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 0970-0114 expires 12/31/2013

TABLE OF CONTENTS

Part 1: Administration
- **1.1. Contact Information**
- **1.2. Estimated Funding**
- **1.3. CCDF Program Integrity and Accountability**
- **1.4. Consultation in the Development of the CCDF Plan**
- **1.5. Coordination Activities to Support the Implementation of CCDF Services**
- **1.6. Child Care Emergency Preparedness and Response Plan**

Part 2: CCDF Subsidy Program Administration
- **2.1. Administration of the Program**
- **2.2. Family Outreach and Application Process**
- **2.3. Eligibility Criteria for Child Care**
- **2.4. Sliding Fee Scale and Family Contribution**
- **2.5. Prioritizing Services for Eligible Children and Families**
- **2.6. Parental Choice in Relation to Certificates, Grants or Contracts**
- **2.7. Payment Rates for Child Care Services**

Part 3: Health and Safety and Quality Improvement Activities
- **3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)**
- **3.2. Establishing Voluntary Early Learning Guidelines (Component #2)**
- **3.3. Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)**
- **3.4. Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)**

Amendments Log

Appendix 1: Quality Performance Report

Appendix 2: CCDF Program Assurances and Certifications

Child Care and Development Fund (CCDF) Plan
For

Connecticut
FFY 2012-2013

PART 1
ADMINISTRATION

1.1 Contact Information

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

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

Effective Date: 01-OCT-11

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:

Effective Date: 01-OCT-11

Name of CCDF Administrator: Peter Palermino
Title of CCDF Administrator: Program Manager
Address of CCDF Administrator: DSS, Family Services Division, 25 Sigourney Street, Hartford, Connecticut 06106
Phone Number: (860) 424-5006
Fax Number: (860) 424-5335
E-Mail Address: Peter.Palermino@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): www.ct.gov/dss
Web Address for CCDF program administrative rules (if any): www.ct.gov/dss

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

Name of CCDF Co-Administrator: N/A
Title of CCDF Co-Administrator: N/A
Address of CCDF Co-Administrator: N/A
Phone Number: (800) 811-6141
Fax Number: (860) 424-5335
E-Mail Address: www.ct.gov/dss
Description of the role of the Co-Administrator:

N/A

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)).

Effective Date: 01-OCT-11

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching): $ 51,205,405
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: $ 17,941,795

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.

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

Effective Date: 01-OCT-11

☐ N/A here

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

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

State of Connecticut, General Funds

If known, identify the estimated amount of public funds the Lead Agency will receive:
$17,941,795
☐ Private Donated Funds to meet the CCDF Matching Fund requirement. Only private received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

If checked, are those funds:
☐ donated directly to the State?
☐ donated to a separate entity(ies) designated to receive private donated funds?
If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact and type:

If known, identify the estimated amount of private donated funds the Lead Agency will receive:
☐ State expenditures for Pre-K programs to meet the CCDF Matching Funds requirement.

If checked, provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%):
If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services:

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement:
Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

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

If checked,
☐ The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1).
Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%):
If percentage is more than 10% of the MOE fund requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care:

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement:
Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2012. In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Effective Date: 01-OCT-11

Activity	Estimated Amount of CCDF Quality Funds (indicate if targeted funds will be used)	Purpose	Projected Impact and Anticipated Results
Quality Expansion,Infant Toddler, School Age Children, and Resource and referral. Quality Exhancement Infant/Toddler (I/T)Funds are directed at child day care to support Quality Enhancements such as Mental Health and Health consultation, professional development, early learning guidelines training, emergency preparedness planning and training. Quality Exhancement (QE) / Quality Expansion (QE+)Funds are directed at child day care to support Quality Enhancements such as Professional Developments - CT Charts-a-Course, Scholarships, Accreditation Facilitation project, Mental Health and Health consultation/coaching, professional development, early learning guidelines training, emergency preparedness planning and training. Resource and Referral (R&R) - consumer education and Database management of child care providers through the Resource and Referral agancy United Way of Connecticut.	Estimated Cost: $2,029,463 (Target)+ $1,967,038 Quality Expansion = $3,996,501 Total R&R = $ 124,547 I/T = $ 698,610 QE = $1,206,306 QE+ = $1,967,038	The funding for quality activities in FY 2012 will supplement state funds that support initiatives that improve the quality of child care programs and services. This funding will be directed at professional development, scholarship assistance, accreditation support services, training and supports relating to early care and development for infants and toddlers, and pre-school age children. Supports for school-age children programs are included within quality activities. The CCDF targeted funds will support resource and referral services through Connecticut United Way 2-1-1 Child Care project. Funding may be provided to expand dissemination of Infant/Toddler Early Learning Guidelines, and to further develop of a statewide Emergency Preparedness Plan and training for child care providers.	Improved quality, training and education seen in early care and education services in Connecticut. Including, improved skills and abilities of child care staff and parents in meeting the developmental needs of children. Improved understanding and ability of parents to choose quality child care settings that meet the needs of their family for access and the needs of the child for safe, healthy and developmentally appropriate environments.

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

Effective Date: 01-OCT-11

☑ No, the Lead Agency will manage all quality funds directly

☐ Yes, the Lead Agency will manage some quality funds directly and distribute a portion to local entities. Estimated amount or percentage to be distributed to localities

☐ Yes, all quality funds will be distributed to local entities
☐ Other.
Describe:

All quality funds will be distributed to statewide entities.

1.3 CCDF Program Integrity and Accountability

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

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

Effective Date: 01-OCT-11

Describe:

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 to 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 compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

Effective Date: 01-OCT-11

Describe:

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.

Effective Date: 01-OCT-11

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	☑	☑
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	☑	☑
Run system reports that flag errors (include types)	☑	☑
Review of attendance or billing records	☑	☑
Audit provider records	☑	☑
Conduct quality control or quality assurance reviews	☑	☑
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	☑	☑
Conduct supervisory staff reviews	☑	☑
Conduct data mining to identify trends	☑	☑
Train staff on policy and/or audits	☑	☑
Other. Describe Fraud investigations	☑	☐
None	☐	☐

For any option the Lead Agency checked 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 investigators 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.

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

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

Effective Date: 01-OCT-11

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: $ 10	☑	☑	☑
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: Generally, IPV Overpayments of $2,000 or more are referred to the Chief States Attorney for prosecution. IPV errors of less than $2,000 are recovered administratively as are all UPV and administrative errors.	☑	☑	☑
Recover through repayment plans	☑	☐	☑
Reduce payments in the subsequent months	☐	☐	☐

Recover through State/Territory tax intercepts	☑	☑	☑
Recover through other means. Describe: Offsetting overpayments with underpayments.	☑	☑	☑
Establish a unit to investigate and collect improper payments. Describe composition of unit: 8 Investigators, 2 Leads, and 2 Supervisors	☐	☑	☐
Other. Describe: Civil Court.	☑	☐	☑
None	☐	☐	☐

For any option the Lead Agency checked 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. Recovery 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?

Effective Date: 01-OCT-11

☐ 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.

☑ 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

Effective Date: 01-OCT-11

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)

1. Correct system co-payment rounding error defect 2. Insufficient documentation 3. Wage calculation errors 4. Errors in care schedule calculations 5. Error in application of state policy	1. System Rounding Error 2. Documentation 3. Calculation Error 4. Calculation Error 5. Error	A. 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 has been corrected. B. 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. C. The operations vendor conducts desk reviews to monitor compliance. Staff will be evaluated on performance in these and other areas. D. The program vendor and Lead Agency monitors performance by reviewing a random sample of cases. State staff will employ a methodology parallel to the federal review process.	A. Completed. The defect has been corrected. B. Completed C. Ongoing D. Ongoing

1.4 Consultation in the Development of the CCDF Plan

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

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

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

Agency/Entity	**Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan**
☑ **Representatives of general purpose local government (required)** 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 - electronic communication to C.L.A.S.S. They sent plan out to membership with invitation to attend public hearings, send in comments and have a special meeting with representatives from the Lead agency if interested. Graustein Discovery Communities. Representative from Graustein Memorial Fund attended/participated in 1st public hearing. Representatives at informal meeting of advocates where presentation on CCDF plan given. Advocates, providers and parents in communities that are Discovery communities participated in discussions, meetings, hearings.
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.	
☑ State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	State Department of Education (SDE) completed relevant sections of the plan. Develop agreement to consult and coordinate.
☑ State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	Connecticut Department of Developmental Services (DDS) – Helped to develop definitions for children with Special Needs for Care4Kids program. Met with Birth-to-Three Interagency Coordinating Council regarding CCDF Plan. Received feedback and comments.

