



**Child Care and Development Fund (CCDF) Plan**

**For**

**State/Territory:**

Alabama

**FFY 2014-2015**

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

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

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

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

**Form ACF-118 Approved OMB Number expires**

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**PART 1**

**ADMINISTRATION**

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

**1.1 Contact Information**

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

**1.1.1 Who is the Lead Agency designated to administer the CCDF program?**

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

Name of Lead Agency: **Alabama Department of Human Resources**  
Address of Lead Agency: **50 North Ripley Street, Montgomery, AL 36130**  
Name and Title of the Lead Agency's Chief Executive Officer: **Nancy T. Buckner, Commissioner**  
Phone Number: **334.242.1160**  
Fax Number: **334.242.0198**  
E-Mail Address: **Nancy.Buckner@dhr.alabama.gov**  
Web Address for Lead Agency (if any): **www.dhr.alabama.gov**

**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:**

Name of CCDF Administrator: **Terrie Reid**  
Title of CCDF Administrator: **Acting Director**

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Address of CCDF Administrator: 50 North Ripley Street, Montgomery, AL 36130  
Phone Number: 334.242.9378  
Fax Number: 334.242.0198  
E-Mail Address: Terrie.Reid@dhr.alabama.gov  
Phone Number for CCDF program information (for the public) (if any): 334.242.1425 or 866.528.7727  
Web Address for CCDF program (for the public) (if any): www.dhr.alabama.gov  
Web address for CCDF program policy manual: (if any): \_\_\_\_\_  
Web address for CCDF program administrative rules: (if any): \_\_\_\_\_

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

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

**1.2 Estimated Funding**

**1.2.1. What is your expected level of funding for the first year of the FY 2014 – FY 2015 plan period?**

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2013 through September 30, 2014. (§98.13(a)).

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$84,260,087  
Federal TANF Transfer to CCDF: \$4,000,000  
Direct Federal TANF Spending on Child Care: \$ \_\_\_\_\_  
State CCDF Maintenance-of-Effort Funds: \$6,896,417  
State Matching Funds: \$11,415,298

**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  N/A here.

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**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:

**In collaboration with local government entities and with the assistance of child advocacy agencies, the Lead Agency has identified local efforts that are consistent with CCDF child care requirements. These activities include local funding to child care centers for child care slots and teacher training. Funding sources includes county funds and local public funds.**

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

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

If checked, are those funds:

donated directly to the State?

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

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

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

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

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

**Alabama's Department of Children's Affairs Pre-K initiative has expanded to operate 233 sites within the state. The initiative has expanded through the years to serve more children and anticipates continued expansion in 2014. The initiative, which serves 4 year old children, uses a variety of strategies aimed at serving families and children, including collaborating with other entities to provide services in schools, family child care homes, parenting center, and private child care centers. Requirements for classroom staff in Pre-K sites includes collaboration with other local early care and education professionals, public school systems professionals, and obtaining professional development training. The CCDF Lead Agency makes professional development training initiatives, including scholarships, available to Pre-**

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**K staff. The Lead Agency provides wrap-around care during the school year and full-day services during school breaks and holidays for children in State Pre-K sites, LEA Pre-K sites and Head Start Pre-K sites when these sites do not offer full-day 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:

**Alabama’s Department of Children’s Affairs Pre-K initiative operates 233 sites in the state. The initiative, which serves 4 year olds, uses a variety of strategies aimed at serving families and children, including collaborating with other entities to provide services in various provider settings including Head Start, public schools, private child care centers, faith-based centers, community based centers, and Colleges/Universities, thus more effectively meeting the needs of working families within these communities.**

**The Lead Agency provides wrap-around care during the school year and full-day services during school breaks and holidays for children in State Pre-K sites, LEA Pre-K sites and Head Start Pre-K sites when these sites do not offer full-day services. This allows for full-day services to meet the needs of working families.**

- 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%): 20%

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

**The mission of the Alabama Department of Children’s Affairs (DCA) is to provide state leadership to identify, analyze, streamline and coordinate services for children throughout Alabama. The expansion of Pre-K initiatives has increased the number of child care slots in communities thereby, expanding the availability of child care for families. The program anticipates continued expansion in FY2014.**

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The CCDF Lead Agency makes all professional development training initiatives, including scholarships, available to staff in Pre-K facilities.

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:

Alabama's Department of Children's Affairs Pre-K initiative operates 233 sites in the state. The initiative, which serves 4 year old children, uses a variety of strategies aimed at serving families and children, including collaborating with other entities to provide services in various provider settings including HeadStart, public schools, private child care centers, faith-based centers, community based centers, and Colleges/Universities, thus more effectively meeting the needs of working families within these communities. The expansion of Pre-K initiatives has increased the number of child care slots in communities thereby, expanding the availability of child care for families. The Alabama State Department of Education provides special education services in pre-school programs for eligible three- and four-year old children with special needs, in some of Alabama's school districts. These services are housed in public school facilities, which increase the availability for working parents, thus more effectively meeting the needs of working families within these communities. Local Education Agencies (LEA) receive direct funding to provide Pre-K services in schools associated with the LEA. The CCDF Lead Agency provides wrap-around care during the school year and full-day services during school breaks and holidays for children in State Pre-K sites, LEA Pre-K sites and Head Star Pre-K sites when these sites do not offer full-day services. This allows for full-day/full-year services to meet the needs of working families.

**1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015.**

In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

<b>Activity</b>	<b>Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
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<b>Activity</b>	<b>Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
Scholarships	<p><b><u>\$740,857.00</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	Increase the level of education and effectiveness of early learning professionals.	Increase the number of child care professionals with Associate degree and CDA credential.
Training and Technical Assistance	<p><b><u>\$3,085,977.00</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input type="checkbox"/> Quality Expansion</p>	Provide training and technical assistance to providers through various workshops for different types of providers, on-site training, mentoring and resource materials.	Increased training/technical assistance opportunities for all types providers setting; Access to training to help providers exceed Minimum Standard requirements; Increased the number and availability of higher quality child care providers for parents.
Special Needs and Inclusion	<p><b><u>\$801,785.00</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	To provide specialized training and technical assistance to special need caregivers.	<ul style="list-style-type: none"> <li>•Enhance the knowledge and skills of child care providers in recognizing children at possible risk of developmental delay.</li> </ul>



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<b>Activity</b>	<b>Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
School-age Child care	<p><b><u>\$343,240.00</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input checked="" type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input type="checkbox"/> Quality Expansion</p>	To provide a statewide program for quality school age child care utilizing public schools through grants awarded to Local Education Agencies (LEAs).	To provide high quality afterschool experiences for school-age children with a on focus on continued school achievement.
Infant/Toddler care	<p><b><u>\$1, 433,707.43</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input checked="" type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input type="checkbox"/> Quality Expansion</p>	To increase the professional knowledge of infant/toddler providers and the trainers who provide support for providers. through professional development training.	Child care providers in all setting will have skills needed to improve in the quality of care in infant and toddler classrooms; Increase the number of provides offering infant and toddler care.
Family/Group Home mentoring and accreditation	<p><b><u>\$1,187,794.00</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input checked="" type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	Assist family/group child care home providers to raise the quality of child care services they deliver, with a focus on moving them toward accreditation.	Minimize the economic pressures that achieving quality child care can impose on Family/Group home providers; Increase the number of accredited Family and Group providers in the state.; Increase the level of quality of Family/Group home providers in the state.

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<b>Activity</b>	<b>Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
Nurse Health Consultants	<p><b><u>\$970,951.00</u></b></p> <p>Check if targeted funds for this activity:</p> <p><input checked="" type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion</p>	To provide opportunities for caregivers to have direct consultation and training with health professional.	Improve the integration of health concepts in child care environments.

**1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?**

Note: This question is to obtain information on whether the Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level or if funds are distributed to local entities

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

- No, the Lead Agency will not distribute any quality funds directly to local entities
- Yes, all quality funds will be distributed to local entities
- Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities Approximately 87% of quality funds is distributed to other entities including local entities.
- Other. Describe.

The Lead Agency will manage some Quality funds directly, will distribute some to local entities and will distribute some to other state agencies. Distribution to local agencies is done based on the results of a competitive RFP (Request for Proposal) process. Some state agencies also participate in the RFP process to receive funding. Management of funds is subject to the terms of the Lead Agency's contract with the entities (local and state), the requirements of the RFP, and the Lead Agency's and *Contract Compliance Requirements Manual*. The Lead Agency manages approximately 13% of quality funds.

**1.3. CCDF Program Integrity and Accountability**

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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.

**An Addendum A - Services to be Provided, incorporates by reference the Child Care Subsidy Program Policies and Procedures Manual into the contract. This Manual includes the name of the program and allowable and unallowable costs for the program. Moreover, the contract contains a provision that the contractor must comply with all federal, state, and local laws, rules, regulations, and procedures applicable to receiving funds from the Lead Agency as well as comply with the contract addenda and the Contract Compliance Requirements, which is incorporated into the contract by reference. The contract Compliance Requirements is a manual prepared by the Lead Agency, Office of Contracts and Grants in order to provide the requirements applicable to the provision of services under contract with the Lead Agency. Agencies are required to conduct and submit to the Lead Agency independent audit reports. The audits are submitted to the Lead Agency's Program Integrity Division, Office of Audit for review. Sub-recipients contracts contain a provision, in the financial agreements section, that reimbursements by the Lead Agency will only be made in response to signed, original, and correctly certified statements of the total actual eligible units of service provided during the designated billing period. This information must be provided to the Lead Agency on a monthly basis following the end of each month services are provided. The Child Care Subsidy Program is an agency of the Alabama Department of Human Resources, Child Care Services Division. The Subsidy Program relies on the fiscal services of the Department's Finance Division, data and system support through the Department's Information Systems Division and Program Integrity from the Department's Office of Audit. In addition the entire Department and each individual Division is audited by the state's Examiners of Public Accounts.**

### **1.3.2.**

**1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients.**

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

**Definition:** A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient and vendor** ([http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2010](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010)).

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

The Child Care Management Agencies (CMAs) and Quality Enhancement Agencies (QEAs) are monitored by the Department to determine contract compliance as well as compliance with applicable federal and state laws and regulations and departmental policies and procedures. Agencies are selected through a competitive Request for Proposal (RFP) process. The current contracts were issued for a two-year time frame with an option for renewal or extension of the contract. Although contracts are for multiple years the agencies must submit a new budget for review and approval each year of the contract. If a contract is extended or renewed, the contracting agency must submit a new budget for review and approval. State level staff provides training and technical assistance to contractors on all issues including budget and policy. A policy specialist provides clarification as needed and conducts training on policy issues. QEA agencies submit quarterly reports of activities that are compared with the services to be performed as outline in the contract. Program monitoring by Lead Agency staff is conducted on a random sample of records from each CMA agency to ensure proper application of program policies. During the monitoring visits, case records and provider records are randomly selected and reviewed for compliance with subsidy policy and procedures. Cases are review for correct application of policy as well as correct knowledge of child care computer system data entry. Agencies are sent a formal report of the results of the monitoring review. The report summarizes the number and percentage of authorization errors. Agencies are required to submit a Corrective Action Plan detailing how the agency will address the identified errors, implement procedures with caseworkers to reduce future errors, and implement actions to recover improper payments. At the next review, progress on the corrective action plan is monitored by Lead Agency staff. Agencies have been given an error rate target. Agencies that do not meet the error rate target have points deducted from their score in subsequent response to a Request for Proposal to administer Subsidy Program eligibility services.

