,000 or more. Otherwise, losses from self-employment shall not be subtracted from any other countable Family income. 7. After the self-employment business has been in operation for one year, self-employed child care recipients must make at least the current state minimum wage for each hour of work performed, to be eligible for Child Care Subsidy.
<input checked="" type="checkbox"/> Other. Describe _____ Maine Residency	<p>5.02 Maine Residency Requirement Child Care Subsidy applicants must be residents of the state of Maine. Proofs of residence must show the Parent's current physical address and match the residence listed on the application. Post Office Box addresses are not accepted as proof of Maine residency . Proof shall be established by producing documentation from the following list:</p> <ol style="list-style-type: none"> a. Current Maine driver's license showing a Maine

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	<p>residence address</p> <p>b. Maine utility bills with service at a Maine residence address</p> <p>c. Maine property tax bill or receipt indicating a Maine residence address</p> <p>d. Maine mortgage documents or homeowner Insurance documents for a Maine residence or proof of Maine home ownership with a Maine residence address</p> <p>e. Maine W-2 Form not more than eighteen (18) months old with the applicant's name and Maine residence address</p> <p>f. Current Maine individual income tax return indicating Maine Resident status</p> <p>g. Maine Voter's registration card with a Maine residence address</p> <p>h. Maine school enrollment form if applicant is under age 18 with the applicant's Maine residence address</p> <p>i. Residential rental and/or lease agreement with a Maine address</p> <p>j. Current Maine hunting/fishing license with a Maine residence address</p> <p>k. Proof of undergraduate Student in-state tuition payment</p> <p>l. Two (2) signed affidavits by two different individuals who can prove their Maine residency</p>
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2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

- Time limit for making eligibility determinations. Describe length of time
30 Days from receipt of completed application
- Track and monitor the eligibility determination process
- Other. Describe _____
- None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

- Yes. If yes, describe:
- No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

- a) Identify the TANF agency that established these criteria or definitions:
State/Territory TANF Agency Office for Family Independence (OFI)
- b) Provide the following definitions established by the TANF agency.
 - "appropriate child care":
Defined by the Office for Family Independence as a childcare provider that has passed a required background check by the ASPIRE-TANF program.
 - "reasonable distance":
Defined as not exceeding by ½ hour the normal commute time from the participant's dwelling to work or an approved activity
 - "unsuitability of informal child care": Defined by the Office for Family Independence as a potential childcare provider that has a substantiated complaint(s) involving child abuse or neglect, or a background check with the State Bureau of Identification and/or the Department of Motor Vehicles that indicates convictions (e.g., Operating Under the Influence or criminal activity) that would justify the denial of the application to receive childcare payments from OFI.
 - "affordable child care arrangements":. Defined as the Child Care Market Rates that are determined every 2 years by the Office of Child and Family Services of the Department of Health and Human Services.
- c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

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- Verbally
 Other: _____

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

residing with - *Residing with* means the child is living with the applicant who is maintaining a home or main domicile for the child.

in loco parentis – *In loco parentis* means any blood relative with custody (whether or not court ordered) or any person with court-ordered custody.

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 6 weeks to the end of 12 years (may not equal or exceed age 13).

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

- Yes, and the upper age is up to 19th birthday (may not equal or exceed age 19).

Provide the Lead Agency definition of *physical or mental incapacity* – *Physical or Mental Incapacity* means a condition that affects the ability of children to care for themselves. Children who have a physical or mental incapacity are physically or mentally incapable of caring for themselves. Physical or mental incapacity must be diagnosed by a qualified professional or be court determined.

- No.

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

- Yes, and the upper age is _____ (may not equal or exceed age 19)
 No.

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

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

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

Employed means gainful work that produces earned incomes from wages, salaries, commissions, fees, tips, piece rate payments, or self-employment in one’s own business, professional enterprise, partnership or farm.

4.08.3 For one job search within a 6 month period, the Department will pay for up to eight (8) weeks child care for current recipients who have lost work or who have completed school and are looking for work. This coverage starts at the time of the first day of unemployment. Parents must contact the Department and complete a Job Search Request Form and request job search time. The Parent shall be granted up to 20 hours a week of subsidized child care. This leave is separate time and is not counted against excused absences.

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

Yes. If yes, how does the Lead Agency define “attending job training or educational program” for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

Attending a Job Training or Educational Program means a person is enrolled in and physically attending at least half time a job training or educational program.

No.

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

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

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

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

Note – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities for CCDF purposes these children are considered to be in protective services and should be included in this definition.

- *protective services* – _____

- No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

- Yes.
 No.

2.3.5. Income Eligibility Criteria

a) How does the Lead Agency define “income” for the purposes of eligibility? Provide the Lead Agency’s definition of “income” for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

income – *Gross Family Income* is the sum of all money, earned and unearned, already received or reasonably anticipated to be received by all family members during the service eligibility period. Income excluded from Gross Family Income is listed at Section 5.12 of current Rules.

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

- Adoption subsidies
 Foster care payments

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- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above Special payments to Native Americans excluded by law, Bureau of Indian Affairs Student Assistance.*

- None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

- Children under age 18
- Children age 18 and over – still attending school
- Teen parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other _____
- None

5.12 Income Excluded from Gross Family Income

5.12.1 Certain income must be **excluded** from Gross Family Income as follows:

- a. The actual amount of court-ordered child support payments made to another Family. The deduction cannot include payments in arrears or other court-ordered payments

- b. Energy Assistance Program payments or allowances made under any federal energy assistance law. **Note:** Department of Housing

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and Urban Development (HUD) and Farmer's Home Administration (FmHA) utility payments and reimbursements are considered federal energy assistance

- c. Job Training Partnership Act (JTPA) payments and JTPA on-the-job training income received by participants (regardless of age) in the Summer Youth Employment and Training Program and comparable summer youth employment and training programs under Americorps. All other payments from JTPA's On-The-job Training Program (OJT) count as income unless they are received by dependents less than 19 years old
- d. Payments under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970
- e. Women, Infants and Children Program (WIC) vouchers
- f. Special payments to Native Americans excluded by law, e.g., payments under the Maine Indian Land Claims Settlement Act
- g. Federal Earned Income Tax Credit (EITC) is excluded whether received as advanced payment in weekly wages or received in one sum after filing annual income tax return. Note: State and local EITC is not excluded from income
- h. Excluded educational assistance authorized under Title IV of the Higher Education Act, including:
 - 1. Basic Educational Opportunity Grants (GEOG or PELL Grants)
 - 2. Presidential Access Scholarships (Super PELL Grants)
 - 3. Federal Supplemental Educational Opportunity Grants (SEOG)
 - 4. State Student Incentives Grants (SSIG; Maine State Incentive Grant)
 - 5. Federal Direct Student Loan Program (FDSLPL), formerly GSL and FFELP
 - 6. Federal Direct Supplemental Loan Program (provides loans to Students)
 - 7. Federal Direct PLUS Program (provides loans to Parents)

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8. Federal Direct Stafford Loan Program
 9. Federal Direct Unsubsidized Stafford Loan Program
 10. Federal Consolidated Loan Program
 11. Federal Perkins Loan Program (direct loans to Students in institutions of higher education) (Perkins Loans, formerly NDSL)
 12. Federal Work Study Funds (Note: Not all Federal work study funds come under Title IV of the Higher Education Act)
 13. TRIO Grants (go to organization or institutions for Students from disadvantaged backgrounds)
 14. Upward Bound (some stipends go to Students)
 15. Student Support Services
 16. Robert E. McNair Post-Baccalaureate Achievement
 17. Robert C. Byrd Honors Scholarship Program
 18. College Assistance Migrant Program (CAMP) for Students whose families are engaged in migrant and seasonal farm work
 19. High School Equivalency Program (HEP)
 20. National Early Intervention Scholarship and Partnership Program
- i. Bureau of Indian Affairs (BIA) Student assistance, education or training assistance, and employment assistance programs. Each Tribe has a BIA agency that may be contacted for more information about education and training assistance. BIA Student assistance is provided by the Tribes, is not denoted by any particular name, and is not usually listed on institutions' financial aid statements
 - j. Value of supplemental food assistance received under the Child Nutrition Act or the National School Lunch Act
 - k. Value of USDA Food Supplement and/or Donated Commodities

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- l. Earned income of a Student 19 years of age or younger who is attending an elementary school or secondary school and resides with the applicant. An elementary or secondary school Student is someone who attends elementary or secondary school enough time for that person's state or local school district to consider the person a "Student". This includes a Student who attends GED or home-school classes recognized, operated, or supervised by the Student's state or local school district. The exclusion of this income shall not be altered by semester breaks, summer vacations, etc., provided the Student resumes enrollment after the break
- m. When a Parenting Teen is the applicant, the income of the Teen's Parents, step-parents, other relatives or non-relatives who provide a home for the Parenting Teen(s) shall be excluded. The Teen Parent must be attending elementary school, high school, or a GED program
- n. Foster care payments from the Department of Health and Human Services or Federally Recognized Tribe
- o. Nonrecurring lump sum payments such as income tax refunds; and the portion of retroactive, lump-sum Social Security, SSI, railroad retirement or insurance settlements intended to cover a period prior to the current eligibility period
- p. State or federal one-time assistance for weatherization or emergency repair or replacement of an unsafe or inoperative heating or cooling device
- q. All loans, including Student educational loans, bank loans, loans from private individuals, and other types of loans where there exists a written agreement with repayment terms as a condition of the loan
- r. The value of non-cash benefits or gains from an employer, such as: shelter including military base housing, food and clothing provided by an employer. This exclusion shall not include money that is legally due the Family which is diverted to pay for household expenses
- s. The value of non-cash benefits such as: public subsidized housing, general assistance voucher payments, medical and dental services, donated commodities, and food

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- t. Certain vendor payments made on behalf of the applicant, including:
 - 1. Money payments by a non-Family member which are not legally due the household and are paid directly to a third party for a household's expense, such as a relative paying the rent or an employer paying the rent in addition to wages;
 - 2. Vendored assistance from state or local programs which provide no cash assistance. This includes General Assistance vendor payments made to a third party
- u. Monies withheld or returned from an assistance payment, earnings or other source to repay a prior overpayment. Count the gross amount as income when the overpayment is the result of a violation as determined by TANF, SSI or other means-tested program
- v. Child support payments received by TANF recipients that are turned over to the Department of Health and Human Services
- w. Reimbursements and allowances which do not exceed the actual costs for job-related or training-related expenses, medical expenses, or dependent care expenses. This includes allowances from ASPIRE.
- x. Third-party payments received and used for the care of a third-party beneficiary who is not a Family member
- y. Withdrawals from bank deposits and credit union deposits
- z. Lump sum cash inheritances or gifts
- aa. The portion of loan or note repayments which is determined to be the loan principal (return of capital) in accordance with IRS regulations
- bb. Losses from a farming enterprise shall be deducted from any other countable household income. This special consideration applies only to farms with annual gross sales of \$1,000 or more
- cc. Certain cash donations, based on need, received from one or more private, nonprofit charitable organizations

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dd. Housing allotment for military families who have one or both Parents deployed to a foreign country

None

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	3086.92	2623.10	2396.00	78
2	4036.75	3431.24	3233.00	80
3	4986.58	4238.59	4069.00	82
4	5936.42	5045.96	4910.00	83
5	6886.25	5853.31	5746.00	83

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2013 poverty guidelines are available at <http://aspe.hhs.gov/poverty/13poverty.cfm>

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

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

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

No.

f) SMI Year 2013 and SMI Source

<https://www.federalregister.gov/articles/2012/03/15/2012-6220/state-median-income-estimates-for-a-four-person-household-notice-of-the-federal-fiscal-year-ffy-2013>

g) These eligibility limits in column (c) became or will become effective on: 4/1/2013

2.3.6. Eligibility Re-determination

- a) Does the State/Territory follow OCC's 12 month re-determination recommendation? (See Program Instruction on Continuity of Care <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>)
- Yes
 - No. If no, what is the re-determination period in place for most families?
 - 6 months
 - 24 months
 - Other. Describe _____
 - Length of eligibility varies by county or other jurisdiction. Describe _____

- b) **Does the Lead Agency coordinate or align re-determination periods with other programs?**
- Yes.
 - No. If no, **check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.**
 - Head Start and/or Early Head Start Programs. Re-determination period _____
 - Pre-kindergarten programs. Re-determination period _____
 - TANF. Re-determination period _____
 - SNAP. Re-determination period _____
 - Medicaid. Re-determination period _____
 - SCHIP. Re-determination period _____
 - Other. Describe _____

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

8.01 Reporting Requirements

8.01.1 Within ten (10) days of its occurrence, Parents receiving a Child Care Subsidy must report to the Department any of the following:

- a. Change in employment including changes in hours, wages, employer or loss of job

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- b. Change in income that results in an increase of \$100 per month or greater
- c. Change in Family size
- d. Change of Child Care Provider
- e. Change in the number of child care hours needed due to change in work schedule, school schedule or change in time required to travel to and from employment

8.01.2 Program and payment eligibility will be reviewed by the Department based on the information reported in Section 8.01.1. The Parent and the Child Care Provider will receive a new Award Letter if the subsidy payment and/or the Parent fee changes.

