

CONNECTICUT'S
CHILD CARE AND DEVELOPMENT FUND PLAN
FOR
PUBLIC REVIEW AND COMMENT

CCDF Plan Draft dated April 25, 2011

The Connecticut Department of Social Services (DSS) Family Services & Child Care Team*, in collaboration with the State Child Day Care Council is convening public hearings to provide Connecticut residents an opportunity to comment on child care services in Connecticut. DSS must prepare the state's Child Care Plan to access federal funds.

The plan/application must be submitted to U.S. Department of Health and Human Services, Administration for Children and Families in Washington, D.C. by July 1, 2011.

The participation in this process of parents, providers and all other members of the public is encouraged and welcomed.

The draft plan is attached hereto and is available on the DSS web site www.ct.gov/dss.

To submit written comments – send email to julie.bisi@ct.gov or mail to ATTN: Child Care Division – CCDF Plan, Connecticut Department of Social Services, 25 Sigourney Street, Hartford, CT 06106, no later than June 8, 2011.

* The DSS Family Services & Child Care Team is prepared to answer questions concerning this information. Reach them by calling in-state toll-free 1-800-811-6141 and press 6 at any time during the message to be connected or (860) 424-5598 from within the local calling area or from out of state.



Child Care and Development Fund (CCDF) Plan

For

State/Territory:

CONNECTICUT

FFY 2012-2013

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2011 – 9/30/2013. 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 herein.

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

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

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

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

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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: **State of Connecticut, Department of Social Services**

Address of Lead Agency: **25 Sigourney Street Hartford, Connecticut 06106**

Name and Title of the Lead Agency's Chief Executive Officer:

Roderick L. Bremby, Commissioner

Phone Number: **(860) 424-5008**

Fax Number: **(860) 424-5129**

E-Mail Address: **Roderick.Bremby@ct.gov**

Web Address for Lead Agency (if any): **www.ct.gov/dss**

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: **Peter Palermino**

Title of CCDF Administrator: **Program Manager**

Address of CCDF Administrator: **DSS Family Services Unit,
25 Sigourney Street, Hartford, Connecticut 06106**

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Phone Number: (860) 424-5006

Fax Number: (860) 424-5335

E-Mail Address: peter.palermينو@ct.gov

Web Address for Lead Agency (if any): www.ct.gov/dss or
<http://www.ct.gov/dss/cwp/view.asp?a=2353&q=305178>

Phone Number for CCDF program information (for the public) (if any):
1 (800) 811-6141

Web Address for CCDF program (for the public) (if any):
www.ct.gov/dss

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: _____

Web Address for Co-Administrator (if any):

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 2012 – FY 2013 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, 2011 through September 30, 2012. (§98.13(a)).

FY 2012 CCDF allocation: **\$51,394,837**

Federal TANF Transfer to CCDF: \$ 0

Direct Federal TANF Spending on Child Care: \$ 0

State CCDF Maintenance-of-Effort Funds: **\$ 18,738,358**

State Matching Funds: **\$ 18,178,031**

Quality Funds: \$ _____

Estimated Administrative Cost: \$ 3,000,000 (3.6%).

This estimate for administrative funds will also support the oversight, expenditure and necessary reporting for the ARRA funds.

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 FY2012 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

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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.

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: [State General Funds](#)

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 _____

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

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

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

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

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

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

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

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

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

1.3. CCDF Program Integrity and Accountability

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

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

The Lead Agency maintains overall responsibility for the administration of the program and has established comprehensive controls to direct and monitor vendor performance. The Lead Agency follows all federal and state rules governing financial and program management and ensures compliance with state and federal audit requirements. The Lead Agency maintains sole responsibility for issuing policy directives and monitors all contracted entities for compliance. The Lead Agency employs personnel from a variety of internal units for this effort, including Financial Management, Quality Assurance, Fraud and Recoveries, Human Resources, Contract Administration, Information Technology, Assistance Programs and the Office of Legal and Administrative Hearings. Vendors are required meet the performance standards established in their contracts. The Lead Agency utilizes management reports, desk reviews and audits to monitor compliance.

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

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

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure

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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.

The Lead Agency maintains overall responsibility for the administration of the program and has established comprehensive controls to direct and monitor vendor performance. The Lead Agency follows all federal and state rules governing financial and program management and ensures compliance with state and federal audit requirements. The Lead Agency maintains sole responsibility for issuing policy directives and monitors all contracted entities for compliance. The Lead Agency employs personnel from a variety of internal units for this effort, including Financial Management, Quality Assurance, Fraud and Recoveries, Human Resources, Contract Administration, Information Technology, Assistance Programs and the Office of Legal and Administrative Hearings. Vendors are required meet the performance standards established in their contracts. The Lead Agency utilizes management reports, desk reviews and audits to monitor compliance.

Contract and subcontract monitoring through review of document, program and fiscal reports, contract compliance, ad hoc reporting, case reviews, eligibility review of sample cases, and random monitoring of sites. Child care licensing and enforcement personnel are supported by the state Department of Public Health (DPH) to conduct inspections to insure basic health and safety standards are met. Staff are supervised by state managers.

The Lead Agency supports a variety of activities for licensed and informal child care providers; training in child development to caregivers on basic child health and development issues; technical assistance to child care advocacy and member organizations. Annual reports are collected to measure compliance with negotiated activities and annual monitoring is completed.

Eligibility - Dedicated quality assurance and monitoring unit at the vendor site

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

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, CACFP, FNS, Medicaid)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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Type of Activity	Identify Program Violations	Identify Administrative Error
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct supervisory staff reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct data mining to identify trends	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe <u>Fraud Investigations</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

(Optional) If the Lead Agency checked any option in the chart above other than none, please describe

The Lead Agency established two dedicated child care investigations units - Fraud Early Detection (FRED) and the Active Case Assessment Unit or ACAP. Both units are housed within the agency's Quality Assurance Division, which also includes Audits and Quality Control, Third Party Liability and Client Fraud and Recoveries. The units are staffed by trained investigators who conduct field investigations on error prone and suspected fraud cases.

The purpose of the FRED program is to detect and prevent errors before the agency approves benefits. From 2006 through 2010, the FRED program realized \$24 million in cost avoidance from cases that would have been paid in error. Similarly, ACAP investgators are responsible for active and closed cases. They pursue recovery action through criminal prosecution, administrative hearings and civil recovery actions. From 2007 through 2010, 213 arrests warrants were executed for amounts totaling \$3 million.

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error?

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount \$10	<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 <u>Generally, IPV Overpayments of \$2,000 or more are referred to the Chief State's Attorney for prosecution. IPV errors of less than</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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<u>\$2,000 are recovered administratively as are all UPV and administrative errors.</u>			
Recover through repayment plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in subsequent months	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through other means. Describe <u>Offsetting overpayments with underpayments</u>	<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 <u>8 Investigators, 2 Leads and 2 Supervisors</u>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. Describe <u>Civil Court</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Optional) If the Lead Agency checked any option in the chart above other than none, please describe Child care providers and families suspected of committing fraud in amounts of \$2,000 or more are referred to Chief State's Attorney for prosecution. Criminal charges may include larceny, conspiracy to commit larceny, vendor fraud and racketeering. Service providers convicted of vendor fraud are disqualified from participating in the CCDF subsidy program and may be subject to forfeiture or suspension of any franchise or license held by the provider from the state. Collections on criminal cases are made through the Judicial Department's Office of Adult Probation.

The lead agency refers administrative and UPV error claims to the Department of Administrative Services Division of Collection Services. Recover occurs through a variety of methods, including lump sum payments, monthly billing plans, state income tax intercepts, private collections agencies and civil court actions.

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 The Lead Agency disqualifies parents following a criminal conviction or administrative disqualification hearing adjudication. The penalty is progressive - 3 months, 6 months and 12 months for the first, second and third offense respectively. The disqualification penalty may be appealed through the administrative hearing process conducted by the Lead Agency.
- Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified A lifetime disqualification penalty is imposed on providers following a criminal conviction. The only recourse is an appeal to an appropriate court of jurisdiction.

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- Prosecute criminally
- Other. Describe.

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

Activities identified in ACF-402	Actions Taken or Planned
<ul style="list-style-type: none"> ▪ Correct system co-payment rounding error defect ▪ Insufficient documentation <ul style="list-style-type: none"> Wage calculations errors Errors in care schedule calculations Error in application of state policy 	<ul style="list-style-type: none"> ▪ A system defect was discovered that caused the co-payment calculation on the certificate to vary from the payment calculation by up \$0.02 per week. The defect as been corrected. ▪ Training was conducted to correct errors identified during the federal review process. Error elements were addressed in training transmittals and by supervisors in ongoing unit meetings. The operations vendor conducts desk reviews to monitor compliance. Staff will be evaluated on performance in these and other areas. <p>The lead agency will also monitor performance by reviewing a random sample of cases. State staff will employ a methodology parallel the federal review process.</p>

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)).

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Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/> Representatives of general purpose local government (required) <input checked="" type="checkbox"/> 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.	C.L.A.S.S. - The Connecticut Local Administrators of Social Services Graustein Discovery Communities
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.	
<input checked="" type="checkbox"/> State/Territory agency responsible for public education <input checked="" type="checkbox"/> This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21 st Century Community Learning Centers), or higher education.	State Department of Education (SDE) ask to complete sections of the plan. Develop agreement to consult and coordinate.
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs <input checked="" type="checkbox"/> 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	Connecticut Department of Developmental Services (DDS) – Helped to develop definitions for children with Special Needs for Care4Kids program. State Department of Education (SDE)
<input checked="" type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	Connecticut Department of Public Health - completed Section 3.1
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	Head Start – shared plan preprint HSCO State Director and Head Start Advisory Councils.
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	Presented plan preprint to full Statewide Advisory Council. Will convene public hearing at regular meeting.
<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	Connecticut After School Network
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	State Department of Education (SDE) - shared plan preprint
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	Connecticut Department of Public Health (DPH)
<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)	Connecticut Department of Public Health (DPH)
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	State Department of Children and Families (DCF)
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives	Not applicable
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services/workforce development	Connecticut Department of Labor (DOL)
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary	Connecticut Department of Social

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	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	Assistance for Need Families (TANF)	Services (DSS) – CCDF Administrator is TANF Administrator.
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	State Department of Education (SDE) working with Connecticut After School Coordinating Council
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	Connecticut Association for the Education of Young Children (CAEYC), All Our Kin, CT Voices for Children, Early Childhood Alliance
<input checked="" type="checkbox"/>	Parent groups or organizations	CT Parent Power
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	2-1-1 Child Care – part of United Way of Connecticut
<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: April 25, 2011 **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 posted on Lead Agency website www.ct.gov/dss and emailed, faxed, handed out to advocated, child care providers, parent groups, state agencies, resource & referral agencies and others.
- c) Date(s) of public hearing(s): May 16, 2011; May 23, 2011 and May 24, 2011 **Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).
- d) Hearing site(s): Hamden, Waterbury, and Norwich, Connecticut
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? The plan was posted to the website, sent via email to providers and advocates, and made available in hard copy upon request and at meetings such as the All Our Kin (Kith and Kin) provider meeting
- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? Public comments made during the public hearings and other community meetings relating to the CCDF plan are documented and reviewed by state agency staff involved in writing the CCDF plan. Consultation with advocates, providers and families provide opportunities for discussion on prioritizing comments, goals, recommendations and policy implications

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. The formal public hearings are being held in 3 cities to accommodate equal access and distance across the state. Two of the sites are community colleges with easy access to the campus, building and meeting room. Each of the 3 sites has two meetings, one during daytime hours and one in the evening. In addition, the plan and Q& A sessions are being made available through webinar(s) with access to the audio recording and powerpoint presentation after the webinar(s).

1.5. Coordination Activities to Support the Implementation of CCDF Services

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

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

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

<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe the goals or results you are expecting from the coordination</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 checked="" type="checkbox"/> Representatives of general purpose local government (required)</p> <p><input type="checkbox"/> 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</p>	<p>C.L.A.S.S. - The Connecticut Local Administrators of Social Services</p> <p>Graustein Discovery Communities</p>	

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<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe the goals or results you are expecting from the coordination</p>
<p>health agencies.</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 checked="" type="checkbox"/> State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>State Department of Education (SDE)</p>	<p>Jointly fund and administer the School Readiness and Quality Enhancement grant programs for designated Connecticut communities.</p> <p>Jointly fund training for child care providers through the CT Charts a Course professional development system including activities to augment the statewide Accreditation Facilitation Project, the Scholarship Assistance Program and Provider Registry.</p> <p>Produce necessary materials to support parents and providers to use in transitioning their children from preschool to school.</p> <p>Develop programs to promote family involvement in School Readiness and other early care programs.</p>
<p><input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>State Department of Education (SDE)</p> <p>CT After School Network</p>	

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<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe the goals or results you are expecting from the coordination</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for public health (required)</p> <p><input checked="" type="checkbox"/> 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>Connecticut Department of Public Health (DPH)</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>DSS and DPH Educate informal providers regarding immunizations.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for employment services / workforce development (required)</p>	<p>Connecticut Department of Labor (DOL)</p>	<p>Work to ensure TANF clients receive job training skills and access child care.</p> <p>Share staff contact lists with Workforce Investment Boards, their service providers and child care subsidy staff to facilitate case processing and problem resolution.</p> <p>Provide training to DOL and Workforce Investment Board staff regarding how families on public assistance can access and use the child care subsidy program.</p> <p>Distribute printed materials, brochures and videos on choosing quality child care and on how to contact and apply for child care subsidies for use by DOL staff and Workforce Investment Board staff and program participants.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for providing Temporary Assistance for Need Families (TANF) (required)</p>	<p>Connecticut Department of Social Services (DSS)</p>	<p>Provide child care to TANF eligible clients who must work</p>

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
<input checked="" type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	Mohegan Tribe	To be developed
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery		
<input checked="" type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	Connecticut Department of Public Health (DPH)	Blend funding to support licensing personnel. DPH updates the database of licensed providers for 211-Child Care, Connecticut’s resource and referral project, funded by DSS. DPH updates the database of licensed providers for DSS’s child care subsidy program and allows the subsidy program vendor to notify DPH when they learn about over-capacity and/or unlicensed operating situations DPH notifies DSS of all license suspensions and revocations and regulatory violations from complaint investigations against child care providers upon request. DPH expedites the licensing process for new programs funded through the CT School Readiness project or the Child Care Facilities Loan Fund.
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	State Head Start Collaboration	Blend funding to support quality activities.

