

Child Care and Development Fund (CCDF) Plan
For

Pennsylvania
FFY 2014-2015

**PART 1
ADMINISTRATION**

1.1 Contact Information

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

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

Effective Date: 01-OCT-13

Name of Lead Agency: [Pennsylvania Department of Public Welfare](#)

Address of Lead Agency: [PO Box 2675, Harrisburg, PA](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Beverly Mackereth, Secretary](#)

Phone Number: [717-787-2600](#)

Fax Number: [717-772-7062](#)

E-Mail Address: BMackereth@pa.gov

Web Address for Lead Agency (if any): www.dpw.state.pa.us

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

a) Contact Information for CCDF Administrator:

Effective Date: 01-OCT-13

Name of CCDF Administrator: [Barbara Minzenberg](#)

Title of CCDF Administrator: [Deputy Secretary](#)

Address of CCDF Administrator: [Office of Child Development and Early Learning, 333 Market Street, Harrisburg, PA 17126](#)

Phone Number: [717-346-9320](#)

Fax Number: [717-346-9330](#)

E-Mail Address: bminzenber@pa.gov

Phone Number for CCDF program information

(for the public) (if any): [1-877-4PA-KIDS](#)

Web Address for CCDF program

(for the public) (if any): www.dpw.state.pa.us

Web Address for CCDF program policy manual

(if any):

Web Address for CCDF program administrative rules

(if any): www.pacode.com

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

Name of CCDF Co-Administrator: [Robert Frein](#)

Title of CCDF Co-Administrator: [Director of Subsidized Child Care Services](#)

Address of CCDF Co-Administrator: [Office of Child Development and Early Learning, 333 Market Street, Harrisburg, PA 17126](#)

Phone Number: [717-346-9323](#)

Fax Number: [717-346-9330](#)

E-Mail Address: rfrein@pa.gov

Description of the role of the Co-Administrator:

[Serves as an alternate contact.](#)

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)).

Effective Date: 01-OCT-13

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ [186,725,058](#)

Federal TANF Transfer to CCDF: \$ [166,336,000](#)

Direct Federal TANF Spending on Child Care: \$ [31,686,000](#)

State CCDF Maintenance-of-Effort Funds: \$ 46,629,051

State Matching Funds: \$ 50,374,194

Reminder - Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (\$98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

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

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

Effective Date: 01-OCT-13

N/A here

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

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

General Revenue Funds.

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

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

If checked, are those funds:

donated directly to the State?

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

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

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

State expenditures for Pre-K programs to meet the CCDF Matching Funds

requirement.

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

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

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

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

State expenditures for Pre-K programs to meet the CCDF Maintenance of Effort (MOE) requirements.

If checked,

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

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

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

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

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

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

Effective Date: 01-OCT-13

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>Infant/Toddler Targeted Fund 3,350,818</p>	<p>All quality funds are combined into Keystone STARS, a quality rating and improvement system in which early learning programs and practitioners are encouraged and supported to meet specific, evidence-based performance standards. Early learning and care providers that participate earn a quality rating score, ranging from a STAR 1 to a STAR 4. At each level, programs must meet specific, performance standards in four key areas: staff education, learning environment, leadership/management, and family/community partnerships. Higher STAR levels are designated for providers meeting more rigorous standards for quality. A Keystone STARS designation informs parents that their children are in a safe, respectful environment in which they are learning new things every day to support their current and future successes in school and in life.</p>	<p>Increase the number and percent of at-risk children in high quality child care settings.</p>	<p>Quality care environments provide a stimulating atmosphere in which children thrive mentally, socially, emotionally and physically. The Performance Standards for Keystone STARS quality-rated child care providers are guided by the principle that quality early learning programs are the foundation for children's success, and investment in the early care and education of Pennsylvania's children is an investment in the future.</p>

<p>School-Age/Child Care Resource and Referral Targeted Funds 565,848</p>	<p>Implement and monitor the School-Age Professional Credential to include revisions to competencies, materials and process. Monitor transition from a paper-based system to all “on-demand” system for SACC New Staff Orientation. Continue implementation of National Institute for Out-of-School Time's After-School Quality (ASQ) tool. This tool focuses on continuous quality improvement.</p>	<p>Professional development and technical assistance to support SACC providers participating in Keystone STARS. SACC PD/TA employ research-based methods for improving program quality, and impacting positive outcomes for children. Regional SACC-PD/TA also facilitate partnerships with community stakeholders to promote the development and expansion of out-of-school programming.</p>	<p>Support school-age practitioners meet specific professional development requirements in Keystone STARS.and expand out-of-school programs.</p>
<p>Quality Expansion Targeted Funds 5,785,888</p>	<p>All quality funds are combined inKeystone STARS, a quality rating and improvement system in which early learning programs and practitioners are encouraged and supported to meet specific, evidence-based performance standards. Early learning and care providers that participate earn a quality rating score, ranging from a STAR 1 to a STAR 4. At each level, programs must meet specific, performance standards in four key areas: staff education, learning environment, leadership/management, and family/community partnerships. Higher STAR levels are designated for providers meeting more rigorous standards for quality. A Keystone STARS designation informs parents that their children are in a safe, respectful environment in which they are learning new things every day to support their current and future successes in school and in life.</p>	<p>Increase the number and percent of at-risk children in high quality child care settings.</p>	<p>Quality care environments provide a stimulating atmosphere in which children thrive mentally, socially, emotionally and physically. The Performance Standards for Keystone STARS quality-rated child care providers are guided by the principle that quality early learning programs are the foundation for children’s success, and investment in the early care and education of Pennsylvania’s children is an investment in the future.</p>

<p>Quality Funds (not including Targeted Funds)</p> <p>24,150,000</p>	<p>All quality funds are combined into Keystone STARS, a quality rating and improvement system in which early learning programs and practitioners are encouraged and supported to meet specific, evidence-based performance standards. Early learning and care providers that participate earn a quality rating score, ranging from a STAR 1 to a STAR 4. At each level, programs must meet specific, performance standards in four key areas: staff education, learning environment, leadership/management, and family/community partnerships. Higher STAR levels are designated for providers meeting more rigorous standards for quality. A Keystone STARS designation informs parents that their children are in a safe, respectful environment in which they are learning new things every day to support their current and future successes in school and in life.</p>	<p>Increase the number and percent of at-risk children in high quality child care settings.</p>	<p>Quality care environments provide a stimulating atmosphere in which children thrive mentally, socially, emotionally and physically. The Performance Standards for Keystone STARS quality-rated child care providers are guided by the principle that quality early learning programs are the foundation for children's success, and investment in the early care and education of Pennsylvania's children is an investment in the future.</p>
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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.

Effective Date: 01-OCT-13

- 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:

Lead Agency retains decision making responsibilities regarding the quality dollars at the State level and distributes funds to local agencies for disbursement.

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.

Effective Date: 01-OCT-13

Describe:

Staff within the Lead Agency monitors the activities and services provided by the contracted agencies through web-based systems to ensure that contract objectives are met. Monitoring activities include site visits and review of required written reports filed by contractors. Additionally, regular financial reports are required and completed monthly.

- **Fiscal Reporting:** On a monthly basis, the contracted agencies report enrollments and expenditures to manage their allocations. This reporting is validated within Pennsylvania's information system for managing the child care subsidies, Pennsylvania's Enterprise to Link Information about Children across Networks (PELICAN)-Child Care Works (CCW). This information is used by the Lead Agency to track the contractor's fiscal management of program funds.
- **Data Reporting:** On a monthly basis, information representing a wide range of data on program participants is extracted from PELICAN-CCW and placed in the Child Care Works Data Warehouse. This information is used by the Lead Agency to track the contractor's volume of work, to make projections and to inform policy-making.
- **Error Rate Reporting:** On an annual basis, staff from the Lead Agency makes site visits to contracted agencies to conduct case record reviews. Information in case records is "cross-walked" against information entered in PELICAN-CCW and evaluated for accuracy of eligibility determination and payment. Results of the annual reviews are compiled to determine agency-level performance and

state-wide performance.

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.

Effective Date: 01-OCT-13

Describe:

For child care services, the Lead Agency conducts annual monitoring which includes an on-site review of a random sample of cases. The Lead Agency uses the Performance Standard Monitoring Tool to provide monitoring consistency across the state. The Monitoring Tool addresses customer service, including resource and referral, caseload management which include eligibility and policy compliance, and Administration, which address fiscal/ funds management. Child Care Information Services (CCIS) agencies are informed of the results of the monitoring and a plan of correction is required if deficiencies exist. CCIS agencies receive an independent audit annually and agree to follow all terms of the grant which governs their operations.

For the Keystone STARS program, OCDEL monitors the five Regional Keys and the PA Key by using the following processes: review of the Regional Key quarterly Program Review Instruments (PRIs) and the PA Key quarterly reports that provide information about program accomplishments, goal attainment and compliance with state regulations for contractor responsibility and DPW sub-recipient/vendor audits. In addition, the Regional Keys are monitored on-site yearly for compliance with Federal OMB Circular A-133 regulations surrounding items of cost to ensure that CCDF infant/toddler ear-marked funds are appropriately allocated and expensed. Annual audits performed under OMB Circular A-133 regulations are required of all Keys. Submission of those reports comes to Pennsylvania's Bureau of Financial Operations and to the Program Officers within OCDEL's Bureau of Early Learning Services.

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

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input checked="" 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	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe:

Annual monitoring for quality control; PELICAN CCW links to the Client Information System (CIS) which houses TANF information; File audits are completed to help identify program violations; Pennsylvania participated in the Public Assistance Reporting Information System (PARIS) match to work with other states to identify fraud; IRS match is used to ensure program integrity and accountability.

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)).**

Effective Date: 01-OCT-13

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: Office of Inspector General	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit:	<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 checked="" type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe:

Contractor refers suspected IPV and fraud to the PA Office of Inspector General for investigation and follow-up prosecution, if appropriate. PA child care regulations state that parents/caretakers may not be required to repay an overpayment that is the result of an administrative error. Overpayments not as a result of administrative error are collected by arranging payment plans with parents/caretakers, or increasing the parent's/caretaker's co-payment. There is no minimum dollar amount on what the state will attempt to collect.

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?

Effective Date: 01-OCT-13

- None
- Disqualify client.

If checked, please describe, including a description of the appeal process for clients who are disqualified

If a parent/caretaker is found guilty of committing an IPV or fraud he/the family is prohibited from participating in the subsidized child care program as follows:

- A period of six months from the date of the first conviction, hearing decision or determination;
- A period of 12 months from the date of the second conviction, hearing decision or determination; or
- Permanently from the date of the third conviction, hearing decision or determination.

The parent/caretaker can appeal the original facts of the IPV or fraud through the Department. However, the parent/caretaker cannot appeal the disqualification decision through the Department. The regulations state a parent/caretaker may not be granted a hearing on a court conviction or administrative disqualification hearing decision that led to the disqualification. However, the parent/caretaker could file an appeal through the Commonwealth Court.

- Disqualify provider.