☑ State/Territory agency responsible for licensing (if separate from the Lead Agency)	Connecticut Department of Public Health - completed Section 3.1
☑ State/Territory agency with the Head Start Collaboration grant	Head Start – shared CCDF plan preprint and draft plan with Head Start Collaboration Office (HSCO) State Director and Head Start Advisory Councils. Invited comments and discussions.
☑ Statewide Advisory Council authorized by the Head Start Act	Presented plan preprint and draft plan to full Statewide Advisory Council (SAC). Meeting with staff and chairpersons from working groups/committees regarding goals going forward and collaboration on SAC planning and relationship to CCDF plan. Invited review, comments, and recommendations from SAC membership.
☑ Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	All Our Kin - Advocates for Family Child Care - held meeting with over 75 participants - Family day Care Home Providers, parents, advocates, educators to a presentation with an overview of the CCDF plan, invited questions and comments during the meeting, and in follow-up written on note cards and via email. Questions related to rate of pay differences for centers versus FDCH, licensing requirements, interest in educational and professional development opportunities, additional quality enhancement opportunities. Connecticut After School Network - Lead Agency met with statewide coordinator to review the CCDF plan, received input, additional language, recommendations and goals relating to school age and before and after school child care issues. Representatives from School-Age centers and family day care homes at public hearings gave input into the CCDF plan relating to afterschool issues. Importance of age appropriate developmental activities and opportunities for school age children and training and professional development for providers discussed.
☑ State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	State Department of Education (SDE) - shared plan preprint. Lead agency working with SDE on furthering / enhancing linkages and connections between child care providers and CACFP.
☑ State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	Connecticut Department of Public Health (DPH). Advocates expressed importance of Home Visitation programs. Received feedback and comments which were incorporated into the plan where appropriate.
☑ 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) provided language and recommendations for CCDF Plan. Plan sent to statewide Infant Mental Health workgroup for review and comments. Lead Agency staff person participates on the council.

☑ State/Territory agency responsible for child welfare	State Department of Children and Families (DCF). Discussions between Lead Agency, DSS and DCF regarding CCDF Plan, recommendations, changes in agency activities, collaboration to ensure efficient, accessible child care opportunities for families.
☐ State/Territory liaison for military child care programs or other military child care representatives	Not Applicable.
☑ State/Territory agency responsible for employment services/workforce development	Connecticut Department of Labor (DOL). DSS works directly with DOL on TANF and Jobs First Employment Services providing employment and training opportunities to families with children. Coordination of child care and supports including transportation are ongoing and reviewed in monthly and quarterly meetings of providers. Educational opportunities for families under additional review and increased educational opportunities supports experience of children's educational attainment related to parents.
☑ State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	Connecticut Department of Social Services (DSS) – CCDF Administrator is TANF Administrator. Child care services for TANF and non-TANF Families coordinated through lead agency.
☑ Indian Tribes/Tribal Organizations ☐ N/A: No such entities exist within the boundaries of the State	Mohegan Tribe - shared CCDF plan and met to discuss statewide plan and Mohegan Tribe CCDF plans for child care services of Tribe population. Discussed opportunities for and needs of populations for child care services and supports.
☑ 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 Advisory Council, Mott Statewide After School Network. Provided recommendations and language for the CCDF Plan.
☑ 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. Invited to and participated in CCDF Plan meetings and/or discussions.
☑ Parent groups or organizations	Connecticut Parent Power. Graustein Discovery Communities. Invited to and participated in CCDF Plan meetings and/or discussions. Held webinar with parents. Held meeting at child care center, invited parents to discuss child care needs and issues, CCDF plan and Care4Kids process.

☑ Local community organizations (child care resource and referral, Red Cross)	2-1-1 Child Care – part of United Way of Connecticut. Feedback provided from CT United Way staff regarding CCDF Plan.
☐ Other	

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

Effective Date: 01-OCT-11

a) Date(s) of notice of public hearing: 04/25/2011
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? Lead Agency website www.ct.gov/dss and emailed, faxed, handed out flyer with public hearing information to child care list serves, advocates, agencies. A press release was sent to local media outlets.c) Date(s) of public hearing(s): 05/16/2011
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 Community Colleges and Child Care Training facility.
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 CT.GOV/DSS website, sent via email to providers and advocates, list serves, programs, handed out at meetings with providers and parents (May 7th, June 21st). Printed copy available upon request.
f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? Public comments made during the public hearings and other community meetings re: CCDF have been documented and reviewed by state agency staff involved in CCDF process. Discussions and incorporation of recommendations and changes into the CCDF plan as appropriate. Consultation with advocates, providers and families provide opportunity for discussion on prioritizing comments, goals, recommendations and understanding policy implications. 1.4.2 a) May 16th, 23rd, and 24th, 2011

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.

1.4.3. Describe:

The formal public hearings were held in 3 communities in different regions across the state to accommodate equal access and distance to attend. Two of the sites Norwich and Naugatuck/Waterbury were in classrooms at community colleges with easy access to the campus, building and meeting room. The third site was the Connecticut Charts-A-Course facility in Hamden, CT with easy access to meeting space and centrally located -within an hour of most CT communities. Each of the 3 sites has two meetings, one during daytime hours, 3:00 - 5:00 pm and one in the evening 6:00 - 7:30 PM (May 16, 23, and 24, 2011). In addition, presentation of the plan and question & answer sessions were conducted during a family child care provider conference on May 7, 2011 and through a webinar(s) with parents that provided access from individuals home or office - and provided an audio recording and PowerPoint. There were several informal meetings with advocates, providers, and parents, as well as other formal meetings, presentations and question and answer sessions with advocates, parents and providers during the months of May and June.

The DSS website link allowed for comments to be sent directly from the web connection to the Lead Agency staff. Lead Agency email address, toll free phone number, and office address and mailing address were included on the public hearing notices and invitation to comment. The public comment period was originally open for over six weeks, and additional comments were permitted to address the extension and changes to the CCDF application due August 1st.

1.5. Coordination Activities to Support the Implementation of CCDF Services

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

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

Effective Date: 01-OCT-11

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 of general purpose local government **(required)** 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	Increased awareness to potential child care consumers served by local government.

☑	State/Territory agency responsible for public education **(required)** This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	State Department of Education (SDE)	Jointly fund and administer the School Readiness and Quality Enhancement grant programs for designated Connecticut communities. . 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. . Produce necessary materials to support parents and providers to use in transitioning their children from preschool to school. . Develop programs to promote family involvement in School Readiness and other early care programs.
☑	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services **(required)**	State Department of Education (SDE) CT After School Network	Work to ensure that School Age programs and providers have quality supports they need and professional development opportunities.

☑	State/Territory agency responsible for public health **(required)** This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health	Connecticut Department of Public Health (DPH)	DSS and DPH Educate informal providers regarding immunizations.
☑	State/Territory agency responsible for employment services / workforce development **(required)**	Connecticut Department of Labor (DOL)	Work to ensure TANF clients receive job training skills and access child care. Share staff contact lists with Workforce Investment Boards, their service providers and child care subsidy staff to facilitate case processing and problem resolution. Provide training to DOL and Workforce Investment Board staff regarding how families on public assistance can access and use the child care subsidy program. 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.
☑	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) **(required)**	Connecticut Department of Social Services (DSS)	Provide child care to TANF eligible clients who must work.
☑	Indian Tribes/Tribal Organizations (required) ☐ 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			
☑	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.
☑	State/Territory agency with the Head Start Collaboration grant	State Head Start Collaboration	Blend funding to support quality activities.
☑	Statewide Advisory Council authorized by the Head Start Act	Early Childhood Education - State Advisory Council.	Supporting 4 workgroups. Coordination and alignment with CCDF plan.
☑	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	State Department of Education (SDE)	Coordinate access to informal providers identified in the subsidy program and to all licensed child care providers operating in Connecticut.

☑	State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	Connecticut Department of Developmental Services (DDS)	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. . Offer joint training and development - for 0-3 population.
☑	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	Connecticut Department of Public Health (DPH)	Coordinate Home Visiting application and services.
☑	State/Territory agency responsible for child welfare	Connecticut Department of Children and Families (DCF)	Transfer of child care funds from DSS to DCF to conduct background checks when informal child care providers seek child care financial assistance. Establish protocols and report needs for sharing information on target groups, e.g. foster and adoptive children. Provide education to child care providers and parents on child abuse/neglect prevention and behavioral/mental health issues.

☐	State/Territory liaison for military child care programs or other military child care representatives	Not Applicable	Not Applicable
☑	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	Connecticut After School Network . Connecticut Department of Education	Increase quality services to after school programs
☑	Local community organizations (child care resource and referral, Red Cross)	United Way CT 2-1-1	Operate statewide data collection and consumer education.
☑	Provider groups, associations or labor organizations	All Our Kin Connecticut Association for the Education of Young Children.	Train Family Providers on Infant/Toddler guidelines. Train Center Providers on variety of quality activities.
☑	Parent groups or organizations	CT Parent Power	Sponsored an informational webinar regarding CCDF and child care services in Connecticut with parents, providers, advocates and state agency representatives. Offered comments for subsidy program.
☑	Other	Save the Children Regional Educational Service Centers (**RESCs**). Community Action Agencies	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):
Early Childhood Education - State Advisory Council in collaboration with Lead Agency

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

State Advisory Council Workgroups - Birth to Five - in development.

Work toward School Age Plan.

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

☑ Yes

☐ No

d)
Provide a web address for the plan(s), if available:
http://www.ctearlychildhood.org/index.html

☐ No

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

Effective Date: 01-OCT-11

☑ 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

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))

Effective Date: 01-OCT-11

☑ 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) 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.

Effective Date: 01-OCT-11

☐ **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.

Training opportunities are also available through FEMA on-line, Connecticut Charts-A-Course and Save-the-Children.

The School-Age Network and All Out Kin are offering training to after school and family day care programs.

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

Effective Date: 01-OCT-11

☑ Planning for continuation of services to CCDF families

- [x] Coordination with other State/Territory agencies and key partners
- [x] Emergency preparedness regulatory requirements for child care providers
- [x] Provision of temporary child care services after a disaster
- [x] Rebuilding child care facilities and infrastructure after a disaster
- [ ] None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

2.1 Administration of the Program

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

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

Effective Date: 01-OCT-11

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.

Effective Date: 01-OCT-11

Implementation of CCDF Services/Activities
Who determines eligibility? **Note:** If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:
Non-profit contractor - Child Care Resource and Referral agency.