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**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.

<b>Type of Activity</b>	<b>Identify Program Violations</b>	<b>Identify Administrative Error</b>
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 type="checkbox"/>
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input type="checkbox"/>	<input type="checkbox"/>
Conduct quality control or quality assurance reviews	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct supervisory staff reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct data mining to identify trends	<input type="checkbox"/>	<input 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 \_\_\_\_\_**

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

\_\_\_\_\_

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

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<b>Strategy</b>	<b>UPV</b>	<b>IPV and/or Fraud</b>	<b>Administrative Error</b>
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: <b>\$35.00</b>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: <b>Refer to Attorney General office after investigation</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe: <b>Improper payments to a child care provider can be recouped from future payments to the provider.</b>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Once an improper payment is identified, administrative procedures regarding collections include recoupment (from providers only), repayment agreements, sanction and referral for prosecution. Recoupment can be done as a one time only repayment or recoupment over several months. Parents and providers who commit intentional program violations are sanctioned for three (3) months for the first offense, six (6) months for the second and one year for third any subsequent offenses. Sanctions means the parent or provider cannot participate in the program during the sanction period. Overpayment for intentional program violations that are over \$2500 are referred for prosecution.

**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?**

- None
- Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified  
 Clients are disqualified from services when a pattern of noncompliance has been established. A pattern of noncompliance is three (3) instances of intentional failure to comply with program requirements. A mandatory disqualification period of three (3) months is assessed. For the first instance after the pattern of noncompliance has been established, a mandatory disqualification period of six

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(6) months is assessed; and, for the second and subsequent instances after a pattern of noncompliance has been established, a mandatory period of one (1) year is assessed. Clients have the right to request an administrative review or an administrative hearing, in response to any action taken to deny, reduce, or terminate services, within 60 days of the action, if the client feels such action was taken outside the context of Program policy.

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

**Providers are disqualified for intentional failure to comply with the provider's published policies or the constraints agreed to by the provider on the current Provider Registration Form. This includes maintaining legal operating status and complying with Alabama's criminal background requirements for child care providers participating in the child Care Subsidy Program. A child care provider has the right to request a fair hearing in response to any action to deny or terminate Program participation.**

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.

<b>Activities identified in ACF-402</b>	<b>Cause/Type of Error (if known)</b>	<b>Actions Taken or Planned</b>	<b>Completion Date (Actual or planned) (if known)</b>
Generating and reviewing registration expiration reports. Targeted policy training on acceptable verifications Increased frequency of Supervisory case reviews.	Provider was not registered.  Insufficient verification of relationship.  Incorrect unit of care.  Income computed incorrectly.	State level registration expiration report review.  State case reviews.	State level registration report review beginning July 1, 2011 and continuing.  Targeted policy training beginning October 2011 and ending April 2012.  Increased frequency of supervisory case reviews beginning July 2011 and continuing.

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**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><b>Representatives of general purpose local government (required)</b></p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>Input on the State Plan was requested from local government agencies. A letter was sent to the League of Municipalities and the Association of County Commissions of Alabama requesting input on the CCDF Plan from their membership.</p>
<p><b>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</b></p>		
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21<sup>st</sup> Century Community Learning Centers), or higher education.</p>	<p>Input on the State Plan was requested from the Alabama Department of Public Health.</p>
<input 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>	
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	<p>The CCDF Lead Agency is also the agency for the Licensing program.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency with the Head Start Collaboration grant</p>	<p>The Head Start Collaboration Office is housed with the Alabama Department of Children’s Affairs. Input on the State Plan was requested from the Department of Children’s Affairs. Notification of the plan and a copy fo the agency. A representative from the Head Start</p>



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	<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
		Collaboration office is a member fo the Department’s Child Care Citizen’s Coordinating Committee. This Committee gives input to the Lead Agency on the provisions of services through CCDF funding and Licensing issues.
<input checked="" type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	Statewide Advisory Council is housed with the Alabama Department of Children’s Affairs. Input on the State Plan was requested from the Department of Children’s Affairs. Notification of the plan and a copy fo the draft document was sent to the agency. A representative from the Department of Children’s Affairs is represented on the Department’s Child Care Citizen’s Coordinating Committee. This Committee gives input to the Lead Agency on the provisions of services through CCDF funding and Licensing issues
<input checked="" type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	The Poarch Creek Indians is the federally recognized Tribal Organization in the state. Notification of the plan and a copy fo the draft document was sent to the Tribal Organization.
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
<input checked="" type="checkbox"/>	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children’s emotional and mental health)	
<input type="checkbox"/>	State/Territory agency responsible for child welfare	
<input checked="" type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	
<input checked="" type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	
<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations  <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	

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	<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Notification of the plan sent to the agency Statewide provider organizations seeking their input. A letter was sent to each association president.
<input type="checkbox"/>	Parent groups or organizations	
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	
<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:

- a) Date(s) of notice of public hearing: May 14 and May 15, 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?  
Notice of the hearing was advertised in Alabama's eight largest newspapers. The notice advised of the date and location of the public hearing.

To reinforce the notification process, notice of the public hearing was sent to the Lead Agency's 67 county offices, Child Care Management Agencies, and Quality Enhancement Agencies to facilitate broad access by the public. These agencies gave notice of the hearing through communication with parents and providers.

Letters were sent to statewide provider associations within the state. The associations were asked for their input on the services outlined in the draft plan and to disseminate the plan to their membership.

Email notification of the draft plan was sent to members of Lead Agency workgroups and advisory groups, including the Child Care Citizen's Coordinating Committee, the Quality Rating and Improvement System Steering Committee and the Alabama Professional Development Team. Members of these workgroups and advisory groups were asked for their input on the document and to share the document with their constituents.

- c) Date(s) of public hearing(s): June 6, 2013  
**Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).

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- d) Hearing site(s): Gordon Person Building Auditorium, 50 N Ripley Street, Montgomery, Alabama.
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)?  
A draft copy of the Plan could be reviewed at any local County Department of Human Resources, Child Care Management Agency(CMA) and Quality Enhancement Agency(QEA). The draft of the plan was also made available on the Lead Agency's website.
- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan?

Public comment will be considered in understanding potential gaps in services and exploring ways that the new services may be implemented in the future to meet the needs of families and to provide access to high quality care within the guidelines of state and federal regulations and funding priorities.

### **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.

Notice of the plan was given to provider associations across the state. Individual letters were written to each association president to encourage participation by the membership. The hearing notice included an email address (childcare.subsidy@dhr.alabama.gov) to accommodate comments from providers, parents and others who could not attend the public hearing.

The public hearing notice was included on the Lead Agency website and a copy of the draft Plan was on the Lead Agency website, available at CMA offices and available at County Department offices. The Lead Agency website allows for the site and documents on the site to translate to Spanish.

### **1.5. Coordination Activities to Support the Implementation of CCDF Services**

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

**Definition** - *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood

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Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

Note: Descriptions of how governments are organized for each State are provided at: [http://www2.census.gov/govs/cog/all\\_ind\\_st\\_descr.pdf](http://www2.census.gov/govs/cog/all_ind_st_descr.pdf).

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

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></p>
<p><input checked="" type="checkbox"/> Representatives of general purpose local government <b>(required)</b></p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>The Lead Agency has coordinated with local government agencies to identify local spending on child care that could be used as state match. Staff of the CMA organizations and Quality Enhancement Agencies, as well as Department staff, participate in local community policy councils and have provided resources as needed.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>Increase knowledge and awareness by local communities of child care issues, particular for children (birth to five years) and the economic impact of child care on communities. Increased availability of potential match funding for the CCDF program.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for public education <b>(required)</b></p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21<sup>st</sup> Century Community Learning Centers), or higher education;</p>	<p>The Lead Agency coordinates with the Alabama Department of Education to provide quality extended-day services for school age children through grants awarded to Local Education Agencies. Funds target rural areas and low-performing school sites. The coordination also includes serving</p>	<p>Increased availability of quality after school programs. Increase the supply of full-year programs by providing wrap-around care to Head Start and Pre-K programs. Increased local or statewide articulation agreements between 2-year and 4-year institutions.</p>

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<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></p> <p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p>
	<p>on the Advisory Panel for the 21st Century Community Learning Centers. The panel reviews application and sets criteria for agencies applying for funding. The goal of this program and agency coordination is to integrate strategies that enhance the quality of care in extended-day child care setting. The Lead Agency also coordinates with Alabama Community College System two-year colleges to provide scholarships for child care providers to obtain a credential, certificate, Associate and/or Bachelor degree through the T.E.A.C.H and Leadership in Child Care Scholarship(LICC) Programs.</p>	
<p><input type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services <b>(required)</b></p>	<p>The Lead agency facilitates meetings of the Child Care Citizens Coordinating Committee. The mission of the committee is to inform and make recommendation to the Lead Agency on child care issues. The committee consists of</p>	<p>Agencies delivering child care services will have a venue for shared knowledge of available services that impact the lives of children. Agencies will have opportunities to share resources across agencies. Agencies will coordinate training and technical assistance opportunities across</p>

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<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></p>
	<p>various agencies private, state, local, Tribal representing all aspects of child care, and school age and/youth development services.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p>
<p><input type="checkbox"/> State/Territory agency responsible for public health (<b>required</b>)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>The Department of Public Health is the lead agency for the Early Childhood Comprehensive Systems (ECCS) and the Blueprint Advisory Committee. The Lead Agency actively participates in the committee. The CCDF lead agency also has an agreement with Public Health to administer the Healthy Child Care Alabama program. The Department of Public Health actively participates in the Lead Agency's development and implementation of a Professional Development System (<i>Pathways</i>), planning for the Professional Development Registry, and in the planning for the Alabama Quality Rating and Improvement System.</p>	<p>Decrease the incidence of injury, illness and death that occur in the child care environment; Improve the integration of health concepts in child care settings through direct consultation with child care providers; Identify and make referral of infants and toddlers (birth to three years), who are potentially eligible for Alabama's Early Intervention System.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for employment services / workforce development (<b>required</b>)</p>		
<p><input checked="" type="checkbox"/> State/Territory agency responsible for providing Temporary Assistance for</p>	<p>CCDF program coordinates with the</p>	<p>-More on the job training/job readiness</p>

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<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></p> <p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p>
<p>Needy Families (TANF) including local human service agencies(<b>required</b>)</p>	<p>JOBS program to streamline and provide seamless delivery of services. Coordination with the TANF agency is allowing the Lead Agency to establish more consistent eligibility rules for the CCDF and TANF funded child care services and ensure that former TANF recipients can access child care and thereby avoid returning to TANF assistance. Coordination efforts include disseminating information about Tax Credits for employers who hire former TANF clients and opportunities for agencies, such as our partnering child care management agencies (CMA) and quality enhancement agencies (QEA), to provide community employment and on-the-job training opportunities to JOBS participants.</p>	<p>opportunities for TANF recipient - More effective, efficient and seamless delivery of services to parents.</p>

