Child Care and Development Fund (CCDF) Plan
For

Massachusetts
FFY 2014-2015

PART 1
ADMINISTRATION

1.1 Contact Information

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

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

Effective Date: 01-OCT-13

Name of Lead Agency: Massachusetts Department of Early Education and Care

Address of Lead Agency: 51 Sleeper Street, 4th Floor, Boston, MA 02210

Name and Title of the Lead Agency's Chief Executive Officer: Thomas L. Weber, Acting Commissioner

Phone Number: 617-988-6600

Fax Number: 617-988-2451

E-Mail Address: tom.weber@massmail.state.ma.us

Web Address for Lead Agency (if any): www.mass.gov/eec

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

a) Contact Information for CCDF Administrator:

Effective Date: 01-OCT-13

Name of CCDF Administrator: Thomas L. Weber
Title of CCDF Administrator: Acting Commissioner
Address of CCDF Administrator: 51 Sleeper Street, 4th Floor, Boston, MA 02210
Phone Number: 617-988-6600
Fax Number: 617-988-2451
E-Mail Address: tom.weber@massmail.state.ma.us
Phone Number for CCDF program information
(for the public) (if any): 617-988-6600
Web Address for CCDF program
(for the public) (if any): www.mass.gov/eec
Web Address for CCDF program policy manual
(if any): http://www.eec.state.ma.us/docs1/regs-policies/20130117-financial-assistance-policy-guide.pdf
Web Address for CCDF program administrative rules
(if any): http://www.eec.state.ma.us/docs1/regs-policies/20130118-revised-financial-assistance-regs.pdf

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

Name of CCDF Co-Administrator: Thomas P. Weierman
Title of CCDF Co-Administrator: Assistant General Counsel
Address of CCDF Co-Administrator: 51 Sleeper Street, 4th Floor, Boston, MA 02210
Phone Number: 617-988-2433
Fax Number: 617-988-2451
E-Mail Address: thomas.weierman@state.ma.us
Description of the role of the Co-Administrator:

Responsible for the day to day management of the CCDF program in the Commonwealth, including analyzing and updating regulations and policies, as well as responding to inquiries from key stakeholders, including families, educators, providers, legislators and other State administrators.

1.2 Estimated Funding

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

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

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FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): $ 103,136,076
Federal TANF Transfer to CCDF: $ 91,874,224
Direct Federal TANF Spending on Child Care: $ 179,049,941

State CCDF Maintenance-of-Effort Funds: $ 44,973,368
State Matching Funds: $ 31,198,057

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

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

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☐ 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:

A portion of each of the following EEC state appropriated funds is used to meet a part of CCDF match:

- **Administrative account**: supports EEC administrative and operational expenses;
- **Access Management account**: funds costs associated with the management of EEC's financial assistance program through vouchers which includes contracted services provided by Child Care Resource and Referral agencies;
- **Quality account**: funds grants and contracts to support the establishment of a statewide network of supports for early education and care programs to advance the quality of their services to children;
- **Supportive Child Care account:** provides early education and care and out of school time services for children referred by the Department of Children and Families (DCF);
- **Income Eligible Child Care account:** provides financial assistance for children from birth through age thirteen from low income and at-risk families to enroll in early education and care and out of school time programs through vouchers, contracts and grants; and
- **TANF Child Care account:** provides financial assistance for children whose families are participating in the Department of Transitional Assistance's TAFDC Program and demonstrate that early education and care and/or afterschool services are needed to allow families to meet work and training requirements of the program.

If known, identify the estimated amount of public funds the Lead Agency will receive:
31,198,057

☐ 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 2014 - 2015. Note: Funding estimate is limited to FY 2014 In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

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Estimated Amount of CCDF Quality Funds For FY 2014	**Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)**	**Purpose**	**Projected Impact and Anticipated Results (if possible)**

Infant/Toddler Targeted Fund 1,302,219	For costs associated with family engagement and educator or program supports, including, but not limited to, the Coordinated Family and Community Engagement (CFCE) grant program and the Educator and Provider Support (EPS) program.	The Legislature appropriated over $18 million to EEC to administer a portion of its coordinated system quality enhancement activities, including but not limited to initiatives aimed to improve local coordination and delivery of services and professional development opportunities for the early childhood workforce. The main initiatives funded under this appropriation are CFCE and EPS. The Department's CFCE grants support a statewide system of support for children, families and educators by providing all families with access to comprehensive services and supports that strengthen families and promote optimal child development. The Department's EPS grants build upon the successes of its system of professional development opportunities to the early education and care and out of school time workforce in three core areas: educator and provider planning, coaching and mentoring, and competency development.	The CFCE program builds on an established local infrastructure of coordination and delivery of comprehensive services to families by promoting individual educator competency by providing a local resource for information about professional development opportunities;and by providing referrals to a range of locally available comprehensive services that meet the needs of children and families. EPS grants identify 3 core areas of professional development: educator and provider planning, coaching and mentoring, and competency development. Through these grants, EEC can focus research to support educators in developing individual professional development plans that assist them in attaining a degree in early education, or a related field, or in achieving enhanced competency through the attainment of a Child Development Associate credential, certifications, or other credentials, or to demonstrate knowledge, skills, and abilities related to early education and out of school time competencies. Additionally, EPS grants support providers in achieving or maintaining accreditation and/or in increasing program quality and moving to the highest QRIS level.

School-Age/Child Care Resource and Referral Targeted Funds 219,904	For the costs associated with child care resource and referral agencies.	Through the Department's contracts with CCR&R agencies, EEC purchases the following services: program coordination and support, voucher management, outreach to hard-to-reach populations, intake and eligibility services for families seeking financial assistance, resource and referral services for families and walk-in services for homeless families.	Massachusetts intends to improve the child care financial assistance process for voucher families by establishing an integrated system that ensures the seamless delivery of quality, accessible and affordable child care; and creating a unified system for intake and assessment at multiple locations located close to where families live, work and/or receive child care services. In addition, this funding improves information andreferral services for all children by creating a unified system for information access through advanced technology that responds to the diverse needs of children and families with a variety of languages and multi-cultural child care services.

Quality Expansion Targeted Funds 2,248,554	For costs associated with family engagement and educator or program supports, including, but not limited to, the Coordinated Family and Community Engagement (CFCE) grant program and the Educator and Provider Support (EPS) program.	The Legislature appropriated over $18 million to EEC to administer a portion of its coordinated system quality enhancement activities, including but not limited to initiatives aimed to improve local coordination and delivery of services and professional development opportunities for the early childhood workforce. The main initiatives funded under this appropriation are CFCE and EPS. The Department's CFCE grants support a statewide system of support for children, families and educators by providing all families with access to comprehensive services and supports that strengthen families and promote optimal child development. The Department's EPS grants build upon the successes of its system of professional development opportunities to the early education and care and out of school time workforce in three core areas: educator and provider planning, coaching and mentoring, and competency development.	The CFCE program builds on an established local infrastructure of coordination and delivery of comprehensive services to families by promoting individual educator competency by providing a local resource for information about professional development opportunities;and by providing referrals to a range of locally available comprehensive services that meet the needs of children and families. EPS grants identify 3 core areas of professional development: educator and provider planning, coaching and mentoring, and competency development. Through these grants, EEC can focus research to support educators in developing individual professional development plans that assist them in attaining a degree in early education, or a related field, or in achieving enhanced competency through the attainment of a Child Development Associate credential, certifications, or other credentials, or to demonstrate knowledge, skills, and abilities related to early education and out of school time competencies. Additionally, EPS grants support providers in achieving or maintaining accreditation and/or in increasing program quality and moving to the highest QRIS level.

Quality Funds (not including Targeted Funds) 31,669,170	Massachusetts uses a variety of funding sources to meet its CCDF quality expenditure requirements, including the following: For the costs associated with licensing and monitoring early education and care programs. For the costs associated with child care resource and referral agencies. For the MA Universal Pre-Kindergarten Program. For early childhood mental health consultation services. For costs associated with family engagement and educator or program supports, including, but not limited to, the Coordinated Family and Community Engagement (CFCE) grant program and the Educator and Provider Support (EPS) program. For costs associated with Reach Out and Read. For costs associated with the Inclusive Pre-School Learning Grants.	EEC's field operations and licensing staff are responsible for the licensing and monitoring of nearly 12,000 early education and care programs statewide, including after school programs, group child care centers and family child care homes. EEC also licenses adoption placement agencies, foster placement agencies and residential care programs. Through the Department's contracts with CCR&R agencies, EEC purchases the following services: program coordination and support, voucher management, outreach to hard-to-reach populations, intake and eligibility services for families seeking financial assistance, resource and referral services for families and walk-in services for homeless families. The MA UPK program intends to improve the quality of and expanded access to pre-school programs. The Department's early childhood mental health grants create a comprehensive statewide consultation system of mental health supports for children and families which fosters the healthy social-emotional development of all children. EECs mental health initiatives are built to support positive relationships and healthy social-emotional development of all children by (a) building child care program and family capacities to provide quality, nurturing environments for children; (b) supporting prevention activities which include individual child-level and program level service such as training and coaching to identify risks and prevent social-emotional and behavioral problems; and	By establishing a dedicated team of licensors to monitor compliance with the health and safety standards and program requirements of licensed early education and care programs, the Department has created a statewide system to improve and support the quality of early education and care programs and services throughout the Commonwealth. Massachusetts intends to improve the child care financial assistance process for voucher families by establishing an integrated system that ensures the seamless delivery of quality, accessible and affordable child care; and creating a unified system for intake and assessment at multiple locations located close to where families live, work and/or receive child care services. In addition, this funding improves information andreferral services for all children by creating a unified system for information access through advanced technology that responds to the diverse needs of children and families with a variety of languages and multi-cultural child care services. The Commonwealth promotes school readiness and positive outcomes for children and furthers the long-term creation of a universally accessible, high-quality early education program by providing grant funding directly to pre-school programs meeting specific quality guidelines. The Commonwealth created a statewide mental health consultation services model that meets the needs of the early education and care field to promote the healthy

		(c) ensuring interventions are implemented when there are multiple risk factors or problems identified, and can include referrals for clinical and social services or on-site therapeutic interventions. The Legislature appropriated over $18 million to EEC to administer a portion of its coordinated system quality enhancement activities, including but not limited to initiatives aimed to improve local coordination and delivery of services and professional development opportunities for the early childhood workforce. The main initiatives funded under this appropriation are CFCE and EPS. The Department's CFCE grants support a statewide system of support for children, families and educators by providing all families with access to comprehensive services and supports that strengthen families and promote optimal child development. The Department's EPS grants build upon the successes of its system of professional development opportunities to the early education and care and out of school time workforce in three core areas: educator and provider planning, coaching and mentoring, and competency development. To fund the Reach Out and Read program in Massachusetts. To support program capacity to offer inclusive preschool learning environments (IPLE) in center-based programs and public preschools services.	social and emotional development of all children, particularly those children whose emotional development is compromised by poverty, biological, or family risk factors, or other circumstances which may contribute to toxic levels of stress; to build the capacity of program staff to enhance children's learning through positive, nurturing interactions with children and with their families and to address the needs of children who exhibit behavioral challenges; to reduce the number of children who are suspended or expelled from EEC funded programs; and to maximize resources by ensuring that certain mental health interventions are funded. The CFCE program builds on an established local infrastructure of coordination and delivery of comprehensive services to families by promoting individual educator competency by providing a local resource for information about professional development opportunities;and by providing referrals to a range of locally available comprehensive services that meet the needs of children and families. EPS grants identify 3 core areas of professional development: educator and provider planning, coaching and mentoring, and competency development. Through these grants, EEC can focus research to support educators in developing individual professional development plans that assist them in attaining a degree in early education, or a related field, or in achieving enhanced competency through the attainment of

			a Child Development Associate credential, certifications, or other credentials, or to demonstrate knowledge, skills, and abilities related to early education and out of school time competencies. Additionally, EPS grants support providers in achieving or maintaining accreditation and/or in increasing program quality and moving to the highest QRIS level. Reach Out and Read is a research-proven, pediatric literacy intervention program, which trains doctors and nurse practitioners to provide advice to parents on reading aloud to children and books for children living in poverty and in underperforming school districts through programs established in community health centers, medical practices and hospitals. In addition to increasing capacity to offer IPLE services in center-based programs and public preschools, the Commonwealth aims to enhance program quality by continuing to require IPLE funded programs to participate in QRIS, as a condition of funding.

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

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

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- [x] No, the Lead Agency will not distribute any quality funds directly to local entities
- [ ] Yes, all quality funds will be distributed to local entities
- [ ] Yes, the Lead Agency will distribute a portion of quality funds directly to local entities.

Estimated amount or percentage to be distributed to localities

Not applicable.

☐ Other.
Describe:

Not applicable.

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.

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Describe:

The Office of the State Comptroller (OSC), the regulatory agency responsible for accounting and reporting for the Commonwealth, has adopted the Committee of Sponsoring Organizations' (COSO) Enterprise Risk Management (ERM) framework as the state's internal control framework to ensure sound fiscal management. Through this framework, the Commonwealth intends to identify areas of risk and/or to establish regular evaluation of control activities. In compliance with the OSC's ERM framework, EEC has adopted the following eight elements which make up the Department's Internal Control Framework: (1) Control Environment; (2) Risk Assessment; (3) Control Activities; (4) Information and Communication; (5) Monitoring; (6) Objective Setting; (7) Risk Evaluation; and (8) Risk Response. The procedures for implementing the ERM are documented in EEC's Internal Control Plan, which is updated annually. Examples of processes implemented by EEC to ensure sound fiscal management and to conduct risk analysis and regular evaluation of control activities include, but are not limited to, the following: (1) The EEC Budget Office prepares and submits the quarterly Administration for Children and Families Form696 to report outlays and un-liquidated obligations in accordance with the Federal reporting requirements established for the Mandatory, Matching, and Discretionary grants; (2) Contractors are required to submit annual financial and compliance audits to EEC 's Audit Compliance and Resolution Unit (ACR) and the Operational Services Division (OSD) of the Commonwealth of Massachusetts. All compliance audits must be performed by (a) a Certified Public Accountant who possesses a valid license to practice within Massachusetts; (b) a Public Accountant licensed on or before December 31, 1970, and currently certified and licensed by the Commonwealth; or (c) the State Auditor's Office; and (3) To ensure the security of confidential data, EEC maintains a computer system

that must be accessed using individual user-identifications (IDs) and passwords. User-IDs and passwords are only issued to essential EEC personnel. To further ensure security, the web server, sequel server, and individual computer worksites are continually updated with the most current security protection technology.

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.