If checked, please describe, including a description of the appeal process for providers who are disqualified

Each provider participating in the subsidized child care program must sign a Provider Agreement. The contractor may end the Provider Agreement with any provider that is convicted of fraud. Ending a Provider Agreement may not be appealed. The Bureau of Certification may revoke or refuse to renew the provider's certificate to operate if the provider is convicted of fraud. The provider can appeal the decision to revoke or refuse to renew the certificate. Appeals are heard by the Bureau of Hearings and Appeals and the provider may appeal to the Commonwealth Court if Hearings and Appeals decides

against the provider.

- 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

Effective Date: 01-OCT-13

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
Incorrectly identifying the child care schedule	worker error	Continue to develop and provide a statewide training package to ensure consistent orientation and refresher training to Child Care Information Services (CCIS) staff. In addition, we will be releasing a written revised chapter to the CCIS Policy and Procedure Manual on Enrollments, which will include a section on scheduling. Teleconference question and answer sessions will be held with the CCISs directly following the chapter release.	10/1/2013

Missing or insufficient documentation	worker error	Procedures for maintaining files and verification documents were reviewed with CCISs. We will also be releasing a written chapter to the CCIS Policy and Procedure Manual on Special Programs. Teleconference question and answer sessions will be held with the CCISs directly following the chapter release.	02/14/2013

1.4 Consultation in the Development of the CCDF Plan

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

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

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>Representatives of local government are well represented in the state advisory council and as providers and vendors within the early childhood education continuum. Representatives were engaged throughout the planning stages of PA's efforts to build a high quality early learning system. Copies of the draft plan were made available to all who requested copies and were provided to the state advisory council.</p>
<p>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</p>	

<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 21st Century Community Learning Centers), or higher education.	The Office of Child Development and Early Learning (OCDEL) is jointly housed in the Department of Public Welfare and the Department of Education. All elements of a comprehensive infrastructure for developing common standards and delivery and monitoring of services to children birth to age 8 (or school age in the case of child care) and their families are the responsibility of OCDEL. This structure allows for efficiencies in the use of federal and state funds and avoids duplication of staffing for support and monitoring. These efficiencies allow Pennsylvania to reach a greater number of vulnerable children and families.
<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	OCDEL manages both the infant/toddler early intervention program and the pre-school early intervention program.
<input checked="" type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	Child Care Certification is included in OCDEL.
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	OCDEL holds the Head Start Collaboration Grant.
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	OCDEL co-chairs the Statewide Advisory Council.
<input type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	OCDEL was designated as the lead agency for the evidence based home visiting 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 type="checkbox"/> State/Territory agency responsible for child welfare			
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives			
<input type="checkbox"/> State/Territory agency responsible for employment services/workforce development			
<input type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)			
<table border="1" style="width: 100%;"> <tr> <td data-bbox="49 958 427 1346"> <input type="checkbox"/> </td> <td data-bbox="427 958 794 1346"> Indian Tribes/Tribal Organizations <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State </td> </tr> </table>	<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input checked="" 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	OCDEL sent outlinks to the draft state plan to over 10,000 key stakeholders via a list-serv.		
<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	Represented on the Early Learning Council.		
<input checked="" type="checkbox"/> Parent groups or organizations	OCDEL sent out the draft state plan to over 10,000 key stakeholders via a list-serv.		
<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	OCDEL sent out links to the draft state plan to over 10,000 key stakeholders via a list-serv.		
<input type="checkbox"/> Other			

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

Effective Date: 01-OCT-13

a) Date(s) of notice of public hearing: 05/11/2013

Reminder - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing? The hearing was published in the PA Bulletin and also announced to 10,000 key stakeholders via a list serv. c) Date(s) of public hearing(s): 06/03/2013

Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).

d) Hearing site(s) 333 Market Street, Harrisburg PA

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? The Plan was posted on the DPW website and was also emailed directly to the State Advisory Council members.

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? All comments were reviewed and when appropriate included in the final version of the state plan.

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.

Effective Date: 01-OCT-13

OCDEL sent an alert to over 10,000 stakeholders with notice of the state plan hearing, location of the online draft state plan and how to submit comments.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services

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

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)).

Effective Date: 01-OCT-13

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 the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/> Representatives of general purpose local government This may include, but is not limited to: <input type="checkbox"/> representatives from counties and municipalities, local education representatives, or local public health agencies.	These representatives are well represented on the Early Learning Council and as providers and vendors within the early childhood education continuum.	Increase access and quality of early learning programs across the state.

<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>OCDEL is positioned in both Public Welfare and Education which assures coordination between early education and K-12 and Post-Secondary Education.</p>	<p>Unite all early learning programs and maximize child outcomes.</p>
<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>These representatives are well represented on the Early Learning Council and as providers and vendors within the early childhood education continuum.</p>	<p>Increase access and quality of early learning programs across the state so that all high-risk children are Kindergarten ready.</p>

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Department of Health and OCDEL partner on many early childhood education projects including Keystone Kids Go!</p>	<p>Increase child health outcomes. Increase early learning practitioner's awareness of child health related activities such as healthy eating and exercise.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>		<p>Improved services for providers and families including consistent child care and payment policies. Greater accountability. Increased usage of higher quality child care.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies (required)</p>	<p>The Office of Income Maintenance is responsible for overseeing the TANF program. Local County Assistance Offices determine eligibility for child care and electronically refer eligible families to local CCISs for help with finding child care, enrollment and payment.</p>	<p>Improved services for providers and families including consistent child care and payment policies. Greater accountability. Increased usage of higher quality child care.</p>

<input type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
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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	OCDEL hold the Head Start Collaboration grant.	Unite all early learning programs and maximizes child outcomes.
<input type="checkbox"/> State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC) <input checked="" type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC		
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	OCDEL co-chairs the Keystone Kids Go! Project with the CACFP focusing on obesity prevention through exercise and nutrition education.	Increase child health outcomes.

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>OCDEL is responsible for both the infant/toddler and preschool early intervention program.</p>	<p>Unite all early learning programs, increase inclusion, and maximize child outcomes.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>OCDEL is the lead agency for the Maternal and Early Childhood Home Visitation program.</p>	<p>Unite all early learning programs and maximize child outcomes.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for child welfare</p>	<p>Child Welfare and OCDEL implemented a policy that foster parents in need of child care services must select a Keystone STARS 3 or 4 facility for the foster child. Additional opportunities to coordinate will be pursued during this plan period.</p>	<p>Increase child outcomes for at-risk foster children by placing them in a high quality early childhood setting.</p>

<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	PA participates in the Build Initiative. OCDEL partners with the Grable Foundation, Heinz Endowments, and the William Penn Foundation.	Develop business champions who understand solid connection between quality early childhood experiences and a strong PA economy. Develop public support through community education, expand parent engagement, strengthen families , support early childhood mental health, and partner with higher education.
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	N/A	N/A
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Representatives of provider groups and associations are well represented in the Early Learning Council.	Comprehensive understanding of the issues facing local communities and the early childhood work force.
<input checked="" type="checkbox"/>	Parent groups or organizations	The OCDEL Parent Advisory Council includes representation of family members who receive(d) subsidy services.	Increased family engagement in early childhood programs.
<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 Office of Child Development and Early Learning

b)

Describe the age groups addressed by the plan(s):

Primary focus on 0-5, however, there is also a school-age work plan.

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.pakeys.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.

Effective Date: 01-OCT-13

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

In Pennsylvania, the State Advisory Council is referred to as the Early Learning Council (ELC). The Council is comprised of internal and external stakeholders who advise OCDEL on the successes and challenges of PA's early learning programs and recommendations for new directions in early education. The ELC focuses on early education which Pennsylvania defines as birth through school entry. The goals of the ELC are to develop a comprehensive, high quality birth to 5 continuum of services with alignment and transition into K-12.

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))

Effective Date: 01-OCT-13

Yes .

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

Business leaders serving on the Early Learning Investment Commission have developed regional initiatives to support local child care needs including scholarships for children to enroll in high quality settings and professional development opportunities for child care staff.

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

Other.
Describe:

Pennsylvania has the ability to continue services to CCDF families and coordinate with key partners. It has regulations requiring regulated child care facilities to have emergency preparedness plans and to file those plans with the local emergency management agency (EMA). Since July of 2012, Pennsylvania has been coordinating with those local EMA's by sending them periodic geographic listings of child care facilities so that local EMA's can coordinate directly with those facilities. Pennsylvania has also issued guidance on minimum regulatory requirements that must be met by facilities temporarily relocated due to an emergency

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.

Effective Date: 01-OCT-13

- 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

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.

Effective Date: 01-OCT-13

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.

Effective Date: 01-OCT-13

Implementation of CCDF Services/Activities

Agency (Check all that apply)

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

Implementation of CCDF Services/Activities

Who determines eligibility?

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

The local County Assistance Office (CAO) determines eligibility for TANF benefits, including TANF child care. Once determined eligible, the CAO electronically refers the family to the Child Care Information Services (CCIS) agency for help with finding and paying for child care. The local CCIS determines child care eligibility for families not receiving TANF or transitioning off of TANF.

Agency (Check all that apply)

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

Describe:

DPW's Office of Income Maintenance determines TANF eligibility. Local CCIS agencies determine eligibility for families not receiving TANF or transitioning off of TANF.

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

Describe:

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

Agency (Check all that apply)

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

Describe:

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

Other.

Describe:

Parents can conduct online provider searches.

Who issues payments?

Agency (Check all that apply)

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

Describe:

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

Describe:

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

Payments issued to providers, with only exception being in-home care. Payments are distributed either electronically or by check, depending on the recipient preference.

Other. List and describe:

2.2. Family Outreach and Application Process

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

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

Effective Date: 01-OCT-13

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors

- Community-based organizations
- Public schools
- Internet

(provide website): www.dpw.state.pa.us/forchildren/childcareearlylearning/index.htm

- 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.

Effective Date: 01-OCT-13

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

(provide website): <https://www.humanservices.state.pa.us/compass.web/CMHOM.aspx>

- 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.

Effective Date: 01-OCT-13

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.

Child Care Information Services (CCIS) agencies provide resource and referral information to educate parents on how to choose child care and how to identify quality child care. The CCIS conducts a face-to-face meeting with the parent and provides written information to help promote informed choices.

CCIS resource and referral services are available to all parents including parents that do not receive CCDF assistance. CCIS agencies give parents who request help with finding a provider, provider lists based on the parent's stated needs. Parents can also conduct online provider searches at:

<https://www.compass.state.pa.us/compass.web/ProviderSearch/pgm/PSWEL.aspx>

Keystone STARS facilities at STAR 1 or higher must provide families with information regarding public, social and community services (which includes information about early intervention, mental health services and subsidized child care).

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

Effective Date: 01-OCT-13

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.

Pennsylvania's Keystone STARS program provides increasing quality with each STAR level. Providers with Keystone STARS levels of 1, 2, 3 or 4 receive a daily add-on for each child. The amount of the add-on increases with the STAR level. The daily add-on rates can be viewed at: <http://www.pakeys.org>

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

Effective Date: 01-OCT-13

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

Describe:

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

List the program names:

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

Length of time:

(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 Agencies policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

Provide CCDF assistance during periods of job search.

Length of time: [Parent remains eligible for 60 days for involuntary job loss during which time the CCIS will pay 30 days of child care. Family will be suspended from day 31 to day 60 if needed.](#)

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

Synchronize review date across programs

List programs:

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

Describe:

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

Describe:

[Children who receive subsidized child care and who are enrolled in Head Start do not receive a redetermination until the child is no longer enrolled in Head Start.](#)

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:

[CCIS eligibility and resource and referral staff assist families in finding and keeping stable child care arrangement.](#)

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.