Six Month Reporting:

1.50 *Six-Month Report* means a report sent to clients from the Department to determine if there have been changes in eligibility. See 8.01.3.

8.01.3 In addition to the annual verified re-determination set forth in Section 8.02.1, the Department will review information about Family income, Family size, work hours or school hours every six (6) months. A Six-Month Report of the information currently being used for eligibility will be sent to Parents. Parents will make corrections on the report and return to the Department within thirty (30) days in order for their subsidy to be continued. The Department will update eligibility for clients when a change has occurred.

Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination

When a family's eligibility circumstances change prior to re-determination, program and payment eligibility will be reviewed by the Department based on the information reported in Section 8.01.1. The Parent and the Child Care Provider will receive a new Award Letter if the subsidy payment and/or the Parent fee changes.

With respect to Parent fee, the Parent fee shall be determined at the time of application, at the time of the Six-Month Report and when the annual redetermination is conducted. The fee shall remain the same until the next Six-Month Report or the annual redetermination, unless an ongoing decrease in income occurs that is expected to last for at least two (2) or more months.

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The fee shall not be increased between redeterminations if the Family's income increases, except to correct an error in the prior calculation. Families shall be subject to the gross income limit for eligibility and shall report increases in income exceeding one hundred (\$100) dollars per month even if the change does not immediately affect the Parent fee.

- c) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>).
- The Department will re-determine eligibility of all Parents receiving subsidy with verified documentation annually. Periodic spot checks for accuracy and eligibility will be done.
 - When possible, re-determinations for subsidy will be aligned with Food Supplement or MaineCare re-determination when a subsidy recipient receives one of these programs.
 - The Department will send the Parent and Provider written notification at least thirty (30) days before the re-determination is due that they must reapply for subsidy services. The Child Care Provider will also be notified.
 - Interim child care may be provided for **up to** two (2) months for current recipients who have lost work or who have completed school and are looking for work. Parents, who contact the Department or the Contracted Slots Agency, complete a Job Search Request form and request job search time shall be granted:
 - One job search per six (6) month period.
 - Job search time is limited to 20 hours per week.
 - The eligibility for Child Care Subsidy services will continue for up to twelve (12) weeks for a child of a Parent on maternity or paternity leave. The subsidy will be reinstated at the end of maternity leave when the parent returns to work and the child returns to child care.
 - The eligibility for services will continue uninterrupted for a child of a Student during a normal summer vacation period (about 15 weeks) or a

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normal semester break (about 4 weeks) per year. Student must be enrolled for benefits to continue.

- Reasonable causes for child absence from the child care program include:
 - Federal/State holidays
 - Parental vacation days
 - Inclement weather defined by a snow day when local schools are closed
 - Illness of the child or other immediate Family member
 - Transportation problems that affect the Parent's ability to transport the child to care
 - Family emergencies, including but not limited to surgery, Catastrophic events affecting the Family, including but not limited to fires, storms or accidents.
- Reasonable causes for extended child absence from the program but for no more than two (2) consecutive weeks include:
 - Parental vacations
 - Parental visitations
 - Illness of the child or Family member
 - Catastrophic events affecting the Family, including but not limited to fires, storms or accidents.

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

- Yes. If yes, describe _____
- No.

2.3.7. Waiting Lists

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

- Lead Agency currently does not have a waiting list and:

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- All eligible families *who apply* will be served under State/Territory eligibility rules
- Not all eligible families *who apply* will be served under State/Territory eligibility rules
- Lead Agency has an active waiting list for:
 - Any eligible family who applies when they cannot be served at the time of application
 - Only certain eligible families. Describe those families: _____
- Waiting lists are a county/local decision. Describe _____
- Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

13.01 Any person who is denied service, has services reduced or terminated or is denied participation in the program by the Department has the right to a state agency hearing. The Commissioner has delegated to the Division of Administrative Hearings the responsibility to conduct state agency hearings. The state agency hearing shall be conducted in accordance with the current Administrative Procedure Act promulgated rules for state agency hearings.

13.02 Action on Requests for Service

The Department shall give written notice within thirty (30) calendar days of request for service to all persons who are denied services, using a form approved by the Department.

13.02.2 In all instances, notices of denial of service shall contain the Parent's or Provider's hearing rights.

13.02.3 The following actions shall not be subject to a state agency hearing on denial of service:

1. The service(s) requested are not within the Department's service or program description
2. Department funds are depleted
3. The request for service originates from a person who is not authorized or appointed to act on behalf of a Parent

13.02.4 If a request for services is denied, the person denied may submit another request at any time a change in circumstances occurs.

13.02.5 The Department shall retain copies of all notices of denial issued.

13.03 Action to Terminate or Reduce Services

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13.03.1 In cases of proposed action to discontinue, terminate, suspend, or reduce services, the Department shall give written notice to the Parent(s) at least 12 calendar days prior to the effective date of the action.

13.03.2 The written notice to discontinue, terminate, suspend or reduce services shall contain the following:

1. The date of the intended action
2. The action the Department is proposing to take
3. The reason(s) for the proposed action
4. Reference to the specific rules or regulations supporting such action
5. Explanation of the individual's right to request a conference and/or a state agency hearing
6. The time frame within which the conference and/or hearing request must be submitted in order for services to continue

13.03.3 The following actions to discontinue, terminate, suspend or reduce services shall **not** be subject to a state agency hearing:

1. Reduction, change or termination of service(s) resulting from state program changes which have been implemented through a rulemaking procedure, in accordance with the Administrative Procedure Act
2. Reduction or termination of service resulting from a change in an annual or other services plan of the Child Care and Development Fund program or other state program or policy when those decisions have provided for adequate public notice

13.03.4 The Department shall retain copies of all notices to discontinue terminate, suspend or reduce services in the Parent's files.

13.04 State Administrative Hearing

13.04.2 Parents who are receiving a Child Care Subsidy from the Department of Health and Human Services must request an Administrative Hearing within ten (10) calendar days of the Parent's receipt of notification.

13.04.3 Service shall be continued throughout the entire hearing process when the written request for a state Administrative Hearing is received within ten (10) calendar days of the Parent's receipt of notification and the hearing decision rules against the Department. In cases where the hearing decision rules in favor of the Department, the Department may seek recoupment for the subsidy provided from the time of the initial termination until final termination notice (provided after the hearing decision).

13.04.4 When a state Administrative Hearing request is received within the time frame stated above, the Department shall notify the Child Care Provider immediately of their responsibility to continue service until the state Administrative Hearing decision is rendered.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. Will the attached sliding fee scale be used in all parts of the State/Territory?

- Yes. Effective Date 4/1/13
- No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

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

- State Median Income, Year: 2013
- Federal Poverty Level, Year: 2013
- Income source and year varies by geographic region. Describe income source and year: _____
- Other. Describe income source and year: _____

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

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

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

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

- Yes, and describe those additional factors:
 No.

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

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

- ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
 NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: \$_____
 SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: _____

2.5. Prioritizing Services for Eligible Children and Families

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

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

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How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p>Provide the Lead Agency definition of <i>Children with Special Needs Children with Special Needs: Special Needs Child</i> means a child under the age of 13 with a specific diagnosis/disability which without intervention may impede or impair the attainment of developmental milestones. This includes:</p> <ul style="list-style-type: none"> • A child who experiences significant developmental delays or who has a diagnosed physical or mental condition which has a high probability of resulting in a significant developmental delay. Significant delay is a 25% delay in one or more areas of development or a six (6) month delay in two (2) or more areas. Areas of development include: cognitive, speech/language, physical/motor, vision, hearing, psycho-social, and self-help skills. Developmental delay is determined and documented by early intervention programs, special education programs, or other multi-disciplinary teams. Documentation must be provided with the application for Child Care Subsidy 	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input checked="" type="checkbox"/> Other. Describe These families will be given priority if on a waitlist.

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How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<ul style="list-style-type: none"> • A child considered being at-risk for health or developmental problems as a result of established biological risk factors, and/or as a result of identified environmental risk factors including homelessness, and who is referred by a third party such as public health agencies, physicians, schools, government agencies, community social service agencies, homeless shelter, early intervention specialists, and/or Federally Recognized Tribes • A child between thirteen (13) years of age and eighteen (18) years of age, inclusive, who is physically or mentally incapable of caring for him or herself or is under court supervision, can also be provided subsidy, and • A child who resides with a primary caregiver is defined as a legal immigrant or in refugee status 			

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How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i> <i>Very Low Income</i> means Gross Family Income, adjusted to family size, does not exceed 100% of the Federal Poverty Guidelines.</p>	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input checked="" type="checkbox"/> Other. Describe These families will be given priority if on a waitlist

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

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

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

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

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility

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requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)

None

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a)).

2.6.1. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- Before parent has selected a provider
- After parent has selected a provider
- Other. Describe _____

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency Website: _____
- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe _____

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

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

The authorization letter is sent to the family and a copy is sent to the provider at the time of authorization. Parent, provider and Lead Agency all have a copy of the notice indicating: children that are authorized, begin/end date, parent fee, subsidized amount, estimated annual amount, expected hours of coverage and notice of importance of informing agency of changes.

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

100% of services will be available through certificates.

2.6.2. Child Care Services Available through Grants or Contracts

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note:** Do not check “yes” if every provider is simply required to sign an agreement in order to be paid in the certificate program.

- Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: _____
- No. If no, skip to 2.6.3.

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

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

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- Group-home providers
- Programs that serve specific geographic areas
 - Urban
 - Rural
- Other. Describe _____
- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families. Specify: _____
- Other. Describe _____

N/A

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

- Yes.
- No, and **identify** the localities (political subdivisions) and services that are not offered: _____

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

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

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31) Check the strategies that will be implemented by your State/Territory.

- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other. Describe: Child Care Subsidy Policy Manual 10-148

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

- No
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.

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- Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
- Restricted based on provider meeting a minimum age requirement
- Restricted based on hours of care (certain number of hours, non-traditional work hours)
- Restricted to care by relatives
- Restricted to care for children with special needs or medical condition
- Restricted to in-home providers that meet some basic health and safety requirements
- Other. Describe An in-home provider can care for no more than two children funded with CCDF.

2.6.5. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32) The Department's Division of Licensing and Regulatory Services maintains a record of substantiated parental complaints. Any parent seeking child care may request information on whether a substantiated complaint has been made against a provider.

A description of parent's rights and responsibilities related to child care is available at <http://www.maine.gov/ocfs/ec/occhs/rights.htm>

2.7. Payment Rates for Child Care Services

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

2.7.1 Attach a copy of your payment rates as Attachment 2.7.1. Will the attached payment rates be used in all parts of the State/Territory?