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<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe the goals or results you are expecting from the coordination</p>
<p><input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act</p>	<p>Early Childhood Education - State Advisory Council.</p>	<p>Supporting 4 workgroups</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>State Department of Education (SDE)</p>	<p>Coordinate access to informal providers identified in the subsidy program.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>Connecticut Department of Developmental Services (DDS)</p>	<p>Represented on the Connecticut Birth to Three Interagency Coordinating Council, which provides for forums for policy review and advocacy on various issues regarding young children with special needs and caregivers to support such children.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>Connecticut Department of Public Health (DPH)</p>	<p>Coordinate Home Visiting application</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for child welfare</p>	<p>Connecticut Department of Children and Families (DCF)</p>	<p>Transfer of child care funds from DSS to DCF to conduct background checks when informal child care providers seek child care financial assistance.</p> <p>Establish protocols and report needs for sharing information on target groups, e.g. foster and adoptive children.</p> <p>Provide education to child care providers and parents on child abuse/neglect prevention and behavioral/mental health issues.</p>
<p><input type="checkbox"/> State/Territory liaison for military child care programs or other military child care</p>		

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full- day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	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	CT After School Network	Increase quality services to after school programs
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	United Way CT 2-1-1-	Operate statewide data collection and consumer education
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	All Our Kin	Train Family Providers on Infant/Toddler guidelines
<input checked="" type="checkbox"/>	Parent groups or organizations	CT Parent Power	Offer comments for subsidy program.
<input checked="" type="checkbox"/>	Other	Save the Children	Work with DSS and other agencies on emergency preparedness planning for early care and education providers, statewide.

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):
 - 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 State Advisory Council (SAC) includes representatives from several state agencies including the lead agency, as well as advocates, providers and parents.
- 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 Lead Agency is a member of the State Advisory Council
- Local Coordination/Council
If yes, describe entity, age groups and the role of the Lead Agency
- Other.
Describe Child Day Care Council
Connecticut Early Childhood Alliance
Connecticut After School Advisory Council
- 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
Work with Connecticut foundations to support early care and education activities and help leverage additional funding and resources to support families. In FFY 2010 foundation funding of over \$600,000 was directed to programs that supported the needs of families with children, including camperships, summer food, back-to-school supplies, and family supports.
- 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)

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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-XX) located on the Office of Child Care website at: http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm

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 contracted with Save the Children to develop an emergency preparedness and response plan. The plan is expected to be completed by September 1, 2011. Planning efforts are underway with the state emergency management agency, the Connecticut Department of Homeland Security and Emergency Management.](#)

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
- 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, how Lead Agencies ensure continuity of care and parental choice of high quality settings for families, and sliding fee scale and payment rate policies and procedures.

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, provide the name(s) of the local entity _____
 - Other. Describe: _____
- Sliding fee scale is set by the:
 - State/Territory
 - Local entity. If checked, provide the name(s) of the local entity _____
 - Other. Describe: _____
- Payment rates are set by the:
 - State/Territory
 - Local entity. If checked, provide the name(s) of the local entity _____
 - 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>Who determines eligibility?</p> <p>Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____</p>	<input 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

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Implementation of CCDF Services/Activities	Agency (Check all that apply)
	<input checked="" type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input checked="" type="checkbox"/> Other. Describe. <u>Non-profit contractor (same as R&R agency)</u>
Who assists parents in locating child care (consumer education)?	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency <input checked="" type="checkbox"/> Other State/Territory agency. Describe. <u>SDE, DPH, DCF</u> <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input checked="" type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Who issues payments?	<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. _____
Other. List and describe: _____	

2.2. Family Outreach and Application Process

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

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

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet (provide website): www.ct.gov/dss www.ctcare4kids.com
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings

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- 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
- Other. Describe: Centrally located drop-box

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.

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 contracts with United Way of Connecticut, which is also the statewide resource and referral agency, to inform and counsel parents about choosing child care and provide community forums to parents and providers; development and distribution of educational brochures, videos, public service announcements; collaboration with other agencies identified in Section 2.1 and organizations that have similar target populations; coordination with statewide and local media; distribution of child care informational packets at the Lead Agency regional offices and the Connecticut Department of Labor, which is coordinating the state's welfare-to-work project. 211-Child Care maintains a statewide data base, which contains information on, fees, capacity, hours of operations, etc. of child care centers, group home child care and family day care home providers.

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.

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Support for high quality programs is through the following means:

a. comprehensive consumer education: Includes a variety of strategies such as: funding the United Way of Connecticut 211-Child Care project which is the statewide resource and referral agency to counsel parents about choosing child care and provide community forums to parents and providers; development and distribution of educational brochures, videos, public service announcements; collaboration with other agencies identified in Section 2.1 and organizations that have similar target populations; coordination with statewide and local media; distribution of child care informational packets at the Lead Agency regional offices and the Connecticut Department of Labor, which is coordinating the state's welfare-to-work project. Annual reports are submitted that document activities negotiated to assess of service is utilized. Annual monitoring is also completed.

b. monitoring of compliance with licensing and regulatory requirements: Child care licensing and enforcement personnel are supported by the state Department of Public Health (DPH) to conduct inspections to insure basic health and safety standards are met. Staff are supervised by state managers.

c. professional development, training and technical assistance: The Lead Agency supports a variety of activities such as: the Connecticut Community-Technical Colleges Systems' Connecticut Charts a Course project, a comprehensive early caregiver career development system which includes a scholarship program for income eligible providers; a program targeted to kith and kin providers; a statewide Accreditation Facilitation Project; the Provider Registry System; the University of Connecticut Cooperative Extension Systems' newsletter entitled, All Children Considered, which is distributed to all licensed and informal child care providers; the training program in child development to caregivers on basic child health and development issues; technical assistance to child care advocacy and member organizations. Annual reports are collected to measure compliance with negotiated activities and annual monitoring is completed.

d. inclusive child care: The Lead Agency was co-facilitator of the former Map to Inclusion project with the Connecticut Department of Developmental Services. Curriculum was developed and integrated into of the Connecticut Charts a Course professional development system and is offered via the Training Program in Child Development. The CT certificate/voucher program provides special reimbursements for children with special needs.

e. Healthy Child Care America and other health activities: The Lead Agency has participated as a member of the Healthy Child Care Connecticut (HCCCT) initiative, which has now been replaced by the Early Childhood Partners project. This project is the Connecticut's response to the federal Maternal and Child Health's Early Childhood Comprehensive Systems Plan. Program activities are assessed by the CT Department of Public Health.

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f. other quality activities that increase parental choice, and improve the quality and availability of child care: The Lead Agency contracts with the United Way of Connecticut 211-Child Care project to conduct a recruitment program to expand the number of licensed family child care providers. The Lead Agency is a partner with the State Department of Education to implement the state’s School Readiness initiative that expands opportunities for three and four year olds in selected communities throughout Connecticut. The school readiness project also assists child care providers to enhance program services such as nutrition, health care, parent education, literacy, etc. The Lead Agency is facilitating a review of child care opportunities for homeless children and is piloting a program to analyze and address the issues of providing child care services to children between six weeks and 12 years of age, who reside in shelters for the homeless. Some sheltered children may have additional mental health needs resulting from being homeless and family situations, including family violence that they may have witnessed. The establishment of a mental health support system for both the child/family and child care staff is an integral part of the design discussion. The intent of the pilot program and its associated research is to demonstrate best practices for providing care to sheltered children. Program components will permit sufficient flexibility in funding and programmatic requirements to allow for attendance fluctuations, transportation needs and substitution of housing search and other shelter-related activities that assist families in establishing themselves in the community, for job search and work requirements. All activities if funded require annual activity reports based on negotiations to certain tasks/activities.

g. compensation for child care providers: The Lead Agency provides compensation through scholarship assistance offered by the Connecticut Charts a Course project and supports compensation through its contracted child care center programs and its Child Care Assistance Program. Annual reports are collected to measure compliance with negotiated activities and an annual monitoring is completed.

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

- Increase access to program office/workers such as by:
 - Extending office hours
 - Accepting applications at multiple office locations
 - Providing a toll-free number for clients
 - Other. Describe: Fax, Mail
- Simplify eligibility determination process such as by:
 - Simplifying the application form
 - 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

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- Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment). Length of time _____
- Other. Describe: _____
- Other. Describe: Developing direct deposit capability.
- None

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

- Provide CCDF assistance during periods of job search. Length of time _____
- Establish two-tiered income eligibility with a higher exit point than entry point to cover temporary changes in family's circumstances
- Synchronize review date across programs
- Longer eligibility re-determination periods (e.g., 1 year). Describe Increased from 6 months to 8 months.
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe _____
- Minimize reporting requirements for changes in eligibility criteria, such as changes in income above a certain threshold or change in employment
- Targeted case management to help families find and keep stable child care arrangements
- 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 reach out and provide 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
- 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
- Other: Dial-up translation line service.
- None

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

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- 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: Dial-up translation line service.
- None

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://www.ctcare4kids.com/pdf/C4KfinalApplication2.pdf>

Please see Attachment for description of 'how the Lead Agency documents and verifies applicant information:

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	
<input checked="" type="checkbox"/> Household composition	
<input checked="" type="checkbox"/> Applicant's relationship to the child	
<input checked="" type="checkbox"/> Child's information	
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	
<input checked="" type="checkbox"/> Income	
<input type="checkbox"/> Other. Describe _____	

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

- Policy on length of time for making eligibility determinations. Describe length of time 30 days from receipt
- Track and monitor the eligibility determination process
- Other. Describe _____
- None

2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. 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 Connecticut Department of Social Services
- b) Provide the following definitions established by the TANF agency.
 - "appropriate child care":
 - Appropriate child care means care that meets the health and safety standards that are required for providers who receive payments under the provisions of the Child Care Assistance Program (CCAP), as mandated by Connecticut General Statutes 17b-749.
 -
 - "reasonable distance":
 - Reasonable distance means care that can be accessed by public or private transportation that is available to the client without interfering with the parent's ability to maintain employment. If transportation is not available, child care must be within reasonable walking distance from the person's home.
 -
 - "unsuitability of informal child care":
 - Unsuitable informal care means care that is exempt from the State's licensing requirements, but does not meet the health and safety standards described in a. above, or is otherwise shown to be unsafe or inappropriate for the child.
 -
 - "affordable child care arrangements":
 - Affordable child care arrangements means licensed child care that costs the parent (after subsidies) no more than ten percent of his or her total income.

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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 - •*
- Living with on a regular basis, including taking meals together and sleeping in the same home.
-
- *in loco parentis – •*
- A person with whom the child lives who is responsible for the day-to-day care and custody of the child when the child’s parent by blood, marriage, adoption or court order is not performing such duties.

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 0 weeks to 13 years (maximum age under 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. Provide the Lead Agency definition of *physical or mental incapacity* –

physical or mental incapacity & special needs child – A child shall be considered to have special needs if the child’s independence, self-sufficiency and safety is dependent on others and the child requires extra supervision, care, or assistance in the child care setting due to the following physical, mental, behavioral or emotional conditions, including but not limited to:

(a) a physical handicap or health impairment that causes chronic or acute health problems, such as a heart condition, orthopedic

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impairment, tuberculosis, asthma, epilepsy, cerebral palsy, leukemia or congenital abnormality that has been diagnosed by a physician; (b) mental retardation or autism spectrum disorder as diagnosed by a physician, pediatrician or psychologist;

(c) a behavioral or emotional disturbance, maladjustment or developmental delay that causes the child to exhibit marked and inappropriate behaviors or characteristics over extended periods that has been diagnosed by a psychologist, psychiatrist or other clinically trained and state-certified mental health professional acting within his or her scope of practice;

(d) a speech, language, vision or hearing impairment that has been diagnosed by a physician or state certified health care professional acting within his or her scope of practice; or

(e) multiple handicaps that cause problems or interfere with the child’s ability to function in the child care setting without extra care or supervision.

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 _____
 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 in one or more jobs as an employee of another individual, a partnership, corporation or self-employment, for which compensation is paid in the form of earned income.

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))

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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* –
-
- Attending: Enrollment in and regularly attending classes or compliance with the mandatory employment services requirements of the TANF program, including being available for work, reporting from interviews, attending group or individual orientation sessions and satisfactory participation in employment service activities.
-
- job training and educational program:
- (a) A state day program accredited by the State Department of Education or the New England Association of Schools and Colleges, a general equivalency diploma program, or an adult education, technical high school or vocational secondary school program which shall lead to a high school level diploma or certificate; and
-
- (b) An employment services activity approved by the Department of Social Services, the Department of Labor or the designee of either agency in accordance with the State Plan requirements for the TANF program, including but not limited to education activities below the post-secondary level, job skills training, job readiness activities, job development and placement activities, job search, work experience, drug or alcohol rehabilitation.

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

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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* –
- a family service plan for safeguarding children who are considered by the state’s child welfare service agency to be at risk of abuse or neglect.

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* –
- Countable income: Gross income less allowable deductions and excluded income;
-
- Earned income: Compensation for personal services, including but not limited to wages, salaries, commissions, bonuses; and
-
- Very low income: Under 50 percent of the state’s median income level.

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

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received

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

The following types of income shall be excluded from the gross income determination:

- (A) TFA cash assistance benefits;
- (B) child support payments;
- (C) income paid by the Census Bureau to low-income temporary census workers;
- (D) the value of Food Stamp benefits;
- (E) the earnings of a family member who is under the age of eighteen who is not the parent of a child for whom assistance is requested;
- (F) earned income credit payment, including advanced payments;
- (G) cash contributions from non-profit charitable agencies or organizations;
- (H) interest and dividends totaling less than six hundred dollars per calendar year;
- (I) lump sum payments from unearned income sources totaling less than six hundred dollars per calendar year;
- (J) income tax refunds;
- (K) special need payments issued by the department on behalf of a cash assistance recipient that are paid to a vendor;
- (L) income from the sponsor of a non-citizen;
- (M) grants, loans and scholarships paid to students;
- (N) cash gifts received on an irregular basis, the aggregate of which does not exceed twelve hundred dollars per calendar year;
- (O) the value of goods and services given as in kind income rather than cash payments;
- (P) reimbursements for expenditures that do not represent a benefit or gain to the recipient;

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(Q) disaster assistance paid under the Disaster Relief Act of 1974, as amended, including the Individual and Family Grant (IFG) program, and comparable disaster assistance provided by states, local governments and private organizations, and any interest earned on funds from this source;

(R) payments made by the Department of Labor to meet the cost of pursuing employment;

(S) state or federal government rental subsidies;

(T) security deposits returned by a landlord to the family;

(U) payments made under means tested energy assistance programs and utility subsidies;

(V) payments received under Title II of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and

(W) payments made pursuant to the American Recovery and Reinvestment Act of 2009, P. L. 111-5, directly to an individual who is an applicant for or recipient of benefits or services under any state or local program financed in whole or in part with state funds that provides such benefits or services based on need.

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 living with parents

Unrelated members of household

All members of household except for parents/legal guardians

Other The income of all family members is included

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				
3				
4				
5				

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 2011 poverty guidelines are available at <http://aspe.hhs.gov/poverty/11poverty.shtml>.