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<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>
<input checked="" type="checkbox"/> Indian Tribes/Tribal Organizations <b>(required)</b>  <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	The Tribal Organization in Alabama is the Poarch Band of Creek Indians. Representatives for the Poarch Creek Indians are actively participating Lead Agency's development and implementation of Alabama Early Learning Guidelines and Professional Development System ( <i>Pathways</i> ) and planning of the Alabama Quality Rating and Improvement System ( <i>Pathways to Higher Quality</i> ). The Lead Agency makes training and professional development opportunities available to Tribal child care facilities or facilities serving Tribal families.	Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.  Training activities targeted to providers serving the Tribal community
<b>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</b>		
<input type="checkbox"/> State/Territory agency with the Head Start Collaboration grant		
<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)		
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs		



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	<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>  Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs		
<input type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant		
<input type="checkbox"/>	State/Territory agency responsible for child welfare	The Lead Agency is also the State agency for Child Welfare services. Program coordinated allows for Protective Service and Foster Care families to receive priority for services. Child Welfare staff are also presenters in child abuse and neglect training for child care providers.	-Access to childcare without the need for face-to-face interviews and additional visits to County Departments. -Increase provider awareness of abuse and neglect prevention strategies
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives		
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21		
<input type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	The Lead Agency contracts with non-profit community based agencies to administer Subsidy Program eligibility services and quality enhancement services. The Lead Agency's	

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	<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>  Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		relationship with these local agencies has allowed for expansion of resources in the child care arena; allow for blending local, private and public funding supporting child care initiatives. An ongoing relationship with the Child Care Resource Center, Employer's Child Care Alliance promotes corporate partnerships in that support quality initiatives in child care.	
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Provider groups, associations are active members of Lead Agency QRIS Steering Committee, Alabama Professional Development Team, and the Child Care Citizen's Coordinating Committee.	-Provider knowledge of Lead Agency policy related to child care issue -Ongoing input from the provider community into the provision of CCDF funded services.
<input type="checkbox"/>	Parent groups or organizations		
<input type="checkbox"/>	Other		

**1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan?**

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

- Yes. If yes,
  - a) Provide the name of the entity responsible for the coordination plan(s):
  - b) Describe the age groups addressed by the plan(s):

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

Yes

No

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

No

**1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs?**

(658D(b)(1)(D), §98.14(a)(1))

Check which entity(ies), if any, the State/Territory has chosen to designate.

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  
The Department of Children's Affairs (DCA) has been designated as the coordinator of children's programs throughout the state (birth to age 19). Within this agency are the Head Start Collaboration Office, the Office of School Readiness, which oversees State funded Pre-K sites, and the Children's Policy Council. The expected results of these coordination efforts is to bring existing early childhood services into an effective system that optimizes a child's healthy development and school readiness and guide the process of coordinating existing education and professional development systems for child care providers. DCA is also the lead agency for the Alabama for the State Advisory Council under the Head Start Act of 2007.

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

If yes, describe entity, age groups and the role of the Lead Agency  
The Department of Children's Affairs has been designated as the lead agency for the Alabama for the State Advisory Council under the Head Start Act of 2007. The work of the Alabama Early Childhood Advisory Council targets children birth through age 5. The Council makes recommendations to the Governor and Legislature on how to effectively create a high-quality childhood system in order to improve the outcomes of Alabama's children and families. The Lead Agency is represented on the ECAC by the Lead Agency Commissioner and the Lead Agency Director of Child Care Service who is also the CCDF state administrator.

Local Coordination/Council

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

Other.

Describe \_\_\_\_\_

None

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

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

The Lead Agency collaborates with the Alabama Partnership for Children (APC), a private non-private agency, to fund the TEACH Early Childhood Program. This program, along with the Lead Agency's relationship with community colleges, has allowed for increased training and educational opportunities for providers. The Lead Agency's actively participates in the advisory committee for the Early Childhood Comprehensive Systems initiative. The advisory committees' work led to creation of the Blueprint for Zero to Five. The Blueprint is a structure for planning for planning, funding, advocacy, accountability and policy decisions aimed at creating public and private partnerships around early care and education. The model of the statewide Blueprint is being replicated at local levels. Local communities use the Blueprint to build local partnerships around early care and education and identify community child development resources.

An ongoing relationship with the Child Care Resource Center, Employer's Child Care Alliance promotes an increase in the number of corporate partners that support quality initiatives in child care. Many of the local agencies funded by the Lead Agency to implement Quality initiatives are developing private partnerships to supplement funding for quality activities and to maintain sustainability of quality services. Partnerships have been formed by local agencies with private partners such as PNC Bank and United Way.

- 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:**  
The Lead Agency has prepared an Emergency Welfare Services Disaster Response Plan. Licensing minimum standards require that all licensed facilities have a plan for the evacuation and care of children in the case if fire, tornado, serious accident or injury, or power failure. The plan must be posted in a conspicuous place in the facility.

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

Check which elements, if any, the Lead Agency includes in the plan.

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

**PART 2**

**CCDF SUBSIDY PROGRAM ADMINISTRATION**

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

**2.1. Administration of the Program**

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

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

Identify the level at which the following CCDF program rules and policies are established.

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

**2.1.2. How is the CCDF program operated in your State/Territory?**

In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
<p><b>Who determines eligibility?</b></p>  <p><b>Note:</b> If different for families receiving TANF benefits and</p>	<p><input type="checkbox"/> CCDF Lead Agency</p> <p><input type="checkbox"/> TANF agency</p> <p><input checked="" type="checkbox"/> Other State/Territory agency. Describe. University</p> <p><input type="checkbox"/> Local government agencies such</p>

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<b>Implementation of CCDF Services/Activities</b>	<b>Agency (Check all that apply)</b>
families not receiving TANF benefits, please describe: _____	as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<b>Who assists parents in locating child care (consumer education)?</b>	<input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input checked="" type="checkbox"/> Other State/Territory agency. Describe. <b>University</b> <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<b>Who issues payments?</b>	<input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<b>Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)</b>	Payments are issued through direct deposit to child care providers.
<b>Other. List and describe:</b> _____	

**2.2. Family Outreach and Application Process**

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

**2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a))**

Check all agencies and strategies that will be used in your State/Territory.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools

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- Internet (provide website): [www.dhr.alabama.gov](http://www.dhr.alabama.gov)
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe: \_\_\_\_\_

### 2.2.2. How can parents apply for CCDF services?

Check all application methods that your State/Territory has chosen to implement.

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website) \_\_\_\_\_
- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other. Describe: **For families participating in the Lead Agency programs (JOBS, Protective Service and Foster Care) a referral is received from the County Department case manager. Waiting list applications are received by mail, phone or fax.**

Beginning in FY2014 the Lead Agency will also accept applications by phone and mail. In FY2014 the Lead Agency will begin work on a data system to allow families to apply online.

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

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

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

The Lead Agency provides consumer education using a variety of methods. The Lead Agency has developed a brochure, **Choosing Child Care in Alabama**, designed to assist parents in selecting child care arrangements that best suit the family situation and the child's needs. The brochure is available on the Lead Agency website and must be made available in Child Care Management Agencies. Child Care Management Agency are required, through contract and policy, to provide consumer education information to parents who apply for subsidized care in an effort to promote



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informed choices with regard to available child care services. Families receiving Subsidized child care receive the brochure at initial application and each time the family requests to change providers.

The Quality Enhancement Agency that provide comprehensive services are required to provide, as part of contract, consumer education information and make the information available to the public.

The Alabama Early Learning Guidelines (AELG) contains a Resource Guide with telephone numbers and websites for contacting various local and national agencies and organizations regarding child care issues. AELG are made available to parents.

The Lead Agency maintains a listing of licensed child care centers on the Lead Agency webpage.

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

For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.

The Lead Agency QRIS Steering Committee has developed Alabama Quality STARS. Quality Rating and Improvement System. The pilot of Alabama Quality STARS began in May 2013. The Alabama Quality STARS will recognize and provide incentives to providers that reach higher levels of quality. Higher quality child care providers will be designated by stars. Five star will indicate the highest level of quality.

The Lead Agency has implemented an electronic Time and Attendance System (TAS) for child care reimbursements. The TAS will streamline attendance reporting process for child care providers. The TAS will also give child care providers access to information on child authorizations, allow for weekly reimbursement and internet access to administrative reports.

Both these initiatives are to encourage higher quality provider participation in the Subsidy Program.

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

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

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- 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 (job search, seasonal unemployment). Length of time: **Up to 90 days.** (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:  
**Families participating in the JOBS program, Protective Service families and Foster Care families are not required to attend a face-to-face interview to apply for services.**
- Other. Describe: \_\_\_\_\_
- None

### **2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families.**

Check the strategies, if any, that your State/Territory has chosen to implement.

- Provide CCDF assistance during periods of job search. Length of time \_\_\_\_\_
- 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 **Effective in FY2014 eligibility redetermination periods will be 1-year.**
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe \_\_\_\_\_
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe **School-age children are eligible during the school-year and during school breaks.**
- 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 \_\_\_\_\_

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- 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: Language line is available for non-english speaking eligible families.
- 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**

Applications and informational material is available is Spanish. The language line offers services in multiple language.

### **2.2.8. How will the Lead Agency overcome language barriers with providers?**

Check the strategies, if any, that your State/Territory has chosen to implement.

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages
- Website in non-English languages
- Bilingual caseworkers or translators available
- Other: Language line services is available for non English speaking providers.
- 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**

Applications and informational material is available is Spanish. The language line offers services in multiple language.

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

Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available.

[http://dhr.alabama.gov/documents/CC\\_Assistance\\_Appl.pdf](http://dhr.alabama.gov/documents/CC_Assistance_Appl.pdf)

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

<b>The Lead Agency requires documentation of:</b>	<b>Describe how the Lead Agency documents and verifies applicant information:</b>
<input checked="" type="checkbox"/> Applicant identity	Driver’s license, work ID, school ID, birth certificate; social security card, government issued IDs.
<input type="checkbox"/> Household composition	
<input checked="" type="checkbox"/> Applicant’s relationship to the child	Birth certificate; paternity affidavit; court documents; school records, other federal/state agency records
<input checked="" type="checkbox"/> Child’s information for determining eligibility (e.g., identity, age, etc.)	Birth certificate; paternity affidavit; court documents; school records, other federal/state agency records
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Documentation from the employer, educational institution or job training agency, other federal/state agency records
<input checked="" type="checkbox"/> Income	Check stubs, written statement from employer, other federal/state agency records
<input checked="" type="checkbox"/> Other. Describe : <b>Residence</b>	Lease , rent receipt, utility bills, other federal/state agency records.

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

- Time limit for making eligibility determinations. Describe length of time **Initial applications must be approved or denied within 30 days of the application date. Continuing eligibility applications must be approved or denied no later than the last working day of the current eligibility period. Caseworkers must process information received from families within 10 days of receipt of the information.**
- Track and monitor the eligibility determination process

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- Other. Describe \_\_\_\_\_  
 None

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

- Yes. If yes, describe: \_\_\_\_\_  
 No.

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

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

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

- a) Identify the TANF agency that established these criteria or definitions:  
State/Territory TANF Agency:  
**Alabama Department of Human Resources**
- b) Provide the following definitions established by the TANF agency.
- "appropriate child care":  
**TANF policy considers child care services to be appropriate if they are rendered by a child care provider legally authorized under applicable federal and state laws, regulations and requirements to provide such services and who has been selected to provide such services in accordance with parental choice safeguards.**
  - "reasonable distance":  
**TANF policy considers "reasonable distance" to be a distance that requires travel of no more than 2 hours per day.**
  - "unsuitability of informal child care":  
**TANF policy considers informal child care to be suitable only to the extent such care is provided within the constraints of applicable federal and state laws, regulations and requirements.**

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- "affordable child care arrangements":  
TANF policy does not require recipients to engage in work activities unless child care is accessible and is provided at no charge to the client or the Department subsidizes the cost of the care. The policy does not subject such recipients to a sanction or other penalty unless these criteria are met.