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Describe:

All state and federally funded providers that contract with EEC to provide and/or manage subsidized child care for eligible families, including early education programs holding contracts to provide access to early childhood programs, family child care systems and Child Care Resource and Referral Agencies (CCR&R's), are subject to fiscal and program compliance monitoring by EEC's Audit Compliance and Resolution (ACR) Unit. The monitoring program consists of activities to confirm that families receiving care through these contracts are eligible to receive services according to state and federal regulations and EEC policies. In addition, the monitoring program corroborates contractor compliance by verifying financial information, confirming compliance with audits, and evaluating internal controls. The EEC ACR Unit conducts the following activities to ensure compliance with federal and state laws and policies:

- Evaluation of financial and audit reports, including Uniform Financial Report, A133 Audits, and independent provider audits;
- Risk Assessment analysis to determine the priority status and scope of monitoring for each contracted provider. As part of the risk assessment, monitors consider each provider's licensing history and the amount of state and/or federal funding received by each provider;
- Onsite monitoring visits to contracted providers and CCR&Rs according to their priority status resulting from the risk assessment analysis. (Note: Some providers may not be subject to an onsite review). The onsite review may consist of verification of the following: (a) revenues/expenses; (b) eligibility determination and documentation; (c) management procedures and internal controls; (d) billing practices and records; (e) attendance records; (f) verification of the Management Internal Control System Questionnaire (MICSQ); and (g) follow up to previous audit or onsite review issues; and
- Compliance activities related to Corrective Action Plans that may result from desk reviews or prior onsite monitoring visits by requesting follow-up reports and/or conducting follow-up onsite visits.

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.

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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	☐	☐
None	☐	☐

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

As described above at 1.3.1 and 1.3.2, EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program, including risk assessment analyses, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans. In addition, the Department regularly runs reports to identify inconsistent and/or questionable billing from providers (i.e., to identify multiple programs that appear to bill for the same child or appear to bill for the same child on more than one occasion). In addition, on January 18,

2013, EEC promulgated new child care subsidy regulations that expressly allow the Department to share data and conduct data matches with other government agencies.

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

Not applicable.

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

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Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: $	☐	☐	☐
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: When a contracted provider, voucher provider or subsidy recipient is suspected of committing fraud, the case may be referred to the State Auditors Office, the Attorney Generals Office or District Attorneys Office, in order to initiate an in-depth investigation, including civil or criminal legal action, which could include the attachment and liquidation of assets.	☑	☑	☑

Recover through repayment plans	☑	☑	☑
Reduce payments in the subsequent months	☑	☑	☑
Recover through State/Territory tax intercepts	☑	☑	☑
Recover through other means. Describe:	☐	☐	☐
Establish a unit to investigate and collect improper payments. Describe composition of unit: All state and federally funded providers that contract with EEC to provide and/or manage subsidized child care for eligible families including family child care systems and Child Care Resource and Referral Agencies (CCR&Rs)- are subject to fiscal and compliance monitoring by EECs ACR Unit. The monitoring program consists of activities to confirm that families receiving care through these contracts are eligible to receive services according to state and federal regulations and EEC policies. In addition, the monitoring program corroborates contractor compliance by verifying financial information, confirming compliance with audits and evaluating internal controls.	☑	☑	☑
Other. Describe:	☐	☐	☐
None	☐	☐	☐

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

Through EEC's automated eligibility and billing system, eCCIMS, EEC can recoup from a provider's future payments any sums that must be repaid related to services provided within the current fiscal year, including payments that were improperly authorized for families who were ineligible for child care subsidies. EEC can also recoup any improper payments made to CCR&Rs through its automated billing system by reducing future payments for services provided within the current fiscal year.

EEC places outstanding debts owed by contractors, providers, and/or subsidy recipients on the Commonwealth's Billing and Accounts Receivable Subsystem (BARS) which may include prior fiscal year improper authorized payments. Through BARS, invoices are generated to debtors that include instructions on how to make payments and notifications of any rights which the debtor may have to request a hearing to challenge the debt amount. If the debtor fails to make any payments on a timely basis, the Commonwealth may initiate a collection action against the debtor and/or intercept any other State funds being paid to the debtor including, but not limited to, the intercept of tax refund payments.

EEC works closely with the Massachusetts Operational Services Division and the Attorney General's Office, Division of Public Charities, in reviewing and following up with providers whose annual financial reports and/or filings indicate that improper payments may have occurred. In addition, and as discussed above, EEC fiscal monitoring staff conduct annual fiscal evaluations of its contracted child care providers which include reviews of providers' current fiscal year filings.

When a contracted provider, voucher provider or subsidy recipient is suspected of committing fraud, the case is referred to the Office of the State Auditor, who may initiate an in-depth investigation. EEC and/or the Auditor's Office may also refer the matter to the Attorney General's Office or District Attorney's Office for further civil or criminal legal action, which could include the attachment and liquidation of assets.

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

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☐ None
☑ Disqualify client.
If checked, please describe, including a description of the appeal process for clients who are disqualified

Please refer to Section 2.3.8 below, which describes the administrative remedies available to clients that have had their child care financial assistance denied, reduced or terminated.

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

EEC may terminate a provider's voucher agreement with the CCR&R and/or terminate a provider's contract with the Department if a provider has been found responsible for improper payments due to program violations. EEC may also preclude a specific provider from bidding on a competitive procurement if a provider has been found responsible for improper payments related to program violations. Although there are no administrative appeal rights to challenge such actions directly with EEC, a provider may challenge these decisions in the State's Superior Court through the Commonwealth's Administrative Procedure Act, at Massachusetts General Laws, Chapter 30A, on the

grounds that there has been an abuse of discretion.

☑ Prosecute criminally
☑ Other.
Describe.

In addition, EEC may also limit the number of referrals issued to voucher only providers and/or reduce the number of contract slots awarded to contracted providers. Although there are no administrative appeal rights to challenge such actions directly with EEC, a provider may challenge these decisions in the State's Superior Court through the Commonwealth's Administrative Procedure Act, at Massachusetts General Laws, Chapter 30A, on the grounds that there has been an abuse of discretion. In addition, EEC may use a history of improper authorizations against a provider that is seeking to enter into a contract with the Department to provide early education and care services to children and families of the Commonwealth. Under such circumstances, a provider may be able to request a formal debriefing, in accordance with the terms of the procurement, from EEC's procurement officer as to the reasons for the decision and then can appeal that decision to EEC's General Counsel. The provider may further appeal the General Counsel's decision to EEC's oversight agency, the Operational Services Division.

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

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

Over the past three years, EEC has taken several steps to streamline and improve the eligibility and review process, including, but not limited to, the following: (1) centralization of the child care subsidy policy unit to eliminate regional differentiation; (2) implementation of a system whereby all policy explanations or policy amendments are issued through formal management bulletins, which reference existing law, regulation and policy; (3) increase the presence of policy or legal staff at monthly meetings of subsidy administrators; and (4) creation of an internal working group of key EEC staff from all units of the Department, including audit, legal, policy, budget and information technology.	(1) Insufficient documentation to verify employment and income. (2) Income miscalculations. (3)Failure to maintain income documentation to support the income calculations.	Amendments have been made to the EEC Financial Assistance Policy Manual to ensure consistency and accuracy in the eligibility determination process. The amendments assist EEC in its efforts to reduce fraud, waste, and abuse while streamlining the application process for families and administrators. EEC will also provide training opportunities for subsidy administrators across the Commonwealth to ensure consistent and accurate subsidy determinations in all regions.	1. Revised child care subsidy regulations and policies released on January 18, 2013 2. ACR Unit has assisted in three regional trainings on the Subsidy Management in collaboration with the Information Technology Unit. 3. ACR Unit continues to track number of monitoring visits, client files reviewed, number of findings related to the errors noted in the IAP project, and the number of findings that result in an IAP.

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.	EEC is overseen by an eleven member Board of Early Education and Care, appointed by the Governor. Membership of the Board includes the Secretary of Education, the Secretary of Health and Human Services, an early education and care provider, an early education and care teacher, a representative of the business community, a parent receiving early education and care services, an expert on assessment and evaluation, a pediatrician, and three other at-large members. Pursuant to the Massachusetts General Laws, the Board is required to review and approve all federal grant applications, including the CCDF Plan. The Board meets monthly to decide high- level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. EEC also relies upon a 55 member Advisory Board for input into many aspects of the planning and implementation of agency activities. The Advisory is comprised of representatives of the following groups: legislators, agencies with a vendor or contract relationship with EEC, Business/ Civic, State associations, those with Kindergarten-Grade 12 Linkages. The full advisory meets 4 times per year and the subgroups meet in between each full group meeting. A member of the EEC Board attends and provides the Board with an update on Advisory meetings at each EEC Board Meeting. EEC also holds contracts with over 100 local entities known as Coordinated Family and Community Engagement (CFCE) grantees across the Commonwealth. Through these grants, EEC has created a statewide system of access to a set of locally available comprehensive services and supports that strengthen families and promote optimal child development. EEC meets quarterly with the recipients of these grants to share and gather information.
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.	In Massachusetts, the Executive Office of Education's (EOE) primary function is to advance public education in the Commonwealth by analyzing and implementing statewide education policy and developing a seamless education system from birth through higher education, which includes the Commonwealth's three education agencies: EEC, Elementary and Secondary Education (ESE), and Higher Education (DHE). The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high-level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

☑ State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	The Department of Public Health (DPH), which sits within the Executive Office of Health and Human Services (EOHHS), is the Lead Agency responsible for administering Part C of the IDEA, whereas Part B of the IDEA is administered by ESE, which sits within EOE. The Secretaries of both EOHHS and EOE serve as ex officio members of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. In addition, ESE entered into an interagency service agreement (ISA) with EEC related to the administration of the IDEA, Part B, funds. Pursuant to this ISA, EEC will administer these funds to support the inclusion of young children with disabilities through the implementation of a high quality system of early education and care, and to ensure that a free appropriate public education (FAPE) is available to all eligible children with disabilities ages 3 to 5 in compliance with applicable federal and state special education law, including IDEA and the Massachusetts Special Education Law and Regulations. EEC has also partnered with DPH's Early Intervention Services program to establish and support Regional Consultation Programs (RCPs) to assist children with disabilities by providing expertise on inclusion and effective transition practices to early education and care programs. EEC is also a participating member of DPH's Interagency Collaborating Council (ICC), which is a federally mandated statewide inter-agency group that advises and assists DPH on issues related to Early Intervention services.
☐ State/Territory agency responsible for licensing (if separate from the Lead Agency)	Not applicable. EEC is the state agency responsible for licensing in Massachusetts.

☑ State/Territory agency with the Head Start Collaboration grant	EEC is the agency that receives and administers the Head Start State Collaboration Grant in MA. The HSSCO is funded by the Administration of Children and Families (ACF) through the Office of Head Start (OHS). The Collaboration Office provides a structure and a process for OHS to work with State agencies and local entities to leverage their common interests around young children and their families to formulate, implement, and improve state and local policy and practice. The Assistant Collaboration Director of the Massachusetts Head Start State Collaboration Office has recently been promoted to the Director of the Massachusetts Head Start State Collaboration Office.
☑ Statewide Advisory Council authorized by the Head Start Act	The EEC Board has been designated by Governor Patrick to serve as the State Advisory Council in Massachusetts.
☑ Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	The Secretaries of EOHHS and EOE are ex officio members of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. In Massachusetts the Board of EEC has been appointed by the Governor as the Head Start SAC. The Director of the Collaboration Office participates in the EEC/SAC's Board Committee's meetings that focus on the key activities of the SAC. In June 2013, the SAC funding period ends in Massachusetts. EEC also entered into a memorandum of understanding (MOU) with representatives of federal, State and local agencies, including theOffice of Head Start, EOHHS, DPH, and ESE. Through this MOU, the parties reached an agreement on joint goals for the provision of services to children with disabilities, as well as typically developing children. In addition, the Department administers multiple grants and contracts with public or private agencies aimed to improve quality of and/or access to early education and care programs and services in the Commonwealth, as described in greater detail in section 1.5.1.

☑ State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	ESE, which sits within EOE, is the lead agency responsible for administering the CACFP in Massachusetts. The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.
☑ State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The Massachusetts Department of Public Heath was designated as the lead agency by Governor Patrick for the Massachusetts Home Visiting Initiative (MHVI). The Department of Early Education and Care, the Massachusetts Children's Trust Fund, the Department of Children and Families, and the Head Start Collaboration Office are collaborating agencies for this MHVI project.
☑ State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	DPH, which sits within EOHHS, is the lead agency responsible for public health in the Commonwealth. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.
☑ State/Territory agency responsible for child welfare	The Department of Children and Families (DCF) within EOHHS is the lead agency responsible for child welfare in the Commonwealth. The Secretary of EOHHS is an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

☑ State/Territory liaison for military child care programs or other military child care representatives	EEC staff have attended conferences and trainings administered by the Military Child Education Coalition and other interested advocates and stakeholders. In addition, all of the CCR&R agencies in the Commonwealth are members of the National Association of Child Care Resource and Referral Agencies (NACCRRA), which is charged with providing referrals and supports to all four (4) branches of the military. In expanding support for military child care programs, EEC in partnership with the Head Start State Collaboration Office (HSSCO), the Military Child Education Coalition® (MCEC®), and Wheelock College, **conducted a series of regional institutes*, "Living in the New Normal™: Helping Children Thrive in Good and Challenging Times,"* for EEC's partners of the mixed delivery system,** including Head Start (HS); Coordinated Family and Community Engagement Grantees (CFCE); Child Care Resources and Referral Agencies (CCR&Rs); MASS 2-1-1; Family Child Care (FCC) System Providers; and the Office of Refugees and Immigrants (ORI)'s providers and their stakeholders.
☑ State/Territory agency responsible for employment services/workforce development	The Department of Transitional Assistance (DTA), which sits within EOHHS, is the lead agency responsible for the Employment Services Program in the Commonwealth. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. EEC also consulted with various workforce development entities in the Commonwealth, including participating on decision making bodies for two projects funded by the Massachusetts Regional Employment Board, as described below in section 1.5.1.

☑ State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	DTA, which sits within EOHHS, is the lead agency responsible for TANF in the Commonwealth. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.
☑ Indian Tribes/Tribal Organizations ☐ N/A: No such entities exist within the boundaries of the State	EEC consults with regional child care resource and referral agencies, including the Child Care Network of Cape Cod and the Islands, which provide various child care resource and referral information to the public, including the Wampanoag Indian tribe.
☑ 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	EEC is the lead agency for the following national level initiatives in MA: (1) Strengthening Families: EEC has provided training across the state on the SF model and has embedded adherence to the SF Protective Factors into all grant funded activities; and (2) Help Me Grow: EEC has been selected as a replication state for the CT-based Help Me Grow program of early childhood screening and access to referrals.
☑ Provider groups, associations or labor organizations	In accordance with the Massachusetts General Laws, a representative of the provider community is a named member of the Board of EEC. In addition, the General Laws identify approximately 30 named provider groups and associations who are included in the membership of EEC's Advisory Board. EEC also attends monthly meetings of the members of the provider community, in order to share information, review updates on their work, and strategize regarding the implementation of any planned policy changes to CCDF supported care that may impact their work and the children and families that they serve. EEC also communicates regularly with unions representing its employees to proactively identify and resolve procedural and policy issues and to coordinate implementation. In particular, family child care providers within the Commonwealth have been recognized as public employees as of January, 2013 and meet regularly with EEC to address issues related to rates, professional development, reimbursement and payments.