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** See attachment.

Family Size (a) 100% SMI/mo (b) 85% SMI/ mo (d) Lower % of SMI

1	\$4,425.50	\$3,761.68	50 / 75
2	\$5,787.20	\$4,919.12	50 / 75
3	\$7,148.89	\$6,076.56	50 / 75
4	\$8,510.58	\$7,234.00	50 / 75
5	\$9,872.28	\$8,391.44	50 / 75

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 2011 and SMI Source Federal Register Vol. 76, No. 74, 4-18-2011

g) These eligibility limits in column (c) became or will become effective on: 7-1-2011

2.3.6. Eligibility Re-determination

a) What is the re-determination period upon initial authorization of CCDF services for most families?

- 6 months
- 12 months
- 24 months
- Other. Describe 8 months
- Length of eligibility varies by county or other jurisdiction. Describe _____

b) Is the re-determination period the same for all CCDF eligible families?

- Yes.
- No. If no, **identify** those families where eligibility authorizations differ and the length of re-determination for those families. **Check which families for whom authorizations are different.**
 - Families enrolled in Head Start and/or Early Head Start Programs. Re-determination period _____
 - Families enrolled in pre-kindergarten programs. Re-determination period _____
 - Families receiving TANF. Re-determination period _____
 - Families who are very-low income, but not receiving TANF. Re-determination period _____
 - Other. Describe _____

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:
- Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

The Lead Agency's Office of Legal Counsel, Regulations and Administrative Hearings handles parental complaints concerning due process in the Child Care Assistance Program. The Lead Agency's contractor for the voucher/certificate program has designed a grievance/mediation process for parents and child care providers as a first step before a formal administrative hearing by the Lead Agency.

Complaints concerning other components of the CCDF program are filed directly with the Lead Agency. The Lead Agency requires all contracted program components to maintain a file of complaints and report as necessary.

Complaints concerning licensed child care providers are reported to the either the state Department of Public Health (licensing issues such as staff ratios or illegal operation) or the state Department of Children and Families (abuse and neglect issues). Parents and providers are advised to contact those agencies for appropriate information.

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. The attached sliding fee scale was or will be effective as of: 7-1-2011

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

- Yes
 No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.2a, 2.4.2b**, etc.

2.4.3. 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: 2011
 Federal Poverty Level, Year: _____
 Income source and year varies by geographic region. Describe income source and year: _____
 Other. Describe income source and year: _____

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2.4.4. 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 as 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
 - No additional fee charged after certain number of children
 - Fee per family
- Fee as percent of income and
 - Fee is per child with the same fee for each child
 - Fee is per child and discounted fee for two or more children
 - No additional fee charged after certain number of children
 - Fee per family
- Contribution schedule varies by geographic area
- Other. Describe _____

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

2.4.5. 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.

2.4.6. 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: All families with earned income have fees.

2.5. Prioritizing Services for Eligible Children and Families

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

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

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p>Provide the Lead Agency definition of <i>Children with Special Needs</i> <u><i>Special Needs child – A child shall be considered to have special needs if the child's independence, self-sufficiency and safety is dependent on others and the child requires extra supervision, care, or assistance in the child care setting due to the following physical, mental, behavioral or emotional conditions, including but not limited to:</i></u></p> <p><u><i>(a) a physical handicap or health impairment that causes chronic or acute health problems, such as a heart condition, orthopedic impairment, tuberculosis, asthma, epilepsy, cerebral palsy, leukemia or congenital abnormality that has</i></u></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input type="checkbox"/> Other. Describe _____</p>

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<p>How will the Lead Agency prioritize CCDF services for:</p>	<p>Eligibility Priority (Check only one)</p>	<p>Is there a time limit on the eligibility priority or guarantee?</p>	<p>Other Priority Rules</p>
<p><u>been diagnosed by a physician; (b) mental retardation or autism spectrum disorder as diagnosed by a physician, pediatrician or psychologist;</u></p> <p><u>(c) a behavioral or emotional disturbance, maladjustment or developmental delay that causes the child to exhibit marked and inappropriate behaviors or characteristics over extended periods that has been diagnosed by a psychologist, psychiatrist or other clinically trained and state-certified mental health professional acting within his or her scope of practice;</u></p> <p><u>(d) a speech, language, vision or hearing impairment that has been diagnosed by a physician or state certified health care professional acting within his or her scope of practice; or</u></p> <p><u>(e) multiple handicaps that cause problems or interfere with the child's ability to function in the child care setting without extra care or supervision.</u></p>			
<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of Children in Families with Very Low Incomes</p> <p><u>Very low income: Under 50 percent of the state's median income level.</u></p>	<p><input checked="" type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input checked="" type="checkbox"/> Other. Describe <u>No co-payment for families with no earnings.</u></p>

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

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

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

- Use priority rules to meet the needs of TANF families
- 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: No co=pay for families with no earnings

2.5.3 Eligibility conditions... response (form does not allow input in next section Eligibility Categories)

Priority over other CCDF eligible families

- Families receiving Temporary Assistance for Needy Families (TANF)
- Families transitioning from TANF

Same Priority as other CCDF eligible families

- Families at risk of becoming dependent on TANF
- Children with special needs
- Children in families with very low incomes

ATTACHMENT - PRIORITY ELIGIBILITY GUIDELINES

Excerpt from the Child Care Assistance Program Regulations contains the priority eligibility guidelines for the Care 4 Kids Program. Sec. 17b-749-08. Prioritization for Child Care Funding

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.

Term(s)	Definition(s)

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

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

2.6.1. Child Care Certificates

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

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

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

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency Website: www.ctcare4kids.com www.ct.gov/dss
- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe _____

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

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

d) What is the estimated proportion of services that will be available for child care services through certificates? 100%

2.6.2. Child Care Services Available through Grants or Contracts

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

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

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 Not Applicable

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: Not Applicable

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

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts? 0

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

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

Connecticut state laws guarantee unlimited access for parents at all licensed child care settings, including those parents eligible for CCDF financial assistance. Child care settings that are exempt from licensing requirements are also informed that they must allow parents unlimited access to their children.

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 _____

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 Lead Agency's Office of Legal Counsel, Regulations and Administrative Hearings handles parental complaints concerning due process in the Child Care Assistance Program. The Lead Agency's contractor for the voucher/certificate program has designed a grievance/mediation process for parents and child care providers as a first step before a formal administrative hearing by the Lead Agency.

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Complaints concerning other components of the CCDF program are filed directly with the Lead Agency. The Lead Agency requires all contracted program components to maintain a file of complaints and report as necessary.

Complaints concerning licensed child care providers are reported to the either the state Department of Public Health (licensing issues such as staff ratios or illegal operation) or the state Department of Children and Families (abuse and neglect issues). Parents and providers are advised to contact those agencies for appropriate information.

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. Provide a copy of your payment rates as Attachment 2.7.1. The attached payment rates were or will be effective as of: January 1, 2002.

2.7.2. Are the attached payment rates provided in Attachment 2.7.1 used in all parts of the State/Territory?

- Yes.
- No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.2a, 2.7.2b**, etc.

2.7.3. 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 Payment must be issued within 15 days of the date the child care provider submits the completed invoice. The timeliness standard is codified in regulation and is one of the critical contract performance measures for the operations vendor.

- Track and monitor the payment process
- Other. Describe

The Lead Agency uses management reports to monitor compliance. The reports measure volume, production and processing time. The average processing time is between seven and eight days.

- None

2.7.4. Market Rate Survey

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

<http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm> 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)): February 2011.

b) Attach a copy of the **MRS instrument** and a **summary of the results** of the survey as **Attachment 2.7.4**. For Lead Agencies that use an administrative provider database, provide a copy of the intake form as the instrument. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

2.7.5. Will the Lead Agency use the local Market Rate Survey identified in 2.7.4a (i.e., the most recent MRS) to set its payment rates?

- Yes
 No

If no, list the MRS year that the payment rate ceiling is based upon 2001

2.7.6. At what percentile of the most recent local MRS are or will payment rates be set? Provide the percentile for your payment rate ceiling in relation to the most recent survey and **describe** The market rates fall between the 6th and 88th percentiles depending on the child's age, special needs status, the type of setting and accreditation status. Attachment 2.7.4 contains a detailed breakdown of the percentile levels by age group.

Note: Identify the percentile where payment rates fall according to the most recent local MRS (identified in 2.6.4a) regardless of whether or not you use the most recent survey to set rates. If the percentile(s) varies across categories of care (e.g., different for centers and family child care homes), regions or ages of children, provide the range of the highest and lowest percentile in relation to the most recent survey.

2.7.7. 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.

Differential rate for nontraditional hours. Describe _____

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Differential rate for children with special needs as defined by the State/Territory. Describe Rates for children with special needs are 15% higher than the standard rate.

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 _____

Licensed facilities with nationally recognized accreditations receive a five percent increase over the standard rate.

Other differential rate. Describe _____

None.

2.7.8. Will the Lead Agency allow providers to charge parents any additional fees? Check the policies, if any, the Lead Agency has chosen to establish regarding additional fees.

Providers are allowed to charge the difference between the maximum reimbursement rate and their private pay rate

Providers are allowed to charge registration fees

Providers are allowed to charge for transportation fees

Providers are allowed to charge for meals.

Providers are allowed to charge additional incidental fees such as field trips or supplies

Policies vary across region, counties and or geographic areas. Describe _____

No, providers may not charge parents any additional fees

Other. Describe _____

None

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

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

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

The Lead Agency does not restrict parental choice. Parents may choose any licensed or unlicensed child care provider that is operating legally in Connecticut or is licensed and in good standing in an adjacent state. Providers must meet health and safety standards established. The Lead

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Agency also contracts with 2-1-1 Child Care to provide resource and referral services to parents. 2-1-1 Child Care assists parents with locating quality and affordable care that meets the specific need of the child and family.

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

The Lead Agency determines if payment rates are adequate by evaluating the proportion of children enrolled that are enrolled in in licensed child care programs. From 2009 to 2011, the number of licensed child care enrollments increased from 64% to 70% of the total caseload. Attachment 2.7.4 contains a detailed explanation of the analysis.

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

The co-payment is a monthly, per family fee that ranges from 2% to 10% of the countable income. The fee scale is designed to ensure that families in the lower income brackets only pay a nominal fee. Unemployed families in education and training activities do not have a co-payment. In addition, TANF benefits and child support paid or received are excluded from the income calculation. The average fee for an employed TANF recipient is less than \$12 per week. Post TANF recipients and families with income below 50% of the state median income average approximately \$26 per week. The co-payment for families with income between 50% and 75% of the state median income average \$92 per week.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access Refer to Attachment 2.74

2.7.10 Goals for the next Biennium – 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)

1. Implement direct deposit for child care providers.
2. Streamline application process
3. Review current payment rates and implications for parents and providers

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 our programs and the staff who work in them are a core element of CCDF. This section allows Lead Agencies 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 based on four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies:

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-part process. In this section, Lead Agencies conduct a self-assessment by describing the current status of their efforts, using common practices and best practices to list characteristics. Lead Agencies then are asked to identify goals for making progress during the FY 2012-2013 biennium and describe their data, performance measure and evaluation capacity for each component.

It is expected that the Lead Agency is making 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. Until that point,

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States/Territories are expected to fall on a continuum of progress. Baseline information on status and capacity for these elements and goals for the upcoming two-year period will be captured in this section. Progress on these elements will be reported using the Quality Performance Report in Appendix 1 as the final step.

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. 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.

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. 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)) Section 3.1 asks the State/Territory to identify and describe the components of both the licensing and CCDF health and safety requirements, indicate which providers are subject to the requirements, and describe compliance and enforcement activities. (658E(c)(2)(F), §98.41)

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

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providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

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

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

Yes.

No. Please identify the entity/agency responsible for licensing
Connecticut Department of Public Health

b) **Provide a brief overview** of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory. At a minimum, describe whether the State/Territory's licensing requirements serve as the CCDF health and safety requirements. The licensing requirements serve as the standard for CCDF health/safety requirements only for licensed child care settings. There are different considerations for in-home child care providers.

c) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. Within each CCDF category of care, please identify which types of providers are exempt from licensing in your State/Territory in the chart below.

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CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)’ work.	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory <u>Programs administered by a public school system, programs administered by a municipal agency and located in a public school bldg, programs administered by an accredited private school, certain classes and library programs that are no longer than 2 hrs, scouting, programs that offer exclusively sport activities, rehearsals, academic tutoring programs, programs exclusively for children thirteen or older, informal arrangements among neighbors or relatives, drop-in operations for educational or recreational purposes and the child receives care infrequently where parents are on the premises, drop-in operations in retail establishments where parents are on the premises, drop-in programs administered by a nationally chartered boys and girls club, religious educational activities exclusively for children whose parents are members of such religious institution, administered by Solar Youth, Inc. a nonprofit youth development and environmental education organization provided parents are informed that such program is not licensed, programs administered by organizations under contract with Department of Social Services that promote the reduction of teenage pregnancy</u></p> <p>For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.</p>
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 exempt from licensing <u>Same as above</u> NOTE: Group Day Care Homes are licensed but may operate outside of a private residence; this category type is defined based on the number of children served
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	Describe which types of family child care home providers are exempt from licensing <u>Care provided less than 3 hours does not meet the definition of family child care; relative care</u>

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CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
	excess of 24 hours is due to the nature of the parent(s)'s work. Reminder - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. Reminder - Do not check if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing <u>Care provided by relative at child's home or relative's home.</u> <u>Care provided by non-relative at child's home.</u>

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's.** Submitted 3-11-11

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

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

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
Do the licensing requirements include child:staff ratios and group sizes ? If yes, specify age group, where appropriate.	<input checked="" type="checkbox"/> Child:staff ratio requirement: 1:10 1:4 under 3 yrs <input checked="" type="checkbox"/> Group size requirement: 20 8 under 3 yrs <input type="checkbox"/> No requirements.	<input checked="" type="checkbox"/> Child:staff ratio requirement: 1:10 1:4 under 3 yrs <input checked="" type="checkbox"/> Group size requirement: 20 8 under 3 yrs <input type="checkbox"/> No requirements.	<input type="checkbox"/> Child:staff ratio requirement: <input checked="" type="checkbox"/> Group size requirement: NOTE: Regular capacity can not exceed 6 children plus 3 school age children. Can	<input type="checkbox"/> Child:staff ratio requirement: <input type="checkbox"/> Group size requirement: <input type="checkbox"/> No requirements.