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: \_\_\_\_\_

**2.3. Eligibility Criteria for Child Care**

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

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

- *residing with* - Eligible children must live in the home with a parent, as defined at 45 CFR Part 98, Section 98.2, in a common place of residence.
- *in loco parentis* – Means exclusively adult relatives without legal custody or guardianship of the child; Foster parents of a child in the legal custody of the Department; and adults with whom the Department places a child for Protective Service reasons.

**2.3.2. Eligibility Criteria Based Upon Age**

a) The Lead Agency serves children from \_\_\_\_\_ weeks to \_\_\_\_\_ 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 (may not equal or exceed age 19)**. Provide the Lead Agency definition of *physical or mental incapacity* – Incapacity (or incapacitated) means a physical or mental condition which, based on the conclusions of a licensed physician, psychiatrist or

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psychologist, renders a parent incapable of providing adequate care for a child or, in the case of a child, incapable of caring for himself or herself. (Receipt of VA disability or SSI does not in and of itself constitute incapacity.)

No.

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

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

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

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

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

- *working* – Employment for a minimum average of 15 hours per week (either alone or in combination with a job training or educational program) in any legally operating place of business from which the parent receives wages, salaries, commissions and tips equal to, or greater than, the federal 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* – enrolled in, attending and satisfactorily participating in a job training or educational program, either alone or in combination with gainful employment, for a minimum average of 15 hours per week. (Students enrolled full-time in an educational program, in accordance with the institution’s definition of full-time are deemed to meet this requirement.)

No.

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

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

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* – Services provided by the Department to, or on behalf of, children in response to reports of alleged abuse, neglect or exploitation.

No.

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

Yes.  
 No.

**2.3.5. Income Eligibility Criteria**

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

- *income* – Income is defined as the total gross monthly income of all family members.



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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) – **excluded for six months if the income makes the family ineligible for child care.**
- 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 **If a teen parent lives with a responsible adult who is not the parent or legal guardian, the income of the responsible adult is excluded.**
- 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.

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Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	\$2,777	\$2,360	1,245	45%
2	\$3,631	\$3,086	1,680	46%
3	\$4,486	\$3,813	2,116	47%
4	\$5,340	\$4,539	2,551	48%
5	\$6,194	\$5,265	2,987	48%

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

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

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

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

No.

f) SMI Year 2013 and SMI Source LIHEAP

g) These eligibility limits in column (c) became or will become effective on: October 1, 2013.

**2.3.6. Eligibility Re-determination**

a) Does the State/Territory follow OCC’s 12 month re-determination recommendation? (See Program Instruction on Continuity of Care <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>)

Yes - 12 month eligibility will be implemented in FY2014.

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 \_\_\_\_\_

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**b) Does the Lead Agency coordinate or align re-determination periods with other programs?**

Yes.

No. If no, **check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.**

Head Start and/or Early Head Start Programs. Re-determination period \_\_\_\_\_

Pre-kindergarten programs. Re-determination period \_\_\_\_\_

TANF. Re-determination period 6 months

SNAP. Re-determination period \_\_\_\_\_

Medicaid. Re-determination period \_\_\_\_\_

SCHIP. Re-determination period \_\_\_\_\_

Other. Describe \_\_\_\_\_

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. **Families are required to report changes in income within 10 days of the effective date of the change.**

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. **If the reported change results in change in the subsidy benefit, the family is notified of the new benefit amount and any applicable change in the parental fee. If the change results in a decrease in benefits, the change the parent is given 10 days notice before the decreased benefit is effective.**

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> ).

**The Lead Agency averages income for eligibility determination over a 1 month period. The Families eligibility is maintained and payment is suspended during the temporary changes such as temporary layoff, maternity leave, temporary absence of the child from the home, illness of the parent, illness of the child, school breaks. The suspension is of payment is allowed for up to 90 days.**

**Child Care providers are paid for up to five (5) days when a child is absent due per month. If the child provides documentation from a licensed physician, psychologist or psychiatrist the provider can be paid for an additional 10 days of absence.**

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Child care providers are paid for up to 13 closures days each fiscal year. The payment received is based on the current authorization level of the child.

Child care providers receive Provider Communication Notice advising them of changes in the child subsidy benefit or the family's eligibility for care.

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

- Yes. If yes, describe \_\_\_\_\_  
 No.

### 2.3.7. Waiting Lists

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

- Lead Agency currently does not have a waiting list and:  
 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: **Families not eligible in a priority category are subject to the waiting list when they cannot be served at the time of application. Priority categories include Foster Care, Protective Service, TANF eligible families participating in the State's JOBS program, families transitioning from TANF assistance and minor parent families.**
- Waiting lists are a county/local decision. Describe \_\_\_\_\_  
 Other. Describe \_\_\_\_\_

### 2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations  
A parent has the right to request an administrative review or an administrative hearing in response to any action taken to deny, reduce or terminate services, if the parent feels such action was taken outside the context of Program policy. Each parent must be advised of their right to request an administrative review or hearing, as well as the procedures for requesting an administrative review or hearing, at each determination or initial and continuing eligibility for services or whenever action is taken to deny, reduce or terminate services. The administrative review must be scheduled as soon as is administratively feasible after the CMA receives the written request. The review must be conducted by the appropriate administrative staff member. The administrative hearing

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request must be forwarded to the Lead Agency Hearing Officer. Administrative Hearings are scheduled by the Lead Agency hearing officer.

**2.4. Sliding Fee Scale and Family Contribution**

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

**2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1.**

Will the attached sliding fee scale be used in all parts of the State/Territory?

- Yes. Effective Date October 1, 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.

- 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))

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

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

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

- Yes, and describe those additional factors:  
 No.

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

Select **ONE** of these options.

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

- ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: \$ \_\_\_\_\_
- SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families:  
Families with income below 30% of the federal poverty level are not required to pay a fee.

**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

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(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*.

<b>How will the Lead Agency prioritize CCDF services for:</b>	<b>Eligibility Priority (Check only one)</b>	<b>Is there a time limit on the eligibility priority or guarantee?</b>	<b>Other Priority Rules</b>
<p>Children with special needs</p> <p><b>Provide the Lead Agency definition of <i>Children with Special Needs</i></b> A child who is receiving protective services or foster care services from the Department, and who has been determined by the Department to need child care services. The Child Care Subsidy Program receives a referral for services from the County Department staff who manage Child Welfare Services to Foster Care and Protective service families.</p>	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input checked="" type="checkbox"/> Other. Describe <b>Children are not subject to the waiting list.</b>
<p>Children in families with very low incomes</p> <p><b>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i>:</b> Families with income at or below 30% of the federal poverty level.</p>	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input checked="" type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input checked="" type="checkbox"/> Other. Describe _____

**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**

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**activities, and those at risk of becoming dependent on TANF?**

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

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

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

**2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency.** (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

**Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility 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.

<b>Term(s)</b>	<b>Definition(s)</b>

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

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

**2.6.1. Child Care Certificates**

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

- Before parent has selected a provider
- After parent has selected a provider
- Other. Describe \_\_\_\_\_

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child



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care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

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

The caseworker gives an explanation whenever the parent requests to change providers. Also information is found on the Parent Agreement and Parental Choice form. The parental choice form is issued whenever the parent notifies the case manager of a change in providers.

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

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

The authorized unit of care - full-time or part-time (full-time equals more than 25 hours per week, parttime equals 25 or fewer hours per week), care level of the child, provider name and address is included on the child care certificate.

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

100% of services are offered through certificates.

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

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

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- 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? **NA**

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

**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.

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- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other. Describe: \_\_\_\_\_

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

Will the Lead Agency limit the use of in-home care in any way?

- 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 The provider must sign a statement certifying that they are meeting requirements of the Fair Labor Standards Act.

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

The parental complaint process for all licensed care in the State is regulated under the Alabama Administrative Procedures Act, which provides for release to any requesting adult all substantiated complaints in regard to licensing violations, not including certain privileged and/or confidential information. Information on center care is available from the State Department of Human Resources. Family and Group Home Care information is available from the 67 individual County Departments.

For care that is exempt from licensure, the CMAs or the various licensing units of the Department act as "intake" points. Since there is no "legal access" to providers exempt from licensure, no investigation is conducted; therefore, neither party actually makes a determination of "substantiation" of the complaint. If the complaint is made to the Department, it is referred to the appropriate legal entity (District Attorney). If the CMA receives the complaint, the parent is given a form upon which to note complaints. This form is forwarded to the provider who is allowed and encouraged to make a rebuttal. such response

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is shared with the parent making the complaint, kept on file at the CMA for release upon request , and forwarded to the appropriate Department licensing unit, where it is then referred to the appropriate legal entity (District Attorney).

The Department handles complaints regarding licensing violations and child abuse, neglect, and/or exploitation. On-site investigations may be made in these instances.

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

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

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

Will the attached payment rates be used in all parts of the State/Territory?

- Yes. Effective Date: October 1, 2011.
- No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

Attachment 2.7.1 – represents the current payment rates for child care providers.

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

- Policy on length of time for making payments. Describe length of time \_\_\_\_\_
- Track and monitor the payment process
- Other. Describe: **The Department reimburses child care providers through direct deposit. Diect deposit are made weekly.**
- None

**2.7.3. Market Rate Survey**

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02)

<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

- a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): **May 2013.**
- b) Provide a **summary of the results** of the survey. \_\_\_\_\_The summary should include a description of the sample population, data source, the

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type of methodology used, response rate, description of analyses, and key findings.

The FY2013 Market Rate Survey is in process.

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

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

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

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

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

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

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Information in the table below represents rates from the FY2011 Market Rate Survey. Percentile rate varies by region, age of child, and type of child care setting. Maximum reimbursable rates for center care and family and group home day care are set such that rates are within \$15 of the average region rate determined by the 2009 market rate survey.

<b>2.7.4a – Highest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	<b>\$627.85</b>	<b>\$480.63</b>	<b>57</b>
Full-Time Licensed Center Preschool (59 months)	<b>\$562.90</b>	<b>\$441.66</b>	<b>59</b>
Full-Time Licensed Center School-Age (84 months)	<b>\$476.30</b>	<b>\$407.02</b>	<b>64</b>

<b>2.7.4b – Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	<b>\$433.00</b>	<b>316.09</b>	<b>55</b>
Full-Time Licensed Center Preschool (59 months)	<b>\$420.01</b>	<b>303.10</b>	<b>54</b>
Full-Time Licensed Center School-Age (84 months)	<b>\$420.01</b>	<b>294.44</b>	<b>53</b>

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

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maximum payment rate ceiling is lower than the 75<sup>th</sup> percentile of the most recent MRS.

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

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

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

Information in the table below represents rates from the FY2011 Market Rate Survey. Percentile rate varies by region, age of child, and type of child care setting. Maximum reimbursable rates for center care and family and group home day care are set such that rates are within \$15 of the average region rate determined by the 2009 market rate survey.