- Yes. Effective Date: October 1, 2013
- No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

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

- Policy on length of time for making payments. Describe length of time
10 State working days upon receipt of an accurately completed and signed billing form
- Track and monitor the payment process
- Other. Describe _____
- None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 <http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

- a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): April 2013.
- b) Provide a **summary of the results** of the survey. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

Survey Universe

While some market rate surveys may rely on a sample of the population of child care providers in the state, Child Care Aware® of America and Maine DHHS surveyed every licensed provider in an attempt to collect their rates. A list of these providers was made available through the Division of Licensing and Regulatory Services, which is responsible for issuing Child Care Center Licenses, Family Child Care certificates, and Nursery School licenses. The list provided contained 1,951 unique providers including 577 center based providers, 1,261 family child care providers and 113 legal, unregulated providers (LUR).

Over the course of the survey, the universe of providers saw various reductions. “Head Start only” programs and other special needs programs that do not charge and/or follow a different rate structure which is not representative of the private market rate for child care were excluded from the analysis of market rates. Providers that had moved and were now unreachable or had closed their doors were also excluded from the survey. Of the 1,951 providers, 15 were excluded due to the fact that they represented a “Head Start only” program and 25 were returned as having closed bringing the new total to 1,911. In addition, LURs were not included in the analysis, bringing the total universe to 1,808.

Survey Description

All center and home participants were asked to provide current enrollment, licensed and desired capacity in one table followed by their full- and part-time rates across each of the age groups served at their location. Providers were asked to provide hourly, daily, weekly and monthly rates as applicable as well as their hours and days of operation. While there was some variation between the surveys for child care

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centers and family child care homes, the questions pertaining to hours of operation, rates charged and capacity information were identical.

Respondents were also asked about any accreditations they may have been working to obtain or have already earned. Providers were also asked to indicate whether they provide before and/or after school care, full and/or part time care as well as the number of hours per operating day (for full and part time rates) and number of days in a part-time operating week. Legal, unregulated providers were not asked to provide data on their capacity and enrollment or accreditation .

Each survey packet contained a cover letter, postage paid return envelope, an FAQ (Frequently Asked Questions) sheet and the appropriate survey as determined by the provider's setting. The FAQ sheet sought to address questions providers were likely to pose. This sheet also included telephone and email contact information in case a question arose that was not answered on the sheet.

Survey Administration and Tracking

This survey was designed with an electronic, online component as well as a more traditional paper survey mailing. All surveys were labeled with the provider's OCFS-issued resource ID number which was used to track responses, non-responders and excluded providers. Both the electronic and paper components of the survey were conducted in multiple waves with some overlap to allow providers to have adequate opportunity possible to participate. Postcards were sent to all 1,951 providers on November 21, 2012 to inform them that they would soon be receiving invitations to participate in the Market Rate Survey.

A total of 1,575 providers were sent an invitation on December 4, 2012 to participate in the online version of the survey (all providers for whom emails were provided). This email was opened by 463 (33.2 percent) of recipients and contained basic instructions about how to complete the survey. The invitation was followed up with an email containing the link to the survey as well as a unique username and password for each provider.

Two follow-up emails were sent to all providers who received the initial email invitation but had not yet submitted data to remind them that the online update was open and available to use. These messages were sent on December 10th, 2012 (to 1,427 providers) and December 13th, 2012 (to 1,324 providers) and were opened by 532 (38.3 percent) and 372 (29 percent), respectively.

Those who did not respond to the survey electronically (1,881) were sent survey packets via mail on December 12, 2012. This included 543 child care center surveys, 1,225 family child care home surveys and 113 LUR surveys.

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A second survey mailing similar to the first was sent on January 9, 2013 to providers who had not responded to the survey. This mailing went to 1,235 providers consisting of 340 child care centers, 802 family child care homes and 93 LUR providers.

Finally, on February 12, 2013, telephone calls were made to non-responders in counties where the response rate was below 60 percent and to providers who had sent in surveys containing invalid data. This was done to ensure that each county was properly represented in the final analysis and to boost the quality of the data. Additionally, we reached out to all Legal, Unregulated providers by telephone to try and collect their data.

Due to requests from multiple providers, electronic data collection was reopened and select email invitations resent on March 11, 2013 with a submission deadline of March 15, 2013 after which data received was not included in the survey.

Response Rates

As mentioned previously, 1,951 providers across the state were sent surveys, either electronically or via regular mail. The only providers who were not sent a paper survey were those who completed the survey online prior to the first mailing. We received and processed a total of 1,115 valid unique surveys for a total response rate of 58.3 percent. The response rate among centers far exceeded the response rate among homes, however, slightly more than half of family child care home providers responded to the survey compared to nearly three-quarters of center-based providers.

After accounting for 15 centers that do not offer child care beyond Head Start programming and 10 centers which had closed their doors, we were left with a universe of 552 centers. Of these centers, 389 returned unique surveys for a response rate of 70.5 percent. Our total universe of family child care homes was reduced to 1,254 upon factoring in the seven homes which had closed their doors. Of these, we received 691 unique responses, giving us a response rate of 55.2 percent. LUR providers proved difficult to reach. Our initial universe of 113 LUR providers was reduced to 105 after adjusting for the eight who no longer offered care. Despite several efforts at reaching them with written mailed surveys as well as phone calls to every LUR provider, we were only able to obtain data for 35 of these providers for a response rate of 33 percent. We reached 100 percent of included LUR providers in Cumberland County.

Data Validity

As a whole, the data collected in this survey is sound and representative of the distribution of the availability and cost of care across the state. The percentage of

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statewide responders within each county is roughly proportional to the percentage of the statewide population residing within each county

Key Findings

The market rate survey shows that nearly two-thirds of licensed child care programs in Maine are operated out of family child care homes. Given the primarily rural nature of the state, this is not surprising. Child care fees are high compared to income for both centers and homes, particularly for single parent families with children.

One reason for higher rates in this survey compared to the 2010 report could be related to the economy, as a decline in programs could result in higher average rates. Another possible cause is Maine's trend toward higher quality care. Maine has a relatively large share of programs with accreditation, far outstripping the national average rates for both centers (8 percent) and homes (less than 1 percent) with nearly one-third of Maine's programs responding to the survey reporting that they hold an accreditation of some type. In addition, another 8.3 percent of programs that are not accredited reported currently working toward accreditation. This is great news for the families who can access those programs. Given the research that shows the link between quality child care and school readiness (as well as greater school performance), the growing trend toward accreditation means more Maine children will start school ready to succeed.

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

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

In table 2.7.4a and 2.7.4b, *highest rate area* refers to the State or Territory's area or geographic region with the highest maximum payment rate ceiling for child care centers (2.7.4a) and family child care homes (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set

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rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

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

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

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

2.7.4a – Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Cumberland County			
Full-Time Licensed Center Infants (11 months)	\$1,121.47	\$974.25	50%
Full-Time Licensed Center Preschool (59 months)	\$952.60	\$809.71	50%
Full-Time Licensed Center School-Age (84 months)	\$649.50	\$562.90	50%

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th	(b) Monthly Maximum Payment Rate	(c) Percentile if lower than 75th percentile of

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Somerset County	percentile of the most recent MRS	Ceiling	most recent survey
Full-Time Licensed Center Infants (11 months)	\$562.90	\$562.90	50%
Full-Time Licensed Center Preschool (59 months)	\$591.08	\$591.08	50%
Full-Time Licensed Center School-Age (84 months)	\$281.45	\$281.45	50%

In table 2.7.4c and 2.7.4d, *lowest rate area* refers to the State or Territory’s area or geographic region with the lowest maximum payment rate ceiling for child care centers and family child care homes. Identify the lowest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) **ONLY IF** the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

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

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

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

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the	(b) Monthly Maximum Payment	(c) Percentile if lower than 75th percentile of most
Cumberland County			

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	most recent MRS	Rate Ceiling	recent survey
Full-Time Licensed FCC Infants (11 months)	\$833.52	\$692.80	50%
Full-Time Licensed FCC Preschool (59 months)	\$714.45	\$649.50	50%
Full-Time Licensed FCC School-Age (84 months)	\$606.20	\$497.95	50%

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Aroostook County			
Full-Time Licensed FCC Infants (11 months)	\$433.00	\$411.35	50%
Full-Time Licensed FCC Preschool (59 months)	\$411.35	\$389.70	50%
Full-Time Licensed FCC School-Age (84 months)	\$411.35	\$368.05	50%

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

- a) Describe how license-exempt center payment rates are set: N/A
- b) Describe how license-exempt family child care home payment rates are set: N/A
- c) Describe how license-exempt group family child care home payment rates are set: N/A
- d) Describe how in-home care payment rates are set: The LUR Rate is 70% of the Family Child Care Rate.

2.7.6 Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.

Differential rate for nontraditional hours. Describe _____

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- Differential rate for children with special needs as defined by the State/Territory. Describe _____
- Differential rate for infants and toddlers. Describe _____
- Differential rate for school-age programs. Describe _____
- Differential rate for higher quality as defined by the State/Territory. Describe _____

The State of Maine will pay a quality differential to a licensed provider enrolled in Quality for ME, Maine Quality Rating and Improvement System (QRIS) at a Step 2, 3 or 4. The quality stipend for children enrolled in a child care center or home that has a Step 4 Certificate will be calculated by applying an adjustment factor of 1.10. The quality stipend for children enrolled in a child care center or home that has a Step 3 Certificate will be calculated by applying an adjustment factor of 1.05 for one year after receiving the Step 3 certificate. The quality stipend for children enrolled in a child care center or home that has a Step 2 Certificate will be calculated by applying an adjustment factor of 1.02 or one year after receiving the Step 2 certificate.

- Other differential rate. Describe _____
- None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families' provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

2.7.7. What policies does the Lead Agency have regarding any additional fees that providers may charge CCDF parents? The Lead Agency...

- Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate
- Pays for provider fees (e.g., registration, meals, and supplies). Describe _____
- Policies vary across region, counties and or geographic areas. Describe _____
- Other. Describe _____

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

- a) Number of absent days allowed. Describe _____
- b) Paying based on enrollment. Describe _____
- c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly) _____
- d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe _____

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

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

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) The child care subsidy website defines that a parent may choose from all licensed child care providers enrolled in, Quality for ME, as well as legal unlicensed providers who have passed background checks (all adults in household) and meet certain health and safety requirements. The DHHS Child Care Resource and Referral Specialist and the DHHS Child Care Subsidy program inform parents that they have a choice of providers when they apply for child care subsidy.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)) Rates for licensed child care centers and regulated family child care homes are set at the 50th percentile of what the market charges as demonstrated by the most recent market rate study. Rates for unregulated providers are set at 70% of the regulated family child care homes as a sufficient number of unregulated providers, did not respond to our 2013 market rate survey. Rates for unregulated providers remain stable at 70% of the regulated family child care rates in October 2010 and parents who choose unregulated care are able to find a provider at this rate.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) All eligible parents will be assess a sliding fee based on family size and gross family income. The parent fee does not vary with the number of children in care, the amount of care they need, or the type of care they choose to use. A graduated fee

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percentage of gross family income will be applied to each of the income ranges as follows:

Poverty Guideline Range	Fee Percentage of Gross Family Income
Up to 25 %	2%
26%-50%	4%
51%-75%	5%
76%-100%	6%
101%-125%	8%
126%-150%	9%
151%-200%	10%
201%-250%	10%

The total amount of Parent fees assessed to a family cannot exceed ten percent of the family's gross income for all of their children enrolled in the subsidy program.

The fee shall be allocated to the youngest child first or in a manner that will allocate a portion of the fee across multiple children. If the fee exceeds the approved cost for a child, the remaining amount shall be allocated to the next oldest child until the full parent share has been allocated.

- e) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates _____

2.8 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices).

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

Goal 1 – The State of Maine will create a framework to analyze higher rates for providers caring for children with special needs requiring additional care.

Goal 2 – The State of Maine will create Standard Operating Procedures for monitoring all Child Care Subsidy providers to increase our program integrity measures.