Agency (Check all that apply)

☐ CCDF Lead Agency

☐ TANF agency

☑ Other State/Territory agency.

Describe:
Non-profit contractor - Child Care Resource and Referral agency.

☐ Local government agencies such as county welfare or social services departments

☑ Child care resource and referral agencies

☐ Community-based organizations

☐ Other.

Describe:
Non-profit contractor - Child Care Resource and Referral agency.
Who assists parents in locating child care (consumer education)?

Agency (Check all that apply)

☑ CCDF Lead Agency

☑ TANF agency

☑ Other State/Territory agency.

Describe:
State Department of Education, Department of Public Health, Department of Children and Families.

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

Describe:
Who issues payments?

Agency (Check all that apply)

- [x] CCDF Lead Agency
- [ ] TANF agency
- [ ] Other State/Territory agency.

Describe:

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

Describe:
Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)
Payments are distributed to the provider by check via mail. An electronic transfer payment process is under review.
Other. List and describe:

2.2. Family Outreach and Application Process

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

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

Effective Date: 01-OCT-11

- [x] CCDF Lead Agency
- [x] TANF offices
- [x] Other government offices

- [x] Child care resource and referral agencies
- [x] Contractors
- [x] Community-based organizations
- [x] Public schools
- [x] Internet

(provide website): www.ct.gov/dss and www.ctcare4kids.com

- [x] Promotional materials
- [x] Community outreach meetings, workshops or other in-person meetings
- [ ] Radio and/or television
- [ ] Print media
- [ ] Other.

Describe:

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

Effective Date: 01-OCT-11

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

(provide website):

- [x] By Email
- [x] 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.

Effective Date: 01-OCT-11

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.

Effective Date: 01-OCT-11

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.

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 supporting programs through consultation and support to achieve NAEYC accreditation; the Provider Registry System collecting data and demographics, education and qualifications of early care and education providers; technical assistance to child care advocacy and member organizations. Annual reports are collected to measure compliance with negotiated activities and annual monitoring is completed. A Director's credential program provides skills training in Child Care Development, Personnel, Family and Community Involvement, Leadership on Programs for Young children, and Finance. Career Ladders of Teaching Staff in publicly funded centers to track and support accomplishment of CDA and 12 ECE credits.

Technical Assistance for after-school programs may be supported by federal technical assistance contracts to hire a national after school technical assistance staff person to support states needs relating to school age child development activities and settings. National Standards and Quality Improvement standards for school Age children are used in Connecticut. After School advisors from Charter Oak College support school -age providers. Credentials and courses available through on-line forums.

d. inclusive child care:

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. Maternal and Child Health activities:

The Lead Agency has participated in the federal Maternal and Child Health's Early Childhood Comprehensive Systems Plan in partnership with the CT Department of Public Health.

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 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.

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.

Effective Date: 01-OCT-11

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

Fax and Mail.

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

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

☑ Other.
Describe:

Developing direct deposit capability.

☑ 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: up to 60 days from loss of employment.

☑ Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)
☐ Synchronize review date across programs
List programs:

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

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:

☐ Extend periods of eligibility for school-age children under age 13 to cover the school year.
Describe:

☑ Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
☐ 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 provide outreach and services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-11

☑ 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.
Describe:

Dial-up translation line service.

☐ None

(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered :

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

Effective Date: 01-OCT-11

☑ Informational materials in non-English languages
☑ Training and technical assistance in non-English languages
☑ CCDF health and safety requirements in non-English languages
☑ Provider contracts or agreements in non-English languages
☑ Website in non-English languages
☑ Bilingual caseworkers or translators available
☑ Other.
Describe:

Dial-up translation line service.

☐ None

(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered:

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

Effective Date: 01-OCT-11

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

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
☑ Applicant identity	**Applicant identity:** Applicants apply by mail, fax or dropping off materials. Since face-to-face interviews are not required, applicants who are not already known to the agency through the TANF, SNAP or medical programs must provide a photo ID.
☑ Household composition	**Household composition:** The applicant's statement is accepted unless it conflicts with information already known to the agency. If there is a conflict, acceptable forms of verification include a statement of a landlord, copy of a lease, school records, records of other agencies, third party statement, quality control investigation, etc.
☐ Applicant's relationship to the child	**Applicant's relationship to the child:** Applicant is not required to be related to the child.
☑ Child's information for determining eligibility (e.g., identity, age, etc.)	**Child's information for determining eligibility:** Verification is only required if the child is not already known to the agency. Child information can be verified by birth certificate, school, medical or records of other agencies, third party statements, etc.

☑ Work, Job Training or Educational Program	**Work, Job Training or Educational Program:** Employment is verified by wage receipts, employment letters, agency forms sent directly to employers, self-declared self-employment forms, IRS tax and business records. TANF Job Training or Educational Programs are verified through the DOL online data system. High school attendance is verified by school letters, student class schedules, progress reports, etc. **From C4K Application:** 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.

☑ Income	**Income:** Earnings are verified by wage receipts, employment letters, agency forms sent directly to employers, self-declared self-employment forms, IRS tax and business records, or The Work Number service. Unearned income is verified by agency records, award letters, copies of benefit checks, or online data resources such as unemployment benefit records. 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 canceled 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 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.
☐ 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?

Effective Date: 01-OCT-11

☑ Time limit for making eligibility determinations.
Describe length of time 30 days from receipt of a properly completed application form.

☑ Track and monitor the eligibility determination process
☑ Other.
Describe

United Way of Connecticut is responsible for tracking and monitoring the process.

The Application Process in accordance with Connecticut General Statutes Sec 17b-749-09 (c) is as follows:

Application Processing

1. Applications shall be processed and eligibility determined within thirty days of the date that the CCAP administrator receives the application form, unless otherwise specified in this subsection. The first day of the processing period shall begin on the day following the date the application form was received. The parent shall be notified of the eligibility decision in accordance with the requirements of section 17b-749-07 of the Regulations of Connecticut State Agencies. The provider shall also be notified if a completed child care agreement form was submitted with the application.
2. Eligibility shall be determined when sufficient information exists to determine if the family is eligible or ineligible. If the application is incomplete, the CCAP administrator shall issue a notice to the parent requesting the information that is missing. The parent shall be given a minimum of fifteen days from the date the notice is issued to return the information to the CCAP administrator. The first day of the fifteen-day period begins on the day the notice was issued.
3. If the parent has not selected a provider by the time eligibility is determined, the CCAP administrator shall determine if the family is eligible for the program without regard to eligibility for payments. The parent shall be notified of the decision and informed that eligibility will be terminated if a provider is not selected and the information needed to enroll the provider is not submitted within thirty days. The CCAP administrator shall determine if a child is eligible for payment within ten days of the date the provider information is submitted. The family shall become ineligible if the information needed to determine payment eligibility for at least one child is not submitted within thirty days of the date assistance was granted.

4. Incomplete applications shall be denied only if the parent has been given at least fifteen days to comply with an initial request for missing information.
5. Parents shall be given additional time to respond to a request for missing information if good cause exists for not providing the information in accordance with the requirements of subsection (e) of

section 17b-749-06 of the Regulations of Connecticut State Agencies. Applications that remain incomplete after the fifteen day notice period has expired shall be processed without regard to the missing information if good cause does not exist. If eligibility has not been established, the application shall be denied and the parent notified.

6. The processing period shall be extended beyond thirty days under the following conditions as long as the parent continues to cooperate with the application process:
   1. if good cause exists for not providing verification in accordance with the requirements of subsection (e) of section 17b-749-06 of the Regulations of Connecticut State Agencies, and the delay causes the application to remain pending for more than thirty days;
   2. if the parent or provider was not given at least fifteen days to respond to an initial request for information;
   3. if the parent responds timely to a request for missing information and the information submitted is either incomplete or requires additional verification before the application can be processed; or
   4. if the CCAP administrator has assumed responsibility for obtaining missing information and has not been able to obtain the information.
7. The application shall continue to be processed if a good cause extension is granted or while the CCAP administrator is waiting to obtain additional verification. The extension shall continue for as long as necessary provided that the parent continues to cooperate and responds to written requests for verification in a timely manner. Additional verification or Re-verification of circumstances that have already been verified may be required if the application remains pending more than thirty days. The delay in processing the application shall be considered the responsibility of the parent as long as the CCAP administrator has taken prompt action to request the missing information in time to process the application within thirty days.

☐ 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))

Effective Date: 01-OCT-11

☐ 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.

Effective Date: 01-OCT-11

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 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.

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

- [x] In writing
- [x] Verbally
- [ ] Other.

Describe:

2.3. Eligibility Criteria for Child Care

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

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

Effective Date: 01-OCT-11

residing with -

means living with on a regular basis, including taking meals together and sleeping in the same home.

in loco parentis -

means 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

Effective Date: 01-OCT-11

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 – means 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 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

Effective Date: 01-OCT-11

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-

working – means 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))

☑ 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 job training or educational program* – means 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

Effective Date: 01-OCT-11

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

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

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

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

protective services

• *protective services* – • means 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

Effective Date: 01-JUL-12

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

income -

• *income* – 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.