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			not have more than 2 under age 2 unless approved assistant is present. <input type="checkbox"/> No requirements.	
Do the licensing requirements identify specific experience and educational credentials for child care directors?	<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: 3 credits in the administration of early childhood education programs or educational administration	<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: 3 credits in the administration of early childhood education programs or educational administration	<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: Provider must be certified in first aid	<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 type="checkbox"/> Other:
Do the licensing requirements identify specific experience and educational credentials for child care teachers?	<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: Must be (1) head teacher with high school or equivalent and 1080 hrs supervised experience AND CDA or 12 ECE or child development credits OR 4 yr degree in ECE or child development and 360	<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: Must be (1) head teacher with high school or	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/ Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other: N/A	<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 type="checkbox"/> Other:

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	<p>hrs of supervised experience and 1 semester student teaching and (2) second program staff with high school or equivalent or 540 hrs experience. For school age programs requirement differ slightly (see state regulations sec. 19a-79-11) Must be a staff on site with current first aid and CPR certification.</p>	<p>equivalent and 1080 experience and (2) second program staff with high school or equivalent or 540 hrs experience. For school age programs requirement differ slightly (see state regulations sec. 19a-79-11). Must be a staff on site with current first aid certification.</p>		
<p>Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?</p>	<p><input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: Program staff required to complete one percent of the total annual hours worked of professional development</p>	<p><input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: Program staff required to complete one percent of the total annual hours worked of professional development</p>	<p><input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input type="checkbox"/> Other:</p>

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

Yes. Describe The regulations governing child day care centers and group day care homes are currently under review to reduce certain requirements that are not applicable to programs that serve exclusively school age children.

No

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

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

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

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

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

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	CPR	X	X
	First aid	X	X
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration	X if administering medication	X if administering medication
	Mandatory reporting of suspected abuse or neglect	X	X

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Child development		
	Supervision of children	X	X
	Behavior management	X	X
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response	X	X
	Other. Describe Staff must receive initial orientation and annual training on the program's policies and procedures	X	X
Group Home Child Care	CPR		
	First aid	X	X
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration	X if administering medication	X if administering medication
	Mandatory reporting of suspected abuse or neglect	X	X
	Child development		
	Supervision of children	X	X
	Behavior management	X	X
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response	X	X
	Other. Describe Describe Staff must receive initial orientation and annual training on the program's policies and procedures	X	X
Family Child Care Providers	CPR		
	First aid	X	X
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration	If administering medication	If administering medication
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Behavior management		
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe [redacted]		
In-Home Child Care Providers	CPR		
	First aid		
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		
	Behavior management		
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe <u>Lead Agency requires criminal background checks and check for child abuse and neglect cases relating to provider.</u>		

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

- All relative providers are subject to the same health and safety requirements as described in 3.1.3a-c, as appropriate; there are no exceptions for relatives.
- Relative providers are NOT required to meet any health and safety requirements as described in 3.1.3a-c, as appropriate.
- Relative providers are subject to certain requirements. Describe the different requirements self-certification

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e) Provide a web address for the State/Territory’s health and safety requirements, if available: www.ct.gov/dph/daycare (Statutes and Regulations)

3.1.3 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 3.1.3a through 3.1.3e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

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

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Prior to initial licensure and technical assistance visits upon request	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input checked="" type="checkbox"/> Group Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Prior to initial licensure and technical assistance visits upon request	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Prior to initial licensure and technical assistance visits upon request	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Once every three years
<input checked="" type="checkbox"/> In-Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe None	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe None

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

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

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input type="checkbox"/> Yes. Describe <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe
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
Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license <input checked="" type="checkbox"/> License revocation or non-renewal <input checked="" type="checkbox"/> Injunctions through court <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines for regulatory violations <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input checked="" type="checkbox"/> Cease and desist action <input checked="" type="checkbox"/> Injunction <input type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe <u>Administrative hearings</u> <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe

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

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

- Yes. If “Yes” please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency. Please **also provide a brief overview** of the State/Territory’s process for conducting background checks for child care. For example, describe what types of violations would make providers ineligible for CCDF, funding for background checks, and the process for providers to appeal background check findings.
- No

CCDF Categories of Care	Types of Background Check	Frequency
<p><input checked="" type="checkbox"/> Center-Based Child Care</p> <p>Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers <u>All program staff</u></p>	<p><input checked="" type="checkbox"/> Child Abuse Registry</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
	<p><input checked="" type="checkbox"/> State/Territory Criminal Background</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
	<p><input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
	<p><input type="checkbox"/> Sex Offender Registry</p>	<p><input type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>

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CCDF Categories of Care	Types of Background Check	Frequency
<p><input checked="" type="checkbox"/> Group Child Care Homes</p> <p>Who is subject to background checks for group homes? For example, provider, non-provider residents of the home</p> <p><u>Program staff</u></p>	<p><input checked="" type="checkbox"/> Child Abuse Registry</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
	<p><input checked="" type="checkbox"/> State/Territory Criminal Background</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
	<p><input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
	<p><input type="checkbox"/> Sex Offender Registry</p>	<p><input type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>
<p><input checked="" type="checkbox"/> Family Child Care Homes</p> <p>Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home <u>Provider , household members and staff</u></p>	<p><input checked="" type="checkbox"/> Child Abuse Registry</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe </p>

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CCDF Categories of Care	Types of Background Check	Frequency
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input checked="" type="checkbox"/> 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 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 checked="" type="checkbox"/> In-Home Child Care Providers Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home <u>Relative provider</u> <u>Non-relative in-child's home provider</u>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe

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CCDF Categories of Care	Types of Background Check	Frequency
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe

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 List of licensed providers is on-line. Licensing Specialist covers a phone line M-F, 8:30-4:30 to verify licensure status and reveal the complaint history of providers. Responds to FOI requests.

No

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

3.1.5 Does the State/Territory conduct developmental screenings of children? Lead Agencies are not required to conduct developmental screenings of children, but they State/Territory may choose to voluntarily conduct or require programs to conduct such screenings for other purposes.

Yes. Describe Birth to Three, Child First, Help-Me-Grow, and Ages and Stages

a) If yes, are resources and supports provided to programs for conducting developmental screenings?

- Yes. Describe
 No
 Other. Describe Per program resource allowance/availability

b) If yes, are resources and supports provided to programs to track when follow-up to screening is needed?

- Yes. Describe
 No
 Other. Describe Per program resource allowance/availability

- No
 Other. Describe

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

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

- Number of licensed programs. Describe (optional)
 Numbers of programs operating that are legally exempt from licensing. Describe (optional)
 Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional)
 Number of injuries and fatalities in child care as defined by the

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State/Territory. Describe (optional) Fatalities only

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

Caseload of licensing staff. Describe (optional) _____

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

Other. Describe _____

None

b) **Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements? _____

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

3.1.7 Goals for the next Biennium - 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. higher licensing standards, more programs covered by licensing standards or health and safety requirements, more frequent visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?) Expected to transition to a new licensing system which will enable web-based access to information on providers, improve reporting capabilities, increase monitoring options and improve automation of current processes

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines include the expectations for what children should know (content) and be able to do (skills). The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children.

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:

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

Connecticut Department of Social Services for Birth-to-three; Connecticut Department of Education for Three-to Five and five years and older.

Five years and older - Learning standards part of area frameworks/grade level expectations. Common core for ELA and math.

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.

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

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

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

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Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 <u>ECE faculty, trainers, consultants, mentors, Higher Education</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional credential
- To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
- To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
- To develop State-/Territory –approved curricula
- Other. List Voluntary ELGs - school readiness programs for 3-5 year olds.
- None.

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

- Cross-walked to align with Head Start Outcomes Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other. List
- None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In the description for each Yes response, please include a) who administers and b) how often assessments are conducted.

a) Are programs required to conduct ongoing assessments of children’s progress of children using measures aligned with the early learning guidelines or other child standards?

- Yes. Describe State funded pre-school programs

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

- Yes. Describe Circle of intentional teaching
- No
- Other. Describe

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

- Yes. Describe state funded pre-school programs
 - No
 - Other. Describe
- No
- Other. Describe

b) Does the State/Territory use measures to track the readiness of children as they kindergarten?

- Yes. Describe Kindergarten Inventory

c-1) If yes, do the measures cover the developmental domains identified in 3.2.2?

- Yes. Describe
- No
- Other. Describe

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

- All children. Describe

All Kindergarten teachers complet Fall inventory

- Samples of children. Describe
- Other. Describe

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

- Yes. Describe
 - No
 - Other. Describe
- No
- Other. Describe

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, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

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

- Number/percentage of child care providers trained on ELG’s for preschool aged children. Describe (optional) _____
- Number/percentage of child care providers trained on ELG’s for infants and toddlers. Describe (optional) _____
- Number of programs using ELG’s in planning for their work. Describe (optional) _____
- Number of parents trained on or served in family support programs that use ELG’s. Describe (optional) _____
- Other. Describe _____
- None

b) **Performance measurement.** What, if any, are the Lead Agency’s performance measures related to dissemination and implementation of the early learning guidelines? Only trained Trainers are allowed to teach the Infant-Toddler Early Learning Guidelines (ELGs)

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. Plans need to be developed by the workgroup of the State Advisory Council

3.2.8 Goals for the next Biennium - 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?

Review and update ELGs to reflect current research and practice: periodic evaluation of ELG trainers' performance; Make the ELGs part of the state's professional development system (both Connecticut - Charts-A-Course and college based

programs); Integrate ELGs and Infant and Toddler Modules into ECE courses at 2- and 4-year colleges.

Crosswalk Connecticut's Early Learning Guidelines (ELG) with the Connecticut Preschool Assessment Framework (PAF) and the Connecticut Preschool Curriculum Framework (PCF), the community college infant-toddler curriculum, and the Early Head Start performance standards. Crosswalk with NAEYC Accreditation standards.

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

This section builds on the significant investments States and Territories have made in the area of program quality improvement systems. In this section, States and Territories provide a self-assessment on current program quality improvement activities and 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.

Connecticut Departments of Social Services, Public Health, State Department of Education, CT Charts-A-Course, Accreditation Facilitation Project (CCAC/AFP). NAEYC Accreditation is the quality standard used by CCAC/AFP.

3.3.1 Element 1 – Program Standards

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

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

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

Evaluation.

NAEYC and CSRPPES.

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.

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Other. Describe

Most programs are licensed: there is an exception clause for public schools

State quality standards (NAEYC Program standards and Accreditation Criteria) require that a program that is eligible for licensure must hold that license at the time of application to NAEYC and throughout the term of accreditation. Additionally, programs that are exempt from licensure must be regulated by the appropriate agency.

Not linked.

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

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

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

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

Other. Describe

None

3.3.2 Element 2 –Supports to Programs to Improve Quality

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

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

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
accreditation			
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>
Other. Describe <u>Lesson Plan guidance. Limited funding and number of participants for Training and On-Site Consultation.</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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

Over the phone technical assistance

Facilitated support for quality improvement is provided through regular meetings, training, and on-site consultation visits by 6.5 FTE staff of AFP..

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 targeting to assist programs to achieve and maintain NAEYC Accreditation

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.

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to maintaining quality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe <u>Grants & stipends to centers and public schools. Providers receiving public funds are required to achieve NAEYC Accreditation in order to retain their state funding.</u> <u>Providers serving 3,4, or 5 year old children with identified disabilities may qualify for funding to pay fees for NAEYC Accreditation.</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 – Element 4 - Quality Assurance and Monitoring

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

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

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Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <u>As needed. Includes public schools. ECERS</u>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input type="checkbox"/> School-Age	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments.	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21 st Century Learning Center programs Describe, including frequency of assessments. <u>School Readiness random monitoring. Centers and public schools.</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe <u>These tools are not required, but if a program has been monitored using such a tool, the results are utilized to inform program improvement action plans.</u>	<input checked="" 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.,

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QRIS) without further review

Other. Describe NAEYC and Head Start standards and compliance act as meeting agency standards.

None

3.3.5 – Element 5 - Outreach and Consumer Education

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

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

Yes. If yes, how is it used?

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

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

Searchable database on the web

Voluntarily, visibly posted in programs

Mandatory to post visibly in programs

Used in marketing and public awareness campaigns

Other. Describe

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.

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

State/Territory is in the development phase

State/Territory has no plans for development

Other. Describe

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

Child care centers

Group child care homes

Family child care homes

In-home child care

License exempt providers

Early Head Start programs

Head Start programs

Pre-kindergarten programs

School-age programs

Other. Describe

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

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, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

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

- Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe _____
- Number of programs that move program quality levels annually (up or down). Describe _____
- Program scores on program assessment instruments. List instruments: NAEYC Accreditation Describe DSS Funded programs are required to submit their NAEYC Accreditation Decision Report to the agency. This report includes classroom observation scores as well as scores across all ten NAEYC Program Standards.
- Classroom scores on program assessment instruments. List instruments: _____ Describe _____
- Qualifications for teachers or caregivers with in each program. Describe School Readiness and State Registry. Teacher qualifications are reported out of the registry to DSS for AFP programs.
- Number/Percentage of children receiving CCDF assistance in licensed care. Describe _____
- Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe _____
- Other. Describe _____
- None

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures on program quality? NAEYC Accreditation or Head Start approval.

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

!

3.3.9 Goals for the next Biennium - 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?

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1. Program Standards

2. Supports to programs to improve quality:

The State will continue to support quality improvement efforts through the training and technical assistance provided by the Accreditation Facilitation Project. We will continue to recruit licensed programs into the NAEYC Accreditation process, with a goal to recruit 15 new non-accredited programs to the pursuit of NAEYC Accreditation in the coming year.

3. Financial incentives and supports

Explore opportunities to give a bonus to programs that achieve accreditation for the first time. And, explore opportunity to give a bonus to sites that maintain accreditation through re-accreditation.

4. Quality Assurance and Monitoring

We use these tools but informally and do not use the results to monitor, so....

Possible ideas: Consideration to develop and publish an action planning form for use with any of these tools to help programs plan improvements based on the assessment data gathered from a tool. AFP has been exploring this for a long time, implementing it as needed but not consistently. A form could be finalized, posted on the web, and used with all of our AFP sites. Same document could be used to plan improvements driven by the NAEYC Accreditation Decision Report.

Review potential funding to train on PAS or to expand CLASS training done by HS.

6. Outreach and Consumer Education

Possible ideas: NAEYC provides accredited programs with a window decal of the accreditation logo. Encourage accredited programs to get these up at their programs and provide some kind of document for posting that explains to parents what it is, why it's important .

Consideration for 211 to add the NAEYC logo/hyperlink to the program page where it shows that a program is NAEYC Accredited?

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.

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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. State agencies, local provider groups, Discovery Communities, philanthropic community, state and local advocacy coalitions and groups, SAC Workforce Subcommittee, parent organizations.