Describe:

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 :

Mainly Spanish but some CCIS staff are fluent in other languages.

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

Effective Date: 01-OCT-13

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages
- Website in non-English languages
- Bilingual caseworkers or translators available
- Collect information to evaluate on-going need, recruit, or train a culturally or linguistically diverse workforce
- Other.

Some CCIS agencies also utilize a teleconference interpreting service (Language Line).

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:

Spanish

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

Effective Date: 01-OCT-13

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:

www.dpw.state.pa.us/ucmprd/groups/public/documents/form/s_001638.pdf

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	Photo-ID or two non-photo-ID documents such as Social Security card, birth certificate, voter registration card, etc.
<input checked="" type="checkbox"/> Household composition	Birth certificate, custody order, medical or school records.
<input checked="" type="checkbox"/> Applicant's relationship to the child	Birth certificate, custody order, medical or school records.
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	Birth certificate, medical/school records
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Verification for work can be established through any document that indicates the employer and the number of hours worked, work schedule signed by the employer or state's employment verification form signed by the employer. Verification for training and education can be established through a copy of the class or training schedule signed by the education or training representative or state training form or education form signed by the education or training representative.
<input checked="" type="checkbox"/> Income	Income Pay stubs, tax returns, benefit award letter, copy of benefit check.
<input checked="" type="checkbox"/> Other. Describe:	Driver's license, lease, deed, utility bill.
Residence	

2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

Effective Date: 01-OCT-13

Time limit for making eligibility determinations.

Describe length of time **CCIS must determine eligibility by the 30th day following receipt of signed 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 2.2.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

Effective Date: 01-OCT-13

Yes.

If yes, describe:

Families receiving TANF do not need to be employed. They can receive child care while they are in a training program or are conducting a job search. The CAO determines if a TANF recipient is participating in an approved employment and training activity.

No.

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

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

NOTE: The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

Effective Date: 01-OCT-13

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

State/Territory TANF Agency [Pennsylvania Department of Public Welfare](#) ; [Office of Income Maintenance](#)

b) Provide the following definitions established by the TANF agency.

- "appropriate child care": Child care operating in accordance with the PA state child care regulations and meeting the CCDBG regulations. This includes regulated center-based, group home care, registered family day care and informal (relative/neighbor) care. Informal care includes care in the caregiver's home or, in rare situations, the child's home.

- "reasonable distance": Travel time to the work-site, including travel time to the child care provider, which is one hour or less each way (two hours roundtrip), by reasonably available public or private transportation.

- "unsuitability of informal child care": Any child care is unsuitable/inappropriate if it is reasonably expected to result in physical or serious emotional harm to the child.

- "affordable child care arrangements": Child care which costs less than or equal to the Department's established child care daily maximum allowances for payment of child care services.

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

In writing

Verbally

Other.

Describe:

2.3. Eligibility Criteria for Child Care

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

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

Effective Date: 01-OCT-13

residing with -

For non-TANF families:

1) A family includes the following individuals who live together:

- The child for whom subsidized child care is requested
- The parent of the child (biological, adoptive or stepparent)

- A caretaker and the caretaker's spouse
- A biological, adoptive or foster child or stepchild of the parent or caretaker who is under 18 years of age and not emancipated by marriage or by the court,
- an unrelated child under the care and control of the parent or caretaker who is under 18 years of age and not emancipated by marriage or the court
- A child who is 18 years of age or older but under 22 years of age who is enrolled in a high school, a general educational development program, or a postsecondary program leading to a degree or diploma or certificate and who is wholly or partially dependent upon the income of the parent or caretaker or spouse of the parent or caretaker.

For TANF families, the family is defined as the "budget group" composition that lives together, as defined in accord with TANF eligibility requirements.

in loco parentis -

For non-TANF families: a "caretaker" is defined as a person who has legal custody of the child, a foster parent, a grandparent, an aunt or an uncle who lives with and exercises care and control of a child.

For TANF families: a person who meets the requirements of a specified relative in accordance with TANF eligibility requirements.

2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

a) The Lead Agency serves children from 1 weeks to 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 18 years and 11 months (may not equal or exceed age 19). Provide the Lead Agency definition of *physical or mental incapacity* -

An impairment that causes the child to be incapable of caring for himself as documented by a licensed physician or psychologist. Documentation must include a description of the condition and state why or how the condition prevents the child from caring for himself.

A child who is developmentally disabled and is 13 years of age or older is eligible for subsidy until his developmental age is 13 years or until his chronological age is 18 years and 11 months, whichever occurs first. The developmental disability must be documented by a licensed psychologist or a physician and must include the child's current developmental age.

A child who is physically disabled and is 13 years of age is eligible for subsidy until he is no longer physically disabled or until he is 18 years and 11 months of age, whichever occurs first. A licensed physician must document the physical disability and describe the condition including why or how the condition prevents the child from caring for himself.

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

Effective Date: 01-OCT-13

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

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

Parents must work an average of 20 hours a week or work at least 10 hours a week and attend a training program for 10 hours a week. Work is defined as employment or self-employment. Employment is defined as working for another individual or entity for income. Self-employment is defined as operating one's own business, trade or profession for profit equal to or greater than the hourly PA minimum wage.

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

Yes.

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

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

attending job training or educational program -

Parents must provide verification from the training or educational institution regarding the days and times they are enrolled in a training educational activity.

Training is defined as instruction that provides the skills or qualifications necessary for a vocation or specific field of employment. The term training includes adult basic education, English as a second language, a two-year or four-year postsecondary degree program, an internship, clinical placement,

apprenticeship, lab work and field work required by the training institution.

Education refers to a teen parent under the age of 18 who does not have a high school diploma or GED.

A teen parent can meet the work requirement by attending an education program full-time. An education program is defined as an elementary school, middle school, junior high or high school program including a GED program.

No.

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

Effective Date: 01-OCT-13

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

Yes.

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

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

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

protective services

No.

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

Yes.

No.

2.3.5. Income Eligibility Criteria

Effective Date: 01-OCT-13

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 -

For non-TANF child care:

- 1) Earned income including gross wages from work, cash and in-kind payments received by an individual in exchange for services and income from self-employment.
- 2) Unearned income including cash and contributions received by an individual for which the individual does not provide a service.
- 3) Unearned benefits received periodically by an individual, such as unemployment compensation, worker's compensation or retirement benefits.

For TANF child care, income is defined as the total (gross) countable monies available to a budget group on a monthly basis as defined by TANF eligibility requirements.

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

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above:

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.

Describe:

None

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

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

Family Size	(a) 100% of State Median Income (SMI)(\$/month)	(b) 85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	3404.96	2894	1915	56
2	4452.64	3785	2585	58
3	5500.32	4675	3255	59
4	6548	5566	3925	60
5	7595.68	6456	4595	60

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

Yes.

If yes, provide the requested information from the table in 2.3.5d and **describe below:**

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

At initial application, annual family income may not exceed 200% of Federal Poverty Income Guidelines (FPIG). Column C figures in the table above are equivalent to 200% of FPIG. Families continue eligibility until their income reaches 235% of FPIG as shown in the following table.

No.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month)[Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI[Divide (c) by (a), multiply by 100]
1	3404.96	2894	2250	66
2	4452.64	3785	3037	68
3	5500.32	4675	3825	70
4	6548	5566	4612	70
5	7596.68	6457	5399	71

f) SMI Year 2013 and SMI Source <http://www.acf.hhs.gov/programs/ocs/resource/state-median-income-estimates-for-fy-2012-liheap-program>

g) These eligibility limits in column (c) became or will become effective on:
05/06/2013

2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

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. If yes, **check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.**

Head Start and/or Early Head Start Programs.

Re-determination period: [when child is no longer enrolled in the Head Start Program.](#)

Pre-kindergarten programs.

Re-determination period:

TANF.

Re-determination period:

SNAP.

Re-determination period:

Medicaid.

Re-determination period:

SCHIP.

SCHIP.

Re-determination period:

Other.

Describe:

No.

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

[A family's eligibility would be reviewed if a parent marries or a noncustodial parent of a child receiving subsidized child care returns to the household composition.](#)

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

Depending on the circumstances, we could take the following actions: reduce copayments, determine the family ineligible, suspend children's care for a period of up to 90 days, and/or modify the child's enrollment schedule.

e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>).

When taking actions described above, the CCIS agencies work closely with families to explain the action and to help resolve actions with negative consequences.

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

Yes.

If yes, describe:

A pre-populated form is used so that a parent only needs to report changes.

No.

2.3.7. Waiting Lists

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

Effective Date: 01-OCT-13

Lead Agency currently does not have a waiting list and:

All eligible families *who apply* will be served under State/Territory eligibility rules

Not all eligible families *who apply* will be served under State/Territory eligibility rules

Lead Agency has an active waiting list for:

Any eligible family who applies when they cannot be served at the time of application

Only certain eligible families.

Describe those families:

Children whose families are not receiving or transitioning from TANF may go on the waiting list if funds are not available.

Waiting lists are a county/local decision.

Describe:

Other.

Describe:

2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

Families receive written notice of eligibility. The notice includes appeal instructions. Families must advise the CCIS in writing of their wish to appeal. The CCIS reviews the appeal and if unable to immediately resolve it, forwards the appeal to the Bureau of Hearings and Appeals. Parents may request an appeal hearing via teleconference or in person.

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?

Effective Date: 01-OCT-13

Yes.

Effective Date: 05/06/2013

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..

Effective Date: 01-OCT-13

State Median Income,

Year:

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))

Effective Date: 01-OCT-13

Fee as dollar amount and

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 as percent of income and

Fee is per child with the same percentage applied for each child

Fee is per child and discounted percentage applied for two or more children

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

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))

Effective Date: 01-OCT-13

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).

Effective Date: 01-OCT-13

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:

TANF recipients in approved unpaid work activities, employed TANF recipients who have not yet received their first pay and non TANF recipients' fees may be temporarily waived at application for a single parent who reports prospective work that will start within 30 days of the application date. The fee is waived until the parent receives his/her first pay.

2.5. Prioritizing Services for Eligible Children and Families

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

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

Effective Date: 01-OCT-13

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p>Provide the Lead Agency definition of Children with Special Needs:</p> <p>Children with physical, mental, and/or developmental disabilities.</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p> <div style="border: 1px solid black; height: 150px; width: 100%;"></div>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe:</p> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <p><input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input checked="" type="checkbox"/> Other. Describe:</p> <div style="border: 1px solid black; padding: 5px;"> <p>Children with developmental ages that are less than their chronological age are paid at their developmental age rate rather than their chronological age rate. The developmental rate is usually a higher rate.</p> </div>

<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of Children in Families with Very Low Incomes:</p> <p>Children in families that are receiving TANF or are transitioning off TANF.</p>	<p><input checked="" type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div>	<p><input checked="" type="checkbox"/> Yes.</p> <p>The time limit is:</p> <div style="border: 1px solid black; padding: 5px;"> <p>for children transitioning off TANF the time limit is 183 days from the date TANF ended.</p> </div> <p><input type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe:</p> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p> <div style="border: 1px solid black; padding: 5px;"> <p>Children in families that are receiving TANF or are transitioning off TANF.</p> </div>
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2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4)) **Reminder** - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

Effective Date: 01-OCT-13

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

Describe:

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** - Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Effective Date: 01-OCT-13

Term(s) - Definition(s)

Describe:

N/A

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

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

2.6.1. Child Care Certificates

Effective Date: 01-OCT-13

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

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

Describe:

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

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency

Website:

<http://www.dpw.state.pa.us/forchildren/childcareearlylearning/childcareworkssubsidizedchildcareprogram/index.htm>

- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other.