☑ Parent groups or organizations	Parent groups or organizations consult with EEC both formally and informally through various mechanisms, including, but not limited to: participation on the Board of EEC, as required by the Massachusetts General Laws; serving on local councils for CFCE grantees, as required by the terms of the grant awards; and through the Massachusetts Head Start Association, which requires parent representation.
☑ Local community organization, and institutions (child care resource and referral, Red Cross)	EEC attends monthly meetings of the CCR&Rs, in order to share information, review updates on their work, and strategize regarding the implementation of any planned policy changes to CCDF-supported care that may impact their work and the children and families that they serve.
☐ Other	Not applicable.

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:

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a) Date(s) of notice of public hearing: 04/29/2013
Reminder - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing? A notice regarding the hearings was posted on EEC¿s website and communicated to over 1,500 individuals that have signed up for regular e-mails from the Department¿s Commissioner¿s Office. In addition, information about the hearings was provided at the May 14, 2013 meeting of the Board of EEC.c) Date(s) of public hearing(s): 05/21/2013
Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).

d) Hearing site(s) Public hearings on the CCDF Plan were held in the Department¿s regional offices in Worcester, Lawrence, and Quincy.
e) How was the content of the Plan made available to the public in advance of the public hearing(s)? A copy of the draft plan was posted on EEC¿s website and copies were made available at EEC¿s central office, as well as its five (5) regional offices. In addition, EEC offers the citizens of the Commonwealth several opportunities throughout the year to provide feedback and to guide the direction of the agency. For example, EEC convenes an Advisory Council (codified in Massachusetts statute at M.G.L. c. 15D, § 3A) of key stakeholders in the realm of early education and care and provides opportunities for public comment prior to each board meeting a minimum of ten (10) times per year.
f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? As stated in 1.4.2.(d), Massachusetts held three

public hearings related to the plan on May 21, 2013, May 22, 2013 and May 23, 2013. All comments received by the public were summarized and distributed to senior leadership of the Department, as well as the Board of Early Education and Care, for purposes of determining if the Plan required amendments.

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.

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In recognition of the burden of requiring parents or providers to physically attend public hearings, EEC allowed for submission of electronic comments through a dedicated e-mail box, which was available to interested stakeholders 24 hours a day from the date the Plan was posted until the Plan was submitted to the Office of Child Care. In addition, the Department scheduled public hearings in mulitple regions of the Commonwealth, in an effort to increase public consultation throughout Massachusetts.

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))

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

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

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Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
☐	Representatives of general purpose local government This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.	EEC is overseen by an eleven member Board of Early Education and Care, appointed by the Governor. Membership of the Board includes the Secretary of Education, the Secretary of Health and Human Services, an early education and care provider, an early education and care teacher, a representative of the business community, a parent receiving early education and care services, an expert on assessment and evaluation, a pediatrician, and three other at-large members. In addition to the Board structure, EEC regularly consults with the legislatively mandated Advisory Council. EEC also administers the Coordinated Family and Community Engagement (CFCE) program, which creates a system over 100 local councils to support families with young children in the Commonwealth.	The Board meets monthly to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. The Advisory Council meets 4 times per year and the subgroups meet in between each full group meeting. A member of the EEC Board attends and provides the Board with an update on Advisory meetings at each EEC Board Meeting. The CFCE program intends to support a statewide system that provides all families with access to comprehensive services and supports that strengthen families and promote optimal child development.

☑	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.	The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. In addition, the MA Education agencies coordinate efforts across public education to monitor and track progress related to the Governor's Education Action Agenda, including data collection and longitudinal studies of students from birth to career, among other things. EEC and ESE also collaborated to develop common core frameworks for preschool children that align with the national common core. The resulting frameworks were adopted by the Boards of both agencies. ESE and EEC continue to work together to familiarize educators in early education and public school settings with the new frameworks. In partnership with the Massachusetts Department of Higher Education (DHE), EEC administers the Early Childhood Education (ECE) Scholarship program for educators working in early education and care. EEC also worked with DHE to establish and update a transfer compact so educators with associate degrees in early childhood education can transfer credits from the associates degree program, which will enable students to begin a bachelors program at a state university as a junior. EEC helped establish EOE's Readiness Centers and is on the steering committee for the Readiness Center Network. EEC also requires its Educator and Provider Supports (EPS) grantees to collaborate with their regional centers. EEC engaged the expertise of UMass Boston to evaluate the effectiveness and impact of the Department's delivery of professional development. EEC also engaged several institutions of higher education to develop on-line courses and other resources for educators working in the early education and care.	The Commonwealth's comprehensive education system is comprised of EEC, ESE, DHE, and the University of Massachusetts (UMASS). EOE's primary function is to advance public education in the Commonwealth by analyzing and implementing statewide education policy and developing a seamless education system from birth through higher education. EOE also serves as the chief liaison to the Governor's office on education issues and for the state's education departments. By aligning preschool curricula with kindergarten and the primary grades, educators have a shared understanding with similar expectations for children moving from early education programs into the primary grades. Better alignment between higher education and the needs of the early education and out of school time workforce on a systemic level as evidenced by collaboration on scholarships, transfer and the readiness center network and evaluating new initiatives. EEC also seeks to address more immediate needs by increasing accessible training by developing online resources.

☑	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services **(required)**	EEC coordinates with multiple state, local and private agencies providing early education and care developmental services. Examples of the Department's coordination efforts include, but are not limited to: **Educator and Provider Support grants**- to continue to build upon the successes of its system of professional development opportunities to the early education and care and out of school time workforce in three core areas: educator and provider planning, coaching and mentoring, and competency development. **Early Childhood Mental Health grants**- to provide mental health consultation services through a statewide system of mental health supports for children and families. **Universal Pre-Kindergarten grants**– to promote school readiness and positive outcomes for children; to support and enhance the quality of services for children, especially for low-income, high-needs children or children living in underperforming school districts; to maximize parent choice by ensuring participation from all program types within a mixed public and private service delivery system; to support the use of child assessment systems/tools to ensure that programs are effectively measuring children's progress across all developmental domains and using this information to inform practice; and to inform the longer-term implementation of a program of universally accessible, high-quality early childhood education; and **Head Start Supplemental grants**- to continue to support Head Start and Early Head Start in providing quality education and comprehensive services to children and families.	Through these grants and contracts, the Department intends to improve the quality of and/or access to early education and care programs and services.

☑	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	The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. DPH was awarded federal stimulus funds to support the implementation of EEC's new licensing regulations, which require licensed full- day programs to offer 60 minutes of physical activity daily, implement nutrition programs meeting USDA guidelines, and be trained in USDA nutrition requirements. In addition, EEC and DPH partnered to form a workgroup with the ESE Child Nutrition Program, Head Start, and other early education and care stakeholders. This workgroup helps early education and care programs meet EEC regulations by promoting physical activity and good nutrition through training, support, and resources. This is done by combining the Nutrition and Physical Activity Self Assessment (NAP SACC) intervention for preschool settings and I Am Moving I Am Learning (IMIL) training on the proactive approach to implementing daily activities to address childhood obesity. In addition, DPH continues to support the Massachusetts Early Childhood Comprehensive Systems (MECCS) project. EEC also consults DPH on relevant health and safety issues. For example, prior to promulgating its new licensing regulations EEC consulted with DPH staff in the development of the regulations related to medication administration in early education and care settings. In addition, DPH and EEC lead an interagency State Planning Team related to the Center for Social and Emotional Foundations for Early Learning (CSEFEL) Pyramid model. Through this partnership, DPH and EEC have allocated resources to (1) train mentors and coaches; (2) establish demonstration sites; and (3) train over 2000 educators in the CSEFEL model.	The coordinated efforts of EEC and DPH in the areas of physical activity and healthy eating aim to address childhood obesity and good nutrition by providing an engaging curriculum for children that spans developmental domains, including language and literacy development; enabling child care programs to help children and their families develop active and healthy life styles; and helping programs comply with EEC licensing regulations. The goal of the MECCS project is to work across state agencies to coordinate policies relative to early education and care, preventive health care, family support, parenting education and mental health services for young children. The Interagency CSEFEL group intends to make the CSEFEL Pyramid model widely available to promote healthy social and emotional development in early education and care.
☑	State/Territory agency responsible for employment services / workforce development **(required)**	The Employment Service Program (ESP) is administered by DTA. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. EEC and DTA formed an interagency working group dedicated to streamlining the process for TANF families participating in the ESP to receive child care services.	This EEC/DTA working group intends to identify key barriers impacting families served by both agencies.

☑	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies**(required)**	The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. EEC and DTA formed an interagency working group dedicated to streamlining the process for TANF families to receive child care services.	This EEC/DTA working group intends to identify key barriers impacting families served by both agencies.
☑	Indian Tribes/Tribal Organizations (required) ☐ N/A: No such entities exist within the boundaries of the State	EEC coordinates with Indian Tribes receiving CCDF funds in the Commonwealth by publishing market rate survey information, reimbursement rates, sliding fee scales and eligibility information on its website, in addition to responding to any inquiries related to CCDF funding from Indian Tribes in the Commonwealth, upon request. EEC also contracts with regional child care resource and referral agencies, including the Child Care Network of Cape Cod and the Islands, which provide various child care resource information to the public.	By publicizing this information, the Department allows other agencies, tribes and organizations to utilize this data in formulating their respective CCDF Plans. By reaching out to the CCRRs, EEC ensures that its information and referral vendors have complete and accurate information to respond to questions from families or programs in their respective catchment areas, including Indian tribes in Massachusetts.
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 with the Head Start Collaboration grant	EEC is the agency that receives and administers the Head Start State Collaboration Grant in MA. As the recipient of the Head Start State Collaboration grant, EEC is required to implement the Management Plan outlined in the 5 year grant renewal application submitted to the Office of Head Start on April 1, 2011. To date, annual updates to the HSSCO Five Year Management Plan were submitted to the Regional Office of Head Start in April 1, 2012 and April 1, 2013.	Head Start State Collaboration Office in Massachusetts intends to align standards, curriculum and assessment of Head Start Child Development and Early Learning Framework, the Guidelines for Preschool Learning Experiences, and the MA Common Core Standards, for quality education and care practices; to establish coordinated, efficient and effective ECE professional development infrastructure; to establish a coordinated, research-based data infrastructure to support quality education and care; to coordinate and support programs to reach families with comprehensive health services; and to support the national historic 10 priority areas including: support for services related to welfare and child welfare, effective linkages with services for immigrant, refugee, migrant and seasonal working families, family literacy, and meeting the needs of dual language learners.

☑	State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC) ☐ N/A: State/Territory does not participate in RTT-ELC	In 2012, the governance structure for the MA Early Learning Plan did not change. The governance structure has stayed consistent—the Governor and the Child and Youth Readiness Cabinet (a state leadership team with members from the secretaries of education, health and human services, and other state agencies) oversee the Governor's Education Action Agenda, a 10 year vision for a comprehensive public education system that begins at birth and continues through adulthood. The RTT-ELC lead agency, the Department of Early Education and Care (EEC), works closely with its allies the Department of Elementary and Secondary Education (ESE), Department of Higher Education (DHE) and Massachusetts Head Start State Collaboration Office (HSSCO) to implement the state's strategic early childhood priorities. EEC's Commissioner and senior management team also provide stable leadership. The EEC Board of Directors (State Advisory Council/SAC) continues to offer thoughtful leadership to EEC.	The Race to the Top-Early Learning Challenge (RTT-ELC) grant has allowed Massachusetts an unprecedented opportunity to accelerate early childhood education so that the state's children have access to high quality birth- to-grade-three education and experiences that will put them on an early path to school success and productive citizenship. The Massachusetts Department of Early Education and Care (EEC), the RTT-ELC lead agency, has prioritized its work into five strategic areas of Program Quality, Educator Quality, Screening and Assessments, Family and Community Engagement and Infrastructure.
☑	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	ESE is the lead agency responsible for the Child and Adult Food Program (CACFP) and the Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. There is also close coordination between EEC licensing regulations and the CACFP sponsorships. The individual CACFP participants and sponsors coordinate with FCC systems, CCR&Rs, EPS grantees and other stakeholders in the quarterly regional meetings sponsored by EEC licensing to share information on new EEC initiatives, common licensing issues, new policies and procedures. The sponsors also coordinate with independent FCC providers' homes on a quarterly basis and keep EEC licensing staff informed of issues in the homes. The food sponsorships also facilitate FCC licensing orientations with EEC.	Continue to leverage EEC's relationship with ESE's CACFP sponsorships to increase awareness by independent FCC providers of information about good nutrition and increased physical activity for children, especially in light of childhood obesity concerns in Massachusetts.

☑	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	Through an Interagency Service Agreement (ISA) entered into between EEC and ESE, EEC is authorized to administer the Commonwealth's early childhood special education grant funds, under the federal Preschool Grant program authorized by Part C, Section 619 of the Individuals with Disabilities Education Improvement Act (IDEA). EEC has also partnered with DPH to support the Regional Consultative Program (RCP), which aims to assist families of young children with complex medical needs, including special education transition from Early Intervention to Pre-School and efforts to promote inclusion of 3-5 year olds in pre-school settings. In addition, EEC is a member of DPH's Interagency Collaborating Council (ICC), which is a federally mandated statewide inter-agency group that advises and assists DPH on issues related to Early Intervention services. EEC staff also participate on the ICC Program Planning subcommittee to improve transitions for young children as they age out of Early Intervention and move on to either Early Childhood special education and/or communit- based programs.	Pursuant to the ISA between EEC and ESE, EEC administers these funds to support the inclusion of young children with disabilities through the implementation of a high quality system of early education and care, and to ensure that a free appropriate public education (FAPE) is available to all eligible children with disabilities ages 3 to 5 in compliance with applicable federal and state special education law, including IDEA and the Massachusetts Special Education Law and Regulations. The Regional Consultation Programs (RCP) intend to assist children with disabilities by providing expertise on inclusion and effective transition practices to early education and care programs. Early intervention specialists ensure that children are referred to appropriate settings and provide resources and consultation to help them succeed in those settings. The purpose of the ICC is to advise and assist in the planning, development and implementation of activities necessary to operate the statewide system of early intervention services for infants and toddlers under 3 years of age with disabilities or those who would be at risk of experiencing a substantial developmental delay if early intervention services were not provided.
☑	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The Massachusetts Department of Public Heath was designated as the lead agency by Governor Patrick for the Massachusetts Home Visiting Initiative (MHVI). The Department of Early Education and Care, the Massachusetts Children's Trust Fund, the Department of Children and Families, and the Massachusetts Head Start Collaboration Office are collaborating agencies for the Massachusetts Home Visiting Initiative (MHVI) project. The Massachusetts Home Visiting Initiative has four implementation teams and EEC staff participate in each of the four teams. They are: Systems Development & Program Sustainability; Communications; Training; National Models; Evaluation, Data & Reporting, and Universal One-time Home Visiting.	The goals of the home visiting programs are to: Improve maternal, prenatal, infant and child health Promote optimal child development, parenting skills, school readiness, and family economic self-sufficiency; and Reduce child maltreatment, crime, and domestic violence. To bolster the collaborative relationship between Home Visiting Programs and the CFCE coordinators located in Home Visiting communities, EEC, DPH, and CTF will be organizing joint visits between the two programs. These visits will also include researchers from the University of Massachusetts Donhue Institute (UMDI), so that the researchers can observe the collaboration and communications between CFCEs and HV program communities. These meetings will also allow EEC and DPH to learn the degree to which the two programs are working together.