<b>2.7.4c – Highest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	<b>484.96</b>	<b>385.37</b>	<b>60</b>
Full-Time Licensed FCC Preschool (59 months)	<b>437.33</b>	<b>359.39</b>	<b>62</b>
Full-Time Licensed FCC School-Age (84 months)	<b>437.33</b>	<b>363.72</b>	<b>62</b>

<b>2.7.4d – Lowest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	<b>368.05</b>	<b>272.79</b>	<b>55</b>

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<b>2.7.4d – Lowest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Preschool (59 months)	<b>368.05</b>	<b>259.80</b>	<b>53</b>
Full-Time Licensed FCC School-Age (84 months)	<b>368.05</b>	<b>259.80</b>	<b>53</b>

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

a) Describe how license-exempt center payment rates are set:

Rates are set at the same level as for licensed centers.

b) Describe how license-exempt family child care home payment rates are set:

NA

c) Describe how license-exempt group family child care home payment rates are set:

NA

d) Describe how in-home care payment rates are set:

In home rates are set a \$35.00 per week per child. Rates are paid for days of attended only. There is no provision for absence days or closure days.

**2.7.6 Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies?**

Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.

- Differential rate for nontraditional hours. Describe \_\_\_\_\_
- 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 \_\_\_\_\_
- Other differential rate. Describe \_\_\_\_\_
- None.



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

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

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

### **2.7.8 What specific policies and practices does the Lead Agency have regarding the following:**

- a) Number of absent days allowed. Describe:  
Five (5) absence days are allowed per month. **An additional five (5) days per month are allowed when the parent documents illness of the child.**
- b) Paying based on enrollment. Describe  
**Payment is based on the child's weekly enrollment for children attending formal child care providers (child care centers, family and group day care homes). Payment is based on attendance for informal providers settings (relative care and in-home care).**
- b) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly)  
**Reimbursement is based on weekly rates.**
- c) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe:  
**Direct Deposit is used to make provider payments. Reimbursement is made weekly.**

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

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

- a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1))

Parental choice is explained to parents at application and each time the parent wishes to change child care providers. When the parent requests to change providers they are given a Parental Choice form which explains their right to choose from among all legally operating child care providers. A statement explaining the parent's ability to choose from among all categories of legally operating child care is included on the Parent Agreement which the parent receives at each application. List of providers is given to parents on request by CMA agencies and quality enhancement agencies. The Lead Agency includes a list of licensed and exempts centers on the Departments webpage. Parents can search providers by County or zip code.

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

The Market Rate Survey collect rate data for licensed and legally operating center and family and group day care home providers (Informal relative and in-home care providers were not included in the survey). The data is filtered by type of provider (Centers, Family Day Care Homes, and Group Day Care Homes); by care level (Infant/Toddler, Preschool, School-age); and by Child Care Management Agency region. Current reimbursement is set such that the states reimburses from 63% of the average cost of care to 96% of average cost of care. The Lead Agency's maximum reimbursable rates for center care and family and group home day care are set such that rates are within \$15 of the average region rate determined by the 2009 market rate survey.

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

The parental co-payments are adjusted based on family size and income. The scale is designed to ensure a parent's contribution does not exceed 10% of the family's income. Current co-pays average 5.5% of a family's income.

- 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 \_\_\_\_\_

**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.)

Goal 1 –Implement online application process for parents.
Goal 2 –Conduct an analysis of provider rate trends using historical market rate data.
Goal 3 -
Goal 4 -
Goal 5 -

**PART 3**  
**HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES**

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

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

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

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

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance

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Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

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

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

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

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

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

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

**Definition:** Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or 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

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requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.

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

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

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

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

**Licensing standards serve as the CCDF health and safety requirements for all licensed centers and for all licensed family and group day care homes.**

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"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Yes, for some	Describe Licensed _____	Describe _____	Describe _____	Describe _____

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	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
providers in this category	center-based care.			
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe <div style="background-color: #ADD8E6; height: 15px; width: 100%;"></div>	Describe <div style="background-color: #ADD8E6; height: 15px; width: 100%;"></div>	Describe <div style="background-color: #ADD8E6; height: 15px; width: 100%;"></div>	Describe <div style="background-color: #ADD8E6; height: 15px; width: 100%;"></div>

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

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory  <b>Any child care facility that receives more than 12 children for more than four hour a day with or without stated educational purposes.</b>	Describe which types of center-based settings are exempt from licensing in your State/Territory <span style="background-color: #ADD8E6; border: 1px solid black; padding: 2px;"> </span>  For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.  <b>Programs operated by church/religious schools, public school programs, programs operated by a charitable or governmental entity, programs operating less than 4 hours per day.</b>
Group Home Child Care  <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes are subject to licensing  <b>A child care facility which is a family home and which receives at least seven but no more than twelve children for care during part of the day and at least two adults are present.</b>	Describe which types of group homes are exempt from licensing  <b>None</b>
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. <b>Reminder</b> - Do not check if family child care home providers simply must register or be certified to	Describe which types of family child care home providers are subject to licensing  <b>A child care facility which is a family home and which receives not more than six children for care during the day.</b>	Describe which types of family child care home providers are exempt from licensing  <b>None</b>



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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
	participate in the CCDF program separate from the State/Territory regulatory requirements.		
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. <b>Reminder</b> - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.  Describe which in-home providers are subject to licensing <input type="text"/>	Describe which types of in-home child care providers are exempt from licensing <input type="text"/>

**Note:** In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's.**

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

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

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<b>Indicator</b>	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	<b>Center-Based Child Care</b>	<b>Group Home Child Care</b>	<b>Family Child Care</b>	<b>In-Home Care</b>
<p>Do the licensing requirements include <b>child: staff ratios and group sizes</b>?</p> <p>If yes, provide the ratio for age specified.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months): <b>1 to 5</b></p> <p>Toddler ratio (35 months): <b>1 to 8</b></p> <p>Preschool ratio (59 months): <b>1 to 18</b></p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months):</p> <p>Toddler group size (35 months):</p> <p>Preschool group size (59 months):</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.</p> <p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months): <b>1 to 6 with no more than 3 children younger than 12 months.</b></p> <p>Toddler ratio (35 months):</p> <p>Preschool ratio (59 months):</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months):</p> <p>Toddler group size (35 months):</p> <p>Preschool group size (59 months):</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group: <b>1 to 6 with no more than 3 children younger than 12 months.</b></p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)</p> <p><input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input type="checkbox"/> No group size requirements.</p>

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<b>Indicator</b>	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	<b>Center-Based Child Care</b>	<b>Group Home Child Care</b>	<b>Family Child Care</b>	<b>In-Home Care</b>
Do the licensing requirements identify specific educational <b>credentials for child care directors</b> ?	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: <b>Plus 144 hours</b>	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.  Do the licensing requirements identify specific educational <b>credentials for child care directors</b> ?	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: <b>Plus 24 hours</b>	<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 identify specific educational <b>credentials for child care directors</b> ?
Do the licensing requirements identify specific educational <b>credentials for child care teachers</b> ?	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: <b>Plus 12 hours</b>	Do the licensing requirements identify specific educational <b>credentials for child care teachers</b> ?	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: <b>Plus 12 Hours</b>	Do the licensing requirements identify specific educational <b>credentials for child care teachers</b> ?
Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?	<input type="checkbox"/> At least 30 training hours required in first year <input checked="" type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <b>Teachers must have 12 hours of</b>	Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <b>20 hours</b>	Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?

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<b>Indicator</b>	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	<b>Center-Based Child Care</b>	<b>Group Home Child Care</b>	<b>Family Child Care</b>	<b>In-Home Care</b>
		<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)
	<b>training every year and the first 12 hours of training must be received within 30 days of employment.</b>			

e) Do you expect the licensing requirements for child care providers to change in FY2014-2015?

- Yes. Describe
- No

**3.1.2 Enforcement of Licensing Requirements**

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

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

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

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

<b>CCDF Categories of Care</b>	<b>Frequency of Routine Announced Visits</b>	<b>Frequency of Routine Unannounced Visits</b>
<input checked="" type="checkbox"/> Center-Based Child Care  <b>All visits are unannounced.</b>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe

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<b>CCDF Categories of Care</b>	<b>Frequency of Routine Announced Visits</b>	<b>Frequency of Routine Unannounced Visits</b>
	Two Years <input type="checkbox"/> Other. Describe <input style="background-color: #ADD8E6;" type="text"/>	<b>Other visits may be conducted for annual inspection, to investigate a complaint, monitor for compliance or to offer consultation.</b>
<input checked="" type="checkbox"/> Group Home Child Care  <b>All visits are unannounced.</b>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe <input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe <b>Other visits may be conducted for annual inspection, to investigate a complaint, monitor for compliance or to offer consultation</b>
<input checked="" type="checkbox"/> Family Child Care Home  <b>All visits are unannounced.</b>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe <input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe <b>Other visits may be conducted for annual inspection, to investigate a complaint, monitor for compliance or to offer consultation</b>
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe <input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe <input style="background-color: #ADD8E6;" type="text"/>

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

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

<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input type="checkbox"/> Yes. Describe <input style="background-color: #ADD8E6;" type="text"/>
	<input checked="" type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe <input style="background-color: #ADD8E6;" type="text"/>

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<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input checked="" type="checkbox"/> An on-site inspection is conducted. <input type="checkbox"/> Programs self-certify. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 1em;"></span> <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 1em;"></span>
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections. <input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers. <input checked="" type="checkbox"/> Licensing staff verify correction of violation. <input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation. <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 1em;"></span>
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license <input checked="" type="checkbox"/> License revocation or non-renewal <input type="checkbox"/> Injunctions through court <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input type="checkbox"/> Fines for regulatory violations <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 1em;"></span>
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input type="checkbox"/> Cease and desist action <input type="checkbox"/> Injunction <input type="checkbox"/> Emergency or immediate closure not through court action <input type="checkbox"/> Fines <input type="checkbox"/> No procedures in place. <input checked="" type="checkbox"/> Other. Describe; Written notice is sent to the provider, and a written report is sent to the District Attorney for the locality and the State Attorney General.
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe <b>An aggrieved person may request a fair hearing in the following situations: application for initial license is denied; application for renewal of a license is denied; application for initial license or renewal of a license is not acted upon within reasonable promptness identified as 60 days of receipt of all information; if a license is suspended or revoked</b>

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<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
	<input type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>

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

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

No

<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>	<b>Who is Subject to Background Checks?</b>
<input type="checkbox"/> <b>Center-Based Child Care</b>	<input checked="" type="checkbox"/> Child Abuse Registry  <b>Licensed center providers only.</b>	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <b>Automatic updates are received when violations occur.</b>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" 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 checked="" type="checkbox"/> Other. Describe: <b>Automatic updates are received when violations occur.</b>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> 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"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____

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<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>	<b>Who is Subject to Background Checks?</b>
		Automatic updates are received when violations occur.	
<input checked="" type="checkbox"/> <b>Group Child Care Homes</b>  <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> Child Abuse Registry  <input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" 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"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Automatic updates are received when violations occur.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <b>Assistants, substitutes and volunteers.</b>  <input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home <b>Assistants, substitutes and volunteers.</b>
	<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 checked="" type="checkbox"/> Other. Describe Automatic updates are received when violations occur.	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home <b>Assistants, substitutes and volunteers.</b>



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<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>	<b>Who is Subject to Background Checks?</b>
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
<input type="checkbox"/> <b>Family Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" 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 checked="" type="checkbox"/> Other. Describe <b>Automatic updates are received when violations occur.</b>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <b>Assistants, substitutes and volunteers.</b>
	<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 checked="" type="checkbox"/> Other. Describe: <b>Automatic updates are received when violations occur.</b>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <b>Assistants, substitutes and volunteers.</b>
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other.	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home

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

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:

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

**The criminal background check is \$48.50 if paperwork requesting the check is submitted online and \$50.00 if the paperwork requesting the background check is submitted by mail.**

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d-2) Who pays for background checks:  
The child care provider pays for the background check.

d-3) What types of violations would make providers ineligible for CCDF? Describe:  
Violations of that would make providers ineligible include convictions for murder, manslaughter, or criminally neglect homicide; a sex crime; a crime that involves the physical or mental injury or maltreatment of a child, the elderly, or an individual with disabilities; a crime committed against a child; a crime involving the sale or distribution of a controlled substance; robbery; conviction for a violation or attempted violation of an offense committed outside the State of Alabama or under federal law is a sex crime or any other crime if the offense would be a crime in Alabama.