- [x] Adoption subsidies
- [ ] Foster care payments
- [ ] Alimony received or paid
- [x] Child support received
- [x] Child support paid
- [x] Federal nutrition programs
- [x] Federal tax credits
- [x] State/Territory tax credits
- [x] Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- [ ] Medical expenses or health insurance related expenses
- [ ] Military housing or other allotment/bonuses
- [x] Scholarships, education loans, grants, income from work study
- [ ] Social Security Income
- [ ] Supplemental Security Income (SSI)
- [ ] Veteran's benefits
- [ ] Unemployment Insurance
- [x] Temporary Assistance for Needy Families (TANF)
- [ ] Worker Compensation
- [x] 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 (TANF) cash assistance benefits (also shown above);

(B) child support payments (also shown above);
(C) income paid by the Census Bureau to low-income temporary census workers;
(D) the value of Food Stamp benefits (also shown above);
(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 (also shown above);
(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.

☑ 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.
Describe:

Other:

The income of all family members is included.

Unrelated members of the household: If not in loco parentis, if not spouse or ex-spouse of in loco parentis.

Exclude earnings of children under 18 years in age, unless they are the parent of the child needing care. Include unearned income of children under 18 years in age.

☐ None

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

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2011 poverty guidelines are available at http://aspe.hhs.gov/poverty/11poverty.shtml.

			IF APPLICABLE Income Level if lower than 85% SMI	
Family Size	**(a)** **100% of State Median Income (SMI)($/month)**	**(b)** **85% of State Median Income (SMI)($/month)** [Multiply (a) by 0.85]	**(c)** **$/month**	**(d)** **% of SMI** [Divide (c) by (a), multiply by 100]
1	4418.83	3756	2209	50
2	5778.47	4912	2889	50
3	7138.11	6067	3569	50
4	8497.75	7223	4249	50
5	9857.39	8379	4929	50

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

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

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

At initial application the family income eligibility limit is equal to 50% of state median income. At redetermination the family income eligibility limit is equal to 75% of state median income.

☐ No.

			IF APPLICABLE Income Level if lower than 85% SMI	
Family Size	**(a)** **100% of State Median Income (SMI) ($/month)**	**(b)** **85% of State Median Income (SMI) ($/month)**[Multiply (a) by 0.85]	**(c)** **$/month**	**(d)** **% of SMI**[Divide (c) by (a), multiply by 100]
1	4418.83	3756	3314	75
2	5778.47	4912	4334	75
3	7138.11	6067	5354	75
4	8497.75	7223	6373	75
5	9857.39	8379	7393	75

f) SMI Year 2013 and SMI Source Federal Register Vol. 77, No. 51, (03/15/2012)

g) These eligibility limits in column (c) became or will become effective on:
07/01/2012

2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-11

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, **check the categories of families for whom authorizations are different and describe the redetermination period for each.**

☐ 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:

c) Does the Lead Agency use a simplified process at re-determination?
☐ Yes.
If yes, describe:

☑ No.

2.3.7. Waiting Lists

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

Effective Date: 01-OCT-11

☑ 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:

☐ Waiting lists are a county/local decision.
Describe:

☐ Other.
Describe:

2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-11

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.

Effective Date: 01-JUL-12

The attached sliding fee scale was or will be effective as of: 07/01/2012

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

Effective Date: 01-OCT-11

☑ 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.

Effective Date: 01-JUL-12

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

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))

Effective Date: 01-OCT-11

☐ 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 percentage applied for each child
- ☐ Fee is per child and discounted percentage applied for two or more children
- ☐ No additional percentage applied charged after certain number of children
- ☑ Fee per family

☐ Contribution schedule varies by geographic area.
Describe:

☐ Other.
Describe:

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

2.4.5. 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))

Effective Date: 01-OCT-11

☐ 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).

Effective Date: 01-OCT-11

☐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:

The Lead Agency waives the fee for the following families:

Families without earned income are not required to pay a fee.

2.5. Prioritizing Services for Eligible Children and Families

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

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

Effective Date: 01-OCT-11

Children with special needs

Provide the Lead Agency definition of *Children with Special Needs:*

Special Needs child - A child with special need meands a child under the age of nineteen who meets the requirements of subsection (b) of section 17b-749-11 of the Regulations of Connecticut State Agencies - – 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 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 orpsychologist;

(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.

Describe:

Children in families with very low incomes

Provide the Lead Agency definition of *Children in Families with Very Low Incomes:*

Very low income: means children living in families with income Under 50 percent of the state's median income level.

Describe:

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

Children with special needs	☐ Priority over other CCDF-eligible families ☑ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other.	☐ Yes. The time limit is: ☑ No	☐ Different eligibility thresholds. Describe: ☑ Higher rates for providers caring for children with special needs requiring additional care ☐ Prioritizes quality funds for providers serving these children ☐ Other. Describe:
Children in families with very low incomes	☑ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other.	☐ Yes. The time limit is: ☑ No	☐ Different eligibility thresholds. Describe: ☐ Waiving co-payments for families with incomes at or below the Federal Poverty Level ☑ Other. Describe: No family fee for families with no earnings.

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4)) **Reminder** - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

Effective Date: 01-OCT-11

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

No family fee for families with no earnings.

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

Effective Date: 01-OCT-11

Term(s) - Definition(s)

Describe:

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

Eligibility conditions, priority rules and definitions may be found at:
http://www.ct.gov/dss/cwp/view.asp?a=2353&q=305180#_Toc519328224

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

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 results 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.

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

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

2.6.1. Child Care Certificates

Effective Date: 01-OCT-11

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
- [x] 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
- [x] Consumer education materials (flyers, forms, brochures)
- [x] Referral to child care resource and referral agencies
- [x] Verbal communication at the time of application
- [ ] Public Services Announcement
- [x] 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:

http://ctcare4kids.com/pdf/CCcertificateWeb.pdf

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

100%

2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-11

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:

Not Applicable.

☐ 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?

Not Applicable.
Payment rates are in accordance with state regulations, policies and standards based on child care setting. CCDF Funding is not used for payment for contracts/slots but quality enhancement services support state funded child care centers.
.

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

Zero.

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

Effective Date: 01-OCT-11

- [ ] Signed declaration
- [ ] Parent Application
- [ ] Parent Orientation
- [ ] Provider Agreement
- [ ] Provider Orientation
- [x] 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?

Effective Date: 01-OCT-11

- [ ] No
- [x] 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:

Restricted to providers over age 18.
Restricted to maximum number of children in care.
Restricted to providers that pass criminal and abuse/neglect background checks.

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

Effective Date: 01-OCT-11

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 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.

Effective Date: 01-OCT-11

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?

Effective Date: 01-OCT-11

☑ 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?

Effective Date: 01-OCT-11

☑ 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 for payments 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).

Effective Date: 01-OCT-11

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 02/2011

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?

Effective Date: 01-OCT-11

☐ 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:**

Effective Date: 01-OCT-11

Note: Identify the percentile where payment rates fall according to the most recent local MRS (identified in 2.7.4a) 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.

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.

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:

☑ 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.

Effective Date: 01-OCT-11

☑ 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))

Effective Date: 01-OCT-11

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 Agency also contracts with 2-1- 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 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:

Utilization by setting.

2.7.10 Goals for the next Biennium -

Effective Date: 01-OCT-11

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for 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

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 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.

Effective Date: 01-OCT-11

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

☐ Yes.

☑ No.

Please identify the State or local (if applicable) entity/agency responsible for licensing:

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.

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?

Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are exempt from licensing in your State/Territory. For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs Programs administered by a public school system, programs administered by a municipal agency and located in a public school building, 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.

Group Home Child Care 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: Programs administered by a public school system, programs administered by a municipal agency and located in a public school building, 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.

Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. **Reminder** - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are exempt from licensing: Care provided less than 3 hours does not meet the definition of family child care; relative care.
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. **Reminder** - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing: Care provided by relative at child's home or relative's home. Care provided by non-relative at child's home.

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:** ☑

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	**Center-Based Child Care**	**Group Home Child Care**	**Family Child Care**	**In-Home Care**

Do the licensing requirements include **child:staff ratios and group sizes?** If yes, specify age group, where appropriate:	☑ Child:staff ratio requirement:	☑ Child:staff ratio requirement:	☐ Child:staff ratio requirement:	☐ Child:staff ratio requirement:
	1:10, 1:4 under 3 years in age	1:10, 1:4 under 3 years in age		
	☑ Group size requirement:	☑ Group size requirement:	☑ Group size requirement:	☐ Group size requirement:
	20, 8 under 3 years in age	20, 8 under 3 years in age	Note: Regular Capacity can not exceed 6 children plus 3 school age children. Can not have more than 2 under age 2 unless approved assistant is present.	
	☐ No requirements.	☐ No requirements.	☐ No requirements.	☐ No requirements.

Do the licensing requirements identify specific experience and educational **credentials for child care directors?**	☐ High school/GED	☐ High school/GED	☐ High school/GED	☐ High school/GED
	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)
	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential
	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree
	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree
	☐ No credential required for licensing	☐ No credential required for licensing	☐ No credential required for licensing	☐ No credential required for licensing
	☑ Other:	☑ Other:	☑ Other:	☐ Other:
	3 credits in the administration of early childhood education programs or educational administration.	3 credits in the administration of early childhood education programs or educational administration.	Provider must be certified in first aid.	

Do the licensing requirements identify specific experience and educational **credentials for child care teachers?**	☐ High school/GED	☐ High school/GED	☐ High school/GED	☐ High school/GED
	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)
	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential
	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree
	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree
	☐ No credential required for licensing	☐ No credential required for licensing	☑ No credential required for licensing	☐ No credential required for licensing
	☑ Other:	☑ Other:	☐ Other:	☐ Other:
		Must be (1) head teacher with high school or 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.		

	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 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.			