☑	State/Territory agency responsible for child welfare	The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. EEC and DCF formed an interagency working group dedicated to streamlining the process for families to receive supportive child care services. EEC also contracts with programs that provide Supportive Child Care to families who have active protective services cases with DCF. The supportive child care program facilitates children's placement in quality child care settings and supports the work of DCF through the purchase of early education and out-of-school time care, which is supplemented by case management, comprehensive social services and transportation services. EEC has worked closely with DCF central office staff, social workers and area child care coordinators to provide technical assistance and support to clarify policy and resolve case-specific issues to facilitate coordination of supportive child care services.	EEC and DCF efforts are focused on improving service delivery regarding access to supportive child care for children and families, quality of services provided and workforce development. One tangible example of the positive impact of the partnership between EEC and DCF is the implementation of a child care program model to assist families transitioning off supportive services provided by DCF for up to 6 months following the closure of the family's protective services case.
☑	State/Territory liaison for military child care programs or other military child care representatives	EEC staff have attended conferences and trainings administered by the Military Child Education Coalition and other interested advocates and stakeholders. In expanding support for military child care programs, EEC in partnership with the Head Start State Collaboration Office (HSSCO), the Military Child Education Coalition® (MCEC®), and Wheelock College, **conducted a series of regional institutes, "*Living in the New Normal™: Helping Children Thrive in Good and Challenging Times,*"for EEC's partners of the mixed delivery system,** by including Head Start (HS); Coordinated Family and Community Engagement Grantees (CFCE); Child Care Resources and Referral Agencies (CCR&Rs); MASS 2-1-1; Family Child Care (FCC) System Providers; and the Office of Refugees and Immigrants (ORI)'s providers and their stakeholders.	A goal of the Head Start State Collaboration Office (HSCCO), housed at EEC, is to support service and outreach efforts for military families. To do so, EEC has proposed to the Office of Head Start to: Analyze the need in Massachusetts for children in military families needing services Increase HSSCO and Head Start educators' awareness of services that support children in military families (i.e. The Military Child Education Coalition); Provide outreach to diverse family populations via local CFCE, CCR&R grantees and Head Start programs.

☑	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	As a "Strengthening Families" state, Massachusetts will continue to partner with the Center for the Study of Social Policy in the marketing and distribution of the Strengthening Families message and incorporating SF Protective Factors in EEC grant- and contract- funded initiatives. Help Me Grow: Massachusetts is officially designated as an affiliate of the Help Me Grow National Technical Assistance Center. The Help Me Grow project team is comprised of representatives from key state agencies and private-sector stakeholders, including EEC, the Dept. of Public Health (DPH), the United Way of Massachusetts Bay and Merrimack Valley (UWMBMV) and Mass 211.	Data is being gathered on the Strengthening Families Self Assessments of all CFCE grantees. EEC is helping SF to design effective reporting mechanisms. Help Me Grow will achieve full replication including the development of a state-wide call center, developmental screening and referrals in MA within the next 2 years.
☑	Local community organizations (child care resource and referral, Red Cross)	EEC attends monthly meetings of Massachusetts CCR&R network and collects monthly reports on activities in order to ensure contract compliance and efficient performance in information and referral and voucher management services.	Renewal and monitoring of CCR&R Contracts will result in efficient eligibility determination and distribution of subsidy funds as well as sharing of information on early education and out-of-school-time resource information with all families.
☑	Provider groups, associations or labor organizations	The Massachusetts General Laws require a representative of the provider community as a named member of the Board of Early Education and Care. In addition, the General Laws identify approximately 30 named provider groups and associations as required members of EEC's Advisory Board. EEC also communicates regularly with unions representing their employees to proactively identify and resolve procedural and policy issues and coordinate implementation, as needed. In particular, family child care providers within the Commonwealth have been recognized as public employees as of January, 2013 and meet regularly with EEC to address issues related to rates, professional development, reimbursement and payments.	Coordination with provider groups, associations and labor organizations helps EEC ensure effective, efficient, inclusive implementation of policies and procedures in a way that is fair, equitable, and responsive to the needs of children, families and other key stakeholders in the Commonwealth. Additionally, increased coordination enables stakeholders to make informed decisions. EEC is negotiating a collective bargaining agreement with family child care providers that will reflect EEC's obligations to this newly recognized group of public employees.

☑	Parent groups or organizations	The Massachusetts General Laws require a parent receiving early education and care services to be a member of the EEC Board. The Board meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The Department also contracts with locally-based CFCE grantees that create a network of resources to support families with young children in identifying locally available comprehensive services and supports that strengthen families and promote optimal child development. As a condition of participation in the CFCE program, grantees are required to include a parent representative on each local council. Additionally, parents are required members of the Massachusetts Head Start Association, which frequently consults with EEC on various issues related the delivery of early education and care services and programs in the Commonwealth.	The broad membership and regular meeting schedule of the Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies, including parent groups or organizations. Additionally, requiring participation on local CFCE councils and on the Head Start Association ensures parents have an on-going opportunity to engage the Department in the delivery of early education and care services to children and families.
☐	Other		

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

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☑ Yes. If yes,

a)

Provide the name of the entity responsible for the coordination plan(s):

The Board of Early Education and Care

b)

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

From birth to age 13, or 16, if special needs.

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.mass.gov/edu/docs/eec/research-planning/state-planning/eec-strategic-plan.pdf

☐ 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.

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☑ 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

As stated in sections 1.4.1 and 1.5.1, EEC is overseen by an eleven- member Board of Early Education and Care appointed by the Governor. Membership of the Board includes the Secretary of Education, the Secretary of Health and Human Services, an early education and care provider, an early education and care teacher, a representative of the business community, a parent receiving early education and care services, an expert on assessment and evaluation, a pediatrician, and three other at-large members. Pursuant to the Massachusetts General Laws, the Board is required to review and approve all federal grant applications, including the CCDF Plan.

The Board meets monthly to decide high-level policy issues, including issues impacting all CCDF-funded programs and services, and to oversee and supervise the administration of a system of public and private early education and care that focuses on quality, family support, access and affordability, workforce development, communications, and infrastructure. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

Pursuant to M.G.L. c. 15D, § 3A, the members of the state advisory council on early education and care shall represent a reasonable geographic balance and shall reflect the diversity of the commonwealth in race, ethnicity, gender and sexual orientation. The Commissioner of EEC shall consult with the advisory council on the development of the Department's 5-year master plan for early education and care and the adoption of the educationally sound kindergarten readiness assessment instrument. The advisory council may also review and offer comments on any rules or regulations before promulgation by the board, and may, from time to time, make recommendations to the board that it considers appropriate for changes and improvements in early education and care programs and services. Additionally, EEC shall consult with the state advisory committee on early education and care to study and present any additional recommendations on the programmatic, financing, and phase-in options for the development and universal implementation of the Massachusetts universal pre-kindergarten program.

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

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

In accordance with the authority granted in the Head Start Act, Governor Patrick designated the Board of Early Education and Care to serve as the Head Start State Advisory Council on Early Education and Care in Massachusetts. In addition to the seven functions assigned to the State Advisory Council (SAC) under the reauthorized Head Start Act for School Readiness Act of 2007, the Council has added one

related function. As a result, the role of the SAC is to review/analyze the following:

- Needs Assessment
- Early Education and Care Cooperation and Collaboration
- Early Education and Care Enrollment and Outreach
- Unified Data Collection
- Quality Improvement in Early Education and Care
- Workforce Professional Development
- Early Education and Care Workforce Preparation by Higher Education
- Early Learning Standards

☐ Local Coordination/Council

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

☐ Other

Describe

☐ None

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

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☑ Yes .

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

EEC has engaged in several public-private partnerships. An ongoing example is the Massachusetts "Invest in Children" license plate initiative. Funds generated by the sale of these plates go into the Child Care Quality Fund established by the Legislature. In the past decade, EEC has distributed over $2.2 million to over 160 non-profit organizations to support and enhance the quality of services being delivered in early education and out of school time settings across the Commonwealth.

Other examples of public-private partnership in Massachusetts include:

- EEC's work with Wheelock College to assess the professional development needs of educators who are English language learners, disseminate best practices, and develop a strategy to meet their needs.

- EEC's Educator and Provider Support (EPS) grants. Bidders were required to come in as regional partnerships. These partnerships include CCR&Rs, CAP agencies, institutions of higher education (IHEs), private non-profit community organizations, and other public and private entities. These

partnerships are the network EEC funds to determine and address the professional development needs of the early education and out of school time workforce.

- EEC's collaboration with the Bessie Tartt Wilson Initiative for Children to develop a basic career ladder for the early education and out-of-school-time workforce. This ladder is intended as a guide and resource for early education and out of school programs and will provide a common starting point for discussions to address issues such as compensation and career advancement.

- EEC engaged Oldham Innovative Research to study the higher education system in MA. Phase I of the study compared early education and related degree programs across 27 public and private two and four year Institutions of Higher Education. Phase II of the study compared individual courses across these same IHEs and aligned them with EEC's core competency areas. This study have been made available on line as a resource for educators, IHEs, and other entities working to align higher education with the needs of the early education and out of school time workforce.

Massachusetts has also made progress in engaging the private sector to support the implementation of the state's early learning plan (RTT-ELC). The following is a list of key private sector supporters:

- **WGBH --** As EEC's media partner, WGBH is developing a robust set of media-based curricular resources to build the capacity of preschool classroom teachers and family daycare providers to promote the growth of young children, and to support and engage parents in their role as their child's first teacher. The centerpiece of this work is the production of a "digital hub", a free, online platform that will feature a centralized library of these resources, direct links to related materials, and customized pathways to guide teachers, parents and other care providers through the site.
- **United Way of Massachusetts Bay and Merrimack Valley --** EEC and United Way of Massachusetts Bay and Merrimack Valley launched the *Brain Building in Progress* campaign to raise the public's awareness of the importance of early years to the development of young children. *Brain Building in Progress* highlights the need to provide the Commonwealth's youngest residents with high quality and enriching experiences to ensure healthy brain development.
- **Boston Children's Museum --** EEC and the Boston Children's Museum (BCM) are engaged in a statewide strategy that will provide a shared framework and set of resources that will increase the capacity of museums and libraries to support the optimal development of all children through intentional family engagement activities and early learning opportunities. The partnership is focused on four areas in supporting family and community engagement in child development: early literacy, school readiness, including preparation for kindergarten, interest in and awareness of STEM (Science, Technology, Engineering and Math), and public awareness of the importance of early education and care through the state's *Brain Building in Progress* communications initiative.

- **IBM --** EEC has entered into a new partnership with IBM, the Adult, Child and Family Literacy Partnership with IBM, to increase family literacy and support early childhood development. This collaboration supplements existing adult education programs with proven family literacy resources that will help to strengthen parents' literacy skills, give them tools to support their children's reading and language development, and provide resources to early education and care programs to support literacy acquisition in children ages 3 to 7 years old.

- **Business Partnership with Early Education --** In fall 2012, EEC attended a roundtable on business partnership investment early education as a foundation for the nation's economic success. Rob Dugger, Advisory Board Co-Chair for Ready Nation, spoke to local business leaders and early education advocates at the meeting. EEC's involvement with the business partnership investment in early education started in 2011 where EEC was part of the landmark 2011 National Business Summit on Early Childhood Investment.

☐ No

1.6. Child Care Emergency Preparedness and Response Plan

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

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

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☐ **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]:** 10/01/2009and put into operation as of **[insert date]:** 10//0/1/2009, if available. Provide a web address for this plan, if available:

☐ **Other.**
Describe:

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

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☑ Planning for continuation of services to CCDF families

☑ Coordination with other State/Territory agencies and key partners

☑ Emergency preparedness regulatory requirements for child care providers

☑ Provision of temporary child care services after a disaster

☑ Restoring or rebuilding child care facilities and infrastructure after a disaster

☐ None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

2.1 Administration of the Program

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

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

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☑ Eligibility rules and policies (e.g., income limits) are set by the:
- ☑ State/Territory
- ☐ Local entity.

If checked, identify the type of policies the local entity(ies) can set

- ☐ Other.

Describe:

☑ Sliding fee scale is set by the:
- ☑ State/Territory
- ☐ Local entity.

If checked, identify the type of policies the local entity(ies) can set

- ☐ Other.

Describe:

☑ Payment rates are set by the:

- [x] State/Territory
- [ ] Local entity.

If checked, identify the type of policies the local entity(ies) can set

- [ ] Other.

Describe:

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

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Implementation of CCDF Services/Activities

Agency (Check all that apply)

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

Who issues payments?

Implementation of CCDF Services/Activities

Who determines eligibility?

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

For families with open TANF cases, the Massachusetts Department of Transitional Assistance (DTA) determines eligibility based on the family's financial eligibility for TANF and participation in DTA's employment services program.

Agency (Check all that apply)

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

Describe:

For children with open protective service cases with the Massachusetts Department of Children and Families (DCF), social workers may authorize child care in an effort to meet the protective service needs of the family receiving child welfare services from DCF.

- [ ] 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 assists parents in locating child care (consumer education)?

Agency (Check all that apply)

- [x] CCDF Lead Agency
- [x] TANF agency

- [x] Other State/Territory agency.

Describe:

For children with open protective service cases with DCF, social workers and regional child care coordinators work with families to locate child care options that best meet the needs of the family.

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

Describe:

EEC contracts with Mass 211 to provide statewide information and referral services to families seeking early education and care programs and services. Mass 211 is a national abbreviated dialing code for free access to health and human services information and referral, including early education and care services and programs in the Commonwealth. 211 is an easy-to-remember and universally recognizable number that makes a critical connection between individuals and families seeking services and the appropriate community-based organizations and government agencies. 211 makes it possible for people to navigate the complex and ever-growing maze of human service agencies and programs. By making services easier to access, 211 encourages prevention and fosters self-sufficiency. It also is hoped that it will reduce the number of non -emergency calls inappropriately made to 911.