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

Within 30 days of the date of the notification, an individual determined unsuitable based upon a disqualifying conviction may request in writing a reversal of the determination of unsuitability if the conviction is not for a sex crime or a crime committed against a child, an elderly individual, or an individual with disabilities.

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

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

Parents and the public can obtain information on substantiated complaints for licensed centers by contacting the Lead Agency. Licensed facilities are required to post the deficiency report in a conspicuous place with in the day care facility.

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

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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))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Physical exam or health statement for providers <b>*Licensed center providers only.</b>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical exam or health statement for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input 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 type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist;	<input checked="" type="checkbox"/> <b>Exempt Center providers only</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<b>The Lead Agency requires:</b>	<b>For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.</b>			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/> Public Health does a separate inspection in Mobile and Jefferson county for all providers	<input checked="" type="checkbox"/> Public Health does a separate inspection in Mobile and Jefferson county for all providers	<input checked="" type="checkbox"/> Public Health does a separate inspection in Mobile and Jefferson county for all providers	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe  <b>The checked items indicate requirements for licensed providers. Exempt from licensure providers submit a self-certification health and safety checklist.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

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<b>The Lead Agency requires:</b>	<b>For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.</b>			
	<b>Center-based child care providers</b>	<b>Family child care home providers</b>	<b>Group home child care providers</b>	<b>In-home child care providers</b>
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/> Public Health does a separate inspection in Mobile and Jefferson county for all providers	<input checked="" type="checkbox"/> Public Health does a separate inspection in Mobile and Jefferson county for all providers	<input checked="" type="checkbox"/> Public Health does a separate inspection in Mobile and Jefferson county for all providers	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
<b>Child Care Centers</b>  The checked items indicate requirements for licensed providers. Exempt from licensure providers submit a self-certification health and safety checklist.	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and		

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

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



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

d) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and

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uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii)(A))

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

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

**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. \_\_\_\_\_

- a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced)  
**Site visits are not conducted for exempt providers.**
- b) Describe whether the Lead Agency uses background checks  
**Background checks (State and FBI) are required for exempt providers participating in the Child Care Subsidy Program.**
- 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:  
**The self-certification must be submitted with the registration to participate in the Child Care Subsidy Program. Parents with children enrolled in exempt facilities are also given a health and safety checklist.**
  - No
- d) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements  
**All complaints reports and reports for unhealthy or unsafe practices are referred, in writing, to the local district attorney and state attorney general.**

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

**3.1.5. Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs?**

Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities.

Yes. Describe:

**Providers are encouraged to conduct developmental screenings.**

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

**Alabama Early Learning Guidelines Credential training includes a segment on developmental screenings. Quality Enhancement Agencies include developmental screening in their training and technical assistance outreach to providers.**

No

Other. Describe

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

Yes. Describe

No

Other. Describe

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

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

No

Other. Describe

**3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance –**

What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements

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checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

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

- Number of licensed programs. Describe (optional) \_\_\_\_\_
- Numbers of programs operating that are legally exempt from licensing. Describe (optional) Information is available for all faith-based exempt providers.
- Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) Information is available for licensed center providers.
- 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

**c) Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements?  
None

**d) 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.  
The Lead Agency will through the implementation of the Alabama Quality STARS, Quality Rating and improvement system to assess providers using assessment tools, including environmental rating scales and Program Administration scale.

### 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

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plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

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

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

Goal 1 – <b>Implement the home day care licensing data system.</b>
Goal 2 -
Goal 3 -
Goal 4 -
Goal 5 -

**New!**

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

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

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


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

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

If yes, insert web addresses, where possible:

<http://dhr.alabama.gov/documents/AELG.pdf>

Which State/Territory agency is the lead for the early learning guidelines?  
Alabama Department of Human Resources

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

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

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<b>Domains</b>	<b>Birth-to-Three ELGs</b>	<b>Three-to-Five ELGs</b>	<b>Five and Older ELGs</b>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above : <b>Self Concept</b>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 1em; vertical-align: middle;"></span>	<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.

	<b>Information Dissemination</b>	<b>Voluntary Training</b>	<b>Mandatory Training</b>
Parents in the child care subsidy system	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. List : <b>Father-hood groups; Foster parent groups; protective services families</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

 **3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system?**

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

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

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- Other. List
- None.



**3.2.5 Are voluntary early learning guidelines and development standards aligned with into other parts of the child care system?**

Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

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

**3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions.**

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

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

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

- Yes. Describe

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

- Yes. Describe
- No
- Other. Describe

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

- Yes. Describe
- No
- Other. Describe

- No



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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

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

Yes. Describe

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

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

No

Other. Describe

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

Yes. Describe

No

Not applicable. State does not have an SLDS.

**3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines –**

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

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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) [redacted]
- Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional) [redacted]
- Number of programs using ELG's in planning for their work. Describe (optional) [redacted]
- Number of parents trained on or served in family support programs that use ELG's. Describe (optional) [redacted]
- Other. Describe  
The Lead Agency has data on the total number of child care providers trained on the Alabama Early Learning Guidelines (AELG).
- None

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

The Lead Agency measures:

- Number of facilities in each provider category that has completed the AELG training;
- Number of staff that have completed AELG training;
- Number of AELG credential recipients;
- Number of AELG books disseminated to providers and parents; and
- Number of trainings conducted each year.

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

### 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?

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Embed the AELG training into the development of QRIS standards for Family and Group Day Care Homes;  
Conduct evaluation of the use of AELG by providers who have staff that have completed the AELG credential.

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

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

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

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

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

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

#### **3.3.1 Element 1 – Program Standards**

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

requirements.

**The Lead Agency will begin pilot implementation of the Alabama Quality STARS, quality rating and improvement system. The answers to question are based on the pilot implementation plans.**



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

- Ratios and group size
- Health, nutrition and safety
- Learning environment and curriculum
- Staff/Provider qualifications and professional development
- Teacher/providers-child relationships
- Teacher/provider instructional practices
- Family partnerships and family strengthening
- Community relationships
- Administration and management
- Developmental screenings
- Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- Cultural competence
- Other. Describe
- None. If checked, skip to 3.3.2.

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

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

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

- Licensing is a pre-requisite for participation
- Licensing is the first tier of the quality levels
- State/Territory license is a "rated" license.
- Other. Describe
- Not linked.

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


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between your State/Territory’s quality standards and other standards.

- Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
- Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
- Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
- Other. Describe
- None

**3.3.2 Element 2 –Supports to Programs to Improve Quality**

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

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

<b>Types and Purposes of Support</b>	<b>Information or Written Materials</b>	<b>Training</b>	<b>On-Site Consultation</b>
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input 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 type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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<b>Types and Purposes of Support</b>	<b>Information or Written Materials</b>	<b>Training</b>	<b>On-Site Consultation</b>
Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

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

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

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

- Yes. Describe
- No
- Other. Describe: **Technical Assistance is targeted to QRIS participants but is also available for programs not participating in QRIS.**

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


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

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

<b>Types of Financial Incentives and Supports for Programs</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
<input checked="" type="checkbox"/> Grants to programs to meet or maintain licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving/maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 15px;"></span>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**3.3.4 – Element 4 - Quality Assurance and Monitoring**

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

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

<b>Types of Program Quality Assessment Tools</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments.  Alabama Quality STARS will assess center program using the ECERS, ITERS and SACERS every three years.  Child Care Family Partnerships Project assists family and group child care home providers to raise the quality of child care services they deliver, with a focus on moving them toward accreditation standards. The Project uses the FDCRS tool to measure program quality. The program is voluntary, however participants in the program receive yearly assessments using the FDCRS.	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS)  Describe, including frequency of assessments.	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input 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. Alabama Quality STARS will assess center program using the Program Administration Scale every three years.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<b>Types of Program Quality Assessment Tools</b>	<b>Child Care Centers</b>	<b>Child Care Homes</b>	<b>License-Exempt Providers</b>
<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21 <sup>st</sup> Century Learning Center programs  Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

- Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
- Include QRIS or other quality reviews as part of licensing enforcement
- Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Other. Describe
- None

**3.3.5 – Element 5 - Outreach and Consumer Education**

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

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

- Yes. If yes, how is it used?
  - Resource and referral/consumer education services use with parents seeking care



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- Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
- Searchable database on the web
- Voluntarily, visibly posted in programs
- Mandatory to post visibly in programs
- Used in marketing and public awareness campaigns
- Other. Describe
- No. If no, skip to 3.3.6.

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

- Print
- Radio
- Television
- Web
- Telephone
- Social Marketing
- Other. Describe
- None

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

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

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


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

**Pilot of the QRIS system begins in May 2013.**

- 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

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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, please describe**

The Kids and Kin project, in partnership with the Family Guidance Center of Alabama, addresses the needs of children in relative care and promotes strategies to increase the quality of care provided by relatives.

**3.3.8 Data & Performance Measures on Program Quality –**

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

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

- Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional)
- Number of programs that move program quality levels annually (up or down). Describe (optional)
- Program scores on program assessment instruments. List instruments: **FDCRS; ITERS, ECERS, SACERS for programs participating in the pilot QRIS.**

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- Describe (optional) \_\_\_\_\_
- Classroom scores on program assessment instruments. List instruments: \_\_\_\_\_ 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) \_\_\_\_\_
- The Lead Agency maintains this data for providers that participate in Lead Agency funded accreditation initiatives.**
- Other. Describe \_\_\_\_\_
  - None

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

**The following performance measures are used:**

**Number of Participants and Programs reached by program quality initiatives;  
Number of technical assistance visits provided and type of provider setting receiving technical assistance visits; and**

**Impact of professional development initiatives on quality indicators such as:  
Business and Management Skills**

**Child Development**

**Health and Safety**

**Inclusion**

**Ongoing Training to Meet Minimum Standards**

**Parent Involvement**

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

**The Lead Agency plans for evaluation include:**

**Monitoring of the implementation of the QRIS system for center child care providers;**

**All Lead Agency funded quality training activities are evaluated using a pre- and post-test of participant knowledge and understanding. In addition, Quality Enhancement contractors are required to submit quarterly status reports that include information regarding training, consultation, technical assistance, and other quality activities. The evaluations have indicated increased participation**

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by all categories of providers in quality training and a general increase in participant knowledge and understanding of child care best practices.