Describe:

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

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

Describe:

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

100%

2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-13

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
- Group-home providers
- Programs that serve specific geographic areas
- Urban
- Rural
- Other.

Describe:

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

Specify:

- Other.

Describe:

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

- Yes.
- No,

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

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

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

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

Effective Date: 01-OCT-13

- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other.

Describe:

Parents receive a subsidized child care handbook that contains this information and information on parent choice.

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

Effective Date: 01-OCT-13

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

Describe:

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

Effective Date: 01-OCT-13

All substantiated complaints and inspections of child care centers, group and family child care homes in general are maintained in the Pennsylvania's Enterprise to Link Information about Children across Networks (PELICAN) Provider Certification electronic database and are made available to the public online. The information can be accessed via an online web-based provider search. Additionally, the Office of Child Development and Early Learning (OCDEL) shares with the public information upon request regarding substantiated complaints both verbally and in paper form. The information is public at the time the provider submits a plan to correct the regulatory violations cited as a result of a complaint investigation or inspection.

The CCIS enters complaint information about a relative/neighbor provider into the comment section of PELICAN Child Care Works (CCW). The CCIS does not refer families to relative/neighbor providers and does not make relative/neighbor complaint information available to the public.

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?

Effective Date: 01-OCT-13

Yes. Effective Date: 01/01/2013

No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b, etc.**, etc.

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

Effective Date: 01-OCT-13

Policy on length of time for making payments.

Describe length of time: Providers must submit signed invoices by the 5th calendar day of the month following the month in which services were provided. The CCIS must make the payment by the 20th

calendar day of the month following the month in which services were provided.

Track and monitor the payment process

Other.

Describe:

The automated PELICAN Child Care Works system allows CCIS agencies to process invoices and payments timely and accurately. Many CCIS agencies also provide direct deposit for provider payments.

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, 2009). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 <http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

Effective Date: 01-OCT-13

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 05/2012

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.

In May 2012, the Office of Child Development and Early Learning (OCDEL) distributed the Market Rate Survey (MRS) to all regulated child care providers in Pennsylvania. OCDEL received responses from over 50% of the providers (N=4,657) and performed an analysis to determine variation in child care costs by care level (infant, young toddler, older toddler, preschool, school age), provider type (center, family, group), length of care (full-time vs. part-time), and quality of care. Overall percentiles were calculated using SAS for care level, length of care, and provider type. In addition, OCDEL examined the change in child care costs over time.

The Market Rate Survey tool Pennsylvania used asked providers to enter weekly rates effective July 1, 2012, for children served at all service levels from infant through school age. Providers had to submit their published private for the same time period, along with the Market Rate Survey.

Key Findings:

- Infant costs are significantly higher than costs for other care levels. In general, the younger the age of the child, the higher the costs of child care.
- Center costs are significantly higher than costs for family and group child care.
- Child care costs in urban areas are higher than in rural areas.
- Costs for Keystone STAR 3 and 4 providers are significantly higher than STAR 1 and 2 and non-

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

Effective Date: 01-OCT-13

2.7.4a - Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	1164.77	971.22	32
Full-Time Licensed Center Preschool (59 months)	966.67	771.82	21
Full-Time Licensed Center School-Age (84 months)	1008.89	728.52	16

2.7.4b - Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	533.24	490.37	15
Full-Time Licensed Center Preschool (59 months)	487.13	425.42	19
Full-Time Licensed Center School-Age (84 months)	492.54	403.77	2

2.7.4c - Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	866.00	765.33	21
Full-Time Licensed FCC Preschool (59 months)	844.35	668.99	20
Full-Time Licensed FCC School-Age (84 months)	822.70	555.32	12

2.7.4d - Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	487.13	388.62	22
Full-Time Licensed FCC Preschool (59 months)	492.54	382.12	17
Full-Time Licensed FCC School-Age (84 months)	492.54	356.14	6

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

Effective Date: 01-OCT-13

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:

Historically, these rates were set at a certain percent of the regulated family child care home rate. Unregulated child care rates over the last decade remained unchanged from the previous fiscal year or reduced.

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:

These rates are the same as the license-exempt family child care home rates .

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.

Effective Date: 01-OCT-13

Differential rate for nontraditional hours.

Describe:

Differential rate for children with special needs as defined by the State/Territory.

Describe:

Differential rate for infants and toddlers.

Describe:

Differential rate for school-age programs.

Describe:

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

Describe:

Providers with a Keystone STARS level of 1, 2, 3, or 4 receive a tiered reimbursement per child. The amount increases with the STAR level. The add-on rates information is available at: www.pakeys.org.

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...

Effective Date: 01-OCT-13

Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate

Pays for provider fees (e.g., registration, meals, supplies).

Describe:

[Provider may charge fees for registration, meals, transportation, field trips etc.](#)

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:

Effective Date: 01-OCT-13

a) Number of absent days allowed. Describe

[PA will pay for 5 consecutive days of absence and up to 25 days of absence in a fiscal year.](#)

b) Paying based on enrollment. Describe

PA reimburses providers based on the child's enrollment.

c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe

N/A

d) Using electronic tools(automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe

Some CCIS agencies use direct deposit or EBT cards.

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

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

Effective Date: 01-OCT-13

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)):

Parents may go online to search for child care providers using the state's online provider search system. The CCIS also offers resource and referral services. They provide a full list of providers to meet the parent's needs.

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

The payment rates are not presenting any barriers or access problems for subsidy eligible parents. Approximately 87% of regulated providers participate in the subsidized child care program.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)):

The sliding scale is based on family size and annual income. Families are required to pay a minimum of \$5 per week. The co-payment covers each child in the family that receives subsidized child care. The co-payment includes each day of the week for which the child needs care.

The annual co-payment may not exceed 11 percent of the family's annual income. If the family's annual income is 100 percent of FPIG or less, the annual co-payment may not exceed 8 percent of FPIG.

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

PA increased the tiered reimbursements for providers at STARS 3 and 4 levels. These increases are not factored in to the base payment rate calculations displayed in 2.7.4.a-d. Tiered reimbursements can be as high as \$4.10 per day.

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

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

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

Effective Date: 01-OCT-13

Goal #1:

Fully implement and monitor CCIS consolidation, an efficiency effort to reduce the administrative entities that administer the subsidy program from 59 to 42 by joining more counties into joint service areas.

Goal #2:

Expand provider self-service so providers can enter/maintain/modify their online information.

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

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

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

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

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

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

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to

establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing as defined by the State/Territory. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) (658E(c)(2)(F), §98.41).

Effective Date: 01-OCT-13

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 centers, group child care homes and family child care homes must have a certificate of compliance or registration in order to legally operate and to participate in the CCDF program. The regulations include minimum health and safety standards.

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

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/>	Family Child Care	In-Home Care <input checked="" type="checkbox"/>
		N/A. Check if your State/Territory does not have group home child care.		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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Yes, for some providers in this category	Describe N/A	Describe N/A	Describe N/A	Describe N/A

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.**

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 <i>All child care centers that meet the state definition.</i>	Describe which types of center-based settings are exempt from licensing in your State/Territory. <i>Head Start; part-day school-age programs that operate less than 90 consecutive days per year</i>
Group Home Child Care N/A. Check if your State/Territory does not have group home child care. <input type="checkbox"/>	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 settings are subject to licensing <i>Facilities in which out-of-home care is provided, at one time, for part of a 24-hour day to more than six but fewer than 16 older school-age level children or more than six but less than 13 children of any other age level,</i>	Describe which types of group homes are exempt from licensing: <i>Part-day school-age programs that operate less than 90 consecutive days per year</i>

Family Child Care	<p>Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.</p> <p>Reminder - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are subject to licensing</p> <p>Family child care homes providing care to 4, 5 or 6 unrelated children at one time are subject to licensing.</p>	<p>Describe which types of family child care home providers are exempt from licensing:</p> <p>Family child care homes providing care to 1, 2 or 3 unrelated children at one time are not subject to licensing.</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.</p> <p>Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input checked="" type="checkbox"/></p> <p>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</p>

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website 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>

For each indicator, check all requirements for licensing that apply, if any.

Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)

Do the licensing requirements include **child:staff ratios and group sizes?**

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.	<input type="checkbox"/> Yes, Child: staff ratio requirement.
Infant ratio (11 months): 4:1	Infant ratio (11 months): 4:1	List ratio requirement by age group:	List ratio requirement by age group:
Toddler ratio (35 months): 6:1	Toddler ratio (35 months): 6:1	No more than 6 unrelated children can be served in a family child care home. Also limit 2 infants at any one time; no more than 5 infants and toddlers at any one time.	<input type="checkbox"/> No ratio requirements.
Preschool ratio (59 months): 10:1	Preschool ratio (59 months): 10:1	<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> Yes, Group size requirement.
<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.	<input checked="" type="checkbox"/> Yes,	<input type="checkbox"/> List ratio requirement by age group:
<input checked="" type="checkbox"/> Yes,	<input checked="" type="checkbox"/> Yes,	<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No group size requirements.
Group size requirement Infant group size (11 months): 8	Group size requirement Infant group size (11 months): 12	<input checked="" type="checkbox"/> Yes, Group size requirement.	<input type="checkbox"/> No group size requirements.
Toddler group size (35 months): 12	Toddler group size (35 months): 12	List ratio requirement by age group: If no infants in care, 5 toddlers are permitted.	
Preschool group size (59 months): 20	Preschool group size (59 months): 12	<input type="checkbox"/> No group size requirements.	
<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.		

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

<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
High school/GED	High school/GED	High school/GED	High school/GED
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Child Development Associate (CDA)	Child Development Associate (CDA)	Child Development Associate (CDA)	Child Development Associate (CDA)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State/ Territory Credential	State/ Territory Credential	State/ Territory Credential	State/ Territory Credential
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Associate's degree	Associate's degree	Associate's degree	Associate's degree
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bachelor's degree	Bachelor's degree	Bachelor's degree	Bachelor's degree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No credential required for licensing	No credential required for licensing	No credential required for licensing	No credential required for licensing
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other:	Other:	Other:	Other:
Experience required is based on degree.		For family child care home we are equating child care director to the owner/operator.	

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

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
			High school/GED with secondary training hours or work experience.				

Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year
	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year
	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement
	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:
		6 hours per year.		6 hours per year.		12 hours every 2 years.

f) 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 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?

Effective Date: 01-OCT-13

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year	<input type="checkbox"/> Once a Year
	<input type="checkbox"/> More than Once a Year	<input type="checkbox"/> More than Once a Year
	<input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once Every Two Years
	<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Other.
	Describe:	Describe: During year one of operation (usually at the six-month mark) for newly-licensed facilities. When necessary to investigate a complaint. When necessary to verify corrections for cited violations. At any point during the year if the facility has been included in the annual allocation for unannounced monitoring.