Goal 3 – The State of Maine will develop business requirements for an online Child Care Subsidy Application.
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Goal 4 - The State of Maine will develop an updated Emergency Preparedness Plan for Child Care.

PART 3

HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

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

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

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

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care programs through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, CCDF Plan Effective Date: October 1, 2013
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Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

Based on information reported in past plans, it is expected that the Lead Agency will describe in these first two steps how they will continue to make systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully implemented and integrated. Each State/Territory is expected to fall on a continuum of progress as a result of these first two steps. Lead Agency's individual progress will reported using the Quality Performance Report.

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

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

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i)). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4.

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

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

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or CCDF Plan Effective Date: October 1, 2013
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tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.

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

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

Yes.

No. Please identify the State or local (if applicable) entity/agency responsible for licensing

b) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory.

All child care providers and programs that are licensed in Maine must meet the baseline health and safety requirements as governed within the child care rules for family and center based programs. Health and safety requirements are in place for individuals providing care and programs that fall outside of the licensed providers. In brief, the programs and/or individuals are required to sign and submit a health and safety agreement with the Department. Individuals and/or programs must complete or certify that all individuals in the environment where care is provided have satisfactorily passed background checks (CPS, BMV and SBI). The location in which the care is being provided must also meet baseline safety for unlicensed locations, this is done by ensuring that a fire marshal has inspected Recreational Program locations and legal unregulated providers must use a public water supply or verify the water has been tested.

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c) Do the State/Territory’s licensing requirements serve as the CCDF health and safety requirements?

	Center-Based Child Care	Group Home Child Care <input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Yes, for some providers in this category	Describe _____	Describe _____	Describe _____	Describe _____
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe 	Describe 	Describe 	Describe 

d) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. For each CCDF category of care, please identify which types of providers are subject to licensing and which providers are exempt from licensing in your State/Territory in the chart below. **Note: OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care but consistent with your reported 801 data.**

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory 	Describe which types of center-based settings are exempt from licensing in your State/Territory Recreational Program means a non-residential program for children between six and twelve years of age, inclusive, operated by a community-based program that meets staff-to-child ratios requirements and performs criminal history, motor vehicle and child abuse/neglect background checks. For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.
Group Home Child Care <input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes are subject to licensing 	Describe which types of group homes are exempt from licensing N/A
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	Describe which types of family child care home providers are subject to licensing 	Describe which types of family child care home providers are exempt from licensing Legal, Unregulated child care provider means an individual must be 18

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
	<p>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.</p>		<p>years of age and not be living in the child's home or be a member of the child's family. No person or entity can operate a Family Child Care in their own residence for more than 2 children, who are unrelated to the provider, without a certificate from the Maine Department of Health and Human Services authorizing such operation.</p>
In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child's own home. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.</p> <p>Describe which in-home providers are subject to licensing </p>	<p>Describe which types of in-home child care providers are exempt from licensing <i>In-home Child Care Provider</i> means a Child Care Provider who is 18 years of age or older and cares for children within the child's home. The provider may be a relative, but not be a member of the child's family or live in the child's home. In-home care is provided in a child's home by a Child Care Provider hired by the Parent and cannot provide care for more than two (2) children This type of care is not regulated by the State; however, for the</p>

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
			purposes of CCDF payment, the Child Care Provider must meet the background check requirements and other health and safety requirements as set forth in 7.03

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/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's.**

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

* American Academy of Pediatrics, American Public Health Association, National Resource Center for Health and Safety in Child Care and Early Education. (2011) *Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and Education Programs. 3rd Edition.* Elk Grove Village, IL: American Academy of Pediatrics; Washington, DC: American Public Health Association. Available online: <http://nrckids.org/CFOC3>

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Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
<p>Do the licensing requirements include child: staff ratios and group sizes?</p> <p>If yes, provide the ratio for age specified.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months): 1:4</p> <p>Toddler ratio (35 months): 1 Staff for 8 children under 5 years</p> <p>Preschool ratio (59 months): 1 Staff for 8 children under 5 years</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement Infant group size (11 months): 10-12</p> <p>Toddler group size (35 months): 21</p> <p>Preschool group size (59 months): 20-24</p> <p><input type="checkbox"/> No group size</p>	<p><input type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months):</p> <p>Toddler ratio (35 months):</p> <p>Preschool ratio (59 months):</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement Infant group size (11 months):</p> <p>Toddler group size (35 months):</p> <p>Preschool group size (59 months):</p> <p><input type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p>Infant/Toddler Ratio (6 weeks to 30 months): 1:4</p> <p>Preschool Ratio (2 ½ -5 years and not eligible for kindergarten): 1:8</p> <p>School Age Ratio (5-12 years):1:12</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)</p> <p><input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p><input checked="" type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input type="checkbox"/> No group size requirements.</p>

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<p>Do the licensing requirements identify specific educational credentials for child care directors?</p>	<p>requirements.</p> <p><input checked="" type="checkbox"/> High school/GED <input checked="" type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input checked="" type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other:</p>	<p>Do the licensing requirements identify specific educational credentials for child care directors?</p>	<p><input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other:</p>	<p>Do the licensing requirements identify specific educational credentials for child care directors?</p>
<p>Do the licensing requirements identify specific educational credentials for child care teachers?</p>	<p><input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:</p>	<p>Do the licensing requirements identify specific educational credentials for child care teachers?</p>	<p><input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:</p>	<p>Do the licensing requirements identify specific educational credentials for child care teachers?</p>
<p>Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?</p>	<p><input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <u>18 hours of training per year for individuals working 20 hours a week or less, 30 per year for those working 20 or</u></p>	<p>Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?</p>	<p><input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <u>12 hours per year, not including CPR training.</u></p>	<p>Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?</p>

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	<u>more hours a week.</u>			
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e) Do you expect the licensing requirements for child care providers to change in FY2014-2015?

- Yes. Describe
 No

3.1.2 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory’s licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory’s policies for effective enforcement of the licensing requirements using questions 3.1.2a through 3.1.2e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

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

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe <u>One Prior to issuing license.</u>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe <u>One unannounced visit between 6 and 18 months after issuance of license during the time of the current license.</u>
<input type="checkbox"/> Group Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years

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	<input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Other. Describe
<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe <u>One prior to issuing license.</u>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe <u>One announced visit during the term of the certificate between 6 and 18 months of issuance of certificate.</u>
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

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

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

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input checked="" type="checkbox"/> Yes. Describe Prior to issuing a Family Child Care Certificate, the applicant must take part in six hours of approved training in operation of a Family Child Care Program. <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input type="checkbox"/> An on-site inspection is conducted. <input type="checkbox"/> Programs self-certify. Describe <input checked="" type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
Licensing staff has procedures in place to address violations found in an inspection.	<input type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections. <input type="checkbox"/> Licensing staff approve the plans of

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Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	correction submitted by providers. <input checked="" type="checkbox"/> Licensing staff verify correction of violation. <input type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation. <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe [redacted]
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license <input checked="" type="checkbox"/> License revocation or non-renewal <input type="checkbox"/> Injunctions through court <input type="checkbox"/> Emergency or immediate closure not through court action <input type="checkbox"/> Fines for regulatory violations <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe [redacted]
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input type="checkbox"/> Cease and desist action <input type="checkbox"/> Injunction <input type="checkbox"/> Emergency or immediate closure not through court action <input type="checkbox"/> Fines <input type="checkbox"/> No procedures in place. <input checked="" type="checkbox"/> Other. Describe When a report of an illegally operating child care facility is made, Licensing has the option of looking into the report of such operation. The Division of Licensing and Regulatory services has the authority to close any such operation. [redacted]
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe 7.1 A person aggrieved by the Department's decision to take any of the following actions, or to impose any of the following sanctions, may request an administrative hearing to refute the basis of the Department's decision. 7.2 A request for a hearing must be made, in writing, to the Director of the Division of Licensing and Regulatory Services, and must

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Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	<p>specify the reason for the appeal. A request must be mailed within ten working days from receipt of the Department's decision.</p> <p>The Provider Agreement between the Child Care Provider and the Department will be immediately terminated by the Department for any of the following reasons: a) Upon notification of a finding by the Department's Division of Licensing and Regulatory Services that abuse or neglect occurred while children were in the care of the Child Care Provider, or b) Loss of the Child Care Provider's full license or certification, if the provider is required to be licensed or certified. This includes, but is not limited to, conditional licenses.</p>
	<input type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe

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

Yes. If “Yes” please refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency.

No

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
<input type="checkbox"/> Group Child Care Homes <input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home

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

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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
<input checked="" type="checkbox"/> In-Home Child Care Providers <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)	<input checked="" type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home

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

a) Please **provide a brief overview** of the State/Territory’s process for conducting background checks for child care. In this brief overview, include the following:

d -1) The cost associated with each type of background check conducted \$17, 538.00 annually

d-2) Who pays for background checks The Department of Health and Human Services

d-3) What types of violations would make providers ineligible for CCDF? Describe

The Licensed child care providers have their background checks done through the Division of Licensing and Regulatory Services prior to being issued a licensee to run a child care program. DLRS reviews the following:

Criminal history reports, out of home abuse investigation reports and child protection reports must be obtained for each individual applicant, staff member or volunteer in a child care setting. Below are the standards the lead agency uses for unregulated child care providers: The Legal, Unregulated Child Care Provider and all adults

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residing in the home will be required to sign release forms permitting the Department to obtain annual background checks from Child Protective Services (CPS), State Bureau of Identification (SBI), and Department of Motor Vehicles (DMV).

7.03.5 Child Care Subsidy payments will not be initiated until satisfactory background checks are completed on all adults residing in the household. Payments are not made retroactively.

7.03.6 Unsatisfactory results of a CPS, DMV and/or SBI background check or clearance will disqualify Child Care Provider for eligibility in the voucher program. *Unsatisfactory* is defined by one or more of the following actions.

A conviction for any Class A crime (as defined by State statute) or its equivalent.

A conviction within the last ten (10) years for any Class B or C crime or its equivalent that involved the use of force.

A conviction for any crime within the last ten (10) years that resulted in time served in a correctional facility.

A conviction for any crime in the last ten (10) years that jeopardized the health and safety of a minor.

More than one conviction within the last three (3) years based on an action which would be deemed detrimental to the welfare of a child.

A conviction of drug trafficking.

A conviction for an OUI or Driving to Endanger within the last three (3) years. The Department may approve Child Care Subsidy if another adult in the household (not the Child Care Provider) is found to have this conviction and he or she signs a written agreement not to drive the children receiving a Child Care Subsidy.

More than one OUI conviction, with the latest conviction in the last five (5) years.

Three (3) or more convictions in the last five (5) years for speeding in excess of twenty (20) miles per hour over the speed limit by the Child Care Provider or anyone designated to drive the children in care.

The Department may approve Child Care Subsidy if the Child Care Provider signs a written agreement not to drive the children in his or her care.

A suspended driver's license at the time of application by the Child Care Provider or anyone designated to drive the children in care. The Department may approve child care if the Child Care Provider signs a written agreement not to drive the children in his or her care.

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A substantiated finding of child abuse or neglect by the Department.

7.03.7 Although the State Bureau of Identification record check should reveal criminal history, the Department may log onto the state sex offender list to ensure that a Child Care Provider or a household member is not registered as a sexual offender.

Payments to Legal, Unregulated Child Care Providers will be issued to the Child Care Provider.

7.03.9 The Legal, Unregulated Child Care Provider must have lived in State of Maine for at least six months prior to applying to be a provider.

7.03.10 If the Legal, Unregulated Child Care Applicant has lived in another State within last 5 years, the applicant is required to indicate what States they have lived in so that a background check can be done in those States as required by policy (7.03.4).