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 Yes - Credential and Certification; Yes - CT Charts-A-Course Career Ladder

If yes, insert web addresses, where possible: www.ctcharts.org

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 Inclusion, Infant-Toddler, Preschool, Directors

None

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (as reported in section 3.3)
- To define the content of training required career lattice or credential
- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other. Describe CT Early Childhood Teacher Credential (ECTC)
- None

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other. Describe CT Early Childhood Teacher Credential (ECTC)
- 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 CT Early Childhood Teacher Credential (ECTC)
- Providers working directly with children in family child care homes, including aides and assistants. Describe Infant and Toddler Certificate
- Administrators in centers (including educational coordinators, directors). Describe CT Director's Credential
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe 0-3 Home Visitors
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe CT Charts-A-Course TAB Trainers as it relates to adult education and content.
- Other. Describe School Age
- None

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

- Birth-to-three
- Three-to-five
- Five and older
- Other. Describe
- None

3.4.2 Workforce Element 2 - Career Pathways

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

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

- Yes. Describe CT Charts-A-Course Career Ladder
- No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

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

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 CDA Certificate, ECTC
- Providers working directly with children in family child care homes, including aides and assistants. Describe Infant Toddler Credential
- Administrators in centers (including educational coordinators, directors). Describe CT Director's Credential
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe 0-3 Home Visitor
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe CCAC TAB Trainers
- Other. Describe School Age Credential
- 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

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- School-age children
- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs
- Other. Describe Home Visitation (Birth-3 Credential)
- 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 Teacher in publicly funded program - Qualified Staff Member, Head Teacher status for DPH Licensing, CCAC TAB Trainers
- None

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

- Yes. If yes, describe CT Charts-A-Course Professional Registry Policies and Procedures.
- 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.

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.)?

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- Yes. If yes, describe [http://ctearlychildhoodcareerdev.info/
www.cosc.org](http://ctearlychildhoodcareerdev.info/www.cosc.org)
 No

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

- Yes. If yes, describe [State Advisory Council Workforce Committee Report \(February 24, 2011\)](#)
 No

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

- Standards set by the institution
 Standards set by the State/Territory higher education board
 Standards set by program accreditors
 Other. Describe [Proposed standards fo CT Early Childhood Teacher Credential](#)
 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 [CT Charts-A-Course Training Program in Child Development](#)
 Trainer approval process. Describe [CT Charts-A-Course Training Approval Board](#)
 Training and/or technical assistance evaluations. Describe [CT Charts-A-Course Quality Assurance and Improvement System](#)
 Other. Describe [State Head Start Training and Technical Assistance System](#)
 None

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

- Yes. If yes, describe [Connecticut State Department of Education Bureau of Educator Standards and Certification Policy Concerning Articulation Agreement and Practicum in Pre-Kindergarten, February 8, 2010](#)
 No

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

Yes. If yes, describe CT Charts-A-Course Training program in Child Development translates into college credit through the Early Childhood Pathways examx at Charter Oak State college.

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 0-3 Home Visitors Part C 618

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 CT Charts-A-Course website information is posted about training opportunities as well as links to college courses offered. SERC, CAEYC, ECE List Serv.

No

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

www.ctserc.org

www.ctaeyc.org

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

Scholarships. Describe CT Charts-A-Course Scholarship Assistance Program

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- Free training and education. Describe CT Charts-A-Course Training Program in Child Development, CAEYC, SERC
- Reimbursement for training and education expenses. Describe CT Charts-A-Course Scholarship Assistance Program
- Grants. Describe Pell Grants
- Loans. Describe Student Financial Aid
- Loan forgiveness programs. Describe _____
- Substitute pools. Describe _____
- Release time. Describe _____
- Other. Describe Some College Foundations
- None

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

- Yes. If yes, describe CT Charts-A-Course has 4 career advisors - one is bilingual. Each is assigned a region of the state. 12 Community Colleges/early childhood programs.
- No

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

- Yes. If yes, describe CT Charts-A-Course has consultants who provide on-site technical assistance to programs through the Accreditation Facilitation Project.
- 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 CT Charts-A-Course START Education Bonus Program for the Training Program in Child Development.
- No

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

Yes. If yes, describe

No

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

Yes. If yes, describe

No

3.4.6 Data & Performance Measures on the Child Care Workforce – What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (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) [CT Charts-A-Course Professional Registry](#)

Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) [CT Charts-A-Course Professional Registry](#)

Records of individual teachers or caregivers and their qualifications. Describe (optional) [CT Charts-A-Course Professional Registry](#)

Retention rates. Describe (optional) [CT Charts-A-Course Professional Registry](#)

Records of individual professional development specialists and their qualifications. Describe (optional) [CT Charts-A-Course Professional Registry](#)

Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) [CT Charts-A-Course Professional Registry](#)

Number of scholarships awarded . Describe (optional) [CT Charts-A-Course Professional Registry](#)

Number of individuals receiving bonuses or other financial rewards

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or incentives. Describe (optional) CT Charts-A-Course Professional Registry

Number of credentials and degrees conferred annually. Describe (optional) CT Department of Higher Education

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

Data on degree completion or attrition rates. Describe (optional) CT Department of Higher Education

Other. Describe

None

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

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

Yes.

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

Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe Mandatory for publicly funded programs. Voluntary for all other types of programs.

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

Administrators in centers (including educational coordinators, directors). Describe Mandatory for publicly funded programs. Voluntary for all other types of programs.

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

Education and training staff (such as trainers, CCR&R staff, faculty). Describe Mandated for CCAC Training Approval Board Trainers

Other. Describe

None

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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? Voluntary.

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

No

c) **Performance measurement.** What, if any, performance measures does the State/Territory use related to its workforce and professional development systems? Yearly RBA (Results Based Accountability) report is completed by CT Charts-A-Course.

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 State Advisory Council Workforce Committee has been established to assess the professional development system across sectors.

3.4.7 Goals for the next Biennium - 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? The following goals should be coordinated with the work of the State's Advisory Council (SAC) Workforce Committee

1) Core Areas of knowledge and Knowledge:

• Align CKS to DPH licensing regulations for professional development requirement

2) Career Pathways (or Career lattice) - • Align the credentials that are offered in CT with their respective roles and levels on the CCAC career ladder

3) Professional Development

• Assess the availability of early childhood and school-age training both grounded and on-line

• Using the pilot for the ECTC to assess the quality assurances of the two and four year early childhood degree programs

4) Access to Professional Development

• Assess the clearinghouses for professional development and consultants available for interdisciplinary technical assistance opportunities to better align the dissemination of this information across sectors

5) Compensation, Benefits and Workforce Conditions - • Study the outcomes of the START Education Bonus System to establish its effectiveness in persistence toward CDA Credentials and if there is mechanism to expand its use.

6) Data & Performance Measures of the Child Care Workforce - • Make participation in the Registry mandatory for staff in all programs that are licensed by DPH and require annual updating of staff and their qualifications

AMENDMENTS LOG

**CHILD CARE AND DEVELOPMENT FUND PLAN FOR: 2012-2013
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/ccb/law/guidance/current/pi2009-01/pi2009-01.htm>

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

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

Instructions for Submitting Amendments:

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

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

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

Appendix 1

Quality Performance Report

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 and compliance efforts tied to quality investments.

This report collects 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 2012-2013:

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.

Lead Agencies are asked to provide the status on the State/Territory's progress in meetings its goals as reported in the FY 2012-2013 CCDF Plan, and provide data on the results of those activities. 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. At a minimum, Lead Agencies are expected to report on their progress toward meeting the goals articulated in the CCDF Plan for this Biennium. Lead Agencies may provide narrative updates in the data sections, including any plans for reporting data in the future, if actual data is not currently available.

This annual report will be submitted to ACF no later than December 31, 2012 and the first submittal will reflect the period October 1, 2011 through September 30, 2012.

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, 2012.

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

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

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

A1.2 Key Data

A1.2.1 Number of licensed programs

- a) How many licensed center-based programs operated in the State/Territory as of September 30, 2012? _____ or Data not available
- b) How many licensed home-based programs operated in the State/Territory as of September 30, 2012? _____ or Data not available
- c) Does the State/Territory have data on the number or percentage of programs (i.e., paid care provided on a regular basis by an unrelated caregiver outside of the child’s own home) operating in the State/Territory are subject to licensing regulations?

- Yes. If yes, include the number/percentage of programs and describe
- No

A1.2.2 What percentage of programs received monitoring visits, and at what frequency, for each provider category during the last fiscal year?

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a) What percentage of licensed center-based programs were visited as of the end of the last fiscal year? _____ What was the average number of visits?

b) What percentage of licensed family child care programs were visited as of the end of the last fiscal year? _____ What was the average number of visits?

c) What percentage of legally exempt providers, receiving CCDF were visited as of the end of the last fiscal year? _____ What was the average number of visits? _____

Data not available

A1.2.3 How many programs had their licenses suspended or revoked due to licensing violations as defined in your State/Territory during the last fiscal year?

	Suspended	Revoked
Licensed Centers		
Licensed Homes		
<input type="checkbox"/> Data not available		

A1.2.4 How many programs were terminated from participation in CCDF subsidies due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?

Child Care Centers _____
Group Child Care Homes _____
Family Child Care Homes _____
In-Home Providers _____

Data not available

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

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

A1.2.6 How many fatalities occurred in child care 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). _____

Establishing Early Learning Guidelines (Component #2)

A2.1 Progress on Overall Goals

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

- Yes. Describe _____
 No

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

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A2.2 Key Data

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

Provider Categories	Birth to Three ELG’s	Three-to-Five ELG’s	Five and Older ELG’s
How many center-based programs were trained on ELG’s over the past year?	_____	_____	_____
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)	_____	_____	_____
How many family child care programs were trained on ELG’s over the past year?	_____	_____	_____
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)	_____	_____	_____
How many legally exempt providers were trained on ELG’s over the past year?	_____	_____	_____
How many children are served in programs	_____	_____	_____

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Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's
implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)			
<input type="checkbox"/> Data not available			

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

A3.1 Progress on Overall Goals

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

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A3.2 Key Data

A3.2.1 How many programs received targeted technical assistance in the following areas during the last fiscal year?

- 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 _____
- Data not available

A3.2.2 How many programs received financial support to achieve and sustain quality during the last fiscal year?

- a) One-time, grants, awards or bonuses:
 - Child Care Centers _____

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Family Child Care Homes _____
 Data not available

b) On-going or Periodic quality stipends:
Child Care Centers _____
Family Child Care Homes _____
 Data not available

A3.2.3 What is the participation rate (number and percentage) in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year? When reporting the percentages, please indicate the universe of programs on which the percentage is based (e.g., licensed providers, CCDF providers, or all providers). The participation rate for publically funded centers is 100%. . . all programs are required to achieve accreditation so all programs have to demonstrate participation on the system either through engagement in self-study process, achievement of accreditation, or annual reporting.

Child Care Centers QRIS _____ or Other Quality Improvement System

Family Child Care Homes QRIS _____ or Other Quality Improvement System _____

License-Exempt Providers QRIS _____ or Other Quality Improvement System

There are approximately 70 NAEYC Accredited license-exempt providers in CT, including preschool special education, School Readiness in public schools, and public schools pre-K.

Data not available

A3.2.4 How many programs moved up or down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year? If quality threshold is something other than QRIS, describe the metric used, such as accreditation.

Child Care Centers _____
Family Child Care Homes _____
License-Exempt Providers _____
 Data not available

To our knowledge, no program requiring accreditation to maintain funding lost its funding in the past year. This is not expected to happen going forward, as systems are in place to assist the program (consultative assistance, AFP support) to reaccredit in a timely manner.

A3.2.5 How many programs are at each level of quality? Describe metric if other than QRIS, such as accreditation.

Child Care Centers _____
Family Child Care Homes _____
License-Exempt Providers _____

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Data not available

A3.2.6 What percentage of CCDF subsidized children were served in a program participating in the State or Territory’s quality improvement system during the last fiscal year? What percentage are in high quality care as defined by the State/Territory? **Note.** If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

Percentage of CCDF children served in participating programs

Percentage of CCDF children served in high quality care (May define with assessment scores, accreditation, or other metric, if no QRIS.)

Data not available

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.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A4.2 Key Data

A4.2.1 How many teachers/caregivers had the following qualifications as of the end of the last fiscal year?

	Child Care Center Teachers	Family Child Care Providers
Child Development Associate (CDA)	1364	29
State/Territory Credential		
Associate’s degree	666	1
Bachelor’s degree	682	2
Graduate/Advanced degree	252	1

Data not available

A4.2.2 How many teachers/caregivers were included in the State/Territory’s professional development registry during the last fiscal year?

Staff in child care centers 5908
 Family child care home providers 166
 License-exempt practitioners Unknown
 Data not available

A4.2.3 How many teachers/caregivers received credit-based training and/or education as defined by the State/Territory during the last fiscal year?

Staff in child care centers _____
 Family child care home providers _____
 License-exempt practitioners _____
 Data not available

A4.2.4 How many credentials and degrees were awarded during the last fiscal year? If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	Type of Credential	Type of Degree
Staff in child care centers	List and provide number	List and provide number
Family child care home providers	List and provide number	List and provide number
License-exempt practitioners	List and provide number	List and provide number
<input type="checkbox"/> Data not available		

A4.2.5 How many teachers or other professionals received technical assistance such as coaching, mentoring or consultation during the last fiscal year? Describe any data you track on coaching, mentoring, or specialist consultation. If possible, include in what type of setting the practitioner worked.

We commonly address the topics of health and safety, I/T care, screening and assessment for the program improvement, and business management practices in all AFP sites. Total number of AFP sites supported over a two year period is approx 175 in individualized assistance. Hundreds more programs are reached on these topics through workshops. Additionally, business management practices are addressed in the Program Admin Courses.

Setting	Type of Technical Assistance
Staff in child care centers	List and provide number
Family child care home providers	List and provide number
License-exempt practitioners	List and provide number

Data not available

A4.2.6 What financial supports were funded over the past fiscal year to support teachers and caregivers in meeting and maintaining standards and qualifications as of the end of the last fiscal year?

- Scholarships. How many teachers received? _____
- Reimbursement for Training Expenses. How many teachers received? _____
- Loans. How many teachers received? _____
- Wage supplements. How many teachers received? _____
- Other. Describe START Bonus
- Data not available

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

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

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

The Lead Agency also certifies that:

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

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

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

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

2. Certification regarding debarment:

<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>

3. Definitions for use with certification of debarment:

<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>

4. HHS certification regarding drug-free workplace requirements:

<http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm>

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

<http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm>

6. Certification regarding lobbying:

<http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm>

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.

ATTACHMENTS

STATE PLAN FOR CONNECTICUT CHILD CARE AND DEVELOPMENT FUND

PART 1 ADMINISTRATION

Attachment Public Hearing Notice

PART 2 CCDF SUBSIDY PROGRAM ADMINISTRATION

Attachment Payment Rates

Attachment 2011 Rate Survey Methodology & Analysis

Attachment Income Guidelines

Attachment Priority Eligibility Guidelines

Attachment Wait List Guidelines

Attachment Sliding Fee Schedule

Attachment Care 4 Kids Application

Attachment TANF Definitions and Criteria.....