<input checked="" type="checkbox"/> Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input 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: During year one of operation (usually at the six-month mark) for newly-licensed facilities. When necessary to investigate a complaint. When necessary to verify corrections for cited violations. At any point during the year if the facility has been included in the annual allocation for unannounced monitoring.
<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: 5-15% random sample per year.	<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: When necessary to investigate a complaint. When necessary to verify corrections for cited violations. At any point during the year if the facility has been included in the annual allocation for the random sampling of family child care homes.

<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"/> Once a Year
	<input type="checkbox"/> More than Once a Year	<input type="checkbox"/> More than Once a Year
	<input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once Every Two Years
	<input type="checkbox"/> Other.	<input type="checkbox"/> Other.
	Describe:	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: Attendance at pre-certification orientation training is required within one year prior to opening a facility.
	<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.



An on-site inspection is conducted.



Programs self-certify.

Describe:

Family child care providers self-certify compliance during the application process.



No procedures in place.



Other.

Describe:

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



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



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



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



No procedures in place.



Other.

Describe:

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



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

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



Cease and desist action



Injunction



Emergency or immediate closure not through court action



Fines



No procedures in place.



Other.

Describe:

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

<input checked="" type="checkbox"/>	Yes.
	Describe: The lead agency's Bureau of Hearings and Appeals handles the administrative appeal process.
<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 use 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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<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 type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	Describe: New background check is required to move to new employment unless the background check is less than one year old.	Paid employees who work with children. <input checked="" type="checkbox"/> Director
	<input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other.
		Describe: New background check is required to move to new employment unless the background check is less than one year old.	Paid employees who work with children. <input checked="" type="checkbox"/> Director
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other.	Paid employees who work with children. <input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff
		Describe: New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other.
	<input type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other.	Paid employees who work with children. <input type="checkbox"/> Director

		<p>Describe: New background check is required to move to new employment unless the background check is less than one year old.</p>	<input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other.
		<input type="checkbox"/> Initial Entrance into the System	
		<input type="checkbox"/> Checks Conducted Annually	
		<input type="checkbox"/> Other.	
		Describe:	

<input checked="" type="checkbox"/> Group Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Other.	
<input type="checkbox"/> Check if the State/Territory background check includes fingerprints		Describe: New background check is required to move to new employment unless the background check is less than one year old.	<input checked="" type="checkbox"/> Provider
<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)		<input checked="" type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	
<input type="checkbox"/> Sex Offender Registry		<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Provider
		Describe: New background check is required to move to new employment unless the background check is less than one year old.	<input type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Initial Entrance into the System	
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Provider
		<input type="checkbox"/> Other.	<input type="checkbox"/> Non-provider residents of the home.

Describe:

New background check is required to move to new employment unless the background check is less than one year old.

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:

<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 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. Adult household members who reside in the home more than 30 days Adult household members who reside in the home more than 30 days.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
	<input type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
		<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
		<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
		<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.
		<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. Adult household members who reside in the home more than 30 days.

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<input type="checkbox"/>
Provider
<input type="checkbox"/>
Non-provider residents of the home.

<input type="checkbox"/> In-Home Child Care Providers	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Provider
<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 type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Other.	
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	Describe:	<input type="checkbox"/> Provider
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Other.	<input type="checkbox"/> Provider
		Describe:	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Initial Entrance into the System	
		<input type="checkbox"/> Checks Conducted Annually	
		<input type="checkbox"/> Other.	<input type="checkbox"/> Non-provider residents of the home.
		Describe:	
		<input type="checkbox"/> Initial Entrance into the System	
		<input type="checkbox"/> Checks Conducted Annually	
		<input type="checkbox"/> Other.	<input type="checkbox"/> Non-provider residents of the home.
		Describe:	

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

Effective Date: 01-OCT-13

d -1) The cost associated with each type of background check conducted:

A Pennsylvania Child Abuse clearance obtained from the ChildLine and Abuse Registry at a cost of \$10.

A Pennsylvania State Police criminal history clearance obtained from the State Police at a cost of \$10.

An FBI criminal history clearance at a cost of \$27.50.

d-2) Who pays for background checks:

The individual or the child care program is responsible for the costs of the background checks.

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

Prohibitions are outlined in the State's Child Protective Services Law:

The CPSL prohibits a person who meets any of the following from operating or working in a child care facility:

- Named as perpetrator of a founded report of child abuse or as an individual responsible for a founded report for a school employee as defined by the Child Protective Services Law.
- Convictions of any of the following crimes or the attempt, solicitation or conspiracy to commit any of the following crimes under Title 18 of the Pennsylvania Consolidated Statutes or equivalent crimes in another state or under Federal law:
 - Chapter 25 (relating to criminal homicide)
 - Section 2702 (relating to aggravated assault)
 - Section 2709.1 (relating to stalking)

- Section 2901 (relating to kidnapping)
- Section 2902 (relating to unlawful restraint)
- Section 3121 (relating to rape)
- Section 3122.1 (relating to statutory sexual assault)
- Section 3123 (relating to involuntary deviate sexual intercourse)
- Section 3124.1 (relating to sexual assault)
- Section 3125 (relating to aggravated indecent assault)
- Section 3126 (relating to indecent assault)
- Section 3127 (relating to indecent exposure)
- Section 4302 (relating to incest)
- Section 4303 (relating to concealing death of child)
- Section 4304 (relating to endangering welfare of children)
- Section 4305 (relating to dealing in infant children)
- Section 5902(b) Felony (relating to prostitution and related offenses)
- Section 5903(c)(d) (relating to obscene and other sexual material and performances)
- Section 6301 (relating to corruption of minors)
- Section 6312 (relating to sexual abuse of children)
- Felony offense under Act 64-1972 (relating to the controlled substance, drug
- Has been convicted of a felony.
- Or has been convicted of a crime involving child abuse, child neglect, moral turpitude or physical violence.
- Is named in accordance with the CPSL as a perpetrator in an indicated or
- The person is convicted of a felony.
- The person is convicted of a crime involving child abuse, child neglect, moral
- The person is named in accordance with the CPSL as a perpetrator in an

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

If the Department denies, refuses to renew or revokes a certificate of compliance or registration based on the results of background checks, the applicant or legal entity has the right to appeal that decision. An appeal of a negative sanction relating to a certificate of compliance and registration is handled through the Department's administrative appeal procedure.

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

N/A

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 Department has an online provider search tool for parents and the public that displays information on regulated provider's quality level and licensing violations.

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))

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

<input checked="" type="checkbox"/> Physical exam or health statement for children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>				
Other.				
Describe:				

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))

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

<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:				

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	Completion of training by a professional in the field of first-aid.	First-aid training shall be renewed on or before expiration of certification or every 3 years.
	CPR	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Recognition and mandatory reporting of suspected child abuse and neglect	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

	Emergency preparedness and planning response procedures	The facility shall have an emergency plan that provides for shelter of children, evacuation of children, and parent contact. Each facility person shall receive training regarding the emergency plan at the time of initial employment.	Each facility person shall receive training regarding the emergency plan on an annual basis and at the time of each plan update.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

	Behavior management	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Other Describe:		
Group Home Child Care	First Aid	Completion of training by a professional in the field of first-aid.	First-aid training shall be renewed on or before expiration of certification or every 3 years.
	CPR	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Recognition and mandatory reporting of suspected child abuse and neglect	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Emergency preparedness and planning response procedures	The facility shall have an emergency plan that provides for shelter of children, evacuation of children, and parent contact. Each facility person shall receive training regarding the emergency plan at the time of initial employment.	Each facility person shall receive training regarding the emergency plan on an annual basis and at the time of each plan update.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.

	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Behavior management	None	This training is an acceptable topic area that meets the requirement for six hours of annual training in health and safety.
	Other Describe: None	None	None
Family Child Care Providers	First Aid	Completion of training by a professional in the field of first-aid.	First-aid training shall be renewed on or before expiration of certification or every 3 years.

	CPR	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.

	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Recognition and mandatory reporting of suspected child abuse and neglect	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Emergency preparedness and planning response procedures	The facility shall have an emergency plan that provides for shelter of children, evacuation of children, and parent contact. Each facility person shall receive training regarding the emergency plan at the time of initial employment.	Each facility person shall receive training regarding the emergency plan on an annual basis and at the time of each plan update.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.

	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Behavior management	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Other: Describe: N/A	N/A	N/A
In - Home Child Care	First Aid	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	CPR	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Medication Administration Policies and Practices	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.

	Poison Prevention and Safety	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Shaken Baby Syndrome and abusive head trauma prevention	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Age appropriate nutrition, feeding, including support for breastfeeding	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Physical Activities	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.
	Recognition and mandatory reporting of suspected child abuse and neglect	None	This training is an acceptable topic area that meets the requirement for twelvehours of biennialtraining.

	Emergency preparedness and planning response procedures	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.
	Management of common childhood illnesses, including food intolerances and allergies	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.
	Transportation and child passenger safety (if applicable)	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.
	Supervision of children	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.
	Behavior management	None	This training is an acceptable topic area that meets the requirement for twelve hours of biennial training.

	Other	None	None
	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:

Legally unregulated home care providers who serve three or fewer children unrelated to the operator are exempt from State regulations. As a funding standard, these relative/neighbor providers must meet the following minimum health and safety requirements:

- The provider must wash his/her hands after toileting, after diapering a child, after assisting a child with toileting and prior to preparing or handling food.
- The provider must wash the child's hands after the child is toileted or diapered, and before meals and snacks.
- A provider must give any information he/she receives regarding child immunizations to parents/caretakers.
- A working smoke detector must be placed on each level of the home in which child care is provided.
- Conditions may not pose a threat to the health and safety of the children in care.
- Cleaning materials and other toxic materials shall be stored in their original labeled containers or in a container that specifies the contents. These materials must be kept in a locked area or in an area where children cannot reach them. These materials must be separate from food, the areas where food is prepared or stored and the areas where child care takes place.
- Any weapon or firearm must be kept in a locked cabinet. Any ammunition must be kept in a locked area separate from weapons and firearms. The provider must tell the child's parent/caretaker that weapons, firearms or ammunition are in the provider's home.

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

<http://www.pacode.com/secure/data/055/chapter3270/chap3270toc.html>

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. [Unregulated providers sign a legally binding provider agreement mandating compliance with the CCDF health and safety requirements.](#)

a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced)

The Lead Agency does not conduct on-site visits for relative/neighbor providers.

b) Describe whether the Lead Agency uses background checks

The following background checks are required:

- Federal criminal history clearance
- PA State Police criminal history clearance
- PA child abuse history clearance

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:

Unregulated providers sign a provider agreement which is legally binding. Family child care providers self-certify by signing the Family Child Home Application which is a requirement of the Department's regulations.

No

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

The Department may terminate the provider agreement for cause.

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..

Effective Date: 01-OCT-13

Yes.

Describe

Screening is required in PA's Head Start, PA Pre-K Counts and at Keystone STAR 2, STAR 3, and STAR 4 providers.

No

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

Yes.