1. d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe

APPEAL PROCEDURE

- 1.1. Request a hearing.** A person aggrieved by the department's decision to take any of the following actions, or to impose any of the following sanctions, may request an administrative hearing to refute the basis of the department's decision, as provided by the Maine Administrative Procedure Act, Title 5, Chapter 375. Administrative hearings will be held in conformity with the department's Administrative Hearing Regulations.
- 1.2. In writing before deadline.** A request for a hearing must be made, in writing, to the Director of the Division of Licensing and Regulatory Services, and must specify the reason for the appeal. A request must be mailed within ten (10) working days from receipt of the department's decision to:
 - 1.2.1.** Issue a conditional license;
 - 1.2.2.** Amend or modify a license;
 - 1.2.3.** Void a conditional license;
 - 1.2.4.** Refuse to issue or renew a full license;

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1.2.5. Refuse to issue a provisional license; or

1.2.6. Impose a fine.

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?
Not applicable (658E(c)(2)(E), §98.40(a)(2))

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

Yes. Describe

The DHHS Child Care Resource and Referral Specialists inform parents of their right to request licensing status and complaints from the Division of Licensing and Regulatory Services.

No

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

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

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

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

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

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

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Building inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Health inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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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.			
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe Water testing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	None	There must be present at all times a staff member in each child care facility that is currently certified in first aid.
	CPR	None	There must be present at all times a staff member in each child care facility who is currently certified in CPR.

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Medication Administration Policies and Practices	None	None
	Poison Prevention and Safety	None	None
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	None
	Shaken Baby Syndrome and abusive head trauma prevention	None	None
	Age appropriate nutrition, feeding, including support for breastfeeding	None	None
	Physical Activities	None	None
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	None
	Recognition and mandatory reporting of suspected child abuse and neglect	None	None
	Emergency preparedness and planning response procedures	None	Fire drill and other emergency procedures
	Management of common childhood illnesses, including food intolerances and allergies	None	None
	Transportation and child passenger safety (if applicable)	None	None
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	None
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	None
	Supervision of children	None	None
	Behavior management	None	None
	Other. Describe None		

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

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Other. Describe N/A		
Family Child Care Providers	First Aid	Prior to being issued a Family Child Care Certificate, the applicant must receive certification in First Aid.	Providers must maintain certification in First Aid.
	CPR	Prior to being issued a Family Child Care Certificate, the applicant must receive certification in CPR.	Providers must maintain certification in CPR.
	Medication Administration Policies and Practices	None	None
	Poison Prevention and Safety	None	None
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	None
	Shaken Baby Syndrome and abusive head trauma prevention	None	None
	Age appropriate nutrition, feeding, including support for breastfeeding	None	None
	Physical Activities	None	None
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	None
	Recognition and mandatory reporting of suspected child abuse and neglect	None	None
	Emergency preparedness and planning response procedures	None	None
	Management of common childhood illnesses, including food intolerances and allergies	None	None

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Transportation and child passenger safety (if applicable)	None	None
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	None
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	None
	Supervision of children	None	None
	Behavior management	None	None
	Other. Describe None		
In-Home Child Care Providers	First Aid	None	None
	CPR	None	None
	Medication Administration Policies and Practices	None	None
	Poison Prevention and Safety	None	None
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	None
	Shaken Baby Syndrome and abusive head trauma prevention	None	None
	Age appropriate nutrition, feeding, including support for breastfeeding	None	None
	Physical Activities	None	None
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	None
	Recognition and mandatory reporting of suspected child abuse and neglect	None	None
	Emergency preparedness and planning response procedures	None	None
	Management of common childhood illnesses, including	None	None

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	food intolerances and allergies		
	Transportation and child passenger safety (if applicable)	None	None
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	None
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	None
	Supervision of children	None	None
	Behavior management	None	None
	Other. Describe None		

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

- All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
- Relative providers are NOT required to meet any health and safety requirements as described in 3.1.2a-c, as appropriate.
- Relative providers are subject to certain requirements. Describe the different requirements Relative providers are required to comply with and sign an unregulated child care health and safety checklist.

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

<http://www.maine.gov/dhhs/ocfs/ec/occhs/cclicensing.htm>

3.1.4 Effective enforcement of the CCDF health and safety requirements.

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

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- a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced)
- b) Describe whether the Lead Agency uses background checks Providers and all adults residing in the home must successfully pass annual background checks from Child Protective Services, State Bureau of Investigation and Bureau of Motor Vehicle.
- c) Does the Lead Agency permit providers to self-certify compliance with applicable health and safety standards?

Yes. If yes, what documentation, if any, is required? Describe _____
 No

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

For all participants not subject to the enforcement of procedure above are required to: 1) sign and submit a Unregulated Child Care Health and Safety Checklist: this list covers 14 topics related to the health and safety of the care of children; 2) assure in writing that children in the subsidy program are age-appropriately immunized; 3) water analysis reports are required for any provider not using a public water supply; 4) providers and all adults residing in the home must successfully pass annual background checks from CPS, SBI and BMV; and, 5) additionally any unregulated provider serving children that are accessing home visiting services will receive one visit annually from a trained home visitor. During this visit a review of the Health and Safety Checklist will occur and technical assistance will be provided to support the provider in his/her ability to meet these expectations on the checklist.

Check if the Lead Agency certifies that procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

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

Yes. Describe
 No

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

- Yes. Describe
- No
- Other. Describe

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

- Yes. Describe
- No
- Other. Describe

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

- Yes. If Yes, provide the name of the tool(s)
- No
- Other. Describe

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

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

- Number of licensed programs. Describe (optional)
- 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 in child care as defined by the State/Territory. Describe (optional)

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- Number of 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? None

c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. As part of our past Child Care Data Capacity Grant, we utilized a predictive model to collect data on the number and type of licensing violations that programs in the QRIS and those not in the QRIS have had in the past 2 years. The State of Maine will utilize this descriptive information and evaluate the use of a risk assessment system for monitoring the health and safety of licensed and certified Child Care programs.

3.1.7 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

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

Goal 1 – The State of Maine will investigate the use of a differential monitoring

system based on the recommendations of the risk assessment evaluation process.

New!

CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link <http://www.acf.hhs.gov/programs/occ/resource/government-performance-and-results-act-gpra-measures> to see the CCDF performance measures. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon  in Section 3.2 through 3.4 in order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary because States/Territories are not required to develop such guidelines or implement them in a specified manner.

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

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

If yes, insert web addresses, where possible:

<http://www.maine.gov/education/fouryearold/documents/infantsandtoddlerguidelines.pdf>

Which State/Territory agency is the lead for the early learning guidelines?
Collaboration between Department of Education and Department of Health and Human Services <http://www.maine.gov/doe/saielgroups/>



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

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

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

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in public	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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Pre-K program			
Practitioners in elementary schools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. List 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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

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



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

- Cross-walked to align with Head Start Child Development and Early Learning Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other. List
- None.

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

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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

Requirement of programs in QRIS at Step 2 or higher

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

Yes. Describe

As part of *Quality for ME*, Maine’s Early Care and Education Quality Rating and Improvement System Authentic Assessment: Evidence is collected on children’s development in the following areas:

- Social/Emotional
- Cognitive
- Physical (gross and fine motor) development
- Communication

Examples of evidence include children’s work, observations, interviews with families, audio tape, video tape, photographs. This evidence is incorporated in curriculum planning.

For programs serving infants and toddlers, the observations are linked to Supporting Maine’s Infants and Toddlers- Guidelines for Learning and Development and for programs serving children 3-5 years, the observations are linked to Maine’s Early Childhood Learning Guidelines which are used as a guide for planning

No

Other. Describe

None

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

Yes. Describe

As part of *Quality for ME*, Maine Early Care and Education Quality Rating and Improvement System (QRIS):

Parent/Family Involvement: Parents are offered at least 2 parent conferences a year to discuss the child’s progress, behavior, social and physical needs. (NAEYC 7.B.01-06) Parents of infants and toddlers are provided with written daily communication about their child’s day. (NAEYC 7.B.05)

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- No
- Other. Describe
- None

- No
- Other. Describe
- None

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

- Yes. Describe
- None

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

- Yes. Describe
- None
- No
- Other. Describe

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

- All children. Describe
- None
- Samples of children. Describe
- None
- Other. Describe
- None

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

- Yes. Describe
- None
- No
- Other. Describe
- None

- No
- Other. Describe
- None

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

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- Yes. Describe
None
 No
 Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning

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

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

- Number/percentage of child care providers trained on ELG’s for preschool aged children. Describe (optional)
Maine Roads to Quality Registry
- Number/percentage of child care providers trained on ELG’s for infants and toddlers. Describe (optional)
Maine Roads to Quality Registry
- Number of programs using ELG’s in planning for their work.
Describe (optional)
QRIS sample for portfolio reviews and QRIS Enrollment Database
- 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?

As part of *Quality for ME*, Maine Early Care and Education Quality Rating and Improvement System (QRIS) Learning Environment/Developmentally Appropriate Practices:

Step 3 Standards:

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The Early Childhood Learning Guidelines and/or Infant/Toddler Learning Guidelines are on site, available to staff and are referenced during curriculum planning.

50% of lead teachers (per program site) working with children ages 3-5 have completed the training on implementing curriculum based on Maine's Early Childhood Learning Guidelines.

Step 4 Standards:

Each classroom with 3-5 year olds has a lead teacher who has completed the training on implementing curriculum based on Maine's Early Childhood Learning Guidelines.

Maine's Early Childhood Learning Guidelines are consistently used to guide the development of an age appropriate curriculum for children ages 3-5.

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

Continue to monitor the implementation of the Early Learning and Developmental Standards as a guide, as well as to support to the developmentally appropriate assessment process of children birth to five.

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?

Goal 1 - To develop a framework that looks at State approved screening, assessment and curriculum that align with the State of Maine's Infant/Toddler Guidelines and Early Learning and Development Standards (ELDS).

Goal 2 - To develop a process to including the use of the State of Maine's Infant/Toddler Guidelines and Early Learning and Development Standards (ELDS) in parent training or family support programs.

Goal 3 - To develop a supplemental document for families based on the revised State of Maine's Infant/Toddler Guidelines and Early Learning and Development Standards (ELDS).

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

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

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

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

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

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities.

Quality for ME, Maine's Early Care and Education Quality Rating and Improvement System

Quality for ME is a system for licensed child care providers to have their quality assessed on a 4-step rating scale. Every step is an important quality measure based on the following eight standards:

- Licensing history

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- Learning environment
- Program evaluation
- Staff development
- Administrative policies and procedures
- Family involvement
- Community resources
- Child Observations

The purpose of the *Quality for ME* system is to:

- Give individuals a simple tool to help recognize and choose quality child care.
- Give Maine child care programs help in improving their quality.
- Help Maine measure how well supports to child care programs are working.
- To join other states across the nation in measuring and supporting quality child care for families.
- Through *Quality for ME*, the Office of Child and Family Services (OCFS) collaborates with multiple partners in order to provide an organized and seamless support network for licensed child care providers.

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

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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

3.3.2 Element 2 – Supports to Programs to Improve Quality

Definition – For purposes of this section, supports to programs to improve quality

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refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.