PART 3 HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

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ATTACHMENT 1.4.2 PUBLIC HEARING NOTICE

CHILD CARE SERVICES IN CONNECTICUT – PUBLIC HEARINGS - 2011

The State of Connecticut is preparing a comprehensive child care plan to access federal funds for programs and services over the next two years. The Department of Social Services (DSS) Family Services & Child Care Team*, in collaboration with the State Child Day Care Council, is convening public hearings at three sites to provide Connecticut residents an opportunity to comment on child care services in Connecticut. DSS must prepare the state's Child Care Plan to access federal funds. The plan must be submitted to Washington, D.C. by July 1, 2011. The participation of parents, providers and all other members of the public is encouraged and welcomed. Please share this schedule with friends, relatives and colleagues interested in child care services in Connecticut.

The draft plan will be available on or after April 28, 2011, on the DSS website www.ct.gov/dss
Go to Publications and click on CT Draft Federal CCDF Plan 2012-2013.

To submit written comments: send email to julie.bisi@ct.gov or mail to ATTN: Child Care Division – CCDF Plan, Connecticut Department of Social Services, 25 Sigourney Street, Hartford, CT 06106, no later than June 8, 2011.

LOCATION	DATE	TIME	MEETING LOCATION	ADDRESS
HAMDEN	Monday, May 16, 2011	3:00 – 5:00 PM 6:00 – 7:30 PM	<u>Connecticut Charts A Course Training & Conference Room</u>	2321 Whitney Avenue Building 2: Suite 501 Hamden, CT 06518
WATERBURY	Monday, May 23, 2011	3:00 – 5:00 PM 6:00 – 7:30 PM	<u>Naugatuck Valley Community College Ekstrom Hall Room #529 (E529)</u>	750 Chase Parkway, Waterbury, CT 06708
NORWICH	Tuesday, May 24, 2011	3:00 – 5:00 PM 6:00 – 7:30 PM	<u>Three Rivers Community College Room B 127</u>	574 New London Turnpike Norwich, CT 06360

* The DSS Family Services & Child Care Team is prepared to answer questions concerning this information. Reach them by calling in-state toll-free 1-800-811-6141 and press 6 at any time during the message to be connected; or (860) 424-5598 from within the local calling area or from out of state.

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ATTACHMENT 2.7 PAYMENT RATES

Care 4 Kids

(Connecticut's Child Care Assistance Program)

WEEKLY PROVIDER REIMBURSEMENT RATES

EFFECTIVE: January 1, 2002



Full-Time Plus Care - 51 to 65 hours/week		Eastern*	North Central*	Northwest*	South Central*	Southwest*
Child Care Centers or Group Child Care Homes or School Operated Programs	Infant/Toddler	229	254	267	280	304
	Pre-School	182	201	212	222	241
	School-Age	162	180	189	199	215
Family Child Care Homes	Infant/Toddler	175	194	204	214	232
	Pre-School	176	195	205	215	233
	School-Age	162	180	189	199	215
Care by a Relative or Care in the Child's Home or Recreational Programs	Infant/Toddler	116	116	116	116	116
	Pre-School	116	116	116	116	116
	School-Age	116	116	116	116	116

Full-Time Care - 35 to 50 hours/week		Eastern*	North Central*	Northwest*	South Central*	Southwest*
Child Care Centers or Group Child Care Homes or School Operated Programs	Infant/Toddler	171	189	199	209	227
	Pre-School	135	150	158	165	179
	School-Age	122	135	142	149	162
Family Child Care Homes	Infant/Toddler	131	145	152	160	173
	Pre-School	131	145	152	160	173
	School-Age	122	135	142	149	162
Care by a Relative or Care in the Child's Home or Recreational Programs	Infant/Toddler	89	89	89	89	89
	Pre-School	89	89	89	89	89
	School-Age	89	89	89	89	89

Half-Time Care - 16 to 34 hours/week		Eastern*	North Central*	Northwest*	South Central*	Southwest*
Child Care Centers or Group Child Care Homes or School Operated Programs	Infant/Toddler	116	129	135	142	154
	Pre-School	93	103	109	114	124
	School-Age	80	89	94	99	107
Family Child Care Homes	Infant/Toddler	89	99	104	109	118
	Pre-School	90	100	105	110	120
	School-Age	80	89	94	99	107
Care by a Relative or Care in the Child's Home or Recreational Programs	Infant/Toddler	53	53	53	53	53
	Pre-School	53	53	53	53	53
	School-Age	53	53	53	53	53

Quarter-Time Care - 1 to 15 hours/week		Eastern*	North Central*	Northwest*	South Central*	Southwest*
Child Care Centers or Group Child Care Homes or School Operated Programs	Infant/Toddler	58	64	68	71	77
	Pre-School	47	52	54	57	62
	School-Age	40	45	47	49	53
Family Child Care Homes	Infant/Toddler	44	49	52	54	59
	Pre-School	45	50	53	55	60
	School-Age	40	45	47	49	53
Care by a Relative or Care in the Child's Home or Recreational Programs	Infant/Toddler	27	27	27	27	27
	Pre-School	27	27	27	27	27
	School-Age	27	27	27	27	27

TOWNS SERVED BY DSS REGIONS

East Region	North Central Region	Northwest Region	South Central Region	Southwest Region
Ashford	Andover	Barkhamsted	Ansonia	Bridgeport
Bozrah	Avon	Beacon Falls	Bethany	Darien
Brooklyn	Berlin	Bethel	Branford	Easton
Canterbury	Bloomfield	Bethlehem	Chester	Fairfield
Chaplin	Bolton	Bridgewater	Clinton	Greenwich
Colchester	Bristol	Brookfield	Cromwell	Monroe
Columbia	Burlington	Canaan	Deep River	New Canaan
Coventry	Canton	Cheshire	Derby	Norwalk
East Lyme	East Granby	Colebrook	Durham	Stamford
Eastford	East Hartford	Cornwall	East Haddam	Stratford
Franklin	East Windsor	Danbury	East Hampton	Trumbull
Griswold	Ellington	Goshen	East Haven	Weston
Groton	Enfield	Hartland	Essex	Westport
Hampton	Farmington	Harwinton	Guilford	Wilton
Killingly	Glastonbury	Kent	Haddam	
Lebanon	Granby	Litchfield	Hamden	
Ledyard	Hartford	Middlebury	Killingworth	
Lisbon	Hebron	Morris	Lyme	
Mansfield	Manchester	Naugatuck	Madison	
Montville	Marlborough	New Fairfield	Meriden	
New London	New Britain	New Hartford	Middletown	
No Stonington	Newington	New Milford	Middlefield	
Norwich	Plainville	Newtown	Milford	
Plainfield	Plymouth	Norfolk	New Haven	
Pomfret	Rocky Hill	North Canaan	North Branford	
Preston	Simsbury	Oxford	North Haven	
Putnam	Somers	Prospect	Old Lyme	
Salem	Southington	Redding	Old Saybrook	
Scotland	South Windsor	Ridgefield	Orange	
Sprague	Stafford	Roxbury	Portland	
Sterling	Suffield	Salisbury	Seymour	
Stonington	Tolland	Sharon	Shelton	
Thompson	Vernon	Sherman	Wallingford	
Union	West Hartford	Southbury	West Haven	
Voluntown	Wethersfield	Thomaston	Westbrook	
Waterford	Windsor	Torrington	Woodbridge	
Willington	Windsor Locks	Warren		
Windham		Washington		
Woodstock		Waterbury		
		Watertown		
		Winchester		
		Wolcott		
		Woodbury		

** see other side for a listing of towns by region*

ATTACHMENT 2.7.4 2011 RATE METHODOLOGY AND ANALYSIS

Overview

The Lead Agency utilized a telephone survey conducted by 2-1-1 Child Care in February 2011. 2-1-1 is Connecticut's statewide child care resource and referral agency operated by the United Way of Connecticut. 2-1-1 maintains a database of day care providers licensed by the Department of Public Health. The database is used for resource and referral purposes and is separate from the database of day care providers participating in the subsidy program.

Questionnaire

2-1-1 obtained information on provider charges through a standardized telephone survey. The survey questions captured information on weekly charges by type of setting and age group.

Age Groups

Age Groups	Centers	Family Homes
Infant	0 -17 months	0 - 23 months
Toddlers	18-35 months	0 - 23 months
Preschool	3-4 years	2-5 years
School Age	5-12 years	5-12 years

SURVEY QUESTIONS

Infants

1. Do you accept Infants < 24 months? (Centers = Infants < 36 months)
2. What do you currently charge for full time care for an infant in your program attending 35 hours or more?

(For programs that begin care for children 18 months+, use the word Toddler in place of Infant)

Preschool

3. Do you accept children ages 2-5 years old? (Centers = Children 3-5 years old)
4. What do you currently charge for full time care for a preschool aged child in your program attending 35 hours or more?

School Age

5. Do you accept before/after school aged children? (5-12 years attending school full day)
6. What do you currently charge for before and/or after school care for a part time school aged child?

Sample Design

A primary objective of the sampling methodology was to maximize participation. The universe included all child day care programs licensed in Connecticut with the exception of child care centers that receive federal and state grants to purchase child slots. The grant programs, including Head Start, School Readiness and Child Development Centers charge fixed rates established by the contract. The sample omitted these facilities to avoid skewing the results of the survey.

Participation was voluntary. The following chart lists the number of providers that chose to participate in the survey. Because group homes represent only a small fraction of the number of licensed facilities in Connecticut, the Lead Agency does not distinguish between day care centers and group homes. Group homes are reimbursed at the center care rates.

Sample Size

Provider Type	Total Licensed Statewide	Total Participating	Percent Participating
Centers/Group Homes	1,695	448	27%
Family Homes	2,695	1,549	58%

Provider charges were measured separately for infants/toddlers, preschool and school age children. Only facilities that provide care to children in the appropriate age category were included in the analysis. Following chart breaks down the number of facilities that participated by age group.

Sample Size by Age Group

Age Groups	Center/Group Homes	Family Homes
Infant/Toddler	375	1,516
Preschool	443	1,549
School Age	321	703

Provider Charges

Rate estimates were based on the full-time rate charges reported by each facility. The licensed capacity of the facility was used to establish the frequency of the charges within the data set and percentile values. Estimates for school-age children were measured at the part-time, before and after school rate during the school year. The survey produced the following results:

2011 Weekly Market Rates at the 60th and 75th Percentiles

Age Group	Center		Family Homes	
	60 th	75 th	60 th	75 th
Infant/Toddler	268	295	180	200
Preschool	225	249	175	190
School Age	91	100	80	95

Percentile Rankings

Child care providers participating in the Care 4 Kids program are reimbursed at payment levels established through a market rate survey conducted in 2001. The state market rates were set at the 60th percentile of the 2001 survey estimates. They have remained in effect since January 1, 2002. To satisfy CCDF regulatory and State Plan requirements, DSS utilized a market rate survey conducted by the United Way of Connecticut 2-1-1 Child Care in February 2011. The survey provides the means to assess the percentile ranking of the current market rates to provider fees reported in 2011. The comparison does not account for sibling reductions generally given to families with multiple children enrolled in the same facility. Connecticut reimburses providers at the full rate and does not consider the sibling reduction.

Comparison of C4K 2001 Weekly Market Rates to 2011 Survey Estimates

		Infants/Toddlers		Preschool		School Age Part-Time	
		Weekly Rate	Percentile	Weekly Rate	Percentile	Weekly Rate	Percentile
CENTERS	<i>2011 Market Survey</i>	295	75 th	249	75 th	100	75 th
	<i>2001 Standard Rate</i>	196	6 th	155	8 th	100	75 th
	<i>2001 Accredited Rate</i>	206	19 th	163	11 th	105	78 th
	<i>2001 Special Needs Rate</i>	225	43 rd	178	24 th	115	85 th
FAMILY HOMES	<i>2011 Market Survey Estimate</i>	200	75 th	190	75 th	95	75 th
	<i>2001 Standard Rate</i>	150	20 th	150	30 th	100	88 th
	<i>2001 Accredited Rate</i>	158	28 th	158	32 nd	105	88 th
	<i>2001 Special Needs Rate</i>	173	51 st	173	51 st	115	89 th

Analysis

The survey results were inconsistent between age groups and relative to the 2009 market rate estimates. For example, the 75th percentile day care center rate for infants and toddlers increased by 14% from 2009 to 2011. The extent of the increase was unexpected given the economy, unemployment rate and other economic factors. By comparison, family day care home rates for the infant and toddler age group did not change. They remained stable at \$200 per week from 2009 to 2011. We attribute the inconsistencies to sampling error and differences in how providers choose to advertise their rates.

Changes in the pre-school and school-age estimates were more consistent. Pre-school rates for day care centers increased nearly 8% from 2009 while family day care home rates showed a modest 3% increase. School-age rates followed a similar pattern. The rates were virtually unchanged. Day care center rates decreased by 5%. Family day care home rates increased by nearly 6%.

The following table lists the 75th percentile rates estimates from the 2009 and 2011 market surveys.

2009 and 2011 75th Percentile Rate Estimates by Age Group

	Centers			Family Homes		
	2009	2011	Change	2009	2011	Change
Infant/Toddler	259	295	13.9%	200	200	0%
Preschool	231	249	7.8%	185	190	2.7%
School Age	105	100	-5%	90	95	5.6%

As mentioned above, current state reimbursement rates are set at the 60th percentile of the 2001 market survey. The following table compares the 60th percentile state rates to the 60th percentile 2011 rate estimates.

2001 and 2011 60th Percentile Rate Comparison

	Infant Toddler			Pre-School			School-Age		
	2001	2011	Change	2001	2011	Change	2001	2011	Change
Centers	196	268	36.8%	155	225	45.2%	100	91	-9%
Family Homes	150	180	20%	150	175	16.7%	100	80	-20%

Utilization

Utilization is the most reliable measure of the ability of parents to access a wide range of day care settings. The cost of licensed care far exceeds amounts paid to relatives and in-home child care providers. The table below tracks child enrollments by setting from 2002 to present. The table lists the actual number of children enrolled in licensed and unlicensed care.

Utilization by Setting

Active Child Care Enrollments as of February 28, 2011

Children Enrolled	January 2002	January 2004	June 2007	June 2009	March 2011
Licensed	11,577	6,697	12,603	14,088	14,213
Unlicensed	25,365	8,621	7,621	7,114	6,034
Total	36,942	15,318	20,224	21,202	20,247
Percent Licensed	31%	44%	62%	64%	70%

The Lead Agency implemented the current state rates in January 2002. The 2002 market rates represented a significant increase in reimbursements to licensed child care providers. Since January 2002, the number of children enrolled in licensed care increased by 226 percent. Over the past State Plan cycle, licensed enrollments increased by 6% from 2009 to present.