Do the licensing requirements specify that directors and caregivers must attain a specific number of **training hours per year?**	☐ At least 30 training hours required in first year	☐ At least 30 training hours required in first year	☐ At least 30 training hours required in first year	☐ At least 30 training hours required in first year
	☐ At least 24 training hours per year after first year	☐ At least 24 training hours per year after first year	☐ At least 24 training hours per year after first year	☐ At least 24 training hours per year after first year
	☐ No training requirement	☐ No training requirement	☑ No training requirement	☐ No training requirement
	☑ Other:	☑ Other:	☐ Other:	☐ Other:
	Program staff required to complete one percent of the total annual hours worked of professional development	Program staff required to complete one percent of the total annual hours worked of professional development		

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.

Currently, the State Department of Education have regulations for School-Age and Before and After school Health and Safety.

☐ 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)

Effective Date: 01-OCT-11

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

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.				
The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☑ Physical exam or health statement for providers	☑	☑	☑	☐
☑ Physical exam or health statement for children	☑	☑	☑	☐
☑ Tuberculosis check for providers	☑	☑	☑	☐
☑ Tuberculosis check for children	☑	☑	☑	☐
☐ Provider immunizations	☐	☐	☐	☐

☑ Child immunizations	☑	☑	☑	☐
☑ Hand-washing policy for providers and children	☑	☐	☑	☐
☑ Diapering policy and procedures	☑	☐	☑	☐
☑ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☑
☑ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☑
☐ Other. Describe:	☐	☐	☐	☐

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:	**Center-based child care providers**	**Family child care home providers**	**Group home child care providers**	**In-home child care providers**

☑ Fire inspection	☑	☐	☑	☐
☑ Building inspection	☑	☐	☑	☐
☑ Health inspection	☑	☐	☑	☐
☑ Inaccessibility of toxic substances policy	☑	☑	☑	☐
☑ Safe sleep policy	☑	☐	☑	☐
☑ Tobacco exposure reduction	☑	☑	☑	☐
☑ Transportation policy	☑	☐	☑	☐
☑ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☑
☑ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☑
☐ Other. Describe:	☐	☐	☐	☐

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 (Child Care Centers)	Required.	Required.
	First Aid (Child Care Centers)	Required.	Required.
	Training on infectious diseases (Child Care Centers)	Not Required.	Not Required.
	SIDS prevention (i.e., safe sleep) (Child Care Centers)	Not Required.	Not Required.
	Medication administration (Child Care Centers)	Required, if administering medication.	Required, if administering medication.
	Mandatory reporting of suspected abuse or neglect (Child Care Centers)	Required.	Required.
	Child development (Child Care Centers)	Not Required. Program health and Safety requirements for Before and After School and School Age Child Care programs - policy set through the State Department of Education, if program is exempt from the Department of Public Health regulations.	Not Required.
	Supervision of children (Child Care Centers)	Required.	Required.
	Behavior management (Child Care Centers)	Required.	Required.
	Nutrition (Child Care Centers)	Not Required.	Not Required.
	Breastfeeding (Child Care Centers)	Not Required.	Not Required.
	Physical activity (Child Care Centers)	Not Required.	Not Required.

	Working with children with special needs or disabilities (Child Care Centers)	Not Required.	Not Required.
	Emergency preparedness and response (Child Care Centers)	Required.	Required.
	Other. (Child Care Centers) Describe: Staff must receive initial orientation and annual training on the program's policies and procedures.	Staff must receive initial orientation and annual training on the program's policies and procedures.	Staff must receive initial orientation and annual training on the program's policies and procedures.
Group Home Child Care	CPR (Group Home Child Care)	Not Required.	Not Required.
	First Aid (Group Home Child Care)	Required.	Required.
	Training on infectious diseases (Group Home Child Care)	Not Required.	Not Required.
	SIDS prevention (i.e., safe sleep) (Group Home Child Care)	Not Required.	Not Required.
	Medication administration (Group Home Child Care)	Required, if administering medication.	Required, if administering medication.
	Mandatory reporting of suspected abuse or neglect (Group Home Child Care)	Required.	Required.
	Child development (Group Home Child Care)	Not Required.	Not Required.
	Supervision of children (Group Home Child Care)	Required.	Required.
	Behavior management (Group Home Child Care)	Required.	Required.
	Nutrition (Group Home Child Care)	Not Required.	Not Required.
	Breastfeeding (Group Home Child Care)	Not Required.	Not Required.
	Physical activity (Group Home Child Care)	Not Required.	Not Required.

	Working with children with special needs or disabilities (Group Home Child Care)	Not Required.	Not Required.
	Emergency preparedness and response (Group Home Child Care)	Required.	Required.
	Other. (Group Home Child Care) Describe: Staff must receive initial orientation and annual training on the program's policies and procedures.	Staff must receive initial orientation and annual training on the program's policies and procedures.	Staff must receive initial orientation and annual training on the program's policies and procedures.
Family Child Care Providers	CPR (Family Child Care Providers)	Not Required.	Not Required.
	First Aid (Family Child Care Providers)	Required.	Required.
	Training on infectious diseases (Family Child Care Providers)	Not Required.	Not Required.
	SIDS prevention (i.e., safe sleep) (Family Child Care Providers)	Not Required.	Not Required.
	Medication administration (Family Child Care Providers)	Required, if administering medication.	Required, if administering medication.
	Mandatory reporting of suspected abuse or neglect (Family Child Care Providers)	Not Required.	Not Required.
	Child development (Family Child Care Providers)	Not Required.	Not Required.
	Supervision of children (Family Child Care Providers)	Not Required.	Not Required.
	Behavior management (Family Child Care Providers)	Not Required.	Not Required.
	Nutrition (Family Child Care Providers)	Not Required.	Not Required.
	Breastfeeding (Family Child Care Providers)	Not Required.	Not Required.
	Physical activity (Family Child Care Providers)	Not Required.	Not Required.

	Working with children with special needs or disabilities (Family Child Care Providers)	Not Required.	Not Required.
	Emergency preparedness and response (Family Child Care Providers)	Not Required.	Not Required.
	Other. (Family Child Care Providers) Describe: Not Required.	Not Required.	Not Required.
In-Home Child Care Providers	CPR (In-Home Child Care Providers)	Not Required.	Not Required.
	First Aid (In-Home Child Care Providers)	Not Required.	Not Required.
	Training on infectious diseases (In-Home Child Care Providers)	Not Required.	Not Required.
	SIDS prevention (i.e., safe sleep) (In-Home Child Care Providers)	Not Required.	Not Required.
	Medication administration (In-Home Child Care Providers)	Not Required.	Not Required.
	Mandatory reporting of suspected abuse or neglect (In-Home Child Care Providers)	Not Required.	Not Required.
	Child development (In-Home Child Care Providers)	Not Required.	Not Required.
	Supervision of children (In-Home Child Care Providers)	Not Required.	Not Required.
	Behavior management (In-Home Child Care Providers)	Not Required.	Not Required.
	Nutrition (In-Home Child Care Providers)	Not Required.	Not Required.
	Breastfeeding (In-Home Child Care Providers)	Not Required.	Not Required.
	Physical activity (In-Home Child Care Providers)	Not Required.	Not Required.
	Working with children with special needs or disabilities (In-Home Child Care Providers)	Not Required.	Not Required.

	Emergency preparedness and response (In-Home Child Care Providers)	Not Required.	Not Required.
	Other. (In-Home Child Care Providers) Describe: Lead agency requires check for child abuse and neglect cases relating to provider. And, criminal background check is also required for relative provider and for non-relative in-child's home provider.	Lead agency requires check for child abuse and neglect cases relating to provider. And, criminal background check is also required for relative provider and for non-relative in-child's home provider.	Lead agency requires check for child abuse and neglect cases relating to provider. Criminal background check is also required for relative provider and for non-relative in-child's home provider.

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

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

e) Provide a web address for the State/Territory's health and safety requirements, if available:
www.ct.gov/dph/daycare or
http://www.ct.gov/dph/cwp/view.asp?a=3141&q=387176&dphNav_GID=1823&dphNav_GID=1823

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?

Effective Date: 01-OCT-11

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
☑ Center-Based Child Care	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☑ Once Every Two Years
	☑ Other.	☐ Other.
	Describe: Prior to initial licensure and technical assistance visits upon request.	Describe:

☑ Group Home Child Care	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☑ Once Every Two Years
	☑ Other.	☐ Other.
	Describe: Prior to initial licensure and technical assistance visits upon request.	Describe:
☑ Family Child Care Home	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☐ Once Every Two Years
	☑ Other.	☑ Other.
	Describe: Prior to initial licensure and technical assistance visits upon request.	Describe: Once every three years.
☑ In-Home Child Care	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☐ Once Every Two Years
	☑ Other.	☑ Other.
	Describe: None.	Describe: None.

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

☑ Yes. If "Yes" please refer to the chart below and check all that apply.

☐ No.

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	☑ Yes.
	Describe:
	☐ No.
	☐ Other.
	Describe:
Licensing staff has procedures in place to address violations found in an inspection.	☑ Providers are required to submit plans to correct violations cited during inspections.
	☑ Licensing staff approve the plans of correction submitted by providers.
	☑ Licensing staff verify correction of violation.
	☑ Licensing staff provide technical assistance regarding how to comply with a regulation.
	☐ No procedures in place.
	☐ Other.
	Describe:

Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	☑ Provisional or probationary license ☑ License revocation or non-renewal ☑ Injunctions through court ☑ Emergency or immediate closure not through court action ☑ Fines for regulatory violations ☐ No procedures in place. ☐ Other. Describe:
The State/Territory has procedures in place to respond to illegally operating child care facilities.	☑ Cease and desist action ☑ Injunction ☐ Emergency or immediate closure not through court action ☑ Fines ☐ No procedures in place. ☐ Other. Describe:

The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	☑ Yes. Describe: Administrative Hearings. ☐ No. ☐ Other. Describe:

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

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.