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
- [x] Child care resource and referral agencies
- [x] 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)

Type of Reimbursement
One payment system is offered by EEC - Regular Invoiced Payment. All payments are reviewed and processed in the Massachusetts Management Accounting and Reporting System (MMARS) within 5-7 business days of receipt of invoice.

Issuing Payments:
The Office of the State Comptroller offers (2) payment mechanisms: paper check or direct deposit (Electronic Funds Transfer EFT). Beginning July 1, 2011, the State Comptroller required statewide contracts and vendors to receive payment only via EFT.

Contracted Provider:
Contracted programs must complete and submit a Service Delivery Report and Payment Voucher (monthly) to the EEC Accounting Unit by the 20th calendar day of each month following the month of service delivery. Should the 20th fall on a weekend, billing is due the next business day. Payment Voucher and Service Delivery Forms are all available in eCCIMS (the Commonwealth's electronic child care information management system) with rate, contract and slot information for billing purposes. All payments are processed within 5-7 business days of receipt of invoice.

Child Care and Resource Agencies (CCR&R):
For voucher services the CCR&R completes the Request for Reimbursement form and mails it to the provider by the second working day of the month following the month in which services were provided. The information on the RFR will be verified by the child care provider and returned to the CCR&R no later than the 10th working day of the month following the month in which the services were provided. Once the provider and the CCR&R agree that the RFR is accurate, the CCR&R submits a payment voucher monthly along with the required formal and informal forms to the EEC Accounting Unit by the 20th calendar day of each month following the month of service delivery. Should the 20th fall on a weekend, billing is due the next business day. All payments are processed within 5-7 business days of receipt of invoice. EEC reimburses the CCR&R, who reimburses each provider as appropriate. The CCR&R pays the Provider/System within five (5) business days of having received funds from EEC for early education and care services rendered.

All contracted providers and CCR&Rs are required to submit monthly billing by the required deadline. Any invoices not received at EEC by the required deadline will be held and added to next month's billing and paid accordingly. Additionally, EEC reserves the right to entirely disallow payments if invoices are late (3) three or more months.

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.

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- [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): (1) http://www.mass.gov/eec; and (2) http://www.mass211.org/eec

- [ ] 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.

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

(provide website): https://earlyedncareop.eec.state.ma.us/KinderWait/KWclientaccess/

- [x] By Email
- [x] Through a State/Territory Agency
- [x] Through an organization contracted by the State/Territory
- [ ] Other.

Describe:

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

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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 Department has embarked on a strategic plan to link various funding streams into a coordinated system of support for children, families and early education and care professionals. In particular, the funding to support the Child Care Resource and Referral (CCR&R) agencies and the Coordinated Familiy and Community Engagement (CFCE) grantees focus on providing regionally/locally based resources for families seeking consumer education to promote informed choices about child care options in the Commonwealth.

Through this coordinated system, EEC intends to ensure that families throughout the Commonwealth are well informed about early education and care and other resources that exist; to more clearly communicate with families about the importance of early education and care and a parent's role as his/her child's first teacher; and to support linkages on the local, regional and statewide level to provide easy access to the comprehensive services and supports needed by families.

In addition, EEC procured statewide information and referral for early education and care programs and services from Mass 211, which is a national abbreviated dialing code for free access to health and human services information and referral. This easy to remember and universally recognizable number assists EEC and its stakeholders by making a critical connection between individuals and families seeking services and the appropriate community-based organizations and government agencies.

The Department established its CFCE grant program to build upon an established local infrastructure of coordination and delivery of comprehensive services to families by promoting individual educator competency by providing a local resource for information about professional development opportunities; and by providing referrals to a range of locally available comprehensive services that meet the needs of children and families. CFCE grantees are expected to provide outreach and consumer education in ways that align with the demographics of the families in their communities.

In an effort to improve access and information regarding licensed early education and care programs, EEC launched an improved Child Care Search function on our website -- http://www.eec.state.ma.us/ChildCareSearch/EarlyEduMap.aspx.

This search functionality, which is available in English and Spanish, provides detailed information on early education and care programs in the Commonwealth and also makes available for the first time on the web important licensing information, including the date of the last licensing visit and an indication if a program is the subject of EEC legal action.

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.

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

The Department provides supports to child care programs to increase the likelihood that CCDF-served children receive higher quality care through the public procurement model for the EEC contract system. By the express terms of the procurement, bidders seeking to obtain "contracted" child care slots funded by CCDF are required to provide the following program supports: (1) A child-based approach to providing a caring and supportive environment that fosters each child's growth and development and promotes school readiness and success by utilizing developmentally appropriate curriculum; (2) Individual and small group activities that encourage age-appropriate socialization and developmental skills; out-of-school-time programs are encouraged to provide separate programming for younger school age children and pre-teens; (3) Individualized programming for all children, tailored to meet the specific needs of each child including children with special needs and children with limited English proficiency; (4) Referral to additional child and family services such as early intervention, special education, health coverage, family literacy initiatives, mental health services and other services available within the community including those funded by EEC and other agencies – e.g., Women, Infants & Children Food Program (WIC), Food Stamps; (5) Parent conferences held regularly on a quarterly basis for infants and children with special needs, and minimally at six-month intervals for all other children; (6) Parent involvement activities allowing parents to take part in the planning, development, and evaluation of the early education and out-of-school time services they receive. All families must be given the opportunity to evaluate the program annually through written questionnaires, focus groups, suggestion boxes and other means of evaluation, which programs should use on an on-going basis as a means to continuously improve practices; and (7) Culturally responsive staff and services that reflect and respect the ethnic and linguistic diversity of the families in their program.

The Department also supports child care programs designed to increase the likelihood that CCDF-served children receive higher quality care through the voucher system. Specifically, the express terms of the Voucher Manual require providers to offer a safe, stimulating, and nurturing learning environment that meets the developmental needs of each child in care, and provides opportunities for parent involvement. This includes a child-based approach to providing a caring and supportive environment that fosters each child's growth and development and promotes school readiness and success by utilizing developmentally appropriate curricula; individual and small group activities that encourage ageappropriate socialization and developmental skills. Out-of-school-time programs are encouraged to provide separate programming for younger school age children and pre-teens; and individualized programming for all children, tailored to meet the specific needs of each child including children with special needs and children with limited English proficiency.

In an effort to continue building a thriving system, this contract system and the voucher agreement make policies and practices more equitable to support EEC's ongoing efforts to promote quality programming by prioritizing providers based on quality criteria, phasing in an accreditation requirement over the life of the contract, and aligning requirements with the Quality Rating and Improvement System (QRIS). The Department requires all recipients of CCDF-funded programs, including contracts, vouchers or grants, to participate in the QRIS program, as a condition of funding. To encourage participation in QRIS and to foster program quality improvement, EEC hopes to continue providing QRIS participants with fiscal incentives that are intended to assist programs in their efforts to progress towards the Department's goal of high quality early education and care for all children.

In 2012, the Commonwealth provided a 3% rate increase to programs serving infants and toddlers that are participating in the Massachusetts Quality Rating and Improvement System (QRIS) at Level 2 or higher. This rate increase was provided as an incentive for programs to participate in the QRIS with the goal of increasing quality for services to infants and toddlers.

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

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

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

☐ Streamlining verification procedures, such as linking to other program data systems
☑ Providing information multi-lingually
☑ Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).
Length of time: For initial applicants, up to 8 weeks may be approved for job search. For families already receiving assistance, up to 8 weeks in a 12 month period; however, in extraordinary circumstances, an additional 4 weeks of care may be granted.

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

☐ Other.
Describe:

☐ Other.
Describe:

☐ None

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

☑ Provide CCDF assistance during periods of job search.
Length of time: For initial applicants, up to 8 weeks may be approved for job search. For families already receiving assistance, up to 8 weeks in a 12 month period; however, in extraordinary circumstances, an additional 4 weeks of care may be granted.

☑ 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:

Generally, families determined eligible for child care subsidy are granted 12 month authorization periods.

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

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

☑ Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
☐ Individualized case management to help families find and keep stable child care arrangements.
Describe:

☑ Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
☑ Other.
Describe:

EEC has several “continuity of care” policies, which aim to streamline transitions between child care placements, address temporary breaks in service need and serve hard to reach populations. These policies, which are subject to available funding, include:

- Approved Break In Service, which aims to address families with seasonal employment or other short-term/emergency situations;
- Geographic relocation policies for families relocating to another area of the state; summer-only child care need, for families that only need summer care and were served in the last fiscal year; and
- Efforts to transition between funding streams, including:
  - Families previously served through priority contracts (i.e., homeless, supportive or teen parent contracts) may continue to receive child care through the general income eligible system provided that they meet all eligibility criteria.
  - A child attending an early education program that only serves pre-school children may continue to receive a child care subsidy at another program serving school-age children after they age out of the program.

EEC also supports continuity of care for siblings of children already enrolled in EEC-funded child care programs.

☐ 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.

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☐ Application in other languages (application document, brochures, provider notices)
☑ Informational materials in non-English languages
☑ Training and technical assistance in non-English languages
☑ Website in non-English languages
☑ Lead Agency accepts applications at local community-based locations
☑ Bilingual caseworkers or translators available
☐ Outreach Worker
☐ Other.
Describe:

☐ None

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

EEC has translated a number of important documents for parents, who may have limited English proficiency (LEP). To guide EEC in determining which language(s) the Department should include when translating documents for parents, EEC conducted a review of the language groups in Massachusetts. The most frequently spoken languages among the LEP population in the Commonwealth, according to U.S. Census data, are Spanish, French Creole, Italian, Portuguese, Russian, Chinese, Mon-Khmer (Cambodian), and Vietnamese. In FY2008, EEC began a translation initiative to increase access to information for families and early education and care providers as well as to reduce duplicative efforts associated with translating materials. Approximately 60 documents were prioritized for translation into 6 languages (Spanish, Portuguese, Haitian Creole, Khmer, Chinese, and Vietnamese). These languages

were chosen based on a compilation of census data, EEC data regarding the languages of the families EEC services, a CCR&R survey, feedback from field staff, as well as collaboration with the Massachusetts Office for Refugees and Immigrants (ORI).

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.

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

Not applicable.

- [ ] None

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

EEC has translated a number of important documents for parents, who may have limited English proficiency (LEP). To guide EEC in determining which language(s) the Department should include when translating documents for parents, EEC conducted a review of the language groups in Massachusetts. The most frequently spoken languages among the LEP population in the Commonwealth, according to U.S. Census data, are Spanish, French Creole, Italian, Portuguese, Russian, Chinese, Mon-Khmer (Cambodian), and Vietnamese. In FY2008, EEC began a translation initiative to increase access to information for families and early education and care providers as well as to reduce duplicative efforts associated with translating materials. Approximately 60 documents were prioritized for translation into 6 languages (Spanish, Portuguese, Haitian Creole, Khmer, Chinese, and Vietnamese). These languages were chosen based on a compilation of census data, EEC data regarding the languages of the families EEC services, a CCR&R survey, feedback from field staff, as well as collaboration with the Massachusetts Office for Refugees and Immigrants (ORI).

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

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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:

The Lead Agency requires documentation of:	**Describe how the Lead Agency documents and verifies applicant information:**
☑ Applicant identity	Requires original, valid and unexpired photo identification, such as driver's license, passport or school identification card.
☑ Household composition	Requires applicants to report all household members and attest to report veracity, under the pains and penalties of perjury. If subsidy manager has reason to believe applicants have provided incomplete, false, and/or misleading information, additional documentation may be requested to document the residence of non-reported family members, such as copies of any bills, preferably utility bills, dated within 45 days of the eligibility assessment.
☑ Applicant's relationship to the child	Requires documentation of each dependent child, under 18, or under 24 if child is a full-time student. Documentation includes birth certificates, hospital birth records, court records or other relevant documents, as defined in policy.
☑ Child's information for determining eligibility (e.g., identity, age, etc.)	Requires documentation of citizenship or immigration status of each child seeking financial assistance, including birth certificates, passports, or report of birth abroad. In addition, applicants must verify relationship and age of child, as discussed above. For families declaring special needs or disability of child, applicants must have licensed health care professional complete verification form, as required by policy.
☑ Work, Job Training or Educational Program	For employed applicants, documentation verifying employment may consist of recent pay stubs or completed self-employment packets and tax returns for self-employed or independent contractors. For applicants participating in training or educational programs, documentation verifying the program's schedule (hours, days/week and/or credits) are required, including a transcript or written statement from the program.
☑ Income	For earned income, applicants must submit 4 out of the most recent 6 weekly pay stubs. If self-employed or an independent contractor, applicants must submit employment verification forms, including report of self-employment earnings, and copies of most recent federal tax returns. For unearned income, copies of award letters (i.e., social security benefits, unemployment compensation, worker's compensation, retirement benefits, etc.) or copies of court orders, child support enforcement records or other agreements (i.e., alimony or child support). For in-kind earnings, self -declaration or other informal agreement may be submitted.

☑ Other. Describe: Priority population contracts (i.e., homeless, supportive and/or teen parents) and/or TANFrelated child care.	For homeless contracts, applicants must obtain referral from the Department of Housing and Community Development (DHCD), which verifies homelessness and participation in at least 30 hours of self-sufficiency activities, such as employment, job training, counseling and/or housing search, or from the DCF, which verifies homelessness and protective service need based on family's involvement with either domestic violence and/or substance abuse issues. For supportive contracts, applicants must obtain an authorization from DCF, which verifies open protective services cases based on supported allegations of abuse or neglect. For teen parent contracts, in addition to the requirements above, applicants must verify participation in high school or GED program or receipt of high school diploma or GED and participation in higher education training program or work activity.

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

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☐ Time limit for making eligibility determinations.
Describe length of time

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

☐ None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1 through 2.2.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

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☑ Yes.
If yes, describe:

Subject to available funding, TANF families participating in the employment services program currently receive immediate access to child care services upon authorization from DTA. Upon closure of a family's TANF cash assistance case, DTA may issue a twelve month authorization for transitional child care services as the family is transitioning off TANF through work activities. After 12 months of transitional child care, the Department continues to support the early education and care needs of former TANF families by providing continuity of care access provided the families meet EEC income and activity

eligibility requirements. The Department has implemented these transitional support policies in an effort to better assist former TANF families in achieving self-sufficiency.

☐ 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.

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

State/Territory TANF Agency Department of Transitional Assistance

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

- "appropriate child care": DTA does not have specific definitions for the terms listed in section 2.2.12. However, DTA Field Operations Memo 2005-1A states the following: Each child-care provider, licensed by OCCS [which is the predecessor agency to EEC], is generally considered an appropriate resource for recipients who need child care. The CCR&R counselors assist recipients in making informed decisions regarding the child-care search by assessing the families needs and reviewing available child-care options. The CCR&R makes referrals only to appropriate, licensed child-care providers and discusses licensed-exempt options, such as in-home and relative care. If the recipient refuses all referrals made by the CCR&R, the recipient shall be deemed to have been offered appropriate and available child care, unless the recipient can provide a reasonable explanation to OCCS [EEC] why the child care should be considered unavailable to or inappropriate for the particular family.
- "reasonable distance": See above.
- "unsuitability of informal child care": See above.
- "affordable child care arrangements": See above.