It is important to recognize that parents often work second and third shift jobs and on weekends. Only a small number of licensed family day care home providers offer care during non-traditional hours. The Lead Agency is not aware of any child care centers that currently operate multiple shifts in Connecticut. As a result, parental choice is limited by the work schedule. In addition, national studies indicate that families in all income brackets tend to rely on relatives for infant and toddler care.

The Lead Agency also found the state rates to be competitive with reimbursement rates in adjacent states. Connecticut has one of the lowest co-payments in the region and nationally, averaging approximately four percent of the family's countable income. Subsidy program regulations exclude TANF benefits, Child Support, earnings of minors and other types of unearned income from the eligibility and co-payment calculations, thus reducing the amount of countable income. Child care subsidy recipients that are unemployed do not have a family copayment.

Based on this information, the Lead Agency has concluded that the current state rates are sufficient to provide equal access to the low and moderate income families.

ATTACHMENT 2.3.5 INCOME GUIDELINES

The following excerpt from the Child Care Assistance Program Regulations contains the income eligibility guidelines for the Care 4 Kids Program.

Sec. 17b-749-05. Financial Eligibility Requirements

Gross Income Eligibility

- (1) Gross countable family income for applicants and recipients shall be less than fifty percent of the state median income level for the appropriate family size as established by the Department of Health and Human Services. The commissioner shall have discretion to increase the income limit to up to seventy-five percent of the state median income level for all CCAP recipients or for both applicants and recipients. The commissioner may also, upon the request of the commissioner of Children and Families, waive the gross income limit for families who need child care assistance for a child who was adopted from the Department of Children and Families after October 1, 1999 and whose countable income does not exceed the maximum level established for participation pursuant to 42 CFR section 98.20 of the federal Child Care and Development Fund Regulations. Adoptive families for whom the income limit is waived shall be responsible for paying the maximum fee required pursuant to subsection (f) of section 17b-749-13 of the Regulations of Connecticut State Agencies.
- (2) A family whose income equals or exceeds the established income limit shall be ineligible for CCAP, unless the income exceeds the limit for not more than one calendar month due to an extra pay period or other temporary increase.
- (3) Income shall be counted in the month it is received by the family member, except to the extent the income is averaged in accordance with requirements of subsection (d) of this section.
- (4) The department shall adjust the state median income standards annually. For new applicants, the adjusted standards shall take effect beginning on or after July 1 of each year. For families receiving child care assistance on June 30, the adjusted standards shall take effect not later than the first redetermination completed after July 1 of each year.

(a) Countable Income

- (1) In determining the gross income, the following types of income shall be counted except as specified in subdivision (2) of this section:
 - (A) unearned income of all adult and child family members; and
 - (B) gross earnings of all parents and adult family members.
- (2) The following types of income shall be excluded from the gross income determination:
 - (A) TFA cash assistance benefits;
 - (B) child support payments;

- (C) income paid by the Census Bureau to low-income temporary census workers;
- (D) the value of Food Stamp benefits;
- (E) the earnings of a family member who is under the age of eighteen who is not the parent of a child for whom assistance is requested;
- (F) earned income credit payment, including advanced payments;
- (G) cash contributions from non-profit charitable agencies or organizations;
- (H) interest and dividends totaling less than six hundred dollars per calendar year;
- (I) lump sum payments from unearned income sources totaling less than six hundred dollars per calendar year;
- (J) income tax refunds;
- (K) special need payments issued by the department on behalf of a cash assistance recipient that are paid to a vendor;
- (L) income from the sponsor of a non-citizen;
- (M) grants, loans and scholarships paid to students;
- (N) cash gifts received on an irregular basis, the aggregate of which does not exceed twelve hundred dollars per calendar year;
- (O) the value of goods and services given as in-kind income rather than cash payments;
- (P) reimbursements for expenditures that do not represent a benefit or gain to the recipient;
- (Q) disaster assistance paid under the Disaster Relief Act of 1974, as amended, including the Individual and Family Grant (IFG) program, and comparable disaster assistance provided by states, local governments and private organizations, and any interest earned on funds from this source;
- (R) payments made by the Department of Labor to meet the cost of pursuing employment;
- (S) state or federal government rental subsidies;
- (T) security deposits returned by a landlord to the family;
- (U) payments made under means-tested energy assistance programs and utility subsidies;
- (V) payments received under Title II of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and
- (W) payments made pursuant to the American Recovery and Reinvestment Act of 2009, P. L. 111-5, directly to an individual who is an applicant for or recipient of benefits or services under any state or local program financed in whole or in part with state funds that provides such benefits or services based on need.

ATTACHMENT 2.5 PRIORITY ELIGIBILITY GUIDELINES

The following excerpt from the Child Care Assistance Program Regulations contains the priority eligibility guidelines for the Care 4 Kids Program.

Sec. 17b-749-08. Prioritization for Child Care Funding

- (a) Each family shall be assigned to an applicable priority group. Within available funding, the department shall accept applications and authorize payments based on the following order of priorities:
- (1) parents receiving TFA cash assistance who are employed or participating in an approved employment services activity and working parents who are completing an approved employment services activity that started before the family's TFA cash assistance was discontinued pursuant to subdivision (e)(3) of section 17b-749-04 of the Regulations of Connecticut State Agencies;
 - (2) working parents whose cash assistance benefits were discontinued within six calendar months prior to the date of application for CCAP;
 - (3) parents under the age of twenty not receiving cash assistance who attend high school;
 - (4) working parents with gross countable family income below fifty percent of the state median income;
 - (5) working parents with gross countable family income between fifty and seventy-five percent of the state median income who request assistance for a child who was adopted from the Department of Children and Families; and
 - (6) all other working parents with gross countable family income between fifty and seventy-five percent of the state median income.
- (b) A family's priority status shall not be affected if the parent is removed from cash assistance due to the application of a TFA program sanction.
- (c) The commissioner may establish additional priority groups from time to time based on exceptional public need that result from unforeseen circumstances. When establishing additional priority groups, the commissioner shall designate a target expenditure level for each additional priority group created if such level is not otherwise specified by legislative action. Additional priority groups may be added or deleted based on available funding.
- (d) The CCAP administrator shall maintain a list of any additional priority groups established. The list shall include the expenditure level specifically allocated to each additional priority group. A copy of the listing of additional priority groups shall be made available to the public upon written request.

ATTACHMENT 2.3.7 WAIT LIST GUIDELINES

The following excerpt from the Child Care Assistance Program Regulations contains the priority eligibility guidelines for the Care 4 Kids Program.

Sec. 17b-749-09. Application Process

(a) Application Dispositions

- (1) If the family is eligible and funding is available for the parent's priority group, the application shall be approved. A notice of eligibility for the program shall be issued to the parent if the information needed to enroll the provider and determine payment eligibility has not been submitted. The notice shall identify any action the parent is required to take to determine payment eligibility and the specified time frames.
- (2) If at least one child has been determined eligible for payment, a certificate of payment eligibility shall be issued to the parent and the approved provider. The parent shall also be notified of any actions that need to be completed to secure payment eligibility for other children in the home and the date for completing such actions.
- (3) If a family is eligible but funding is not available for the parent's priority group, the family shall be assigned to the wait list if the wait list is open pursuant to section 17b-749-10 of the Regulations of Connecticut State Agencies. If the wait list is closed, the application shall be denied.
- (4) If the application is denied, a copy of the notice shall be sent to any provider for whom a completed child care agreement form was submitted with the application.

(b) Applications Assigned to the Wait List

- (1) The CCAP administrator shall maintain a wait list if sufficient funding is not available to keep the program open for all priority groups. If a family meets the eligibility requirements for the program but funding is not available for the parent's priority group, the family shall be assigned to the wait list unless the wait list is closed pursuant to section 17b-749-10 of the Regulations of Connecticut State Agencies. Parents and their providers shall be notified if the family is placed on the wait list.
- (2) If the commissioner chooses to close the wait list to some or all priority groups, applicants who fall into priority groups to whom the wait list is closed shall be denied. Action to close the wait list shall not be subject to an administrative hearing.

Sec. 17b-749-10. Wait list

(a) Assignment to the Wait List

- (1) Families shall be assigned to a wait list based on their priority group and the date of application. Families qualifying for more than one priority group shall be assigned to the priority group with the highest likelihood of selection for CCAP participation.
- (2) Families assigned to the wait list shall be required to notify the CCAP administrator of changes in address and to submit updated documentation of eligibility upon request by the CCAP administrator. The parent shall have a minimum of fifteen days to supply the requested documentation. Where updated information indicates a change in family circumstances, the CCAP administrator may reassign eligible families to the appropriate priority group or remove ineligible families from the wait list. The parent shall be notified of any changes made to their priority group status or eligibility for the wait list.
- (3) Parents shall inform the CCAP administrator in writing of any changes in address.

(b) Selection from the Wait List

- (1) As funding becomes available, the CCAP administrator shall select families from the wait list beginning in order of the highest priority group. The family's application shall be processed in accordance with the requirements of section 17b-749-09 of the Regulations of Connecticut State Agencies. If the program is not opened to all families within a particular priority group or groups, the CCAP administrator shall select families based on the date of the original application upon which assignment to the wait list was based. Selection from the next lower category may begin only after all families in the higher priority categories have been given an opportunity to participate.
- (2) Families shall be notified of their selection from the wait list, of any required actions and the specified time frames for completing the actions. The CCAP administrator shall have the option to specify the effective date of initial eligibility based on funding or other administrative considerations. If a date is specified, the family shall also be notified of the effective date.
- (3) The parent shall have a minimum of fifteen days to respond in writing to the notice of selection from the wait list. The family shall be denied if the parent does not respond timely.
- (4) Families selected from the wait list may be required to submit a new application and updated verification of family circumstances. Applications of families selected from the wait list shall be processed in a manner identical to applications not assigned to the wait list.

(c) Removal from the Wait List

- (1) Families shall be removed from the wait list under the following circumstances:
 - (A) when the family is selected from the wait list;
 - (B) if the parent requests removal;
 - (C) if the parent does not update information when requested or reply timely to the notice of selection from the wait list;
 - (D) if any mail sent to the parent is returned due to an unreported change in address;
 - (E) when a change in family circumstances renders the family ineligible; or
 - (F) if a change in CCAP regulations renders the family ineligible.
- (2) At the discretion of the commissioner, families may be removed from the wait list if CCAP is expected to remain closed to the family's priority group for at least twelve months.
- (3) Families removed from the wait list shall be issued a denial notice if they are not selected for participation in CCAP.

(d) Closing the Wait List

- (1) The commissioner shall have discretion to close the wait list for some or all priority groups. The decision to close the wait list shall be based on available funding, the number of families already assigned to the wait list and the likelihood of selecting newly added families from the list within twelve months.
- (2) If the wait list is closed, families for whom funding is not available shall have their application denied.
- (3) The commissioner shall have the option of reopening the wait list to some or all of the priority groups if additional funding becomes available or if a sufficient number of families are selected from the list to warrant reopening the list.

CONNECTICUT DEPARTMENT OF SOCIAL SERVICES

care 4 Kids Program

SELECTED ANNUAL STATE MEDIAN INCOME GUIDELINES

Effective July 1, 2011

Family Size	1	2	3	4	5	6	7	8	9	10	11	12
20% SMI	10,621.21	13,889.27	17,157.34	20,425.40	23,693.46	26,961.53	27,574.29	28,187.05	28,799.81	29,412.58	30,025.34	30,638.10
30% SMI	15,931.81	20,833.91	25,736.00	30,638.10	35,540.20	40,442.29	41,361.44	42,280.58	43,199.72	44,118.86	45,038.01	45,957.15
40% SMI	21,242.42	27,778.54	34,314.67	40,850.80	47,386.93	53,923.06	55,148.58	56,374.10	57,599.63	58,825.15	60,050.68	61,276.20
50% SMI	26,553.02	34,723.18	42,893.34	51,063.50	59,233.66	67,403.82	68,935.73	70,467.63	71,999.54	73,531.44	75,063.35	76,595.25
55% SMI	29,208.32	38,195.50	47,182.67	56,169.85	65,157.03	74,144.20	75,829.30	77,514.39	79,199.49	80,884.58	82,569.68	84,254.78
75% SMI	39,829.53	52,084.77	64,340.01	76,595.25	88,850.49	101,105.73	103,403.59	105,701.45	107,999.30	110,297.16	112,595.02	114,892.88
100% SMI	53,106.04	69,446.36	85,786.68	102,127.00	118,467.32	134,807.64	137,871.45	140,935.26	143,999.07	147,062.88	150,126.69	153,190.50

The family share of the approved cost is a percentage of the assistance unit's gross income:

<u>Family Share</u>	<u>AU Income Range</u>
2%	0% to less than 20% SMI
4%	20% to less than 30% SMI
6%	30% to less than 40% SMI
8%	40% to less than 50% SMI
10%	50% to less than 75% SMI

CONNECTICUT DEPARTMENT OF SOCIAL SERVICES

care 4 Kids Program

SELECTED MONTHLY STATE MEDIAN INCOME GUIDELINES

Effective July 1, 2011

Family Size	1	2	3	4	5	6	7	8	9	10	11	12
20% SMI	885.10	1,157.44	1,429.78	1,702.12	1,974.46	2,246.79	2,297.86	2,348.92	2,399.98	2,451.05	2,502.11	2,553.18
30% SMI	1,327.65	1,736.16	2,144.67	2,553.18	2,961.68	3,370.19	3,446.79	3,523.38	3,599.98	3,676.57	3,753.17	3,829.76
40% SMI	1,770.20	2,314.88	2,859.56	3,404.23	3,948.91	4,493.59	4,595.72	4,697.84	4,799.97	4,902.10	5,004.22	5,106.35
50% SMI	2,212.75	2,893.60	3,574.45	4,255.29	4,936.14	5,616.99	5,744.64	5,872.30	5,999.96	6,127.62	6,255.28	6,382.94
55% SMI	2,434.03	3,182.96	3,931.89	4,680.82	5,429.75	6,178.68	6,319.11	6,459.53	6,599.96	6,740.38	6,880.81	7,021.23
75% SMI	3,319.13	4,340.40	5,361.67	6,382.94	7,404.21	8,425.48	8,616.97	8,808.45	8,999.94	9,191.43	9,382.92	9,574.41
100% SMI	4,425.50	5,787.20	7,148.89	8,510.58	9,872.28	11,233.97	11,489.29	11,744.61	11,999.92	12,255.24	12,510.56	12,765.88

The family share of the approved cost is a percentage of the assistance unit's gross income:

<u>Family Share</u>	<u>AU Income Range</u>
2%	0% to less than 20% SMI
4%	20% to less than 30% SMI
6%	30% to less than 40% SMI
8%	40% to less than 50% SMI
10%	50% to less than 75% SMI



Si quisiera recibir este material en español
sírvese llamar al 1-888-214- 5437.