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

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

b) Methods used to customize quality improvement supports to the needs of individual programs include:

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

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

Yes. Describe

1. Quality for ME Waiver System

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- I. Definition
 - a. For the purposes of the Quality Rating and Improvement System (QRIS), a waiver is a document or formal statement of the voluntary surrendering of a known right.
- II. Purpose
 - a. The objective of a waiver is to indicate an intention to disregard the minimum requirements of *Quality for ME, Maine's Early Care and Education Quality Rating and Improvement System (QRIS)* as detailed in the application manual. This understanding allows;
 - i. a provider to accept CCDF subsidy funding for children in their care,
 - ii. receive technical assistance (TA)
- III. Eligibility
 - a. In order for a provider to become eligible for a waiver they must qualify within one of two categories;
 - i. The program is licensed for less than 12 months and is in compliance with licensing regulations or
 - ii. The program is licensed for less than 12 months due to moving to a new location and is in compliance with licensing regulations.
 - b. All program staff must be enrolled in Maine Roads to Quality (MRTQ).
- IV. Process
 - a. If a provider is eligible within one of the two categories, the provider has the right to apply for a waiver.
 - b. A waiver applications must be requested from the Office of Child and Family Services (OCFS).
 - c. Upon receiving the completed waiver application, the State Child Care Services Team Leader will review the content of the application and with the use of the *Waiver Assessment Tool*, determine if a program has meet the requirements to be granted a waiver.
 - d. A decision on the provider's status of being granted a waiver will be mailed to the provider within 10-15 business days of the receipt of the provider's application.
 - e. Waivers are authorized for one year from the program's license anniversary date.
 - f. If a provider is granted a waiver, the provider will sign an agreement of conditions for participation as set forth by the Department of Health and Human Services, Office of Child and Family Services (OCFS).
 - g. As stipulated in the provider agreement, it is the responsibility of the provider to apply for *Quality for ME* after their license anniversary date.
- V. Decision Making
 - a. Program's licensed for less than 12 months and is in compliance with licensing regulations:
 - i. Upon receiving the completed waiver application, State Child Care Services Team Leader will review the content of the application and with the use of

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- the *Waiver Assessment Tool*, determine if a program has meet the requirements to be granted a waiver.
- ii. The *Waiver Assessment Tool* is developed to look at benchmarks within the applicants information that align with National Association for the Education of Young Children (NAEYC) Developmentally Appropriate Practices (DAP) and the Division of Early Childhood's (DEC) Recommended Practices, Indicators of Quality Management Strategies and that the provider's action plan to prepare for the requirements of *Quality for ME* upon their eligibility for the Quality Rating and Improvement System (QRIS) is appropriate.
- b. Program's licensed for less than 12 months due to moving to a new location and is in compliance with licensing regulations.
 - i. Upon receiving the completed waiver application, State Child Care Services Team Leader will review the content of the application and with the use of the *Waiver Assessment Tool-new location*, determine if a program has meet the requirements to be granted a waiver.
 - ii. The *Waiver Assessment Tool-new location* is developed to look at benchmarks within the applicant's information that:
 - a. Align with National Association for the Education of Young Children (NAEYC) Developmentally Appropriate Practices (DAP) and the Division of Early Childhood's (DEC) Recommended Practices
 - b. Indicators of Quality Management Strategies
 - c. Years in existence
 - d. Years accredited
 - e. Staffing qualifications
 - f. Quality assurance goals for the coming year
 - g. Professional development structure
- VI. Application in *Quality for ME*
- a. After a provider's waiver has expired, the provider is responsible for completing an application in the *Quality for ME* system.
 - b. It is the Early Childhood Division's responsibility to assure that a waiver grantee applies into *Quality for ME* no less than 2 weeks after their waiver expires.
 - c. State Child Care Services Team Leader has the right to extend any provider's waiver based on information submitted or obtained when deemed appropriate.
 - i. If a provider is granted an extension, the provider will have 4-6 weeks to enroll in *Quality for ME* from the date that the extension was approved, unless State Child Care Services Team Leader determines that a longer period of time is warranted.

- No
- Other. Describe

3.3.3 Element 3 – Financial Incentives and Supports

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



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

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving/maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tax credits tied to meeting program quality standards	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 – Element 4 - Quality Assurance and Monitoring

Definition – For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.



a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

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Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments.	<input type="checkbox"/> Infant/Toddler <input type="checkbox"/> Preschool <input type="checkbox"/> School-Age	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments.	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21 st Century Learning Center programs Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe As part of the <i>Quality for ME</i> system, the State Child Care Services Team completes a sample of randomly selected reviews of program portfolios for licensed providers who are assigned a Step 2-4 rating. The purpose of these visits is to validate the self-report information the licensed program submits in the <i>Quality for ME</i> application.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Have a mechanism to track different quality assessments/monitoring activities to avoid duplication

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- 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

As part of the *Quality for ME* system, the State Child Care Services Team completes a sample of randomly selected reviews of program portfolios for licensed providers who are assigned a Step 2-4 rating. The purpose of these visits is to validate the self-report information the licensed program submits in the Quality for ME application.

None

3.3.5 – Element 5 - Outreach and Consumer Education

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



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

Yes. If yes, how is it used?

Resource and referral/consumer education services use with parents seeking care

Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting

Searchable database on the web

Voluntarily, visibly posted in programs

Mandatory to post visibly in programs

Used in marketing and public awareness campaigns

Other. Describe

Web based tools

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

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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. None

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 licensed or certified providers
 - Participation is mandatory for any licensed provider receiving CCDF subsidy payments
- 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

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- Head Start programs
- Pre-kindergarten programs
- School-age programs
- Other. Describe

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

The State of Maine will develop a strategic plan to support Family, Friend and Neighbor (FFN) providers throughout the State of Maine.

This strategic plan will utilize:

1. The Maine FFN Child Care Logic Model
2. Supporting Family, Friend and Neighbor Child Care Report, 2009

The desired objective of this delivery system is to:

Develop opportunities for regular communication with FFN caregivers and families who use FFN care.

Improve public knowledge of the role of FFN care in serving Maine's families and children and of the opportunities to support it.

Develop or adapt materials to provide information to families and FFN caregivers on supporting children's development and school readiness.

Open information and educational opportunities to FFN caregivers.

Explore how public and private programs can provide supplies and equipment to FFN caregivers to improve health, safety, and educational opportunities for children.

Explore how FFN care can be supported through Maine's early care and education through *Quality for ME*.

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

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

- Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional) We have developed a web-based Quality Rating and Improvement System (QRIS) application to assess child care programs

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by combining self-report by child care provider, administrative data collected by the state child care licensing bureau, administrative data collected by the state professional development registry, and requirements of child care and school age accreditation systems. Linking to administrative data is designed to substantially relieve the burden on child care providers and Head Start programs participating in QRIS and to increase reliability and validity. The state requires licensed programs receiving CCDF subsidy to enroll in QRIS; enrollment by other programs is voluntary. The web-based measure of child care quality includes self-assessments in eight areas: compliance history/licensing status, learning environment/developmentally appropriate practice, program evaluation, staffing and professional development, administrative policies and procedures, parent/family involvement, family resources, and authentic assessment. The web-based application gives providers immediate feedback on quality overall and in each of the eight subscales, along with specific recommendations on how to move up to the next step of quality. From 2008-2011, we have conducted on-site observations (Environmental Rating Scales - ERS) of a random selection of programs enrolled in QRS to validate the web-based measure of quality.

- Number of programs that move program quality levels annually (up or down). Describe (optional)
Through the web-based Quality Rating and Improvement System (QRIS) application.
- Program scores on program assessment instruments. List instruments: [redacted] Describe (optional) [redacted]
- Classroom scores on program assessment instruments. List instruments: [redacted] Describe (optional) [redacted]
- Qualifications for teachers or caregivers within each program. Describe (optional)
Maine Roads to Quality Registry
- Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional)
MACWIS (computer management system used by the Child Care Subsidy Program Specialists)
- Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional)
Scholarships via Maine Roads to Quality
Quality Differential Payments
- Other. Describe [redacted]
- None

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

From 2008-2012, the University of Southern Maine and DHHS had conducted a joint project, initially funded through the federal US DHHS Child Care Bureau, has focused on the conduct of applied research and the development of enhanced data capacity related to government funded child care programs and services. The activities related to this project are outlined below and grouped into inter-related areas:

- Information developed for decision making from select analyses of federal/state childcare subsidy programs;
- Implementation and maintenance of a web based data system located at the University which generates information regarding the status of the Quality Rating and Improvement System (QRIS) – findings to guide improvement of the quality of licensed childcare settings;
- Monitoring of the quality of select QRIS providers including comparisons between providers receiving government subsidies and those that do not;
 - Development of an inclusive statewide coalition for defining the child care research agenda for Maine and for conducting prioritized research projects;
 - Resources and support to stay current in field of expertise.

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.

To implement and maintain an internal web based system in support of QRIS evaluation, observation and reporting activities.

To support providers with implementation of QRIS and QRIS related evaluation activities (e.g., support to enroll via online application and support with data collection activities).

To explore enhancement of current data set through the addition of data from Maine Revenue Services specific to parental use of tax credits, conditional on approval of Maine Revenue Services.

To implement a revision design of *Quality for ME*, Maine Early Care and Education Quality Rating and Improvement System (QRIS).

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Through the platform of SAIEL (State Agencies Interdepartmental Early Learning Team), assist the Maine Department of Education in drafting a logic model to articulate program standards for public pre-k, Early Childhood and Early Childhood Special Education programs to be consistent with *Quality for ME*.

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 subsection 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?

Goal 1 - Monitoring the access to quality care for families/children in low income families.
--

Goal 2 - Develop better information concerning families perceptions of quality and how families choose child care settings.

Goal 3 - Develop a framework for compliance monitoring integration across Quality for ME, Child Care Subsidy and the Child and Adult Care Food Program (CACFP).

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

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

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

- 1) Core Knowledge and Competencies
- 2) Career Pathways (or Career Lattice)
- 3) Professional Development Capacity

4) Access to Professional Development

5) Compensation, Benefits and Workforce Conditions

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.

- Maine DHHS, Office of Child and Family Services,
- University of Southern Maine, Maine Roads to Quality
- University of Maine at Orono

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:

<http://muskie.usm.maine.edu/maineroads/pages/ckt.htm>

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

MRTQ CORE KNOWLEDGE TRAINING

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Starting Your Core Knowledge Portfolio (3 Hours) This training introduces the Core Knowledge Training Program, its uses in professional development and how the portfolio can transform training into college credit. Basic information includes procedures for documenting learning, orientation to the Maine Roads Professional Registry, and tracking hours of training.

Getting Started in Family Child Care (12 Hours) This training introduces the aspects of opening a family child care business in the home. It covers state certification procedures, health and safety practices, working with families, child development, community and professional resources, and business and professional development. (Required by DHHS for obtaining a family child care license.)

Working with School-Age Children and Youth (30 Hours) This training covers the aspects of providing child care for 5-13 year old children in a center-based or a family child care setting. It adheres to the standards and practices outlined for early care and education in the eight core knowledge areas and embeds the Quality Standards and best practices published in “Reaching Potential through Quality Afterschool” (March 2008). This training is also available in a web-based version.

Fostering the Social-Emotional Development and Competence of Young Children (30 Hours) This training focuses on helping all children, not only the children who fit in well, but those with “difficult” behaviors, develop social skills, self-confidence and build their social-emotional intelligence. Participants will take an in-depth look at why children act out and how they can work preventively to diminish social difficulties. The content covers building relationships, assessing the environment and curriculum, designing strategies to support children to maintain peer relationships, develop skills to improve self-regulation and conflict resolution, and identifying community resources when involving other specialists is needed.

Building Peaceable Nonviolent Early Childhood Settings (6 Hours) This training covers a broad range of topics, including the impact of nonviolent media and toys on children and their play; the influence of a peaceable classroom in counteracting harmful lessons about violence; and how to teach developmentally appropriate conflict resolution skills to children.

Operating a Family Child Care Business (24 Hours) This eight part curriculum is designed to develop and improve basic business management skills. Learning activities and take home action steps encourage participants to practice what they learn to improve the bottom line. Some of the topics are: Balancing Work and Family, Tips on Writing Contracts and Policies, Creative Marketing Ideas, Recordkeeping, Increasing Business Profits, and Growing the Business.

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Completing Your Maine Roads Core Knowledge Portfolio (3 Hours) This training covers the higher education guidelines practitioners must meet to submit their portfolio for assessment for college credit. Practitioners will be able to pull together all of the Maine Roads curricula into a document that demonstrates ongoing professional development. This training is required for participants who wish to receive the Maine Roads Core Knowledge Training Program certificate of completion.