### **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?

**Goal: Develop quality standards and begin pilot implementation of QRIS for Family and Group Day Care Home providers.**

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

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

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

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

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

**The Alabama Professional Development Team (APDT) makes recommendation and assists in planning of the Professional Development system. The Lead Agency implements initiatives around professional development in Partnership with local Quality Enhancement Agencies. Both the APDT and QEA bring together a diverse group of stakeholders representing all sectors of the child care community including**

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higher education, Pre-K, Head Start and Early Head Start, child care providers, Public Health, state agencies, and Tribal agencies.

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

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

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

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

If yes, insert web addresses, where possible:

<http://dhr.alabama.gov/Announce/Links/Pathways/CoverPathways.pdf>

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

- Child growth, development and learning
- Health, nutrition, and safety
- Learning environment and curriculum
- Interactions with children
- Family and community relationships
- Professionalism and leadership
- Observation and assessment
- Program planning and management
- Diversity
- Other. Describe
- None

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (as reported in section 3.3)

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- 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  
**Alabama's CKC's are cross-walked with Alabama Pre-k Standards, K-12 Content Standards and Head Start Outcomes.**
- None

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe \_\_\_\_\_
- Providers working directly with children in family child care homes, including aides and assistants. Describe \_\_\_\_\_
- Administrators in centers (including educational coordinators, directors). Describe \_\_\_\_\_
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe \_\_\_\_\_
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe
- Other. Describe
- None

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

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

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- Other. Describe
- None

### 3.4.2 Workforce Element 2 - Career Pathways

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



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

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

Insert web addresses, where possible:

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe
- Providers working directly with children in family child care homes, including aides and assistants. Describe
- Administrators in centers (including educational coordinators, directors). Describe
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe
- Other. Describe
- None

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

- Infants and toddlers
- Preschoolers
- School-age children
- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs

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Other. Describe

None

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

Voluntary guide and planning resource

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

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

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

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

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

Other. Describe

None


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

Yes. If yes, describe

No


**3.4.3 Workforce Element 3 – Professional Development Capacity**

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

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

Yes. If yes, describe

No

 b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the



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State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

- Yes. If yes, describe [redacted]  
 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 [redacted]  
 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 [redacted]  
 Trainer approval process. Describe [redacted]  
 Training and/or technical assistance evaluations. Describe [redacted]  
 Other. Describe [redacted]  
 None

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


- Yes. If yes, describe  
**Articulation agreements are within institutions of higher education. Most are local agreements but also there is articulation between the Alabama College System (2-year colleges) and the University of Alabama (one of the state's largest 4-year university) to accept child development course work obtained at an institution in the Alabama Community College System.**  
 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 Alabama Community College System institutions accept the CDA credential including 120 training hours for entry level child development programs.**  
 No

### 3.4.4 Workforce Element 4 – Access to Professional Development

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

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

Yes. If yes, for which sectors?

Child care

Head Start/Early Head Start

Pre-Kindergarten

Public schools

Early intervention/special education

Other. Describe

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

**Quality Enhancement Agencies maintain information about professional development opportunities and make available to providers monthly or quarterly training calendars. The Lead Agency maintains links to the training opportunities or calendars of the opportunities on the Lead Agency webpage.**

No

Insert web addresses, where possible:

[http://dhr.alabama.gov/services/Child\\_Care\\_Services/Schedule\\_Training.aspx](http://dhr.alabama.gov/services/Child_Care_Services/Schedule_Training.aspx)

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

Scholarships. Describe

**The T.E.A.C.H. Early Childhood® ALABAMA is a scholarship program that was developed to increase the level of education and**

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effectiveness of early learning professionals by making the educational process more affordable, increasing wages, and reducing staff turnover rates. Scholarships are currently offered for the CDA (Child Development Associate) Assessment Fee and Associate Degrees in Child Development and Early Care and Education.

The Leadership in Child Care Scholarship (LICC) developed to increase the level of education of early learning professionals. This program is accessible by licensed providers and exempt from licensure providers. Scholarships are offered for an Associate Degree in Child Development and Early Care and Education from the Alabama Colleges System community college institutions. Scholarships are also offered for the Bachelors Degree in Child Development and Early Care and Education through Athens State Univeristy, a Junior and Senior level institution in the Alabama College System.

- Free training and education. Describe  
All training funded by the Lead Agency is offered free of charge to participants. The Leadership in Child Care Scholarship program pays all tuition and fees for scholarship participants. The T.E.A.C.H. Early Childhood Alabama scholarship programs pays 80% of tuition and 80% of book cost for participants.
- Reimbursement for training and education expenses. Describe  
The Leadership in Child Care scholarship program reimburses 100% of the cost for the CDA assesement fee. The T.E.A.C.H. Early Childhood Alabama scholarship programs reimburses 85% of the CDA assesement fee.
- Grants. Describe [redacted]
- Loans. Describe [redacted]
- Loan forgiveness programs. Describe [redacted]
- Substitute pools. Describe [redacted]
- Release time. Describe  
The T.E.A.C.H. Early Childhood® ALABAMA is a scholarship program offers release time, when applicable for participants in the Associate degree program.
- Other. Describe [redacted]
- None

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

- Yes. If yes, describe [redacted]
- No

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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:

**The Family Child Care Partnership Project have mentor coaches with the specific goal of providing individualized, in-home training provided by a knowledgeable mentor familiar with the special needs of family child care providers. Mentors facilitate group training meetings designed to support additional educational needs, to encourage provider networking, and to foster provider professionalization.**

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.

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

**The Lead Agency contracts with the Alabama Partnership for children (APC) to implement the T.E.A.C.H. scholarship. The Program awards bonuses for participants who complete T.E.A.C.H. educational goals.**

No

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

Yes. If yes, describe

No

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

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- Yes. If yes, describe
- No

**3.4.6 Data & Performance Measures on the Child Care Workforce –**

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

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

- Data on the size of the child care workforce. Describe (optional)
- Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional)
- Records of individual teachers or caregivers and their qualifications. Describe (optional)
- Retention rates. Describe (optional)
- Records of individual professional development specialists and their qualifications. Describe (optional)
- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional)
- Number of scholarships awarded . Describe (optional)
- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional)
- Number of credentials and degrees conferred annually. Describe (optional)
- Data on T/TA completion or attrition rates. Describe (optional)
- Data on degree completion or attrition rates. Describe (optional)
- Other. Describe
- None

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

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

Yes.

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

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

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

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

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

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

Other. Describe \_\_\_\_\_

None

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

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

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

No

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

The following performance measures are used: Number of Participants and Programs reached by the professional development initiatives; the number of technical assistance visits provided and type provider setting receiving technical assistance visits; and the impact of professional development initiatives on quality indicators such as:

Business and Management Skills

Child Development

Health and Safety

Inclusion

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**Ongoing Training to Meet Minimum Standards  
Parent Involvement**

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

The Lead Agency plans for evaluation include:

Monitoring of implementation of QRIS system for center providers; Ongoing monitoring of Early Learning Guidelines training; and, All Lead Agency quality training activities are evaluated using a pre- and posttest of participant knowledge and understanding. In addition, Quality Enhancement contractors are required to submit quarterly status reports that include information regarding training, consultations, technical assistance, and other quality activities. The evaluations have indicated increased participation by all categories of providers in quality training and general increase in participant knowledge and understanding of child care best practices.

**3.4.7 Goals for the next Biennium –**

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

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

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

Goal 1 – Implement the Alabama Pathways trainer, training and practitioner registry.
Goal 2 – Improve the delivery of technical assistance to child care providers and expand to include mentoring and coaching for child care centers participating in Alabama Quality STARS.
Goal 3 –
Goal 4 –
Goal 5 –

DRAFT



**AMENDMENTS LOG**

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

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

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

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

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

**Instructions for Submitting Amendments:**

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

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

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



**APPENDIX 1  
QUALITY PERFORMANCE REPORT**

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

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

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

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

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

This report collects progress on the five goals identified in Part 2 and Part 3 of the Child Care and Development Fund (CCDF) Plan for FY2014-2015 along with key data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2014-2015:

1. Ensuring health and safety of children through licensing and health and safety

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

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

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

**A1.1 Progress on Overall Goals**

**Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.1.7, please report your progress using the chart below.**

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

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

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

**A1.2 Key Data**

OCC is collecting this information as one part of our overall effort to better understand States/Territories’ activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here and that some data requested may be collected by another agency or entity other than the Lead Agency. Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. For example, the number of programs with licensing violations will be

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affected by how stringent the licensing standards are. States with more stringent standards may be more likely to report more violations than those with less stringent licensing standards. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

### A1.2.1 Number of Programs

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

### A1.2.2 Number and Frequency of Monitoring Visits

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

- a) How many licensed center-based programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?  
\_\_\_\_\_
- a-1) Of those programs visited, how many were unannounced? \_\_\_\_\_
- a-2) Of those programs visited, how many were triggered by a complaint or identified risk? \_\_\_\_\_
- a-3) What percentage of required visits for licensed center-based program were completed? \_\_\_\_\_
- N/A  
Describe:

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

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

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

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

N/A

Describe:

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

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

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

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

N/A

Describe:

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

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

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

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

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

N/A

Describe: █

**A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year?**

Please provide your definition of injuries in the Describe box and indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). \_\_\_\_\_

N/A

Describe: █

**A1.2.7 How many fatalities occurred in child care or as the result of a child care accident or injury as of the end of the last year?**

Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). \_\_\_\_\_

N/A

Describe: █

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

**A2.1 Progress on Overall Goals**

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

Yes. Describe \_\_\_\_\_

No

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**A2.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.2.8, please report your progress.**

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

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

**A2.2 Key Data**

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

**A2.2.1a How many individuals were trained on early learning guidelines (ELG’s) or standards over the last fiscal year?**

Responses to this question should be consistent with information provided in question 3.2.3 in the CCDF Plan.

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



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

**A2.2.1b How many children are served in programs implementing the ELG's?**

Refer to question 3.2.4 in the CCDF Plan for examples of how ELG's can be implemented in programs. Program capacity can be used as an estimate of children served.

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

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

**A3.1 Progress on Overall Goals**

**A3.1.1 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.3.9, please report your progress.**

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

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

**A3.2 Key Data**

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

**A3.2.1 Number of Program Receiving Targeted Technical Assistance**

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

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

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

Health and safety \_\_\_\_\_

Infant and toddler care \_\_\_\_\_

School-age care \_\_\_\_\_

Inclusion \_\_\_\_\_

Teaching dual language learners \_\_\_\_\_

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

Mental health \_\_\_\_\_

Business management practices \_\_\_\_\_

N/A

Describe:

**A3.2.2 Number of Programs Receiving Financial Supports**

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

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

Child Care Centers \_\_\_\_\_

N/A

Describe:

Family Child Care Homes \_\_\_\_\_

N/A

Describe:

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

Child Care Centers \_\_\_\_\_

N/A

Describe:

Family Child Care Homes \_\_\_\_\_

N/A

Describe:

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

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

N/A

Describe:

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

N/A

Describe:

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

N/A

Describe:

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

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

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

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

N/A

Describe:

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

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

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

N/A

Describe:

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

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

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

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N/A  
Describe:

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

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

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

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

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

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

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

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

- a) What percentage of CCDF children were served in participating programs during the last fiscal year? \_\_\_\_\_

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- b) What percentage of CCDF children were served in high quality care as defined by the State/Territory? Provide the definition of high quality care in the Describe box. This may include assessment scores, accreditation, or other metric, if no QRIS.