Application Form

Care 4 Kids ■ 1344 Silas Deane Hwy ■ Rocky Hill, CT 06067-1339

Deaf and hearing-impaired individuals may use TTD/TTY line 1-877-455-9169

Care 4 Kids operates the child care assistance program for the State of Connecticut. The purpose of this form is to collect information we need to determine if you are eligible to receive assistance from the Care 4 Kids program.

To apply for child care benefits, follow these easy steps:

- **Complete this application form.** If you have any questions or need help, call **1-888-214-5437**.
- **Complete the parent provider agreement form (PPA),** with your child care provider. If your provider is new to the Care 4 Kids program, your provider also needs to fill out the enclosed W-9 form and return it with the completed PPA. Each provider must complete a separate PPA so, if you have more than one provider or need another PPA, call **1-888-214-5437**.
- **Provide all needed Verification.** Follow the **CHECKLIST** to see what verifications are required. If you send copies of the requested verifications with your application, we can process your application faster. Do not send original verifications. Care 4 Kids will not return original documents. If you do not have all the verifications, you may still send in your application but you must send the required information as soon as possible.
- **Send your completed application, parent provider agreement (PPA) and verifications** to the Care 4 Kids address at the top of this page. Be sure to put enough postage on your envelope. If you have chosen a child care provider, include the completed PPA. **Please make sure your application and PPA are signed and dated.**
- **Note:** You may submit the completed application, even if you have not yet selected a child care provider. If you need help finding a licensed child care provider, call 2-1-1 Child Care at **211 or 1-800-505-1000**.

Certain information that you have given on this form must be verified before Care 4 Kids can grant assistance. The following list will give you an idea of the documents that may be used to prove your statements.

Income from Employment – You may use copies of the most recent pay stubs or a statement from your employer on company letterhead.

Self-Employment – You may use tax records, your last tax return or receipts of business income and expenditures.

Social Security Income – Current award notice, copy of current check or statement from social security

Work Schedule – Time card or statement from employer on company letterhead verifying your schedule

Child Support Paid – Copy of a cancelled check, money order or wage stub showing deduction

Foster Care Payment – Copy of your foster care stipend check or award letter from Department of Children and Families

Rental Income – Copy of leases, business records or income tax records

CHECKLIST **Do not forget to send in verifications requested**

THE CARE 4 KIDS GOAL IS TO PROCESS YOUR APPLICATION WITHIN 30 DAYS

Section 1: Applicant Information (Tell us who you are) ◀

The applicant is the parent or adult responsible for the child(ren). If the parent of the child in need of care is under the age of 18 and living with another adult, then that adult is considered the applicant and must complete and sign this application.

Have you ever applied for cash, medical or food stamp assistance from the **Department of Social Services**? (Answering this question will not affect your eligibility.)

If **yes**, what is your DSS client identification number? _____

First Name _____ Middle Initial _____ Last Name _____ Date of Birth _____

Address _____ Apt _____

City _____ State _____ Zip _____ Home phone _____ Work phone _____

Social Security Number (optional) _____ Is this application for child care assistance for a Foster Child? Yes No

Sex: Female Male Marital Status: Married Single Separated

Race: (circle all that apply) **AA** - American Indian/Alaskan Native **A** - Asian **B** - Black
NP - Native Hawaiian/Pacific Islander **W** - White **U** - Unknown

Hispanic: Yes No Marque aquí si desea recibir cartas y formularios en español.
(Check here if you want to receive letters and forms in Spanish.)

Section 2: Children Information (Tell us about all the children living in your home) ◀

TABLE A: CHILDREN WHO NEED CHILD CARE

- In this section, please list only those children who need child care assistance from this program.
- To be eligible, most children must be under age 13. Children with special needs may be eligible up to age 19. Special needs may include a physical or mental impairment, a severe behavioral disturbance or developmental delay. Special needs must be confirmed by a health care professional and the child must need extra supervision, care or assistance in the child care setting.
- All children in Care 4 Kids must be up-to-date on their shots (immunizations).
- By law we need to ask your child's race. Identify your child's race by circling **all the races that apply** in the column "Race of Child" in **Table A**.

KEY AA - American Indian/Alaskan Native **A**- Asian **B** - Black **NP** - Native Hawaiian/Pacific Islander **W**- White **U** - Unknown

First name, Middle initial, Last name	Date of birth	Relationship of child to Applicant	Sex	Is this child Hispanic?	Social Security Number (optional)	Is this child a US citizen?	Does this child have special needs?	Race of child	Is this child up to date with shots?
1.			<input type="checkbox"/> M <input type="checkbox"/> F	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	AA NP A W B U	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.			<input type="checkbox"/> M <input type="checkbox"/> F	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	AA NP A W B U	<input type="checkbox"/> YES <input type="checkbox"/> NO
3.			<input type="checkbox"/> M <input type="checkbox"/> F	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	AA NP A W B U	<input type="checkbox"/> YES <input type="checkbox"/> NO
4.			<input type="checkbox"/> M <input type="checkbox"/> F	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	AA NP A W B U	<input type="checkbox"/> YES <input type="checkbox"/> NO
5.			<input type="checkbox"/> M <input type="checkbox"/> F	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	AA NP A W B U	<input type="checkbox"/> YES <input type="checkbox"/> NO

TABLE B: CHILDREN UNDER 18 IN HOME WHO DO NOT NEED CHILD CARE

- Please list any other children under 18 living in your home who do not need child care.

First name, middle initial, last name	Date of birth	Sex	Relationship of child to Applicant	Social Security Number (<i>optional</i>)
1.		<input type="checkbox"/> M <input type="checkbox"/> F		
2.		<input type="checkbox"/> M <input type="checkbox"/> F		

Do any of the children listed above have their own children living in your home? Yes No

If YES, please list the names of the under 18 parent(s) and the name(s) of their children:

Under 18 Parent(s): _____ Child/ren: _____

Section 3: Adult Information (Tell us about all other adults living in your home) ◀

TABLE C: ADULTS IN THE HOME OTHER THAN THE APPLICANT

- Please list all other adults **over 18**, excluding yourself, living in your home. Include your spouse and any relatives and non-relatives who live in your home.
- If more space is needed, please write the information on another piece of paper and attach it to the application.

First name, middle initial, last name	Date of birth	Sex	Relationship to Applicant	Social Security Number (<i>optional</i>)	Is this person unable to provide child care because of a disability?	Is this person a parent of child living in the home?
1.		<input type="checkbox"/> M <input type="checkbox"/> F			<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO Name of child _____
2.		<input type="checkbox"/> M <input type="checkbox"/> F			<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO Name of child _____

Section 4: Child Support Paid (Tell us about Child Support you pay) ◀

If you or another adult living in your home pays child support for a child who does not live with you, that amount may be used to reduce your income when determining income eligibility for assistance.

Do any adults in your home pay child support for a child who does not live with you? YES NO

If YES, payment is made to _____ payment is made by _____

What is/(are) the name(s) of the child(ren) being paid for? _____

How much is paid? \$ _____ per _____ date payments started _____
 (time period)

 Please send us verification that an adult in your home pays child support.

Section 5: Work/Education/Training Activities ◀

- Please list all parents and other adults, including your self, who are working, in training or in school. Include parents or other persons responsible for the children in the home and their spouses.
- Be sure to include work, training or school information. Fill out information and schedule for each activity (*i.e., working, in training, in school*) a parent/adult participates in.

1. Name of Parent or Other Adult: _____

Type of Activity: Work Education High School Self-Employed Training
 Other(*describe*) _____ Do you work at home? Yes No

Name of Employer/Program/School _____ Phone _____

Address _____ City _____ State _____ Zip _____

Start Date of Work/Program/School _____ Name of Employment Services Case Manager, if any _____

PARENT/ADULT SCHEDULE BY DAY

	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY	SUNDAY
Start time*	AM	AM	AM	AM	AM	AM	AM
	PM	PM	PM	PM	PM	PM	PM
End time*	AM	AM	AM	AM	AM	AM	AM
	PM	PM	PM	PM	PM	PM	PM

* - Fill in the time you are required to start the activity and the time the activity ends including meal and break times.

If workdays or hours of work vary, please explain: _____

How long does it take you to **get to** this activity **from the** child care setting? _____

How long does it take you to **get from** this activity **to the** child care setting? _____

Do you take public transportation to or from this activity? Yes No. If yes,

What is the bus route number? _____

2. Name of Parent or Other Adult: _____

Type of Activity: Work Education High School Self-Employed Training
 Other(*describe*) _____ Do you work at home? Yes No

Name of Employer/Program/School _____ Phone _____

Address _____ City _____ State _____ Zip _____

Start Date of Work/Program/School: _____ Name of Employment Services Case Manager, if any: _____

PARENT/ADULT SCHEDULE BY DAY

	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY	SUNDAY
Start time*	AM	AM	AM	AM	AM	AM	AM
	PM	PM	PM	PM	PM	PM	PM
End time*	AM	AM	AM	AM	AM	AM	AM
	PM	PM	PM	PM	PM	PM	PM

* - Fill in the time you are required to start the activity and the time the activity ends including meal and break times.

If work days or hours of work vary, please explain: _____

How long does it take you to **get to** this activity **from the** child care setting? _____

How long does it take you to **get from** this activity **to the** child care setting? _____

Do you take public transportation to or from this activity? Yes No

If yes, What is the bus route number _____

Section 6: Income Information (Tell us about your family income) ◀

 Please send us verification of all income your family receives. (See page 1, for a list of documents you can use to verify your family's income)

- Please list all the income your family receives including:
 - Gross earnings **before taxes or deductions** for all parents and adult family members in your home
 - Unearned income **before deductions** for all adults & children in your home (such as SSI, Social Security, etc.)

Persons with Income →	Name	Name	Name	Name
Wages	\$ _____ * per wk bwk sm mo (circle one)	\$ _____ * per wk bwk sm mo (circle one)	\$ _____ * per wk bwk sm mo (circle one)	\$ _____ * per wk bwk sm mo (circle one)
Self-employment	\$ _____ per week or month (circle one)			
SSI	\$ _____ per month	\$ _____ per month	\$ _____ per month	\$ _____ per month
Social Security	\$ _____ per month	\$ _____ per month	\$ _____ per month	\$ _____ per month
Rental Income	\$ _____ per month	\$ _____ per month	\$ _____ per month	\$ _____ per month
Unemployment Compensation	\$ _____ per month	\$ _____ per month	\$ _____ per month	\$ _____ per month
DCF Stipend	\$ _____ per month	\$ _____ per month	\$ _____ per month	\$ _____ per month
Other Income (e.g. Alimony, pensions, worker's compensation, veterans benefits dividends /interest (if over\$600/year)	\$ _____ Type: _____ * per wk bwk sm mo (circle one)	\$ _____ Type: _____ * per wk bwk sm mo (circle one)	\$ _____ Type: _____ * per wk bwk sm mo (circle one)	\$ _____ Type: _____ * per wk bwk sm mo (circle one)

* per: **weekly** (wk), **bi-weekly** (bwk), **semi-monthly** (sm), **monthly** (mo)

 Please send copies of your **MOST RECENT** paycheck stub(s) with this application. Processing of your application will be delayed if the most recent pay stubs are not submitted.

- If you are paid **once a week**, send copies of the last four paycheck stubs.
- If you are paid **every other week or twice a month**, send copies of the last two paycheck stubs.
- If you are paid **once a month**, send a copy of the last paycheck stub.
- If you are **self-employed**, send a copy of your most recent state or U.S. tax return, including the schedules **or** your most recent quarterly state or U.S. tax filing.

Do you receive Food Stamps? YES NO (Answering this question will not affect your child care benefit.)

Do you receive housing assistance? YES NO (Answering this question will not affect your child care benefit.)

Do you receive child care assistance from another source? YES NO

If YES, from whom: _____ How much? \$ _____ How often? _____

Section 7: Parent's Rights & Responsibilities ◀

- Please read the following section carefully or have it read to you. If there is anything you do not understand, you may call **Care 4 Kids** at **1-888-214-KIDS (5437)** and ask that it be explained to you.
- When you have read the section or had it read to you, please sign in the space provided at the bottom of this page.
- You have certain rights and there are certain rules you need to follow.
- You have the right to file an application, withdraw an application or discontinue your participation in **Care 4 Kids** at any time. You have the right to choose any eligible child care provider.
- You have the right to be treated fairly by **Care 4 Kids** without regard to race, color, religion, sex or sexual orientation, marital status, national origin, ancestry, age, political beliefs or disability. You have the right to request forms and notices in Spanish. All non-English speaking participants have the right to the services of an interpreter.
- You have the right to ask for a review of any decision made by **Care 4 Kids** on your application/enrollment. You have the right to speak to a supervisor or mediator and the right to request a hearing from the Department of Social Services (DSS).

I understand and agree that:

- I must report any changes in my situation to **Care 4 Kids** within 10 days of the change, including but not limited to changes in address, income, household size, child care provider, hours of employment or training, additional hours of care, etc.
- **Care 4 Kids** may verify the information I have given on this form. I understand that if I am eligible for **Care 4 Kids**, benefits will not begin any earlier than 15 days before the date the application is received.
- The information on this form is confidential. DSS or its agent will only use this information to administer a DSS program. Information may be shared with others as permitted by law.
- **Care 4 Kids** employees may provide my child care provider with information about my eligibility for **Care 4 Kids** and the amount of the **Care 4 Kids**' payment.
- On request, **Care 4 Kids** may be required to provide information on program applicants and participants to law enforcement officials.
- The child care arrangement is between my provider and me. DSS and **Care 4 Kids** are not responsible for the child care arrangement.
- The Department of Social Services may conduct an unscheduled home visit.
- **Care 4 Kids** may not pay the full amount charged by my provider. I am responsible for paying all additional provider charges.
- Providers must meet state health, safety and licensing requirements to be eligible for payment.
- I may be required to repay any benefits received in error, including administrative errors. I may be subject to criminal prosecution for fraud if I knowingly supply any false information to **Care 4 Kids** or fail to report changes on time. I also may be disqualified from the program. In order to remain eligible, I must cooperate with the **Care 4 Kids** and DSS quality control process.

Applicants please read and sign: I have read my rights and responsibilities or have had them read to me in a language I understand. I certify under penalty of perjury that all the information provided is true and correct to the best of my knowledge.

Applicant Signature _____ Date _____

Did another person help you fill out this form? YES NO

If **yes**, printed name: _____ Signature: _____

CHECKLIST Do not forget to send in all verifications requested

Mail this application to: **Care 4 Kids** ■ 1344 Silas Deane Hwy ■ Rocky Hill, CT ■ 06067-1339

The Connecticut Department of Social Services sponsors the Care 4 Kids program.
All Department of Social Services programs are administered in a non-discriminatory manner,
consistently with equal employment opportunities and affirmative action requirements.