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

☑ In writing
☑ Verbally
☐ Other.

Describe:

2.3. Eligibility Criteria for Child Care

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

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

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residing with -

For purposes of determining eligibility for subsidized child care, a family is defined as one of the following: A parent and his/her dependent child(ren) and any dependent grandparents who reside in the same household; or a teen parent and his or her children who reside in the same household.

in loco parentis -

A person who lives with, supervises and cares for a child or children, whose parents do not live in the home such as a foster parent, legal guardian (temporary or permanent), or designated caregiver, in accordance with M.G.L. c. 201F.

2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

a) The Lead Agency serves children from 0 weeks to 12 years (may not equal or exceed age 13).

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

☑ Yes,and the upper age is 16 (may not equal or exceed age 19).
Provide the Lead Agency definition of *physical or mental incapacity* -

Section 1A of Chapter 15D of the Massachusetts General Laws defines “child with special needs” as “a child who, because of temporary or permanent disabilities arising from intellectual, sensory, emotional, physical, or environmental factors, or other specific learning disabilities, is or would be unable to progress effectively in a regular school program.” In order to establish the physical, emotional, or mental disability of a child, the applicant family must submit a completed “Verification of Disability/Special Need for Children” form. The form must be signed by a licensed health care professional, an Early Intervention Director, or a local education agency special education director. In addition, the professional completing the form must identify the nature of the special need or disability, explain the amount of time child needed to accommodate the special need or disability, and explain how the child will benefit by participating in an early education and care program.

☐ No.

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

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

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

Effective Date: 01-OCT-13

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

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

EEC regulations define working in terms of a “service need” equal to the amount of time child care is required due to the parent’s participation in an approved activity. Furthermore, EEC regulations and policy establish the following approved activities, which qualify as “working” for purposes of determining eligibility for subsidized child care:

- paid employment;
- seeking employment (i.e., 8 week job search; an additional 4 weeks may be made available in limited circumstances for existing subsidy recipients);
- maternity/paternity leave from paid employment;
- actively deployed military service; or
- retirement, if applicant is age 65 or older.

Parents who participate in such activities at least 20 hours/week, but less than 30 hours/week may be eligible for part-time child care; while parents that participate in 30 or more hours/week may be eligible for full-time child care, unless retired.

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 -

EEC regulations define working in terms of a “service need” equal to the amount of time child care is required due to the parent’s participation in an approved activity. Furthermore, EEC regulations and policy establish the following activities, which qualify as training or education for purposes of determining eligibility for subsidized child care:

- full-time high school program;
- high school equivalency program;
- vocational training program, not including graduate, medical or law;
- English language training program for people whose primary language is not English (i.e., ESOL); or
- accredited college or university leading to an associate’s or bachelor’s degree.

Parents who participate in such activities at least 20 hours/week, but less than 30 hours/week may be eligible for part-time child care; while parents that participate in 30 or more hours/week may be eligible for full-time child care. Parents participating in 12 credit hours or more of college courses are considered to have a full-time service need. For parents participating in vocational training programs, high school equivalency programs, ESOL programs, or non-credited educational programs, each hour spent in the education or training program per week shall be multiplied by 2.5 to determine the weekly service need.

☐ No.

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

Effective Date: 01-OCT-13

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

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

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

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

protective services

Families who have active protective needs documented in a supported report of abuse or neglect within the previous 12 months or when there is a determination of need to begin or continue supportive child care at a Department of Children and Families Progress Supervisory Review, will be deemed to be in need of protective services. Additionally, children may be deemed at risk of needing protective services in special circumstances, wherein families are unable to provide child care for any portion of a 24 hour day due to foster care, domestic violence, homelessness, a physical, mental, emotional or medical condition, or participation in a drug treatment or drug rehabilitation program.

☐ No.

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

☑ Yes.
☐ No.

2.3.5. Income Eligibility Criteria

Effective Date: 01-OCT-13

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

income -

For purposes of eligibility for subsidized early education and care, income includes the following: wages/salary; self-employment income; social security benefits; interest from dividends; income from estates or trusts; rental income; royalties; pensions and annuities; unemployment compensation; alimony or child support; and public assistance payments.

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

☑ Adoption subsidies
☑ Foster care payments
☐ Alimony received or paid
☐ Child support received

- [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
- [x] 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
- [ ] Other types of income not listed above:

Restitution payment earnings, training related stipends, volunteer stipends (i.e., AmeriCorps), military hazardous duty pay; employer benefit dollars; travel reimbursement; non-education loans; gifts and lump sum inheritance; and lump sum insurance payments.

- [ ] None

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

- [x] Children under age 18
- [x] Children age 18 and over - still attending school
- [ ] Teen parents
- [x] Unrelated members of household
- [ ] All members of household except for parents/legal guardians
- [ ] Other. Describe:

- [ ] None

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

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2013 poverty guidelines are available at

http://aspe.hhs.gov/poverty/13poverty.shtml.

			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				
2	5824	4950	2912	50
3	7194	6115	3597	50
4	8564	7279	4282	50
5	9935	8445	4967	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.

Low-income families may initially enter the CCDF program at 50% of the SMI (column (c) in above table) and remain eligible upon reassessment at up to 85% of the SMI (column (b) in above table). In accordance with §98.20(a) of the CCDF regulations, EEC policies and regulations allow for the limited waiver of the 85% SMI threshold by allowing families determined to consist of a parent or children with special needs to enter the CCDF program at 85% of the SMI (column (b) in above table) and to remain eligible upon reassessment at up to 100% of the SMI (column (a) in above table), if determined to be necessary. Determinations of special needs for parents and/or children, which may constitute a service need based on receipt or risk of receipt of protective services, are conducted on a case by case basis and documented in the child's eligibility file.

☐ 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				

2	5824	4950		
3	7194	6115		
4	8564	7279		
5	9935	8445		

f) SMI Year 2014 and SMI Source State Median Income Estimate for a Four Person Family: Notice of Federal Fiscal Year (FFY) 2014 State Median Income Estimates for Use Under the Low Income Home Energy Assistance Program (LIHEAP)

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

2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

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

☑ Yes
☐ No. If no, what is the re-determination period in place for most families?

☐ 6 months
☐ 24 months
☐ Other.
Describe:

☐ Length of eligibility varies by county or other jurisdiction.
Describe:

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

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

☐ Head Start and/or Early Head Start Programs.
Re-determination period:

☐ Pre-kindergarten programs.
Re-determination period:

☐ TANF.

Re-determination period:

☐ SNAP.
Re-determination period:

☐ Medicaid.
Re-determination period:

SCHIP.
☐ SCHIP.
Re-determination period:

☐ Other.
Describe:

☑ No.

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

All families are responsible for reporting changes that might affect their eligibility. Substantial changes must be reported immediately, but no later than 14 days after the change. Subsidy administrators must notify families that routine or minor income increases could impact eligibility for child care assistance at each assessment. For example, if a family's total household income is at or near 85% of the SMI, the subsidy administrator should notify the family that a routine or minor change may mean that the family is no longer eligible for child care assistance. Substantial changes that need to be reported may include:

1. Significant changes in income (i.e., 20% or more increase);
2. Service need change (i.e., job loss, new employer, change in work or school/training schedule);
3. Change in address;
4. Change in family size (i.e., new household members);
5. Termination of TAFDC cash assistance, for DTA referrals; or
6. Any other change that may affect eligibility.

Although minor changes in income (e.g., less than 20%) are not required to be reported, they occasionally impact a family's eligibility. It is in the best interests of all families to report any change in income to their subsidy administrator.

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

If a family reports changes that may impact the family's income, household composition, or service need prior to the expiration of a voucher or authorization, the CCR&R or contracted provider/system will determine if the change requires a reassessment of eligibility or co-payment.

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

In reviewing the continuity of care guidance from the Office of Child Care, Massachusetts acknowledges that it has already implemented the majority of these policies, including the following: (1) 12 month eligibility review periods, if applicable; (2) job search is included in the Commonwealth's definition of working; (3) as noted above, families are not required to report changes unless the change is substantial; (4) Massachusetts implements a tiered eligibility approach that allows families to enter care at 50% of the SMI and remain in care at 85% of the SMI (or 85% and 100%, if the family is a special needs family deemed at risk of protective services); (5) self-employed families or independent contractors are required to confirm on-going eligibility based on submission of federal tax returns and tax transcripts; (6) reassessment policies allow for families to remain eligible despite short-term/temporary income or service need changes; (7) Massachusetts allows children to be absent from child care placements for up to 30 days in a six month period without impacting eligibility for child care assistance; and (8) the Commonwealth has entered into contracts with individual programs and regional CCR&Rs to ensure that families are able to schedule assessments of their financial assistance eligibility in the cities and towns where the family resides or works.

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

☐ Yes.
If yes, describe:

☑ No.

2.3.7. Waiting Lists

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

Effective Date: 01-OCT-13

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

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

☑ Lead Agency has an active waiting list for:

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

☑ Only certain eligible families.

Describe those families:

Massachusetts operates five separate child care financial assistance programs: (1) Income Eligible Child Care; (2) TAFDC Employment Services Child Care; (3) Supportive Child Care for families affiliated with the Commonwealth's child welfare system; (4) Teen Parent Child Care; and (5) Homeless Child Care. EEC maintains a central, statewide wait list for families seeking child care financial assistance through the Commonwealth's Income Eligible Child Care program.

Families seeking services through the TAFDC Child Care program receive immediate access, subject to available funding. For families seeking child care financial assistance through the Supportive, Teen Parent or Homeless Child Care programs, EEC has utilized a system of contracts to ensure access to child care throughout the Commonwealth for these "priority" populations. If the demand exceeds supply in these priority contracts, separate wait lists may be maintained by the Department of Children and Families, the Department of Housing and Community Development and/or the early education and care programs that hold contracts to serve these populations. In addition, these families may also be placed on EEC centralized wait list.

☐ Waiting lists are a county/local decision.

Describe:

☐ Other.

Describe:

2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

family removed from the EEC waiting list or denied access to child care financial assistance following an initial application shall be notified, in writing, within 10 days of the removal or denial. Additionally, any family whose child care financial assistance has been reduced or terminated shall be given written notice at least 2 weeks prior to the effective date of the reduction or termination. Families, whose child care assistance has been denied, terminated or reduced, may request a review of the denial, termination or reduction. Families aggrieved by the review process may request an informal hearing before a Hearing Officer within EEC. After conducting an informal hearing, the Hearing Officer shall issue a Final Agency Decision on the matter. After exhausting these administrative remedies, aggrieved families may seek further judicial review of the Department’s Final Agency Decision, in accordance with the Massachusetts Administrative Procedures Act at M.G.L. c. 30A.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that

varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

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

Effective Date: 01-OCT-13

☑ Yes.
Effective Date: July 1, 2001
☐ No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b,** etc.

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

Effective Date: 01-OCT-13

☑ State Median Income,
Year: 2000
☐ Federal Poverty Level,
Year:
☐ Income source and year varies by geographic region.
Describe income source and year:

☐ Other.
Describe income source and year:

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

Effective Date: 01-OCT-13

☑ Fee as dollar amount and

☐ Fee is per child with the same fee for each child
☑ Fee is per child and discounted fee for two or more children

☐ Fee is per child up to a maximum per family
☐ No additional fee charged after certain number of children
☐ Fee is per family

☐ Fee as percent of income and

☐ Fee is per child with the same percentage applied for each child
☐ Fee is per child and discounted percentage applied for two or more children
☐ No additional percentage applied charged after certain number of children
☐ Fee per family
☐ Contribution schedule varies by geographic area.
Describe:

☐ Other.
Describe:

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

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

Effective Date: 01-OCT-13

☐ Yes,
and describe those additional factors:

☑ No.

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

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

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

Families authorized for child care by DTA based on the family's eligibility for TANF and participation in the Employment Services Program. In addition, families headed by guardians and/or foster parents are not assigned a fee, as the Commonwealth treats these families as a "family of one" (i.e., only the child seeking care).

2.5. Prioritizing Services for Eligible Children and Families

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

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

Effective Date: 01-OCT-13

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules

Children with special needs **Provide the Lead Agency definition of** *Children with Special Needs:* Section 1A of Chapter 15D of the General Laws defines "child with special needs" as "a child who, because of temporary or permanent disabilities arising from intellectual, sensory, emotional, physical, or environmental factors, or other specific learning disabilities, is or would be unable to progress effectively in a regular school program."	☐ Priority over other CCDF-eligible families ☑ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other. Describe:	☐ Yes. The time limit is: ☑ No	☑ Different eligibility thresholds. Describe: On a case by case basis, children with special needs may be deemed as having a protective services need. As such, families may enter care at 85% of the SMI and remain in care up to 100% of the SMI. Additionally, children with special needs are eligible for fulltime care, provided that his/her parent(s) establish a part time service need. ☐ 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 **Provide the Lead Agency definition of** *Children in Families with Very Low Incomes:* Massachusetts has implemented a tiered eligibility system, whereby children may enter the child care subsidy system at 50% of the State Median Income and exit at 85% of the State Median Income. In addition, families receiving TANF cash assistance and participating in the Employment Services Program through the Commonwealth's TANF agency, the Department of Transitional Assistance, have immediate access to child care subsidies.	☐ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☑ Other. Describe: Subject to available funding, the Department provides immediate access to child care financial assistance for families that are receiving TANF cash assistance and participating in the Employment Services Program through the Commonwealth's TANF agency, the Department of Transitional Assistance. All families receiving TANF in Massachusetts have incomes that are at or below 100% of the Federal Poverty Level, which is less than the 50% SMI threshold for entry into the Commonwealth's child care financial assistance program. In addition, the Commonwealth priotizes access to child care financial assistance for specific vulnerable low-income populations through its system of statewide contracts, which aim to increase access for families experiencing homelessness, children of teen parents and children of families receiving protective services through the Department of Children and Families.	☐ 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: For families that are receiving TANF cash assistance and participating in the Employment Services Program through the Commonwealth's TANF agency, the Department of Transitional Assistance, the Commonwealth waives co-payment requirements, based on the fact that all of these families are at or below the federal poverty level. In addition, parent fees may be waived, on a case-by-case basis, for families receiving, or at risk of receiving, protective services, in accordance with 45 CFR 98.20(a)(3)(ii)(A). These families may include families receiving protective services through the Department of Children and Families, children of homeless families or children of teen parents.

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

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

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

Effective Date: 01-OCT-13

Term(s) - Definition(s)

Describe:

Not applicable.

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

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

2.6.1. Child Care Certificates

Effective Date: 01-OCT-13

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

☐ Before parent has selected a provider
☑ After parent has selected a provider
☐ Other.