Background Check Violations:
Crimes against children
Drug convictions
Pet abuse convictions

☐ No.

CCDF Categories of Care	Types of Background Check	Frequency

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

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

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

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

Visits and background check are performed.
Some requirements require self-reporting if out of compliance.

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:

Licensing Specialist cover phone line M-F, 8:30 am - 4:30 pm, 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 CCDF health and safety requirements.

Effective Date: 01-OCT-11

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.

Background checks are required for relative providers and non-relative providers caring for the child in the child's home.

Referrals from anonymous persons.

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

Effective Date: 01-OCT-11

☑ Yes.

Describe

- Birth to Three
- Child First
- Help-Me-Grow
- Ages and Stages
- Head Start
- EPSDT
- Parents As Teachers
- Nurturing Families
- Early Learning Standards (pre-assessment)

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

☑ Yes.

Describe

Per program resource allowance / availability.

☐ No

☐ Other.

Describe

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

☑ Yes.

Describe

Per program resource allowance / availability.

☐ No

☐ Other.

Describe

☐ No

☐ Other.

Describe

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

Effective Date: 01-OCT-11

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):
Child Care licensing information is available on the State of Connecticut Department of Public Health website at
http://www.ct.gov/dph

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

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

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

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?

State licensing monitoring in compliance with state regulations and policies.

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.

State Child Care licensing and monitoring is tracked by the State Department of Public Health.

Further analysis of this action will be reviewed by the Connecticut Statewide Advisory Council (SAC).

3.1.7 Goals for the next Biennium -

Effective Date: 01-OCT-11

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section of 3.1. What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

Expected to transition to 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.

Coordination and planning work on performance benchmarks, in cooperation with the Connecticut Statewide Advisory Council (SAC), RESCs, Head Start, Early Head Start, Birth to Three interagency Coordinating Council, Family Providers, and After School Providers Network.

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. These guidelines are voluntary in that States/Territory are not mandated to develop such guidelines or implement them in a specified manner.

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

Effective Date: 01-OCT-11

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

If yes, insert web addresses, where possible:

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

Connecticut Department of Social Services for Birth-to-Three - http://www.ct.gov/dss/lib/dss/powerpoint/earling_learning_guidelines_november_status.ppt; Connecticut Department of Education for Three-to-Five. http://www.sde.ct.gov/sde/cwp/view.asp?a=2678&Q=320780. Five years and older - The Connecticut State Department of Education is working to complete the foundational steps for designing rigorous curriculums in K-12 Mathematics and English Language Arts, based on Connecticut Standards (CCSS). http://www.sde.ct.gov/sde/cwp/view.asp?a=2618&q=322592

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

Effective Date: 01-OCT-11

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	☑	☑	☑
Social and emotional development	☑	☑	☐
Approaches to learning	☑	☐	☐
Logic and reasoning (e.g., problem-solving)	☑	☑	☐
Language development	☑	☑	☐
Literacy knowledge and skills	☑	☑	☑
Mathematics knowledge and skills	☐	☑	☑
Science knowledge and skills	☐	☑	☑
Creative arts expression (e.g., music, art, drama)	☑	☑	☑
Social studies knowledge and skills	☐	☑	☑

English language development (for dual language learners)	☐	☑	☑
List any domains not covered in the above:	☐	☐	☐
Other. Describe:	☐	☐	☐

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

Effective Date: 01-OCT-11

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	☑	☑	☐
Parents using child care more broadly	☑	☑	☐
Practitioners in child care centers	☑	☑	☐
Providers in family child care homes	☑	☑	☐
Practitioners in Head Start	☑	☑	☐
Practitioners in Early Head Start	☑	☑	☐
Practitioners in public Pre-K program	☑	☑	☐
Practitioners in elementary schools	☑	☑	☐
Other. List: Early Care and Education faculty, trainers, consultants, mentors, Higher Education.	☑	☑	☐

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

Effective Date: 01-OCT-11

☐ 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 Early Learning Guidelines - 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.

Effective Date: 01-OCT-11

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

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

Effective Date: 01-OCT-11

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

☑ Yes.

Describe:

State funded pre-school programs.

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 tools that are valid, reliable and age-appropriate to track the readiness of children as they enter kindergarten?

☑ Yes.

Describe:

Kindergarten Inventory.

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

☑ Yes.

Describe:

The assessment tools cover developmental delays.

☐ No

☐ Other.

Describe:

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

☑ All children.

Describe:

All Kindergarten Teachers complete 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:

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

Since October 2020, the Connecticut State Department of Education has been collecting student-level data for all students enrolled in a public school, Pre-Kindergarten (PK) through Grade 12. In 2005, a unique identifier was added to the student-level data in order to facilitate the tracking of students through their public school experience, grades PK-12. In this same student-level data collection, the Connecticut State Department of Education can determine which PK students are funded by School Readiness. Starting October 2007, the Connecticut State Department of Education began collecting student-level data from all non-Local Education Authority (LEA) based preschool programs that receive state and/or federal dollars. This includes any preschool programs that have school readiness slots. These children are also assigned a unique identifier that will follow them out of their community-based preschool program and into the regular public school system.
Connecticut has been able to link students who were in "school readiness" slots since October 2005 for those served in a LEA-run program, and since October 2007 for those served in a community-based program.

There are additional publicly funded early care and education programs that are not identified as "school readiness" in the above paragraphs, that may have prepared children ages 3-5 to be ready for school. The data on children in these programs is not necessarily collected in SLDS until the child reaches the public school or "school readiness" setting.

☐ No

☐ Not applicable. State does not have an SLDS.

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

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

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

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

☑ Number of programs using ELG's in planning for their work.
Describe (optional):

☑ Number of parents trained on or served in family support programs that use ELG's.
Describe (optional):

☐ Other.
Describe:

☐ None.

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

Have not been established, however, only trained Trainers are allowed to teach the Infant-Toddler Early Learning Guidelines (ELGs).

During the past three years, after school programs have used the National Institute on Out-of-School Time, Afterschool Program Practices Tool (APT) for assessment, quality program design, and as best practices. Connecticut's Before and After School program self-assess in accordance with best practices and program standards.

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

Evaluate plans need to be developed by the Early Learning Standards workgroup of the State Advisory Council.

During the past three years, after school programs have used the National Institute on Out-of-School Time, Afterschool Program Practices Tool (APT) for assessment, quality program design, and as best practices. Connecticut's Before and After School program self-assess in accordance with best practices and program standards.

The State Department of Education with the University of Connecticut plan to evaluate state and federally funded programs.

3.2.8 Goals for the next Biennium -

Effective Date: 01-OCT-11

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

Work with State Advisory Council Early Learning Standards Committee to develop evaluation methodology for performance measurement and,

Work with State Advisory Council Early Learning Standards Committee to review, update and align Birth-to-Three, Head Start and Early Learning Guidelines (ELGs) to reflect current research and practice: periodic evaluation of ELG trainers' performance; make the Early Learning Guidelines part of the state's professional development system (both Connecticut Charts-A-Course and college based programs); integrate Early Learning Guidelines and Infant and Toddler Modules into Early Care and Education courses at 2- and 4- year colleges.

Work with State Advisory Council Early Learning Standards Committee to crosswalk Connecticut's Early Learning Guidelines (ELG) with the Connecticut Pre-School 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) (Click for additional instructions)

Effective Date: 01-OCT-11

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 (DSS), Public Health (DPH), State Department of Education (SDE), Connecticut Charts-A-Course, Accreditation Facilitation Project, (CCAC/AFP). NAEYC Accreditation is the quality standard used by CCAC/AFP, DSS and SDE.

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.

Effective Date: 01-OCT-11

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.

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

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

State quality standards (NAEYC Program Standards and Accreditation Criteria for early childhood programs) 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.

Effective Date: 01-OCT-11

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

☐ None. **skip to 3.3.3.**

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
☑ Attaining and maintaining licensing compliance	☑	☑	☑
☑ Attaining and maintaining quality improvement standards beyond licensing	☑	☑	☑
☑ Attaining and maintaining accreditation	☑	☑	☑
☑ Providing targeted technical assistance in specialized content areas:			
Health and safety	☑	☑	☑
Infant/toddler care	☑	☑	☑
School-age care	☑	☑	☑

Inclusion	☐	☐	☐
Teaching dual language learners	☐	☐	☐
Mental health	☐	☐	☐
Business management practices	☑	☑	☑
Other. Describe: Lesson Plan guidance. Limited funding and number of participants for Training and On-Site Consultation.	☑	☑	☑

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 Full Time Equivalent (FTE) staff of Accreditation Facilitation Project.