None

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

To define the content of training required to meet licensing requirements

To define the content of training required for program quality improvement standards (as reported in section 3.3)

To define the content of training required for the career lattice or credential

To correspond to the early learning guidelines

To define curriculum and degree requirements at institutions of higher education

Other. Describe

None

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

Cross-walked with the Child Development Associate (CDA) competencies

Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)

Cross-walked with apprenticeship competencies

Other. Describe

None

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

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

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- Providers working directly with children in family child care homes, including aides and assistants. Describe _____
- Administrators in centers (including educational coordinators, directors). Describe Child Care Leadership Institute
- 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

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
Registry and Career Lattice
- No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible:

<http://muskie.usm.maine.edu/maineroads/pages/registry.htm>

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

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- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe Registry and Career Lattice
- Providers working directly with children in family child care homes, including aides and assistants. Describe <http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf>
- Administrators in centers (including educational coordinators, directors). Describe Child Care Leadership Institute
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe Registry and Career Lattice
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe Registry and Career Lattice
- Other. Describe School-age Practitioner Pathway
- None

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

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

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

- Voluntary guide and planning resource
- Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
- Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
- Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
- Required placement for participation in scholarship and/or other incentive and support programs
- Required placement for participation in the QRIS or other quality improvement system
- Other. Describe
- None

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

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- Yes. If yes, describe
Through the Maine Roads to Quality System structure
- No

3.4.3 Workforce Element 3 – Professional Development Capacity

Definition – For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Early childhood includes infants, toddlers and preschoolers.



a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

- Yes. If yes, describe
<http://muskie.usm.maine.edu/maineroads/index.htm> See website
- 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
<http://muskie.usm.maine.edu/maineroads/index.htm>
- No

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

- Standards set by the institution
- Standards set by the State/Territory higher education board
- Standards set by program accreditors
- Standards set by State/Territory departments of education
- Standards set by national teacher preparation accrediting agencies
- Other. Describe
- None

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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

Standards to Approve Training:

1. The Training is developed with State of Maine (DHHS) funding or by a recognized national or regional Early Childhood Education organization,
2. The training has a written curricula, clearly defined goals and learning objectives and based upon Maine Early Childhood Core Knowledge areas.
3. The training is delivered by a qualified MRTQ trainer.
4. The training does not duplicate the Maine Roads to Quality Core Knowledge Training curricula,
5. The training curricula must be reviewed by a Training Review Committee for content, learning goals and objectives biannually.*
6. The Training curricula's content will identify both the Core Knowledge Areas and CDA Subject area hours that are covered.
7. The Training will be eligible for CEUs, and have the potential to be delivered statewide. It is anticipated that this approved training will also be delivered over a period of time longer than a typical one to two hour workshop.
8. The Trainer will keep track of participants and attendance and ensure that information will be sent in a timely manner to the Maine Roads to Quality Registry.

Once a Training program has been approved, it will be recognized by the Maine Roads Registry as approved training and become part of the participant's training record.

Trainer approval process. Describe

The primary purpose of the Maine Roads to Quality Trainer Registry is to approve trainers who are qualified to train in the Maine Roads Core Knowledge Training Program. Maine Roads Core Knowledge trainers contract with the Centers to deliver training. All trainers are overseen by the Maine Roads to Quality Training Coordinator.

Registered Trainer Levels

Novice:

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- Has 5 year's experience in relevant Core Knowledge Area
- Has 12 hours experience training adults
- Is supervised by a Trainer of Record

Level One:

- Has 12 credit hours in related Core Knowledge Area or a Child Development Associate Credential (CDA)
- Has 5 year's experience in relevant Core Knowledge Area
- Has 12 hours experience training adults
- Is supervised by a Trainer of Record

Level Two:

- Has an Associate Degree (AA or AS) in related Core Knowledge Area
- Has 5 year's experience in relevant Core Knowledge Area
- Has 12 hours experience training adults
- Is supervised by a Trainer of Record

Level Three:

- Has a Bachelor Degree (BA or BS) in related Core Knowledge Area
- Has 5 years experience in relevant Core Knowledge Area
- Has 12 hours of experience training adults

Level Four:

- Has a Master Degree (MA or MS) in related Core Knowledge Area
- Has 5 years experience in relevant Core Knowledge Area
- Has 12 hours of experience training adults

Level Five:

- Has a Doctorate (Ph.D. or Ed. D) in related Core Knowledge Area
- Has 5 years experience in relevant Core Knowledge Area
- Has 12 hours of experience training adults

Training and/or technical assistance evaluations. Describe
Done through surveys of providers who have received training and technical assistance

- Other. Describe
- None

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

Yes. If yes, describe

Yes. All seven community colleges have articulation agreements with the University of Maine System so that early childhood practitioners may use their coursework from the associates degree toward a four year degree in the University of Maine System. Campuses negotiate this independently with some having program to program

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articulation and some offering transcript analysis toward meeting the requirements of the four year degree.

No

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

Yes. If yes, describe

The Maine Roads to Quality Core Knowledge Training (180 hours) can be articulated at any of the Maine Community Colleges for 9 – 12 credits toward and ECE Degree. In addition all of Maine’s Community Colleges offer some credit for completion of a CDA. The Maine Roads to Quality Core Knowledge Training can also be articulated into college credit at the University of Southern Maine (a 4 year degree granting institution).

No

3.4.4 Workforce Element 4 – Access to Professional Development

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



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

Yes. If yes, for which sectors?

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

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.

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Yes. If yes, describe

Training Calendar see website below

<http://ecetrainingcalendar.muskie.usm.maine.edu/public/main.aspx>

No

Insert web addresses, where possible:

<http://muskie.usm.maine.edu/mainroads/pages/ckt.htm>

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

Scholarships. Describe

<http://muskie.usm.maine.edu/mainroads/pd/scholarship.htm>

Free training and education. Describe [redacted]

Reimbursement for training and education expenses. Describe [redacted]

Grants. Describe [redacted]

Loans. Describe [redacted]

Loan forgiveness programs. Describe [redacted]

Substitute pools. Describe [redacted]

Release time. Describe [redacted]

Other. Describe [redacted]

None

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

Yes. If yes, describe

Professional Development Career Counseling: As a Maine Roads Registry member, individuals can receive career counseling. It is often difficult to get the information needed to take the next step in professional development. The staff at Maine Roads to Quality can help sort through professional goals.

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 [redacted]

No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

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

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

- Yes. If yes, describe
- No

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

- Yes. If yes, describe
- No

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

- Yes. If yes, describe
- No

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

- Yes. If yes, describe
- No

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

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

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- Data on the size of the child care workforce. Describe (optional)
Department of Labor
- Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional)
Maine Roads to Quality Registry
- Records of individual teachers or caregivers and their qualifications. Describe (optional) Maine Roads to Quality Registry
- Retention rates. Describe (optional)
- Records of individual professional development specialists and their qualifications. Describe (optional) Maine Roads to Quality Registry
- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) Maine Roads to Quality Registry
- Number of scholarships awarded . Describe (optional)
Maine Roads to Quality Reports
- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) MACWIS
- Number of credentials and degrees conferred annually. Describe (optional) Maine Roads to Quality Reports
- Data on T/TA completion or attrition rates. Describe (optional)
Maine Roads to Quality Reports
- Data on degree completion or attrition rates. Describe (optional)
Maine Roads to Quality Reports
- 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
Direct Care Lattice

<http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf>

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

Direct Care Lattice

<http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf>

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

Administrative/Management/Coordination Career Lattice

<http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf>

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

Family Education and Support Professional Career Lattice

<http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf>

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

Maine Roads Trainer Registry

<http://muskie.usm.maine.edu/maineroads/pages/trainerregistry.htm>

Other. Describe Providers in school age programs

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?

Track the registry levels of the professionals that are enrolled in each of the career lattices in order to verify these levels as they relate to the Staffing and Professional Development standard within the State of Maine's quality rating and improvement system.

Track the trainings that individuals receive that are enrolled in the provider registry in order to verify the benchmarks as they relate to Learning Environment/ Developmentally Appropriate Practice standard within the State of Maine's Quality Rating and Improvement System.

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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.

Maintain the MRTQ registry to ensure accuracy in data collection and sharing with *Quality for ME* with regard to the training, technical assistance and educational records of providers.

Tracking of professional development benchmarks including Career Lattice Levels, Credentials and ECE degree attainment for early childhood providers in Maine.

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

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

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

Goal 1 - Continue to promote and publicize the Provider Registry statewide.
Goal 2 - Develop an inclusionary practices credential.
Goal 3 - Collaborate with the Division of Licensing and Regulation on placement for all providers and professionals working in programs that are licensed or certified to be in the MRTQ provider registry.

AMENDMENTS LOG

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: _____
FOR THE PERIOD: 10/1/11 – 9/30/12

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Lead Agency’s approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information

<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

Appendix 1

Quality Performance Report

This annual report will be submitted to ACF no later than December 31, 2014 and will reflect the period October 1, 2013 through September 30, 2014. Lead Agencies will leave this report blank when the Plan is initially submitted.

In this report, Lead Agencies are asked about the State/Territory's progress in meetings its goals as reported in the FY 2014-2015 CCDF Plan, and provide available data on the results of those activities. At a minimum, Lead Agencies are expected to respond to the first question in each section of the Quality Performance Report (QPR) which asks for their progress toward meeting their goal(s) articulated in Part 2 and Part 3 of the CCDF Plan for this Biennium.

Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. A Describe box is provided for each question for Lead Agencies to provide descriptive context for data reported and narrative updates in each data section, including any plans for reporting data in the future, if actual data is not currently available or if specific questions are not applicable. Lead Agencies may use data collected by other agencies and entities (e.g., CCR&R agencies or other contractors) as appropriate. The term Lead Agency is used in questions when the data relate to a CCDF-specific activity, otherwise the term State/Territory is used when another entity may be responsible or involved with an activity (e.g., licensing).

The purpose of this annual report is to capture State/Territory progress on improving the quality of child care. Specifically, this report will:

- Provide a national assessment of State's and Territory's progress toward improving the quality of child care, including a focus on program quality and child care workforce quality;
- Track State's and Territory's annual progress toward meeting high quality indicators and benchmarks, including those that they set for themselves in their CCDF Plans and those that are of interest to the U.S. Department of Health and Human Services in measuring CCDF program performance;
- Assist national and State/Territory technical assistance efforts to help States/Territories make strategic use of quality funds; and Assist with program accountability

This report collects progress on the five goals identified in Part 2 and Part 3 of the Child Care and Development Fund (CCDF) Plan for FY2014-2015 along with key data in relation to the four components of child care quality used as a quality

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framework in Part 3 of the Child Care and Development Fund Plan for FY 2014-2015:

1. Ensuring health and safety of children through licensing and health and safety standards
2. Establishing early learning guidelines
3. Creating pathways to excellence for child care programs through program quality improvement activities
4. Creating pathways to an effective, well-supported child care workforce through professional development systems and workforce initiatives.

Ensuring the Health and Safety of Children (Component #1)

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30, 2014.

A1.1 Progress on Overall Goals

Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.1.7, please report your progress using the chart below. You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., revised licensing regulation to include elements related to SIDS prevention, lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers). If applicable, describe any barriers to implementing your planned goals.