Describe:

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

- [x] 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: http://www.mass.gov/edu/birth-grade-12/early-education-and-care/find-early-education-and-care-programs/

- [x] Community outreach meetings, workshops, other in person activities
- [x] 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))

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

Describe:

Name and contact information of both the family and the Child Care Resource and Referral agencies administering the child care voucher. In addition, the voucher contains a Parent Agreement setting forth the duties and responsibilites for parents receiving child care financial assistance in Massachusetts.

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

59%

2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-13

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

☑ Yes.

If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts:

EEC administers multiple contracts with child care programs to serve low-income and priority population families. All contracted child care providers are authorized to make eligibility determinations for subsidized child care. Contracted providers use the centralized waiting list for EEC financial assistance to identify eligible families, coordinate continuity of care for children whose “status” is about to change (e.g., from an infant slot to a toddler slot as the child ages, etc.), and refer families to other services they may need. In addition, contracted providers refer families to other sources of information about early education and care programs and services. Currently, EEC has contracts to provide the following early education and care services to families in Massachusetts:

Child Care for Low-Income Families: EEC contracts with child care providers throughout the Commonwealth for child care slots for the children of low-income families (Income Eligible Child Care Financial Assistance contracts). EEC contracts with center-based child care programs, including school age programs, and with family child care systems for family child care.

Supportive Child Care: EEC contracts with programs that provide supportive child care to families who have active protective services cases with the Department of Children and Families (DCF). The purpose of the supportive child care program is to facilitate children’s placement in quality child care settings and to support the work of DCF through the purchase of early education and out-of-school time care that is supplemented by case management, comprehensive social services, and transportation services.

Teen Parent Child Care Services: EEC contracts with programs that provide early education and care services for the children of teen parents. Teen parents need child care services that provide education and developmental activities for children and allow teens to develop their parenting skills, while attending school or developing career skills. Teen parents also need social supports designed to encourage them to stay in school, decrease the likelihood of repeat teen pregnancies and lower the risk that they or their children will be abused or neglected. In addition to child care, teen parent child care services include transportation, mentoring, parenting skills classes, counseling, and support to help teens finish high school or get their GED.

Homeless Child Care: EEC contracts with programs that provide early education and care services for the children of homeless families. The goal of this program is to provide homeless children with a stable, nurturing and stimulating environment that meets their individual developmental, behavioral and emotional needs, while at the same time offering the children’s parents counseling services to inform them about community support services and public assistance benefits they may access while seeking housing and employment.

☐ No. If no, skip to 2.6.3

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

☑ Increase the supply of specific types of care
☑ Programs to serve children with special needs
☐ Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
☑ Programs to serve infant/toddler
☑ School-age programs
☑ Center-based providers
☑ Family child care providers
☐ Group-home providers
☑ Programs that serve specific geographic areas
☑ Urban
☑ Rural
☐ Other.
Describe:

☑ Support programs in providing higher quality services
☑ Support programs in providing comprehensive services
☑ Serve underserved families.
Specify:

In procuring our early education and care services, EEC specifically targets both under-served families (i.e., children of teen parents, homeless children, and children involved with the Commonwealth's child welfare agency) and under-served areas of the state.

☐ Other.
Describe:

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

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

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

All providers and systems will be paid for contract services on a rate basis, using the Daily Reimbursement Rates schedule issued by the Department. The rates on the schedule vary based on the provider type, the geographic region of the provider, and the age of the children served. When a provider or system provides part-time care (less than 30 hours of care per week), the contract payments for that care will be made using a part-time rate, which is 50% of the full-day rate.

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

41%

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

Effective Date: 01-OCT-13

- [ ] Signed declaration
- [ ] Parent Application
- [x] Parent Orientation
- [x] Provider Agreement
- [x] Provider Orientation
- [x] Other.

Describe:

EEC's regulations require that all licensed child care programs provide parents with access to their children whenever children are in care. See 606 CMR 7.08(4). Specifically, licensed programs must permit and encourage unannounced visits by parents to the program and to their child's room while their child is present. To ensure that parents are aware of this requirement, EEC requires that providers have a written policy regarding parents' unlimited access to their children and that providers communicate this policy to parents at enrollment through the parent handbook.

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

Effective Date: 01-OCT-13

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

To ensure that all children are in safe and secure child care environments, EEC requires that CORI and DCF background record checks be completed for all non-relative, in-home care providers. EEC also requires all non-relative, in-home providers to be at least 18 years old and limits the number of children such providers can care for to six or less. EEC requires all in-home providers, whether relative or nonrelative, to attend an orientation and training session conducted by the CCR&Rs prior to receiving any state reimbursements for providing care. These trainings cover topics such as health and safety issues, age appropriate activities and appropriate child guidance techniques. As part of the orientation, the CCR&Rs provide information on how to become a licensed child care provider and educational resources available to them in their community. All in-home providers, relative or nonrelative, must complete a health and safety self-assessment checklist. Additionally, the Department does not allow use of CCDF funded child care for in-home providers caring for children with special needs.

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

Effective Date: 01-OCT-13

Through its statewide computerized tracking system, EEC logs and tracks complaints, incidents and other information that it receives about child care providers from a variety of sources, such as parents, concerned individuals, other state agencies and providers themselves. This system allows appropriate EEC staff access to information about child care programs, including all open and completed complaints and investigations, required self-reports of serious injuries and incidents occurring at a program and/or other information alleging a concern that may affect the health, safety or well-being of children in care. Upon request, the Department may release reports from complaint investigations, as such records are considered public records. See M.G.L. c. 66, §10. Prior to releasing any reports to the public, EEC staff review the records to ensure any personally identifiable, confidential or statutorily protected information/data is redacted (i.e., identity of complainants, references to suported abuse or neglect allegations, social security numbers, etc.). See M.G.L. c. 4, §7, cl. 26 (c), (e) and (f), M.G.L. c. 66A and M.G.L. c. 93H.

2.7. Payment Rates for Child Care Services

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

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

Effective Date: 01-OCT-13

☑ Yes.Effective Date: March 19, 2013

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

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

Effective Date: 01-OCT-13

☑ Policy on length of time for making payments.
Describe length of time: Generally, payment requests will be reviewed, processed and scheduled within 5 to 7 days of receipt. Once scheduled, payments will be made overnight.

☑ Track and monitor the payment process
☐ Other.
Describe:

☐ None

2.7.3. Market Rate Survey

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

Effective Date: 01-OCT-13

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 03/2013

b) Provide a **summary of the results** of the survey.

The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

Overview of EEC Survey

The Market Rate Study provides EEC with a statistically representative analysis of child care market prices in each of the state's six regions and across all program types. The report assists EEC in evaluating the adequacy of rates for the purpose of demonstrating equal access to child care for low-income families. The study was designed to estimate private market prices for all types of licensed child care (center-based care, family child care and out-of-school-time care) and for all age groups (infants, toddlers, preschool children and school-age children).

EEC opted to conduct this year's study based on a random sample of approximately 4,400 child care programs across the state including 2,031 center based and out-of-school time programs and 7,800 family child care programs. The sampling plan focused on licensed child care programs in the priced child care market. The sample was stratified by geographic regions, using EEC's six rate regions and by the type of care. Additionally, the sample was constructed in an effort to capture a representative sample by the age groups served by center-based and out-of-school time programs within each region. To maximize awareness and participation, the survey included a comprehensive outreach campaign that included multiple mailings, e-mails, and intensive phone-based outreach. As a result, response rates were high and statically representative of the providers within the state. Approximately 89% of center-based programs and 59% of family child care providers responded.

Overview of Key Observations

The report examines the market price survey results by the type of care, age group and EEC region. In summary, the study found that:

- Prices for center-based care and family child care are highest in the Metro, Boston and Northeastern regions. Reimbursement rates are significantly below the 75th price percentiles for all age groups in all regions of the state.
- Consistent with 2010 results, prices decreased significantly in center-based settings as the age of the child increases, while prices in family child care settings decrease less as the age of child increases.
- The price changes for family child care since 2010 were less significant than those from 2008-2010 reported in the last market price survey.
- A comparison of EEC after-school rates and market prices finds that reimbursement rates are below the 75th price percentiles in all regions and are below the 50th percentiles in all regions except for the Western Region. EEC rates are above the 25th percentile for after-school care in only three regions.

Additional Survey Questions

In addition to the child care market price questions, the 2012 survey included questions regarding educator qualifications and education, staff retention, and enrollment in EEC database systems to help EEC analyze rate differences based on the quality of education and care of each program. The survey questions regarding educator qualifications took an inventory of staff's highest education including early childhood education certifications. Staff retention questions will help EEC understand the average time an educator is employed with an early education and care program, as well as educator's reason(s) for seeking alternative employment. In addition, questions regarding the allotted time for educators to spend collaborating with other teachers is measured. The importance of teacher collaboration is highly valued by EEC as a measure of the quality of care and is a growing focus of the state's "Brain Building in Progress" initiative. The additional survey data will provide EEC with a more comprehensive picture of the quality of care across the state and its relationship with the cost of care.

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

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2.7.4a - Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	$1858.87	$1288.18	7th
Full-Time Licensed Center Preschool (59 months)	$1467.22	$794.55	8th
Full-Time Licensed Center School-Age (84 months)	$1136.63	$706.87	26th

2.7.4b - Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	$1207.00	$1037.04	7th
Full-Time Licensed Center Preschool (59 months)	$953.90	$723.11	8th
Full-Time Licensed Center School-Age (84 months)	$763.16	$664.66	37th

2.7.4c - Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	$1407.25	$743.68	4th
Full-Time Licensed FCC Preschool (59 months)	$1412.66	$602.95	8th

Full-Time Licensed FCC School-Age (84 months)	$1412.66	$602.95	8th

2.7.4d - Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	$866.00	$651.67	22nd
Full-Time Licensed FCC Preschool (59 months)	$866.00	$571.56	10th
Full-Time Licensed FCC School-Age (84 months)	$866.00	$571.56	10th

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

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

License-exempt center based child care programs, which are authorized to serve children through the Commonwealth's mixed delivery subsidy system are paid the same rates as licensed center-based child care programs.

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

Not applicable, there are no license-exempt family child care programs in Massachusetts that are eligible to receive child care subsidies.

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

Not applicable, there are no license-exempt family child care programs in Massachusetts that are eligible to receive child care subsidies.

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

Payment rate celings for license-exempt in-home/relative care programs are set by the Legislature through the annual General Appropriations Act.

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

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☐ Differential rate for nontraditional hours.
Describe:

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

☐ Differential rate for infants and toddlers.
Describe:

☐ Differential rate for school-age programs.
Describe:

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

As noted at Question 2.2.4, the Commonwealth implemented a 3% rate increase to programs serving infants and toddlers, which are participating in the Massachusetts Quality Rating and Improvement System (QRIS) at Level 2 or higher in 2012. This rate increase was provided as an incentive for programs to engage the QRIS with the goal of increasing quality for services to infants and toddlers.

☑ Other differential rate.
Describe:

Through EEC's Priority Population contracts for supportive child care, teen parent child care, and homeless child care, contracted providers receive an additional $17.22 per day for support services. "Support services" include required case management/social services as well as transportation costs.

☐ None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families

provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples http://www.acf.hhs.gov/programs/occ/resource/im2011-06), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

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

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

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

Describe:

☐ Policies vary across region, counties and or geographic areas.

Describe:

☑ Other.

Describe:

Providers shall not charge parents, for whom they are receiving EEC financial assistance funding, any additional "registration," application, field trip, special activity, food for special events, or materials fees for participation in their program, or surcharges for late payments of parent fees. Providers may not collect fees from parents receiving EEC financial assistance to supplement their approved EEC reimbursement daily rate. Additional fees may be charged for services not offered to every child as part of the regular early education or out-of-school time program, such as transportation, when not paid by EEC. Only providers who have signed a transportation addendum as part of their provider agreement or who hold a transportation contract with EEC are allowed to provide transportation with EEC funding. At their discretion, parents may enter into agreements with vendors for services that are made available through the program, and parents will be expected to pay for such optional services. Providers may charge parents for the care of children who remain in care beyond program hours due to late pick-up by parents, and for bank fees resulting from checks deposited against overdrawn accounts (e.g., bounced checks).

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

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a) Number of absent days allowed. Describe

The Commonwealth allows for a child to remain eligible for child care financial assistance provided that his/her absences are not excessive. Excessive absence is defined as 30 or more absences due to illness or emergency within a 6-month period, or more than 10 service days of vacation per year; or 3 consecutive unexplained absences. The subsidy administrator must attempt to contact the family after 3 consecutive days of unexplained absence. If a child is expected to have an extended medical absence, the subsidy administrator should terminate the child's subsidy and place the child on EEC's centralized waiting list with the appropriate status code. If the parent/guardian cannot be reached, or the parent's/guardian's explanation indicates that he/she may no longer meet EEC activity requirements, contracted providers may issue a termination notice directly to the parent/guardian. Providers accepting a voucher must contact the CCR&R to discuss whether EEC financial assistance should be terminated. A termination notice may be issued by handing it to the parent/guardian in person or by sending it by mail, e-mail, or fax. This notice is effective on the date that it is handed to or sent to the parent/guardian, and care will terminate 14 days later. It is important that subsidy administrators maintain accurate records of issued notices.

b) Paying based on enrollment. Describe

Early education and care providers accepting subsidized children in Massachusetts are paid based on the schedule authorized upon enrollment.

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

Early education and care providers accepting subsidized children in Massachusetts may either charge a full-day rate or a half-day rate, depending on the applicant's need. If the applicant qualifies for 6 or more hours of care per day, the provider may bill for full-time child care. If the applicant qualifies for less than 6 hours per day, the provider may bill for part-time child care.

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

As noted in question 2.1.2 above, the Office of the State Comptroller offers (2) payment mechanisms: paper check or direct deposit (Electronic Funds Transfer EFT). Beginning July 1, 2011 (Fiscal Year 12) the State Comptroller requires statewide contracts and vendors to receive payment only via EFT.

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

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

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

To ensure families have a choice of the full-range of providers, EEC has secured contracts with the full range of providers in the mixed delivery system of early education and care services in the Commonwealth, including child care centers, public school systems and family child care systems. In addition, the Commonwealth operates a voucher system, which enables families to access child care at any child care provider, including in-home care, that accepts children that receive EEC financial assistance.

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

Although EEC's current reimbursement rates for all types of care are lower than the 75th percentile of market prices, EEC estimates that 55-60% of all private, licensed center-based child care providers accept children who receive a subsidy. In addition, low-income families with preschool-aged children have access to publicly supported early education and care programs in nearly every town in the Commonwealth.