Describe

Pennsylvania allows programs to use any valid and reliable screening tool. However, Ages & Stages Questionnaire™ and Ages & Stages SE™ are supported through professional development, technical assistance supports, and reduced priced materials. The Ages & Stages Questionnaire™ tool is being used cross sector in Pennsylvania and has been adopted by the Office of Children Youth and Families for use when a child is seen in the program.

- 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

Professional development is provided to practitioners on the use of the tool and how to determine if follow-up support services are needed. Practitioners participating in Keystone STARS are eligible to receive early childhood mental health services. Practitioners are also made aware of early intervention services which are housed in OCDEL.

- No
- Other.

Describe

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

- Yes. If Yes, provide the name of the tool(s)

Pennsylvania allows any valid and reliable screening tool to be used but Ages & Stages Questionnaire™ and Ages & Stages SE™ are supported through professional development, technical assistance supports, and reduced priced materials.

- No
- Other.

Describe

3.1.6 Data & Performance Measures on Licensing and Health and Safety

Compliance - What data elements, if any, does the State/Territory currently have access

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

Effective Date: 01-OCT-13

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):

[Facility lists are generated on a monthly basis regarding child care centers, group child care homes and family child care homes.](#)

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):

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?

Current performance measures focus on the timelines between inspection and issuance of a license.

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.

OCDEL conducts periodic monitoring relating to regulatory violations, plans of correction and referrals for negative sanction. Additionally, OCDEL is able to monitor regulatory violations and use that information to assess areas of low or inconsistent compliance that may point to training needs for licensing staff and for providers.

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.)

Effective Date: 01-OCT-13

Goal #1:

Implement a new proactive policy to schedule renewal inspections at the Department's convenience rather than waiting for the facility to submit a renewal application. This will help to address PA's overdue inspections.

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 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.**

Effective Date: 01-OCT-13

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

If yes, insert web addresses, where possible:

<http://websites.pdesas.org/ocdel/2010/4/30/47302/page.aspx>

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

Department of Education & Office of Child Development and Early Learning

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

Effective Date: 01-OCT-13

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

Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above: Family and School Partnerships	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe: Family and School Partnerships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner?

Check all audiences and methods that your State/Territory has chosen to use in the chart below.

Effective Date: 01-OCT-13

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

<p>Other. List:</p> <p>Licensed Private Nursery School, Higher Education, Relative/Neighbor Providers, Early Intervention Providers, Keystone STARS Providers have mandatory training Home Visiting Programs</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
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 **3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system?** Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

Effective Date: 01-OCT-13

- 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:

To align state outcomes reporting requirements and to align with training registry system and teacher certification guidelines.

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.

Effective Date: 01-OCT-13

- 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:

All cross-walks are posted at: <http://www.pakeys.org/docs/SummaryofCurriculum.pdf>

None.

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

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

Effective Date: 01-OCT-13

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:

State funded programs are required to conduct ongoing assessment using resources that are aligned with the standards. State funded programs, including those that are participating in the Quality Rating and Improvement System (QRIS), Keystone STARS, at level 3 and 4, state funded Head Start and PA Pre-K Counts must submit child outcomes results two times per year for children 3-5 and one time per year for infants and toddlers. The outcomes report is aligned with the Standards.

The current list of approved assessments for infants/toddlers are BRIGANCE, Early Childhood Developmental Inventory and Head Start Developmental Inventory; Pearson Ounce Scale; Teaching Strategies GOLD.

The current list of approved assessments for preschool are HighReach GRO; National Institute for Early Education Research/Lakeshore Early Learning Scale; Pearson Work Sampling; and Teaching Strategies GOLD

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

Yes.

Describe:

Professional development is offered to help programs understand the connection between standards, assessment, curriculum and individualized instruction.

No

Other.
Describe:

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

Yes.

Describe:

Child care certification regulations require an annual review of child progress with the family using a report form that is aligned with the Standards. The Keystone STARS, State Head Start and PA Pre-K Counts programs also require sharing the progress with parents.

No

Other.
Describe:

No

Other.
Describe:

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

Yes.

Describe:

PA continues to pilot a Kindergarten Entry Inventory tool that aligns to the early learning guidelines. In 2013-14, the tool will be piloted for the last time before being released to all school districts in the 2014-15 school year.

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

Yes.

Describe:

The following domains are identified:

Health and physical development

Social and emotional development
Approaches to learning
English language arts - language development and literacy
Mathematics

No

Other.

Describe:

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

All children.

Describe:

Samples of children.

Describe:

Pilot includes sample of children.

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

That is the long term goal of the project.

No

Other.

Describe:

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

Yes.

Describe:

Kindergarten readiness will be uploaded to the K-12 Pennsylvania Information Management System and accessible through the Early Learning Network.

No

Not applicable. State does not have an SLDS.

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

Effective Date: 01-OCT-13

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

Number/percentage of child care providers trained on ELG's for preschool aged children.

Describe (optional):

Number/percentage of child care providers trained on ELG's for infants and toddlers.

Describe (optional):

Number of programs using ELG's in planning for their work.

Describe (optional):

Number of parents trained on or served in family support programs that use ELG's.

Describe (optional):

Other.

Describe:

None.

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

Counts of early learning standards distributed in paper form; measurement of child outcome progress; movement to higher Keystone STARS levels; Environmental Rating Scale (ERS) score improvements.

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

Pennsylvania's Keystone Child Outcomes Framework aligns multiple authentic assessments which assess the full range of essential cognitive and non-cognitive domains and have been shown to be valid, reliable, and appropriate for use with children with High Needs, including low-income children, English Language Learners, and children with developmental delays or other disabilities to common, standards-based outcomes reporting tools for infant, young toddlers, older toddlers, and preschoolers. The goals of this effort are two-fold:

- to enable providers to understand the development progress and needs of the children they serve across a broad range of cognitive skills, to adapt their instruction to meet group and individualized student needs, and to monitor individual, class, and program-wide achievement and developmental gains over time to measure effectiveness of service; and
- to enable state-level administrators and policy-makers to better understand the status of the state's children across a broad range of cognitive and non-cognitive domains, to monitor changes in the status of children's achievement and development over time, and to inform policy.

Linking child outcomes to Early Learning Standards is important as such linkages provide information about the extent children across Pennsylvania are meeting the standards. Standards serve as the guide for what children should know and do as they prepare for entrance into formal schooling. The information collected through outcomes reporting can then be used to guide instruction at the child level, target professional development and quality enhancements at the classroom and program levels, and link outcomes data to child demographics (including service utilization and income) staff demographics (including certification and qualifications), and program demographics (including ERS and CLASS scores) to analyze what has positive effects on outcomes.

Keystone Child Outcomes Framework – evaluation activities

Review the content of the Child Outcome Framework and conduct an alignment analysis to ensure that the framework is aligned with the standards at each age level	2012/2013
Conduct an item by item analysis to compare the degree to which the difficulty of each assessment item aligns with the corresponding item on KCOF for approved assessments.	2012/2013
Pilot KCOF to collect data that can be used to complete the psychometrics needed to develop a scoring system.	2012/2013
Translate indicator data from multiple assessments to KCOF and validate the proposed scoring methods.	2013/2014

Ongoing research questions include:

- Do child outcomes differ based on dosage, schedule?
- Are child outcomes higher at STAR 4 facilities than at STAR 3s?
- Do higher staff degrees and teacher certifications increase child outcomes?
- What is the relationship between child outcomes and ERS/CLASS scores?
- Is there a difference in outcomes based on income level?
- Are ECE programs preparing at-risk children for kindergarten?

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?

Effective Date: 01-OCT-13

Goal #1:

The Lead Agency will continue to expand resources and information available on the Standards Aligned System portal through the Department of Education at:

<http://websites.pdesas.org/ocdel/default.aspx>

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

Effective Date: 01-OCT-13

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

The Keystone STARS Child Care Quality Improvement program and early childhood professional development system are administered by the five Regional Keys (community based organizations), one PA Key (local educational agency) and the Office of Child Development and Early Learning (OCDEL).

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

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

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

Describe:

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

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

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

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

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

Other.
Describe:

Head Start (HS) participation does not require licensing. A cross walk was completed between HS performance standards and licensing and this is the basis for HS participation.

Not linked.

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

Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)

Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)

Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)

Other.
Describe:

None.

3.3.2 Element 2 - Supports to Programs to Improve Quality

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.3.**

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
-------------------------------	----------------------------------	----------	----------------------

<input 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 type="checkbox"/> Attaining and maintaining accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="text" value="Other. Describe:"/> Family Engagement, Home-Based Care, Child Assessment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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:

STARS Technical Assistance (TA) is an intensive, one-on-one service provided to early learning and school-age facilities to help the facility achieve specific Keystone STARS quality performance standards and movement up in STAR levels. Any certified or registered center, group, and/or home-based provider that is enrolling in Keystone STARS and have enrolled in or completed the Keystone STARS Core Professional Development series may request STARS TA services.

Technical assistance is administered through five Regional Keys in partnership with consultants who have the knowledge, skills, and experience necessary to guide programs in the Keystone STARS content area of staff qualifications and professional development, leadership and management, early learning (and school-age) program and partnership with family and community.

In FY 2013-14, OCDEL will be expanding mentoring initiatives to offer Rising STARS mentoring. Rising STARS mentoring will provide peer mentoring to those programs seeking to move to a STAR 2 level with a plan to move to a STAR 3 or 4.

No

Other.

Describe:

3.3.3 Element 3 - Financial Incentives and Supports

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.4.**

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

<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to improving / maintaining quality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe:	<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.

Effective Date: 01-OCT-13

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

None. skip to 3.3.5.

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<p><input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments.</p> <p>ERS assessments are incorporated into all of Pennsylvania's quality initiatives including Keystone STARS, PA Pre-K Counts, Keystone Babies and Head Start Supplemental Programs. Types of facilities include child care programs, school based pre K, Head Start classrooms and licensed nursery schools participating in the quality initiatives. Assessments are conducted at each site at least bi-annually in a random sample of classrooms. Additional assessments may be conducted if a site experiences significant staff turnover, site leadership changes or if the facility moves to a new location. Sample size is dependent on the quality initiative standard and processes; however, at least a minimum of 1/3 of all classrooms are assessed and at least one classroom of each age group served is assessed. The four scales used are ITERS-R, ECER-R, SACERS and FCCERS-R (not FDCRS as is referenced in the question).</p>	<p><input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age</p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p><input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments.</p> <p>Available as a self-study support for CQI to programs.</p>	<p><input checked="" type="checkbox"/></p>	<p>N/A</p>	<p><input type="checkbox"/></p>
<p><input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments.</p> <p>Available as a self-study support for CQI to programs.</p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>	<p><input type="checkbox"/></p>

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

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

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

PA conducts further review of Keystone STAR Standards that are not included in the monitoring review or met in the accreditation standards of other systems.

None.

3.3.5 - Element 5 - Outreach and Consumer Education

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

Effective Date: 01-OCT-13

 a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may be 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:

[Marketing and public awareness campaigns at the local level.](#)



No. If no, **skip to 3.3.6.**

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



Print



Radio



Television



Web



Telephone



Social Marketing



Other.

Describe:

List-serve emails to over 10,000 early childhood education stakeholders



None.

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

The following resources are printed in Spanish:

A Parent's Guide: Reasons to Choose Quality Child Care and Information on Basic Child Development;
A Parent's Guide: Steps to Selecting a Child Care Program and a Quality Checklist;
A Parent's Guide to Choosing Quality Child Care; and
A Parent's Guide: Types of Child Care and Defining Quality Child Care.