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

Note: If your licensing standards changed during this period, please provide a brief summary of the major changes and submit the updated regulations to the National Resource Center for Health and Safety in Child Care (www.nrckids.org.) _____

A1.2 Key Data

OCC is collecting this information as one part of our overall effort to better understand States/Territories’ activities to improve the quality of child care. OCC

CCDF Plan Effective Date: October 1, 2013

Amended Effective: _____

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recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here and that some data requested may be collected by another agency or entity other than the Lead Agency. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. For example, the number of programs with licensing violations will be affected by how stringent the licensing standards are. States with more stringent standards may be more likely to report more violations than those with less stringent licensing standards. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A1.2.1 Number of Programs

- a) How many licensed center-based programs operated in the State/Territory as of September 30, 2014? _____
 N/A
Describe:
- b) How many licensed home-based programs operated in the State/Territory as of September 30, 2014? _____
 N/A
Describe:
- c) Does the State/Territory have data on the number of programs operating in the State/Territory that are legally exempt from licensing? At a minimum, the Lead Agency should provide the number of legally exempt providers serving children receiving CCDF.
- Yes. If yes, include the number of programs as of September 30, 2014 and describe (Use the Describe Box to provide the universe of programs on which the number is based)
 No. Describe:

A1.2.2 Number and Frequency of Monitoring Visits

For licensed programs, a monitoring visit is an onsite visit by department personnel to a licensed child care program with the goal of ensuring compliance with licensing regulations. This may include initial licensing determination visits, licensing renewal visits, periodic announced or unannounced visits, and visits made after a complaint is lodged. For legally exempt providers, a monitoring visit is an onsite visit to a child care program with the goal of ensuring compliance with health and safety standards as defined by CCDF and required for receipt of CCDF funds. Use the Describe box to provide your State/Territory monitoring visit requirement.

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- a) How many licensed center-based programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?

_____ a-1) Of those programs visited, how many were unannounced? _____

a-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

a-3) What percentage of required visits for licensed center-based program were completed? _____

N/A

Describe:

- b) How many licensed family child care programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?

_____ b-1) Of those programs visited, how many were unannounced? _____

b-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

b-3) What percentage of required visits for licensed family child care programs were completed? _____

N/A

Describe:

- c) How many legally exempt providers receiving CCDF received at least one monitoring visit between October 1, 2013 and September 30, 2014? Of those,

c-1) Of those programs visited, how many were unannounced? _____

c-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

c-3) What percentage of required visits for legally exempt providers were completed? _____

N/A

Describe:

A1.2.3 Number of Licensing Suspensions, Licensing Revocations and Terminations from CCDF

Suspension of license includes any enforcement action that requires the temporary suspension of child care services because of licensing violations. Revocation of license includes termination or non-renewal of licensure and any other enforcement action that requires the closure of a program because of licensing violations.

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	How many programs had their licenses suspended due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs had their licenses revoked due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs were terminated from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?	N/A	Describe
Child Care Centers	█	█	█	<input type="checkbox"/>	█
Group Child Care Homes	█	█	█	<input type="checkbox"/>	█
Family Child Care Homes	█	█	█	<input type="checkbox"/>	█
In-Home Providers	█	█	█	<input type="checkbox"/>	█

A1.2.5 How many previously license-exempt providers were brought under the licensing system during the last fiscal year? _____

N/A

Describe: █

A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year? Please provide your definition of injuries in the Describe box and indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

N/A

Describe: █

A1.2.7 How many fatalities occurred in child care or as the result of a child care accident or injury as of the end of the last year? Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

N/A

Describe: █

Establishing Early Learning Guidelines (Component #2)

A2.1 Progress on Overall Goals

A2.1.1 Did the State/Territory make any changes to its voluntary early learning guidelines (including guidelines for school-age children) as reported in 3.2 during the last fiscal year?

- Yes. Describe _____
- No

A2.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.2.8, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELG’s, Aligned the ELG’s with Head Start Child Development and Early Learning Framework). If applicable, describe any barriers to implementing your planned goals.

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

A2.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A2.2.1a How many individuals were trained on early learning guidelines (ELG’s) or standards over the last fiscal year? Responses to this question should be consistent with information provided in question 3.2.3 in the CCDF Plan.

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Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many teachers/practitioners in center-based programs were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many family child care providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many legally exempt providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

A2.2.1b How many children are served in programs implementing the ELG's? Refer to question 3.2.4 in the CCDF Plan for examples of how ELG's can be implemented in programs. Program capacity can be used as an estimate of children served.

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many children are served in center-based programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and	_____	_____	_____	<input type="checkbox"/>	_____

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Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
toddlers, preschoolers, school-age children)					
How many children are served in programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

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

A3.1 Progress on Overall Goals

A3.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.3.9, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs included in the QRIS, Aligned the QRIS standards with Head Start performance standards, or expanded the number of programs with access to an on-site quality consultant). If applicable, describe any barriers to implementing your planned goals.

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

A3.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory's policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual

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information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A3.2.1 Number of Program Receiving Targeted Technical Assistance

Targeted technical assistance is technical assistance (coaching, mentoring and consultation) that is designed to address a particular domain/area of quality. Responses in this section should be consistent with responses provided in question 3.3.2 in the CCDF Plan which focuses on targeted technical assistance to programs (rather than practitioners) that is intended for moving programs to higher levels of quality.

- a) How many programs received targeted technical assistance during the last fiscal year (October 1, 2013 through September 30, 2014)?

N/A

Describe:

- b) If possible, report the number of programs who received targeted technical assistance in the following areas:

Health and safety _____

Infant and toddler care _____

School-age care _____

Inclusion _____

Teaching dual language learners _____

Understanding developmental screenings and/or observational assessment tools for program improvement purposes _____

Mental health _____

Business management practices _____

N/A

Describe:

A3.2.2 Number of Programs Receiving Financial Supports

Responses to this question should be consistent with responses provided in question 3.3.3 of the CCDF Plan. **Financial supports** must be intended to reward, improve, or sustain quality. They can include grants, cash, reimbursements, gift cards, or purchases made to benefit a program. This includes tiered reimbursements for CCDF subsidies. **One-time grants, awards, or bonuses** include any kind of financial support that a program can receive only once. **On-going or periodic quality stipends** include any kind of financial support intended to reward, improve, or sustain quality that a program can receive more than once.

- a) How many programs received one-time, grants, awards or bonuses?

Child Care Centers _____

N/A

Describe:

Family Child Care Homes _____

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N/A
Describe:

b) How many programs received on-going or periodic quality stipends?

Child Care Centers _____

N/A
Describe:

Family Child Care Homes _____

N/A
Describe:

A3.2.3 Number of Eligible Programs for State/Territory QRIS or Other Quality Improvement System

a) What is the total number of eligible child care centers for QRIS _____ OR Other Quality Improvement System? _____

N/A
Describe:

b) What is the total number of eligible family child care homes for QRIS _____ OR Other Quality Improvement System? _____

N/A
Describe:

c) What is the total number of eligible license-exempt providers for QRIS _____ OR Other Quality Improvement System? _____

N/A
Describe:

A3.2.4 Number and Percentage of Programs Participating in State/Territory QRIS or Other Quality Improvement System

a) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of child care center programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of Child Care Centers Participating in QRIS _____ OR Other Quality Improvement System _____

Percentage of Child Care Centers Participating in QRIS _____ OR Other Quality Improvement System _____

N/A
Describe:

b) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of family child care programs in the State/Territory that

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participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of Family Child Care Homes QRIS _____ OR Other Quality Improvement System _____

Percentage of Family Child Care Homes QRIS _____ OR Other Quality Improvement System _____

N/A

Describe:

- c) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of license-exempt programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of License-Exempt Providers QRIS _____ OR Other Quality Improvement System _____

Percentage of License-Exempt Providers QRIS _____ OR Other Quality Improvement System _____

N/A

Describe:

A3.2.5. Number of Programs at Each Level of Quality

For each type of care, provide the total number of quality levels and the number of programs at that level of the total number of participating as reported in A3.2.4. Describe metric if other than QRIS, such as accreditation.

	Number of levels of quality	Number of programs at each level	N/A	Describe
Child Care Centers			<input type="checkbox"/>	
Family Child Care Homes			<input type="checkbox"/>	
License-Exempt Providers			<input type="checkbox"/>	

A3.2.6 Number of Programs Who Moved Up or Down within QRIS

If quality threshold is something other than QRIS, describe the metric used, such as accreditation. These numbers ARE NOT expected to total the number of participating programs in the QRIS as reported in A3.2.4.

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	How many programs moved up within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	How many programs moved down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	N/A	Describe
Child Care Centers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Family Child Care Homes	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
License-Exempt Providers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

A3.2.7 Number of CCDF Subsidized Children Served in Programs Participating in the State/Territory Quality Improvement System

Note. If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

- a) What percentage of CCDF children were served in participating programs during the last fiscal year? _____
- b) What percentage of CCDF children were served in high quality care as defined by the State/Territory? _____ Provide the definition of high quality care in the Describe box. This may include assessment scores, accreditation, or other metric, if no QRIS.

N/A
Describe:

Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)

A4.1 Progress on Overall Goals

A4.1.1 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.4.7, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements). If applicable, describe any barriers to implementing your planned goals.

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

A4.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A4.2.1 Number of Teachers/Caregivers and Qualification Levels

- a) What is the total number of child care center teachers in the State/Territory as of September 30, 2014? _____
 N/A
 Describe:

- b) What is the total number of family child care providers in the State/Territory as of September 30, 2014? _____
 N/A
 Describe:

- c) What is the number of center teachers and family child care providers by qualification level as of the end of the last fiscal year? Count only the highest level of education attained.

	Child Care Center Teachers	Family Child Care Providers	N/A	Describe
Child Development Associate (CDA)	_____	_____	<input type="checkbox"/>	_____
State/Territory Credential	_____	_____	<input type="checkbox"/>	_____

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Associate's degree	_____	_____	<input type="checkbox"/>	_____
Bachelor's degree	_____	_____	<input type="checkbox"/>	_____
Graduate/Advanced degree	_____	_____	<input type="checkbox"/>	_____

A4.2.2 Number of Individuals Included in State/Territory's Professional Development Registry during Last Fiscal Year (October 1, 2013 through September 30, 2014)

Teachers in child care centers _____
 Family child care home providers _____
 License-exempt providers _____
 N/A
 Describe:

A4.2.3 Number of Individuals Receiving Credit-Based Training and/or Education as defined by State/Territory during the last fiscal year

Teachers in child care centers _____
 Family child care home providers _____
 License-exempt providers _____
 N/A
 Describe:

A4.2.4 Number of Credentials and Degrees Awarded during Last Fiscal Year If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	List Type of Credential and Provide Number Awarded	List Type of Degree and Provide Number Awarded	N/A	Describe
Teachers in child care centers	_____	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	_____	<input type="checkbox"/>	_____

A4.2.5 Number of Individuals Receiving Technical Assistance during Last Fiscal Year Describe any data you track on coaching, mentoring, or other specialist consultation. If possible, include in what type of setting the practitioner worked. Responses to this question should be consistent with information provided in question 3.4.4e of the CCDF Plan.

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Setting	List Type of Technical Assistance and Provide Number	N/A	Describe
Teachers in child care centers	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	<input type="checkbox"/>	_____

A4.2.6 Type of Financial Supports Provided and Number of Teachers/Providers Receiving as of End of Last Fiscal Year?

- Scholarships. How many teachers/providers received? _____
 - Reimbursement for Training Expenses. How many teachers/providers received? _____
 - Loans. How many teachers/providers received? _____
 - Wage supplements. How many teachers/providers received? _____
 - Other. Describe
 - N/A
- Describe:

Building Subsidy Systems that Increase Access to High Quality Care

In this section, Lead Agencies provide progress on their subsidy administration goals over the past year as of September 30, 2014.

A5.1 Progress on Overall Goals

Based on the goals described in the Lead Agency’s CCDF Plan at Section 2.8, please report your progress using the chart below. You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., established copayment policies that sustain income and sustain quality, or established eligibility policies that promote continuity of care). If applicable, describe any barriers to implementing your planned goals.

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

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

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

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring

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for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

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

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

1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:

<http://www.hhs.gov/forms/HHS690.pdf>

2. Certification regarding debarment:

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other>

3. Definitions for use with certification of debarment:

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other-0>

4. HHS certification regarding drug-free workplace requirements:

<http://www.acf.hhs.gov/grants/certification-regarding-drug-free-workplace-requirements>

5. Certification of Compliance with the Pro-Children Act of 1994:

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<http://www.acf.hhs.gov/grants/certification-regarding-environmental-tobacco-smoke>

6. Certification regarding lobbying:

<http://www.acf.hhs.gov/grants/certification-regarding-lobbying>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.