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 early childhood 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.**

☐ None. **skip to 3.3.4.**

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

☑ Other. Describe: Grants and stipends to center and public schools. Providers receiving public funds are required to achieve NAEYC Accreditation in order to retain their state funding. Providers serving 3, 4, or 5 year old children with identified disabilities may qualify for funding to pay fees for NAEYC accreditation. Not currently provided for School-Age programs.	☑	☑	☐

3.3.4 - Element 4 - Quality Assurance and Monitoring

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

Effective Date: 01-OCT-11

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

☐ None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers

☑ Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. As needed. Includes public schools and Early Childhood Environmental Rating Scale (ECERS).	☑ Infant/Toddler ☑ Preschool ☐ School-Age	☐	☐
☐ Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments.	☐	N/A	☐
☐ Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments.	☐	☐	☐
☑ Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. School Readiness random monitoring, centers and public schools.	☑	☐	☐
☑ Other. Describe: 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. The After School Network recommends Quality Improvement Standards - National After School Standards.	☑	☐	☐

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

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

☐ Include QRIS or other quality reviews as part of licensing enforcement

☐ Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system

(e.g., QRIS) without further review

☑ Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review

☑ Other.

Describe:

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.

Effective Date: 01-OCT-11

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:

The state provides outreach and consumer education and information regarding childcare and child care quality and accreditation in Connecticut, but, not specific to levels of quality. Activities are carried out by the statewide resource and referral agency 2-1-1 Child Care as funded by the Lead Agency.

☐ 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:

Activities are carried out by the statewide resource and referral agency 2-1-1 Child Care as funded by the Lead Agency.

☐ None.

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

Statewide resource and referral agency 2-1-1 Child Care has multi-lingual / multi-cultural staff with access to language lines for additional languages.

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-11

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,

Effective Date: 01-OCT-11

please describe:

Quality improvement opportunities are made available to Kith & Kin providers and exempt providers upon availability of resources.

- Access to Child and Adult Care Food Program
- Access to Professional Development and Training
- Access to Scholarships for Training and Education

- Access to Training in conjunction with Child Care Centers and Licensed Family Day Care Homes.
- Access to planning and training resources for Emergency Preparedness

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

Effective Date: 01-OCT-11

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 (Lead Agency) 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.

Connecticut After School Network – uses Cayen Systems' Data System. Stated funded centers with

school age children included in public schools identification and data collection systems.

☐

Classroom scores on program assessment instruments.

List instruments:

Describe:

☑

Qualifications for teachers or caregivers within each program.

Describe:

State Registry. Teacher qualifications are reported out of the registry to DSS for Accreditation Facilitation Program (AFP) programs.

☑

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

Describe:

Tracked through Care 4 Kids contractor.

☑

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:

Tracked through Care 4 Kids contractor.

☐

Other.

Describe:

☐
None.

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

Not defined, however we defer to NAEYC Accreditation and/or Head Start standards.

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.

Not defined, however we will work with State Advisory Council to determine.

3.3.9 Goals for the next Biennium -

Effective Date: 01-OCT-11

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

Connecticut will revisit the plan established by the Early Care and Education State Advisory Council, drafted in 2008 and tabled due to budgetary constraints, to continue review of Quality Improvement opportunities, standards, process, and incentives.

1. Program Standards:
Work with State Advisory Council on development of goals, performance measures and evaluation methodologies for program standards to align Birth to Five standards and to maintain a continuum with child development and curriculum standards for school age children Kindergarten to Grade 12.

2. Supports to programs to improve quality:

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. Continue to fund tired subsidies based on setting and/or accreditation of child care providers.

4. Quality Assurance and Monitoring:
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. 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 Head Start.

5. Outreach and Consumer Education:
Continue outreach and consumer education efforts statewide and through 2-1-1- Child Care. Align activities with State Advisory Council family involvement and implementation of fatherhood audit.

Consideration for 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 .

Work with 2-1-1 Child Care to add the NAEYC logo/hyperlink to the program page where it shows that a program is NAEYC Accredited.

Work with the Connecticut State Advisory Council (SAC) Committee on Family Involvement and connect with the Connecticut Department of Public Health (DPH) Home Visitation workgroup to determine appropriate strategies.

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

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

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

1) Core Knowledge and Competencies

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

Effective Date: 01-OCT-11

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 (W. C. Graustein Memorial Fund) communities, philanthropic community, state and local advocacy coalitions and groups, parent organizations, State Advisory Council Workforce Subcommittee, School-Age Network Quality Committee, Regional Educational Service Center (RESC).

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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

Effective Date: 01-OCT-11

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:

www.ctcharts.org

Credential and Certification
Connecticut Charts-A-Course Career Ladder.

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

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

Describe:

Inclusion, Infant and Toddler, Preschool, Directors.
Mott School-Age Core Knowledge and Competencies folded into School-Age guidelines.

- [ ] None.

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

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

Describe:

Connecticut 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:

Connecticut 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:

Connecticut 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:

Connecticut 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:

Connecticut Charts-A-Course Training Approval Board (TAB) Trainers as it relates to adult education and content.

Adopted Mott funded School Age Competencies Framework.

☑ Other.
Describe:

School Age - Adopted Mott funded School-Age competencies framework.

☐ None.

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

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

☐ None.

3.4.2 Workforce Element 2 - Career Pathways

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

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

☑ Yes.

Describe:

Connecticut Charts-A-Course Career Ladder. www.ctcharts.org

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

www.ctcharts.org

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

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

Child Development Associate (CDA) Certificate, Connecticut Early Childhood Teacher Credential (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:

Connecticut 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:

Connecticut Charts-A-Course Training Approval Board (TAB) Trainers.

☑ Other.
Describe:

Credential in **After School** Education is a professional certification program developed through collaboration with Charter Oak State College. www.charteroak.edu/current/.../**credentials/afterschool**.cfm

Charter Oak State College Career Advisors - assist After School Teachers, Directors and staff in career development.

☐ None.

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

☑ Infants and toddlers
☑ Preschoolers
☑ School-age children
☐ Dual language learners
☑ Children with disabilities, children with developmental delays, and children with other special needs
☑ Other.
Describe:

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, Connecticut Charts-A-Course Training Approval Board (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:

Connecticut 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.

Effective Date: 01-OCT-11

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

☑ Yes.
If yes, describe:

http://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) - (Early Childhood+)
Connecticut After School Network - Quality Committee (After School programs)

☐ 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 for Connecticut Early Childhood Teacher Credential (ECTC).

☐ 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:

Connecticut Charts-A-Course Training Approval Board

☑ Trainer approval process.
Describe:

Connecticut Charts-A-Course Training Program in Child Development.

☑ Training and/or technical assistance evaluations.
Describe:

Connecticut 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.

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

☑ Yes.
If yes, describe:

Connecticut Charts-A-Course Training program in Child Development translates into college credit through the Early Childhood Pathways examination 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.

Effective Date: 01-OCT-11

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.
Development - School-Age

☐ No.

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

☑ Yes.
If yes, describe:

Connecticut Charts-A-Course website information is posted about training opportunities as well as links to college courses offered.
State Education Resource Center (SERC),
Connecticut Association for the Education of Young Children (CAEYC),
Early Childhood Education Listserv,
Charter Oak State College.

☐ No.

www.ctserc.org www.ctaeyc.org www.ctafterschoolnetwork.org www.charteroak.edu

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

☑ Scholarships.
Describe:

Connecticut Charts-A-Course Scholarship Assistance Program for Early Childhood and School-Age providers.

☑ Free training and education.
Describe:

Connecticut Charts-A-Course Training Program in Child Development,
Connecticut Association for the Education of Young Children (CAEYC),
State Education Resource Center (SERC).

☑ Reimbursement for training and education expenses.
Describe:

Connecticut 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:

Connecticut Charts-A-Course has 4 career advisors - one is bilingual. Each is assigned a region of the state, 12 Community Colleges/ Early Childhood Programs.

Connecticut School-Age Network staff provide consultations / advisory support for School-Age providers.

☐ 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:

Connecticut Charts-A-Course has consultants who provide on-site technical assistance to programs through the Accreditation Facilitation Project (AFP). The Accreditation Facilitation Project staff commonly address topics of health and safety, Infant/Toddler care, screening and assessment for the program improvement, and business management practices in all AFP sites.

Connecticut School-Age Network staff provide consultations / advisory support for School-Age providers.

☐ No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce ConditionsDefinition - 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:

Connecticut Charts-A-Course START Education Bonus Program for the Training Program in Child Development.

☐ No.

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

☐ Yes.
If yes, describe:

☑ No.

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

☐ Yes.
If yes, describe:

☑ No.

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

Effective Date: 01-OCT-11

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):

Connecticut Charts-A-Course Professional Registry.

Note: Professional Registry does not apply to School-Age providers unless self-registered or part of an early childhood program.

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

Connecticut Charts-A-Course Professional Registry.

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

Connecticut Charts-A-Course Professional Registry.

☑ Retention rates.
Describe (optional):

Connecticut Charts-A-Course Professional Registry.

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

Connecticut Charts-A-Course Professional Registry.

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

Connecticut Charts-A-Course Professional Registry.

☑ Number of scholarships awarded .
Describe (optional):

Connecticut Charts-A-Course Professional Registry.

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

Connecticut Charts-A-Course Professional Registry.

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

Connecticut Department of Higher Education.

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

☑ Data on degree completion or attrition rates.
Describe (optional):

Connecticut Department of Higher Education.

☑ Other.
Describe:

State Department of Education Certification.

Connecticut Charts-A-Course Professional Registry. Note: Professional Registry does not apply to School-Age providers unless self-registered or part of an early childhood program.

☐ 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 Connecticut Charts-A-Course Training Approval Board Trainers.

☑ Other.
Describe:

Question below b-2) Does the workforce data system apply to:
Voluntary all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?
Mandatory all practitioners working in programs that receive public funds to serve children birth to age 13?

☐ None.

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

☑ all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?
☑ all practitioners working in programs that receive public funds to serve children birth to age 13?
☐ No.