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-13

 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:

DPW certified child care providers and Head Start programs.



Participation is mandatory for:

Child Care providers operating PA Pre-K Counts and Head Start Supplemental Assistance programs

must be STAR 3 or 4.

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.

No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

State/Territory is in the development phase

State/Territory has no plans for development



Other.

Describe:



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



Child care centers



Group child care homes



Family child care homes



In-home child care



License exempt providers



Early Head Start programs



Head Start programs



Pre-kindergarten programs



School-age programs

Other.

Describe:

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

Effective Date: 01-OCT-13

please describe:

Relative/neighbor providers participating in subsidized child care must have 12 hours of professional development every two years.

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

Effective Date: 01-OCT-13

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)

.

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

Describe(optional)

.



Program scores on program assessment instruments.

List instruments:

[ERS](#)

Describe(optional)

.



Classroom scores on program assessment instruments.

List instruments:

[ERS, Class, PAS](#)

Describe(optional)

.



Qualifications for teachers or caregivers within each program.

Describe(optional)

.



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

Describe(optional)

.



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)

.



Other.

Describe:

[Data on Child Outcomes](#)



None.

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

The numbers of programs moving up in STAR levels and providing higher quality programs to improve outcomes for children (targets for enrollment and movement are established annually by OCDEL in coordination with the five Regional Keys).

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.

Quality Rating and Improvement System (QRIS) standards have been validated through literature review (see Good, Better, Best document) and correlation analysis. Evaluation efforts to date have explored the association between an array of supports and quality performance measures. Inputs include technical assistance, financial awards, and staff qualifications. Performance measures that continue to be analyzed include provider Keystone STAR rating level and movement, ERS scores, staff retention, parent satisfaction, and child outcomes. Reports and research briefs with findings are available at www.ocdelresearch.org.

OCDEL will continue to leverage our integrated state data systems and document the statistical relationships between the array of supports to providers and indicators of program quality including parent and child outcomes.

3.3.9 Goals for the next Biennium -

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

Effective Date: 01-OCT-13

Goal #1:

Implement the next phase of Rising STARS which includes Keystone STARS mentoring and additional financial incentives for STAR 3 and 4 providers. (Dependent on receiving the Governor's proposed budget request.)

Keystone STARS has been recognized nationally as one of the first tiered quality rating systems: it is PA's driver toward quality early care and education. Keystone STARS began as a pilot program in 2002 to increase the quality of child care programs throughout Pennsylvania. Child care and Head Start programs that participate in Keystone STARS earn a STAR 1 to STAR 4 rating by meeting evidence-based standards for:

- Teacher quality,
- Classroom environment,
- Partnerships with families, and
- Solid business practices.

Ten years later, we've seen amazing progress.

- More than 170,000 children from birth through school-age participate in nearly 4,200 Keystone STARS programs throughout the state.
- More than a quarter (28%) of children are enrolled in high quality STAR 3 and 4 programs.
- Children participating in Keystone STAR 3 and 4 programs arrive at kindergarten ready for success. The number of children proficient in language, math and social skills **more than doubled** for children participating in Keystone STARS 3 and 4.
- Quality matters as it produces better academic outcomes for children. But there is more work to do.

Through an analysis of the Keystone STARS data, most of the children receiving child care subsidy were either not served in a Keystone STARS program or were served at the lower levels of quality. Because OCDEL's goal is to increase access to quality care to our most vulnerable children, OCDEL implemented the Rising STARS initiative in FY 2012-13. The Rising STARS initiative is shifting of resources within the Keystone STARS program. The goal of the initiative is to promote greater access for at-risk children to higher quality child care, better preparing them for kindergarten success.

This is being accomplished in two ways:

1. Incentivizing providers through higher add-on subsidy payment rates (tiered reimbursement) for providers at the Keystone STARS 3 and 4 levels to adopt quality practices; and
2. Targeting resources for STAR 1 child care providers so that they may move to higher levels of quality.

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

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

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

- 1) Core Knowledge and Competencies
- 2) Career Pathways (or Career Lattice)
- 3) Professional Development Capacity
- 4) Access to Professional Development
- 5) Compensation, Benefits and Workforce Conditions

Effective Date: 01-OCT-13

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

The Office of Child Development and Early Learning (OCDEL) sets the policies for the workforce system development. In consultation with OCDEL, the Pennsylvania Key is responsible for developing, updating and distributing the core knowledge and competencies, career lattice, statewide professional development calendar and registry, as well as administering the voucher program. Professional development and technical assistance are primarily offered through the five Regional Keys across the Commonwealth.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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

Effective Date: 01-OCT-13



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://www.pakeys.org/pages/get.aspx?page=Career_CBK

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:

[Director/Administrator Program Organization and administration.](#) This section provides for a solid foundation in organizational management, including how to establish systems for efficient and effective program functioning and how to manage staff. There is also a section addressing specific needs of family child care providers.

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:

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

Describe:

In addition to the eight knowledge areas in the Core Body of Knowledge that apply to all types of providers, a Program Organization and Administration knowledge area was created specifically for family providers.

Administrators in centers (including educational coordinators, directors).

Describe:

Within the eight knowledge areas in the CBK, administrative competences were added to show the continuum of direct staff through administrator.

The Director Credential program provides a standard by which to measure quality, fiscal management and leadership abilities of directors of early learning and school-age programs. It is a requirement of the Keystone STARS program at the STAR level 3 and above. There are eight competency areas and seventy-eight learning objectives for the Pennsylvania Director Credential program.

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

Describe:

Core competencies for Relationship-Based Technical Assistance include the following content areas: Professionalism, Principles of Adult Learning, Building Relationships, Assessment and Planning, Communication, and the Change Process. The document is designed as a self-assessment checklist to assess abilities as “Beginning”, “Developing” or “Proficient”. An individual’s record of professional development in which they participated that relates to each content area and may record their thoughts in the “Self Reflection Section”. Additionally, the Professional Development Plan section is required to be submitted as part of the renewal application for individuals approved in the Pennsylvania Quality Assurance System (PQAS) for Instructors and TA consultants.

<http://www.pakeys.org/uploadedContent/Docs/PD/PQAS/TA%20competencies.pdf>

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

Describe:

Core Competencies for Instructors include the following content areas: Content Expertise; Professionalism; Principles of Adult Learning; Building Relationships; Evaluation, Assessment and Planning; Communication; and the Change Process. The document is designed as a self-assessment checklist to assess abilities as “Beginning”, “Developing” or “Proficient”. An individual’s record of professional development in which they participated that relates to each content area and may record their thoughts in the “Self Reflection Section”. Additionally, the Professional Development Plan section is required to be submitted as part of the renewal application for individuals approved in the Pennsylvania Quality Assurance System (PQAS) for Instructors and TA consultants.

<http://www.pakeys.org/uploadedContent/Docs/PD/PQAS/Instructor%20competencies.pdf>

Other.

Describe:

Core Competencies for STARS Managers include the following content areas: Professionalism; Principles of Adult Learning; Building Relationships; Administration, Assessment and Planning; Communication; Change Process and Continuous Quality Improvement. The document is designed as a self-assessment checklist to assess abilities as “Beginning”, “Developing”, “Advanced” or “Specialized”.

An individual's record of professional development in which they participated that relates to each content area and completes a Professional Development Plan.

Core Competencies for Career Advisors include the following content areas: Content Expertise, Professionalism, Principles of Adult Learning, Building Relationships, Evaluation, Assessment and Planning, Communication, Change Process. This document contains general core competencies that are essential for all effective relationship-based career advising strategies. The competencies address skills, knowledge and attitudes that lay the foundation for developing a professional relationship with all advisees and promoting a strength-based approach to continuous quality improvement.

Core Competencies for Environment Rating Scale Assessors Core Competencies for Environment Rating Scale Assessors are in draft and include the following content areas: Professionalism, Adult Learning Principles, Relationship Building, Communication, Content Expertise, Planning and Time Management, Technology Competence, Cultural, Linguistic and Ability Diversity, Change Process.

None.

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

- Birth-to-three
- Three-to-five
- Five and older
- Other.

Describe:

None.

3.4.2 Workforce Element 2 - Career Pathways

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

Effective Date: 01-OCT-13

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

Yes.

Describe:

The PA Early Learning Keys to Quality Career Lattice provides information on minimum requirements for positions within the early learning and school-age systems so individuals can plan their education in relation to the position they are seeking. The Career Lattice has eight levels from entry level to mastery, including credit-bearing coursework in ECE or child development leading to credentials, degrees and teacher certification. Early learning and school-age professionals also use the lattice to plan professional development and career advancement.

No, the State/Territory has not developed a career pathway. **Skip to question 3.4.3.**

Insert web addresses, where possible:

<http://www.pakeys.org/uploadedContent/Docs/PD/Career%20Lattice.pdf>

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

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

Describe:

Pennsylvania has raised the bar for individuals working with children and families. Early care and education practitioners are required to have specific core knowledge in early childhood and education. The Career Lattice defines educational qualifications required at each lattice level for individuals working with children and families. To meet Keystone STARS' professional development standards, staff must meet specific lattice levels. Staff qualifications and placement on the lattice increase as programs attain higher STAR levels. The Pennsylvania Keys to Quality Career Lattice helps ensure quality early learning and education programs, as well as experiences for children.

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

Describe:

The Career Lattice defines educational qualifications required at each lattice level. To meet Keystone STARS' professional development standards, individuals working in family child care homes must meet specific lattice levels. Providers and staff qualifications and placement on the lattice increase as programs attain higher STAR levels.

Administrators in centers (including educational coordinators, directors).

Describe:

In an effort to improve the quality of children's developmental and educational experiences in early care and education programs, program directors are required to have a minimum qualification of an associate degree. Educational qualifications for center administrators' increase as programs attain higher STAR levels. To be a director of a STAR 3 and above program, individuals must obtain the PA Director Credential Certificate or meet the director qualifications through prescribed alternate pathways.

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

Describe:

The Career Lattice indicates the level of education required for technical assistance consultants and mentors. TA consultants and mentors must meet Level VI or higher on the Career Lattice.

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

Describe:

The Career Lattice indicates the level of education required for PQAS trainers and university or college faculty. PQAS certified instructors must meet the requirements of Level VI or higher on the Lattice and higher education faculty must meet level VII or higher on the Lattice.

Other.

Describe:

None.

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

Children with disabilities, children with developmental delays, and children with other special needs

Other.

Describe:

The Director Credential program provides a standard by which to measure quality, fiscal management and leadership abilities of directors of early learning and school-age programs. It is a requirement of the Keystone STARS program at the STAR level 3 and above. There are eight competency areas and seventy-eight learning objectives for the Pennsylvania Director Credential program.

None.

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

Voluntary guide and planning resource

Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13

Required placement for all practitioners working in programs that receive public funds to serve children birth to 13

Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)

Required placement for participation in scholarship and/or other incentive and support programs

Required placement for participation in the QRIS or other quality improvement system

Other.

Describe:

None.

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

Yes.