N/A  
Describe:

**Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)**

**A4.1 Progress on Overall Goals**

**A4.1.1 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.4.7, please report your progress.**

You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements). If applicable, describe any barriers to implementing your planned goals.

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

**A4.2 Key Data**

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

**A4.2.1 Number of Teachers/Caregivers and Qualification Levels**

- a) What is the total number of child care center teachers in the State/Territory as of September 30, 2014? \_\_\_\_\_  
 N/A

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Describe:

b) What is the total number of family child care providers in the State/Territory as of September 30, 2014? \_\_\_\_\_

N/A

Describe:

c) What is the number of center teachers and family child care providers by qualification level as of the end of the last fiscal year? Count only the highest level of education attained.

	<b>Child Care Center Teachers</b>	<b>Family Child Care Providers</b>	<b>N/A</b>	<b>Describe</b>
Child Development Associate (CDA)	_____	_____	<input type="checkbox"/>	_____
State/Territory Credential	_____	_____	<input type="checkbox"/>	_____
Associate's degree	_____	_____	<input type="checkbox"/>	_____
Bachelor's degree	_____	_____	<input type="checkbox"/>	_____
Graduate/Advanced degree	_____	_____	<input type="checkbox"/>	_____

**A4.2.2 Number of Individuals Included in State/Territory's Professional Development Registry during Last Fiscal Year (October 1, 2013 through September 30, 2014)**

Teachers in child care centers \_\_\_\_\_

Family child care home providers \_\_\_\_\_

License-exempt providers \_\_\_\_\_

N/A

Describe:

**A4.2.3 Number of Individuals Receiving Credit-Based Training and/or Education as defined by State/Territory during the last fiscal year**

Teachers in child care centers \_\_\_\_\_

Family child care home providers \_\_\_\_\_

License-exempt providers \_\_\_\_\_

N/A

Describe:

**A4.2.4 Number of Credentials and Degrees Awarded during Last Fiscal Year**

If possible, list the type of credential or degree and in what type of setting the practitioner worked.

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<b>Setting</b>	<b>List Type of Credential and Provide Number Awarded</b>	<b>List Type of Degree and Provide Number Awarded</b>	<b>N/A</b>	<b>Describe</b>
Teachers in child care centers	_____	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	_____	<input type="checkbox"/>	_____

**A4.2.5 Number of Individuals Receiving Technical Assistance during Last Fiscal Year**

Describe any data you track on coaching, mentoring, or other specialist consultation. If possible, include in what type of setting the practitioner worked. Responses to this question should be consistent with information provided in question 3.4.4e of the CCDF Plan.

<b>Setting</b>	<b>List Type of Technical Assistance and Provide Number</b>	<b>N/A</b>	<b>Describe</b>
Teachers in child care centers	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	<input type="checkbox"/>	_____

**A4.2.6 Type of Financial Supports Provided and Number of Teachers/Providers Receiving as of End of Last Fiscal Year?**

- Scholarships. How many teachers/providers received? \_\_\_\_\_
  - Reimbursement for Training Expenses. How many teachers/providers received? \_\_\_\_\_
  - Loans. How many teachers/providers received? \_\_\_\_\_
  - Wage supplements. How many teachers/providers received? \_\_\_\_\_
  - Other. Describe
  - N/A
- Describe:

**Building Subsidy Systems that Increase Access to High Quality Care**

In this section, Lead Agencies provide progress on their subsidy administration goals over the past year as of September 30, 2014.



**A5.1 Progress on Overall Goals**

**Based on the goals described in the Lead Agency’s CCDF Plan at Section 2.8, please report your progress using the chart below.** You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., established copayment policies that sustain income and sustain quality, or established eligibility policies that promote continuity of care). If applicable, describe any barriers to implementing your planned goals.

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

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**APPENDIX 2**  
**CCDF PROGRAM ASSURANCES AND CERTIFICATIONS**

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E©(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E©(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E©(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E©(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

- (4) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E©(2)(B))

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- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E©(2)©)
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E©(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E©(2)©)
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E©(2)©)
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E©(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E©(4)(A))

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

**1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:**

<http://www.hhs.gov/forms/HHS690.pdf>

**2. Certification regarding debarment:**

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other>

**3. Definitions for use with certification of debarment:**

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other-0>

**4. HHS certification regarding drug-free workplace requirements:**

<http://www.acf.hhs.gov/grants/certification-regarding-drug-free-workplace-requirements>

**5. Certification of Compliance with the Pro-Children Act of 1994:**

<http://www.acf.hhs.gov/grants/certification-regarding-environmental-tobacco-smoke>

**6. Certification regarding lobbying:**

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<http://www.acf.hhs.gov/grants/certification-regarding-lobbying>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.

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**Attachment 2.4.1**

**Parental Fee Chart**

Weekly Fee:	\$8.00	\$10.50	\$13.00	\$15.50	\$18.00	\$20.50	\$23.00
<b>Family Size</b>	<b>Initial Eligibility Monthly Income Scale (All New Applicants Must Enter Under This Scale)</b>						
2	388-877	878-1020	1021-1161	1162-1302	1303 -1444	1445-1586	1587-1701
3	488-1152	1153-1354	1355-1541	1542-1730	1731-1915	1916-2102	2013-2141
4	589-1334	1335-1560	1561-1777	1778-1993	1994-2210	2211-2424	2425-2583
5	689-1575	1576-1828	1829-2082	2083-2336	2337-2588	2589-2842	2843-3026
6	790-1808	1809-2099	2100-2389	2390-2682	2683-2971	2972-3261	3262-3467
7	890-2041	2042-2371	2372-2701	2702-3033	3034-3361	3362-3691	3692-3909
>=8	991-2276	2277-2643	2644-3012	3013-3380	3381-3746	3747-4114	4115-4552

Note: Families with income below the amount shown in the \$8.00 column are NOT required to pay a fee. **All fees are per child.**

Weekly Fee:	\$30.50	\$38.00	\$45.50
<b>Family Size</b>	<b>Continuing Eligibility Monthly Income Scale</b>		
2	1702-1794	1795-1922	1923-1963
3	2142-2271	2272-2433	2434-2471
4	2584-2751	2752-2949	2949-2982
5	3027-3230	3231-3460	3461-3491
6	3468-3706	3707-3973	3973-4046
7	3910-4190	4191-4489	4489-4510
>=8	4552-4603	4604-4934	4934-4998

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**Attachment 2.6.1  
Alabama Child Care Certificate**

**CERTIFICATE OF CHILD CARE AWARD**

<Today's Date>

<Parent First Name> <Parent Last Name>  
<Parent Mailing Street Address>  
<Parent Mailing City> <Parent Mailing State> <Parent Mailing Zip>

Parent ID:  
Parent County:

- ( ) Your initial application for child care has been approved.
- ( ) Your certification for continuation of child care has been approved.

This is your official authorization to be presented to your child care provider.

**PERIOD OF CERTIFICATION**

From <Date from Report Screen> To <Date from Report Screen>

Child Name	ID	Start Date	Care Level	Schedule Type	Prov Rate	Parent Fee	Net Subsidy	Schedule
------------	----	------------	------------	---------------	-----------	------------	-------------	----------

\_\_\_\_\_  
Signature of CMA Worker

\_\_\_\_\_  
Date Signed

**Attachment 2.7.1**

**Payment Rates  
Maximum Reimbursement Rates  
Effective October 2009**

Regions	Center Full Infant/Toddler	Center Full Preschool	Center Full School	GFDC Full Infant/Toddler	GFDC Full Preschool	GFDC Full School	FDC Full Infant/Toddler	FDC Full Preschool	FDC Full School
Huntsville	\$101	\$92	\$87	\$93	\$86	\$75	\$91	\$86	\$79
Mobile	\$101	\$91	\$85	\$82	\$78	\$74	\$88	\$84	\$84
Birmingham	\$111	\$102	\$94	\$94	\$90	\$86	\$89	\$83	\$84
Montgomery	\$95	\$83	\$79	\$77	\$74	\$66	\$81	\$79	\$78
Opelika	\$91	\$87	\$80	\$68	\$67	\$65	\$81	\$80	\$80
Tuscaloosa	\$86	\$82	\$79	\$64	\$63	\$63	\$69	\$67	\$67
Ft. Payne	\$74	\$70	\$68	\$67	\$65	\$64	\$63	\$60	\$60
Talladega	\$73	\$70	\$70	\$81	\$66	\$66	\$64	\$62	\$60
Dothan	\$75	\$73	\$69	\$64	\$64	\$65	\$66	\$64	\$63

NOTE: Maximum part-time rates will not exceed 50% of the above rates. Maximum informal rates (in-home and relative out-of-home care) will not exceed \$35 per week.

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**ATTACHMENT 3.4a  
Quality Enhancement Agencies**

<u>Name</u>	<u>Type Agency</u>
<b>ALABAMA DEPARTMENT OF PUBLIC HEALTH</b> <b>Healthy Child Care Alabama</b> Dawn Ellis, Program Director	<i>State Agency</i>
<b>AUBURN UNIVERSITY</b> <b>Family Child Care Partnerships Project</b> Dr. Ellen Abell, Program Director	<i>State Agency</i>
<b>UNITED CEREBRAL PALSY OF HUNTSVILLE AND THE TENNESSEE VALLEY</b> <b>Child Care Enhancement with a Purpose</b> Melissa Anderson, Program Director	<i>Community/Non-profit Non-Governmental</i>
<b>ALABAMA PUBLIC TELEVISION</b> <b>Ready to Learn</b> Suzanne McFerrin, Program Director	<i>State Agency</i>
<b>ALABAMA DEPARTMENT OF POSTSECONDARY EDUCATION</b> <b>Leadership in Child Care Scholarship</b> Virginia Frazer	<i>State Agency</i>
<b>ALABAMA DEPARTMENT OF EDUCATION</b> <b>Extended Day / Extended Year</b> Sallye Longshore, Program Director	<i>State Agency</i>
<b>ALABAMA PARTNERSHIP FOR CHILDREN</b> <b>TEACH Early Childhood Alabama</b> Michelle Raybon, Program Director	<i>Community/Non-profit Non-Governmental</i>
<b>FAMILY GUIDANCE CENTER OF ALABAMA</b> <b>Montgomery Region and Dothan Region</b> <b>Kids and Kin Relative Child Care Program</b> Jeanne Sellers, CCM Division Director	<i>Community/Non-profit Non-Governmental</i>
<b>GRCMA EARLY CHILDHOOD DIRECTION</b> <b>Mobile Region</b> Wendy McEarchern, Executive Director	<i>Community/Non-profit Non-Governmental</i>



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**CHILDCARE RESOURCES**  
**Birmingham Region**  
Joan Wright, Executive Director

*Community/Non-profit*  
*Non-Governmental*

**CHILD CARE RESOURCE CENTER, INC.**  
**Opelika Region**  
Tammy Morgan, Executive Director

*Community/Non-profit*  
*Non-Governmental*

**CHILD DEVELOPMENT RESOURCES**  
**Tuscaloosa Region**  
Sally Edwards, Director

*State Agency - University*

**CHILDCARE RESOURCE NETWORK**  
**Ft. Payne Region**  
Mary S. Davis, Executive Director

*Community/Non-profit*  
*Non-Governmental*

**TALLADEGA CLAY RANDOLPH CHILD CARE CORP.**  
**Talladega and Huntsville Region**  
Kay Jennings, Executive Director

*Community/Non-profit*  
*Non-Governmental*