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

Yearly Results Based Accountability (RBA) report is completed by Connecticut 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 -

Effective Date: 01-OCT-11

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.4. What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

The following goals will be coordinated with the work of the State's Advisory Council (SAC) Workforce Committee.

1) Core Areas of knowledge and Knowledge:

- Align Core Knowledge and Skills to professional development requirements and DPH licensing regulations.
- Goal to conduct needs addessment.

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 including web-based/on-line opportunities.
- 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:

- Work toward participation in the Registry for staff in all child care programs that are licensed by DPH and require annual updating of staff and their qualifications.

Connecticut CCDF Plan 2012-2013
July, 2011

Attachments

The following documents are included in Connecticut's Child Care and Development Fund (CCDF) Plan in Connecticut's response to questions or as required by the plan.

The CCDF Plan for FFY 2012-2013 was electronically submitted by the Connecticut Department of Social Services on July 25, 2011 with these documents as attachments to Sections: 2.2.9, 2.4.1, 2.6.1c, 2.7.1, and 2.7.4b.

Si quisiera recibir este material en español sírvase 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.			❑ M ❑ F	❑ YES ❑ NO		❑ YES ❑ NO	❑ YES ❑ NO	AA A B NP W U	❑ YES ❑ NO
2.			❑ M ❑ F	❑ YES ❑ NO		❑ YES ❑ NO	❑ YES ❑ NO	AA A B NP W U	❑ YES ❑ NO
3.			❑ M ❑ F	❑ YES ❑ NO		❑ YES ❑ NO	❑ YES ❑ NO	AA A B NP W U	❑ YES ❑ NO
4.			❑ M ❑ F	❑ YES ❑ NO		❑ YES ❑ NO	❑ YES ❑ NO	AA A B NP W U	❑ YES ❑ NO
5.			❑ M ❑ F	❑ YES ❑ NO		❑ YES ❑ NO	❑ YES ❑ NO	AA A B NP W U	❑ YES ❑ 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 (*optional*)
1.		❑ M ❑ F		
2.		❑ M ❑ 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 (*optional*)	Is this person unable to provide child care because of a disability?	Is this person a parent of child living in the home?
1.		❑ M ❑ F			❑ YES ❑ NO	❑ YES ❑ NO Name of child _____
2.		❑ M ❑ F			❑ YES ❑ NO	❑ YES ❑ 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 _____ (*time period*) date payments started_____

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)*	$ _____ *per* week or month *(circle one)*	$ _____ *per* week or month *(circle one)*	$ _____ *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, consistent with equal employment opportunities and affirmative action requirements.

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:

Family Share	AU Income Range
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

CCAP-POL-11-02, Issued April 22, 2011 **Source: Federal Register Vol. 76, No. 74, 4-18-2011**

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:

Family Share	AU Income Range
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

CCAP-POL-11-02, Issued April 22, 2011	**Source: Federal Register Vol. 76, No. 74, 4-18-2011**

CONNECTICUT DEPARTMENT OF SOCIAL SERVICES

Care 4 Kids Program

SELECTED MONTHLY STATE MEDIAN INCOME GUIDELINES

Effective July 1, 2012

Family Size	1	2	3	4	5	6	7	8	9	10	11	12
20% SMI	883.77	1,155.69	1,427.62	1,699.55	1,971.48	2,243.41	2,294.39	2,345.38	2,396.37	2,447.35	2,498.34	2,549.33
30% SMI	1,325.65	1,733.54	2,141.43	2,549.33	2,957.22	3,365.11	3,441.59	3,518.07	3,594.55	3,671.03	3,747.51	3,823.99
40% SMI	1,767.53	2,311.39	2,855.24	3,399.10	3,942.96	4,486.81	4,588.79	4,690.76	4,792.73	4,894.70	4,996.68	5,098.65
50% SMI	2,209.42	2,889.24	3,569.06	4,248.88	4,928.70	5,608.52	5,735.98	5,863.45	5,990.91	6,118.38	6,245.85	6,373.31
55% SMI	2,430.36	3,178.16	3,925.96	4,673.76	5,421.56	6,169.37	6,309.58	6,449.79	6,590.01	6,730.22	6,870.43	7,010.64
75% SMI	3,314.12	4,333.85	5,353.58	6,373.31	7,393.04	8,412.77	8,603.97	8,795.17	8,986.37	9,177.57	9,368.77	9,559.97
100% SMI	4,418.83	5,778.47	7,138.11	8,497.75	9,857.39	11,217.03	11,471.96	11,726.90	11,981.83	12,236.76	12,491.69	12,746.63

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

Family Share	AU Income Range
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

C4K-POL-12-01, Issued April 24, 2012 | Source: Federal Register Vol. 77, No. 51, 03-15-2012

CONNECTICUT DEPARTMENT OF SOCIAL SERVICES

Care 4 Kids Program

SELECTED ANNUAL STATE MEDIAN INCOME GUIDELINES

Effective July 1, 2012

Family Size	1	2	3	4	5	6	7	8	9	10	11	12
20% SMI	10,605.19	13,868.33	17,131.46	20,394.60	23,657.74	26,920.87	27,532.71	28,144.55	28,756.39	29,368.22	29,980.06	30,591.90
30% SMI	15,907.79	20,802.49	25,697.20	30,591.90	35,486.60	40,381.31	41,299.07	42,216.82	43,134.58	44,052.34	44,970.09	45,887.85
40% SMI	21,210.38	27,736.66	34,262.93	40,789.20	47,315.47	53,841.74	55,065.42	56,289.10	57,512.77	58,736.45	59,960.12	61,183.80
50% SMI	26,512.98	34,670.82	42,828.66	50,986.50	59,144.34	67,302.18	68,831.78	70,361.37	71,890.97	73,420.56	74,950.16	76,479.75
55% SMI	29,164.28	38,137.90	47,111.53	56,085.15	65,058.77	74,032.40	75,714.95	77,397.51	79,080.06	80,762.62	82,445.17	84,127.73
75% SMI	39,769.47	52,006.23	64,242.99	76,479.75	88,716.51	100,953.27	103,247.66	105,542.06	107,836.45	110,130.84	112,425.23	114,719.63
100% SMI	53,025.96	69,341.64	85,657.32	101,973.00	118,288.68	134,604.36	137,663.55	140,722.74	143,781.93	146,841.12	149,900.31	152,959.50

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

Family Share	AU Income Range
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

C4K-POL-12-01, Issued April 24, 2012 | Source: Federal Register Vol. 77, No. 51, 03-15-2012

SAMPLE FORM

CARE 4 KIDS
1344 Silas Deane Hwy,
Rocky Hill, CT 06067-1342
Toll Free Number 1888-214-KIDS (5437)

Name of Parent
Mailing Address
City, State Zip

Re: Child's Name
Family ID:
Redetermination Due Date:
Certificate Number:
Child Name:
Child's BirthDate:

Date:
Care 4 Kids Counselor:
Counselor Telephone Number:
Provider ID:

Child Care Certificate

This is your Child Care Certificate for Jane Smith. The Certificate starts February 1, 2002 and ends on July 1, 2002. Jane is approved to receive Full-Time[1] care from ABC Day Care in the Preschool age group. Look at the payment calculation below to see the payment amount and your Family Fee.

We are issuing this Certificate for the following reason(s):

- Your child is new to the Care 4 Kids program.

Family Fee:

The amount of the Family Fee that you owe your child care provider for this child is $ 10 per week or $43 per month. Please discuss your payment options with your provider.

Amount of Payment
(see Handbook for a description of these items)

MONTHLY CALCULATION

Care 4 Kids Basic Rate per Month (+):	$
Payments from Other Sources (-):	$
Ongoing Supplemental Special Needs (+):	$
Family Fee for this Child (-):	$
Total Payment Amount:	**$**

Please note the following:

- The Total Payment Amount is what we will pay on a regular basis during the period of this Certificate. If we approve additional amounts for extra hours or other special payments, we will send you a separate notice.

Your provider may charge more than the Care 4 Kids Basic Rate listed above. In this case, your provider may charge you the Family Fee AND this additional amount. You are responsible to pay these amounts.

Care Level: Quarter Time is 1-15 hours per week; Half Time is 16-34 hours per week; Full Time is 35-50 hours per week; Extra Full Time is 51-65 hours per week.

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

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

prepared by: CT Department of Social Services - Family Services Division - Child Care Team

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		

Care4Kids
Making Child Care Affordable℠

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

2011 RATE METHODOLOGY AND ANALYSIS

Age Group	Center		Family Homes	
Percentile	**60th**	**75th**	**60th**	**75th**
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	2011 Market Survey	*295*	*75th*	*249*	*75th*	*100*	*75th*
	2001 Standard Rate	*196*	*6th*	*155*	*8th*	*100*	*75th*
	2001 Accredited Rate	*206*	*19th*	*163*	*11th*	*105*	*78th*
	2001 Special Needs Rate	*225*	*43rd*	*178*	*24th*	*115*	*85th*
FAMILY HOMES	2011 Market Survey Estimate	*200*	*75th*	*190*	*75th*	*95*	*75th*
	2001 Standard Rate	*150*	*20th*	*150*	*30th*	*100*	*88th*
	2001 Accredited Rate	*158*	*28th*	*158*	*32nd*	*105*	*88th*
	2001 Special Needs Rate	*173*	*51st*	*173*	*51st*	*115*	*89th*

2011 RATE METHODOLOGY AND ANALYSIS

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%

ATTACHMENT 2.7.4

2011 RATE METHODOLOGY AND ANALYSIS

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.