If yes, describe:

For programs participating in Keystone STARS, individuals' qualifications are documented in order to appropriately place them on the Career Lattice. "The ECE Teacher Quality: Recognizing High Quality Core Content in Pennsylvania" document was developed for use in determining individuals' educational qualifications prior to placement on the Career Lattice. The document includes an attestation tool used by the Regional Keys' staff after evaluation of an individual's transcript.

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.

Effective Date: 01-OCT-13

 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:

A list of higher education institutions in Pennsylvania that offer degree programs in ECE and related fields, including their physical locations and distance-based coursework, is posted on the PA Key website. A list of colleges and universities offering degree programs in school-age care and youth development will be developed in the near future.

http://www.pakeys.org/pages/get.aspx?page=Career_Requirements

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:

Each year a statewide assessment of professional development and technical assistance needs is conducted using the Facility Professional Development Plan, recently converted to an online survey. The survey addresses all provider types, ages served, level of professional development needed and content area needed, location, etc. Regional Keys use this information to plan for the upcoming year. Plans are submitted to OCDEL in the Program Review Instrument (PRI). OCDEL reviews and approves the PRI to be sure gaps are addressed. In each region, proposed sessions are divided by knowledge areas and competency levels and submitted to OCDEL. The proposed training is reviewed at a regional and state level to ensure that all levels and knowledge areas of training and technical assistance are available across the Commonwealth.

The Commonwealth has supported development of online learning opportunities for practitioners by encouraging Institutions of Higher Education to develop online courses and has provided private funding support to do so. Online modules required in Keystone STARS and foundational to Pennsylvania's early learning community are methodically being converted to online opportunities as well as face-to-face. PA

is also working on a document for instructors about best practices for online courses.

No.

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

- Standards set by the institution
- Standards set by the State/Territory higher education board
- Standards set by program accreditors
- Standards set by State/Territory departments of education
- Standards set by national teacher preparation accrediting agencies
- Other.

Describe:

None.

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

Training approval process.

Describe:

Trainer approval process.

Describe:

The Pennsylvania Quality Assurance System (PQAS) is designed as a means to ensure that quality professional development (PD) and technical assistance (TA) is provided to early childhood and schoolage practitioners in Pennsylvania. This system is designed so that individual instructors or TA consultants, rather than individual professional development activities, are reviewed and approved. Approved instructors and TA consultants are required to meet and maintain established qualifications, including educational achievements and professional development experience. Qualifications of instructors are aligned with the Career Lattice. Applications are checked upon receipt to ensure that individuals meet the Career Lattice qualifications and that all required attachments are included. Professional development modules (instructors) or technical assistance action plans (TA consultants) submitted as part of the application is reviewed by two reviewers and scored using a rubric. Individuals that do not meet the benchmarks are not approved and are required to resubmit their modules or action plans. PQAS policies and applications for the specific trainer types can be found at the PA Keys website at:

http://www.pakeys.org/pages/get.aspx?page=Career_PQAS

Training and/or technical assistance evaluations.

Describe:

Following each professional development event providers complete an evaluation form which is returned to the Regional Key. Additionally, the Regional Key conducts an on-site evaluation of 10% of the professional development contractors annually. Technical Assistance is evaluated in several ways. First TA consultants must be approved through the PQAS system. At the conclusion of each consultation, providers who participated in the technical assistance activity are requested to complete a Provider Feedback survey. Additionally, all technical assistance providers are evaluated by the Regional Key using the Technical Assistance Accountability Plan (TAAPS). TAAP focuses on three key categories:

- 1) Measurable Impact on Providers/Programs;
- 2) Qualifications, Professional Development and Professionalism of the TA Consultants;
- 3) Reporting Obligations of the TA Consultants and TA Organizations.

Metrics and benchmarks were established for each of these categories. Measureable impact on the provider is assessed three to six months after the closure of an action plan. Providers are contacted to determine if the goals in their action plan are being implemented. Additionally, STAR movement is assessed.

Other.

Describe:

None.

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

Yes.

If yes, describe:

The Office of Child Development & Early Learning, through the Pennsylvania Key, has been working with colleges and universities on program-to-program articulation agreements in early childhood education for several years. There are currently fifty-three program-to-program articulation agreements in early childhood education in the Commonwealth through two and four year colleges and universities. Students with associate degrees from the participating two-year colleges can transfer and articulate fifty-four to sixty academic credits to a participating four year institution for baccalaureate degree completion and also attain junior status at the four year institutions. OCDEL is working to expand the number of articulation agreements in the State.

OCDEL also advertises and utilizes PATrac, an online transfer and articulation website: www.patrac.org.

No.

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

Yes.

If yes, describe:

Some colleges and universities in Pennsylvania award between six to twelve academic credits for the CDA credential. Additionally, a number of institutions of higher education have a process in place, either through portfolio submission or testing to assess an individual's prior learning experiences for award of academic credits.

No.

3.4.4 Workforce Element 4 - Access to Professional Development

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

Effective Date: 01-OCT-13



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

Yes. If yes, for which sectors?

Child care

Head Start/Early Head Start

Pre-Kindergarten

Public schools

Early intervention/special education

Other.

Describe:

No.

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

such clearinghouses to promote access to professional development opportunities.

Yes.

If yes, describe:

A professional development calendar to promote access to professional development opportunities is housed at the PA Keys website at www.pakeys.org. The calendar can be searched by Knowledge Area, Date Range, Competency Level, Topic, Targeted Group, PD Organization, Zip Code, Title, Instructor, County, and Type. Individuals with PQAS approval are the only individuals permitted to post professional development events to the calendar. The calendar is linked to the Provider Registry so that those PD events an individual attends will be posted to their professional development history.

No.

Insert web addresses, where possible: www.pakeys.org

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

Scholarships.

Describe:

Free training and education.

Describe:

Reimbursement for training and education expenses.

Describe:

The College Tuition Reimbursement Program reimburses 90% of tuition costs for up to \$3,000 of college coursework per fiscal year (beginning July 1 and ending June 30). Practitioners must receive a grade of "B" or better to be reimbursed for tuition costs up to a maximum of \$500 per credit hour. The CDA voucher program supplies payment for the CDA Assessment Fee that is required to complete the CDA Credential process. This program pays 100% of the \$425 assessment fee for the initial CDA credential. To receive vouchers from either of these programs, the practitioner must work in a STAR 1 or above program.

Grants.

Describe:

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.

Describe:

Other.

Describe:

Inexpensive professional development is available through PA Keys to Quality. Most of the workshops offered on the statewide calendar are \$10-\$20 for two to three hour workshops.

None.

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

Mentors, coaches, consultants and/or STAR specialists provide technical assistance to the workforce including STARS Technical Assistance, Early Childhood Mental Health Consultation, PA Pre-K Counts Technical Assistance, Infant/Toddler and School Age Technical Assistance, and Health and Safety Consultation

No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce

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

Effective Date: 01-OCT-13

 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:

Keystone STARS Education and Retention Award (ERA) provides annual financial awards to highly qualified directors and/or teaching staff who have attained specialized degrees, credentials, and credit-based professional development in content areas that correspond to the age and developmental needs of the children being served. A further intent of the ERA is to assist providers in establishing a stable workforce as they work toward higher levels of quality by reducing turnover and improving the education of teaching staff. Please see the Education/Retention Award (FA-03 STARS Financial Award Request – MERA (Centers-Groups).doc) at www.pakeys.org/docs. Programs may also use the Keystone STARS Merit Award toward salaries that support the practitioner in meeting quality standards by improving compensation and/or benefits for staff. A request may be submitted annually. For additional information, refer to STARS Financial Award Request – Merit and Education and Retention Award at http://www.pakeys.org/pages/get.aspx?page=Programs_STARS_Grants.

To receive award funds, at least 10% of the provider's enrolled child care children must receive one of the following: Child Care Works subsidized care administered through the Child Care Information Services (CCIS); and/or Early Intervention Services program for children with developmental delays and disabilities.

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:

Keystone STARS Award funds may be used to support benefits to staff. Benefits may include, but are not limited to, health insurance, paid vacation/sick time/holidays/personal time/family leave, annual incremental raises, tuition reimbursement, child care benefit, or a retirement plan, etc. Distribution of benefits must be addressed in the provider's personnel policies. For more information please see STARS Financial award request Merit and Education & Retention Award (FA-03 STARS Financial Award Request – MERA (Centers-Groups).doc) at www.pakeys.org/docs.

No.

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

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

Data on the size of the child care workforce.
Describe (optional):

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

OCDEL has a number of optional demographic fields in the professional development registry that practitioners can complete such as position, years of experience, current education, special certifications, race, sex, date of birth, etc.

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

There is a practitioner registry where professional development courses are tracked but it does contain and optional field for qualification data. During the 11-12 year this field will become required.

Retention rates.
Describe (optional):

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

The Regional Keys and PA Key maintain and monitor qualifications of staff delivering professional development and technical assistance through our PA Quality Approval System

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

The practitioner registry will begin to collect data on qualifications.

Number of scholarships awarded .

Describe (optional):

Number of individuals receiving bonuses or other financial rewards or incentives.

Describe (optional):

Number of credentials and degrees conferred annually.

Describe (optional):

Data on T/TA completion or attrition rates.

Describe (optional):

Data on degree completion or attrition rates.

Describe (optional):

Other.

Describe:

None.

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

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

Yes.

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

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

Describe:

Participation is voluntary.

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

Describe:

Participation is voluntary.

Administrators in centers (including educational coordinators, directors).

Describe:

Participation is voluntary.

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

Describe:

Participation is voluntary.

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

Describe:

Participation is voluntary.

Other.

Describe:

None.

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

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

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

No.

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

N/A

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.

Continue to implement the Technical Assistance Accountability Plan (TAAPs) which defines expectations for accountability and quality for Technical Assistance. This system of benchmarks focuses on three key categories:

- Measurable Impact on Provider
- Qualifications, Professional Development and Professionalism
- Reporting Obligations

The STARS-TAAP establishes the expectation that Technical Assistance will have a measurable effect on the program and that to be effective; consultants must be appropriately qualified and deliver services in a timely, consistent manner. It further defines what is to be measured in each category, the data sources to be used, how to collect the data, and benchmarks for each indicator.

Data for all technical assistance initiatives is collected in a comprehensive data system and is reviewed and analyzed at least quarterly. Feedback is shared and supports are in place to strategize and implement identified improvements. The school-age continuous quality improvement initiative - Afterschool Quality (SACC ASQ) includes a pre- and post- survey in addition to the standard TA data collection and feedback.

Continue to implement the Pennsylvania Quality Assurance System (PQAS) the process for trainer and training approval. Additionally, implementation of the new registry system and learning management system will afford greater reporting and monitoring capability. More refined processes for monitoring and evaluating professional development offerings and impact will be developed as the registry system is implemented.

Continue to implement a system of on-site review of regional professional development and technical assistance consultants. Each year Regional Keys conduct onsite reviews of a percentage of contracted consultants.

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.)

Effective Date: 01-OCT-13

Goal #1:

Provide professional development on newly revised CBK/PDR.

Goal #2:

Broaden Career Pathways to include quality home visitation programs.

Goal #3:

Review PA Dept. of Education Teacher Effectiveness model and develop recommendations for inclusion in PD and QRIS.

Goal #4:

Review and enhance opportunities for distance learning.

Goal #5:

Implement Learning Management System.