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

EEC estimates that 92% of families receiving federally subsidized child care services earn below 50% of the SMI. For these families, the fees are based on a gradually increasing sliding fee scale ranging from 1% to 15% of their gross income. Since July 2001, there has been no co-payment for families with incomes below the federal poverty line as established in fiscal year 2001. EEC estimates that 7% of the families receiving federally subsidized child care services earn between 50% and 85% of the SMI. The fee scale for these families ranges between 10.5% and 16% of their gross median income. Families whose income is below the 2001 federal poverty level pay no fee.

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

EEC has engaged a consulting team to conduct an analysis of workforce factors including educator qualifications, staff retention and enrollment in EEC database systems such as QRIS. The Commonwealth anticipates that these results will provide EEC with a more comprehensive picture of the quality of care across the state and its relationship with the cost of care.

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

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

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

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Goal #1:
Increase access to training related to child care subsidy regulations and policies across the Commonwealth

Goal #2:
Improve access and understanding of child care subsidies to limited English proficient families

Goal #3:
Review and align child care subsidy policies with the regulations that were promulgated in January 2013

Goal #4:
Improve communications with state agency partners to streamline access to high quality child care options for high needs, low income families

Goal #5:
Improve existing child care financial assistance system through new information technology

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. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4.

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

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

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

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

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

☑ Yes.

☐ No.

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

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

For licensed programs, EEC's licensing regulations serve as the CCDF health and safety requirements. For licensed exempt programs seeking to provide CCDF-funded early education and care services, the entity must adhere to the standards set forth in the EEC licensing regulations.

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

	Center-Based Child Care	Group Home Child Care ☐ N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care ☑ N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	☐	☑	☑	☐
Yes, for some providers in this category	Describe Yes, unless license-exempt, as described in Question 3.1.1.(d) below. If license-exempt, programs are expected to adhere to the standards set forth in the Massachusetts' licensing regulations.	Describe Not applicable.	Describe Not applicable.	Describe Not applicable.
No	☐	☐	☐	☐

Other	Describe	Describe	Describe	Describe

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

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory A facility operated on a regular basis whether known as a child nursery, nursery school, kindergarten, child play school, progressive school, child development center, pre-school, or known under any other name which receives children, not of common parentage, under seven years of age, or under 16 years of age if these children have special needs, for non-residential custody and care during part or all of the day separate from their parent(s).	Describe which types of center-based settings are exempt from licensing in your State/Territory. Pre-schools run by the local public school or that are part of a private educational system are exempt from EEC licensure. Schools, such as Sunday schools, devoted entirely to religious education, “drop in” programs and occasional care are also exempt. Summer camps, which are regulated by the Department of Public Health, are also exempt from EEC licensure.

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 settings are subject to licensing Temporary custody and care provided in a private residence on a regular basis during part or all of the day for no more than ten children younger than fourteen years of age or children under 16 years of age if such children have special needs.	Describe which types of group homes are exempt from licensing: Not applicable.
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 respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are subject to licensing Temporary custody and care provided in a private residence on a regular basis during part or all of the day for no more than ten children younger than fourteen years of age or children under 16 years of age if such children have special needs.	Describe which types of family child care home providers are exempt from licensing: Not applicable.

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 All in-home child care providers are exempt from child care licensing requirements.

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

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

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

	For each indicator, check all requirements for licensing that apply, if any.			
Indicator	**Center-Based Child Care**	**Group Home Child Care** ☐ N/A. Check if your State/Territory does not have group home child care.	**Family Child Care**	**In-Home Care** ☑ N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)

Do the licensing requirements include **child:staff ratios and group sizes?** If yes, provide the ratio for age specified.	☑ Yes, Child:staff ratio requirement: Infant ratio (11 months): 3:1 Toddler ratio (35 months): 4:1 Preschool ratio (59 months): 10:1 ☐ No ratio requirements. ☑ Yes, Group size requirement Infant group size (11 months): 7 Toddler group size (35 months): 9 Preschool group size (59 months): 20 ☐ No group size requirements.	☑ Yes, Child:staff ratio requirement: Infant ratio (11 months): For family child care programs serving 7 to 10 children, no more than 3 infants with 2 educators. If the program employs 3 educators, no more than 6 infants. Toddler ratio (35 months): For family child care programs serving 7 to 10 children, no more than 6 children under the age of 2 with 2 educators. If the program employs 3 educators, up to 10 toddlers. Preschool ratio (59 months): 10:2 ☐ No ratio requirements. ☑ Yes,	☑ Yes, Child: staff ratio requirement. List ratio requirement by age group: The child to staff ratio for family child care programs is 6:1, provided that no more than 3 children are under the age of 2, of which at least one child must be walking independently. If the program has three children under the age of 3, any additional child must be older than 24 months. The child to staff ratio may be increased to 8:1 provided that any child enrolled over the capacity limit of 6 must be a school-aged child. ☐ No ratio requirements. ☑ Yes, Group size requirement.	☐ Yes, Child: staff ratio requirement. List ratio requirement by age group: ☐ No ratio requirements. ☐ Yes, Group size requirement. List ratio requirement by age group: ☐ No group size requirements.

		Group size requirement Infant group size (11 months): No more than 3 infants, if the program employs 2 educators. No more than 6 infants if the program employs 3 educators. Toddler group size (35 months): No more than 6 children under the age of 2, if the program employs 2 educators. Up to 10 toddlers, if the program employs 3 educators. Preschool group size (59 months): 10 ☐ No group size requirements.	List ratio requirement by age group: Generally, up to 6 children, consistent with the age restrictions stated in the child to staff ratio requirement above. If the program serves school-aged children, the group size may be increased to up to 8 children, consistent with the age restrictions stated in the child to staff ratio requirement. ☐ No group size 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:
	EEC licensing regulations balance work experience with formal education and college level course work in early education and care.			

Do the licensing requirements identify specific 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:
	EEC licensing regulations balance work experience with formal education and college level course work in early education and care.	EEC licensing regulations balance work experience with formal education and college level course work in early education and care.	EEC licensing regulations balance work experience with formal education and college level course work in early education and care.	

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:
	Between 5 and 20 hours per year depending on hours worked and program size. At	Yes, Educators working more than 25 hours per year but less than 10 hours per week must complete at least 5 hours of professional development activities per year.	Educators working more than 25 hours per year but less than 10 hours per week must complete at least 5 hours of professional development activities per year.	

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

☑ Yes.
Describe:

The Department anticipates initiating a review of the current regulations which were promulgated in 2010, which may result in revised regulations during the 2014-2015 timeframe.

☐ No.

3.1.2 Enforcement of Licensing Requirements

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

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

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

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☑ 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: For new licensees, an initial 6 month visit, then once every two years or as needed depending upon the quality of the program.	Describe: Unannounced visits are conducted as needed depending upon the circumstances and the quality of the program.

☑ Group Home Child Care ☐ N/A. Check if your State/Territory does not have group home child care.	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☑ Other. Describe: Visit is conducted within the first six months of licensure than every three years or as needed depending upon the quality of the program.	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☑ Other. Describe: The General Laws of the Commonwealth require EEC to make an unannounced monitoring inspection of all large family day care homes within 6 months after the issuance of licenses for those facilities and make at least 1 such unannounced monitoring inspection annually thereafter.In addition, EEC conducts unannounced visits as needed depending upon the circumstances and the quality of the program.

☑ 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: Visit is conducted within the first six months of licensure than every three years or as needed depending upon the quality of the program.	Describe: The General Laws of the Commonwealth require EEC to make an unannounced monitoring inspection of all large family day care homes within 6 months after the issuance of licenses for those facilities and make at least 1 such unannounced monitoring inspection annually thereafter.In addition, EEC conducts unannounced visits as needed depending upon the circumstances and the quality of the program.
☐ In-Home Child Care ☑ N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	☐ 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:	Describe:

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

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

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	☑ Yes. Describe: MA requires pre-licensure orientations for all new licensees. In addition, EEC requires pre-licensing meetings and visits to the program before a new license is issued. ☐ No. ☐ Other. Describe:
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	☑ An on-site inspection is conducted. ☐ Programs self-certify. Describe: ☐ No procedures in place. ☐ Other. Describe:
Licensing staff has procedures in place to address violations found in an inspection.	☑ Providers are required to submit plans to correct violations cited during inspections. ☑ Licensing staff approve the plans of correction submitted by providers. ☑ Licensing staff verify correction of violation. ☑ Licensing staff provide technical assistance regarding how to comply with a regulation. ☐ No procedures in place. ☐ Other. Describe:

Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	☑ Provisional or probationary license ☑ License revocation or non-renewal ☑ Injunctions through court ☑ Emergency or immediate closure not through court action ☑ Fines for regulatory violations ☐ No procedures in place. ☑ Other. Describe: Imposition of sanctions against the license (i.e., enrollment freeze, licensed capacity reductions, etc.).
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: Unlicensed child care is a criminal offense in Massachusetts, which may subject violators to fines and/or incarceration.

The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	☑ Yes.
	Describe: Sanctions may be appealed by filing a request for administrative reconsideration with the EEC General Counsel. Emergency suspensions, revocations, probationary status actions and/or fines may appealed by requesting an administrative hearing through the Commonwealth's Division of Administrative Law Appeals.
	☐ No.
	☐ Other.
	Describe:

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

☑ Yes.If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency
☐ No.

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?

☑ **Center-Based Child Care**	☑ Child Abuse Registry	☑ Initial Entrance into the System	☑ Director
		☐ Checks Conducted Annually	☑ Teaching staff
		☑ Other.	☑ Non-teaching staff
		Describe: Conducted every two years upon renewal of license.	☑ Volunteers
			☑ Other.
	☑ State/Territory Criminal Background	☑ Initial Entrance into the System	Any employee or person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
	☐ Check if State/Territory background check includes fingerprints	☐ Checks Conducted Annually	☑ Director
		☑ Other.	☑ Teaching staff
	☑ FBI Criminal Background (e.g., fingerprint)	Describe: Conducted every two years upon renewal of license.	☑ Non-teaching staff
			☑ Volunteers
		☐ Initial Entrance into the System	☑ Other.
		☐ Checks Conducted Annually	Any employee or person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
	☑ Sex Offender Registry	☑ Other.	☑ Director
			☑ Teaching staff
			☑ Non-teaching staff

		Describe: Effective September 1, 2013, MA will require fingerprints for purposes of conducting FBI Criminal Background checks. New regulations will be issued to establish laws and policies governing the frequency of fingerprint checks.	☑ Volunteers ☑ Other. Any employee or person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
			☑ Director ☑ Teaching staff ☑ Non-teaching staff ☑ Volunteers ☑ Other. Any employee or person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		☐ Initial Entrance into the System ☐ Checks Conducted Annually ☑ Other. Describe: EEC is currently working with the MA Executive Office for Public Safety and Security to establish regulations and/or policies to allow access to the sex offender registry database for child care programs.	

☑ **Group Child Care Homes**	☑ Child Abuse Registry	☑ Initial Entrance into the System	☑ Provider
☐ N/A. Check if your State/Territory does not have group home child care.		☐ Checks Conducted Annually	☑ Non-provider residents of the home.
		☑ Other.	Any employee or person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		Describe: Conducted every three years upon renewal of license.	
	☑ State/Territory Criminal Background	☑ Initial Entrance into the System	
		☐ Checks Conducted Annually	☑ Provider
	☐ Check if the State/Territory background check includes fingerprints	☑ Other.	☑ Non-provider residents of the home.
		Describe: Conducted every three years upon renewal of license.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
	☑ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System	
		☐ Checks Conducted Annually	
		☑ Other.	☑ Provider
	☑ Sex Offender Registry		☑ Non-provider residents of the home.

		Describe: Effective September 1, 2013, MA will require fingerprints for purposes of conducting FBI Criminal Background checks. New regulations will be issued to establish laws and policies governing the frequency of fingerprint checks.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		☐ Initial Entrance into the System	☑ Provider
		☐ Checks Conducted Annually	☑ Non-provider residents of the home.
		☑ Other.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		Describe: EEC is currently working with the MA Executive Office for Public Safety and Security to establish regulations and/or policies to allow access to the sex offender registry database for child care programs.	

☑ **Family Child Care Homes**	☑ Child Abuse Registry	☑ Initial Entrance into the System	☑ Provider
		☐ Checks Conducted Annually	☑ Non-provider residents of the home.
		☑ Other.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		Describe: Conducted every three years upon renewal of license.	
	☑ State/Territory Criminal Background	☑ Initial Entrance into the System	
		☐ Checks Conducted Annually	☑ Provider
	☐ Check if the State/Territory background check includes fingerprints	☑ Other.	☑ Non-provider residents of the home.
		Describe: Conducted every three years upon renewal of license.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
	☑ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System	
		☐ Checks Conducted Annually	
		☑ Other.	☑ Provider
	☑ Sex Offender Registry		☑ Non-provider residents of the home.

		Describe: Effective September 1, 2013, MA will require fingerprints for purposes of conducting FBI Criminal Background checks. New regulations will be issued to establish laws and policies governing the frequency of fingerprint checks.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		☐ Initial Entrance into the System	☑ Provider
		☐ Checks Conducted Annually	☑ Non-provider residents of the home.
		☑ Other.	Any person over 15 years of age in the program who may have the potential of unmonitored contact with children must undergo a background record check.
		Describe: EEC is currently working with the MA Executive Office for Public Safety and Security to establish regulations and/or policies to allow access to the sex offender registry database for child care programs.	

☑ **In-Home Child Care Providers**	☑ Child Abuse Registry	☑ Initial Entrance into the System	☑ Provider
☐ N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)		☑ Checks Conducted Annually	☐ Non-provider residents of the home.
		☑ Other.	Not applicable.
		Describe: Child abuse registry checks are limited in-home child care that are not related to the children receiving the subsidized services.	☑ Provider
	☑ State/Territory Criminal Background		☐ Non-provider residents of the home.
			Not applicable.
		☑ Initial Entrance into the System	
	☐ Check if the State/Territory background check includes fingerprints	☑ Checks Conducted Annually	☑ Provider
		☑ Other.	☐ Non-provider residents of the home.
	☑ FBI Criminal Background (e.g., fingerprint)	Describe: Child abuse registry checks are limited in-home child care that are not related to the children receiving the subsidized services.	Not applicable.
			☑ Provider
		☐ Initial Entrance into the System	☐ Non-provider residents of the home.
		☐ Checks Conducted Annually	Not applicable.
	☑ Sex Offender Registry	☑ Other.	

		Describe: Effective September 1, 2013, MA will require fingerprints for purposes of conducting FBI Criminal Background checks. New regulations will be issued to establish laws and policies governing the frequency of fingerprint checks.	
		☐ Initial Entrance into the System	
		☐ Checks Conducted Annually	
		☑ Other.	
		Describe: EEC is currently working with the MA Executive Office for Public Safety and Security to establish regulations and/or policies to allow access to the sex offender registry database for child care programs.	

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

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

There is no cost for the background record checks related to the child abuse registry, state criminal background or the sex offender database. However, the costs associated with the FBI Criminal Background checks will be $35 per inquiry.

d-2) Who pays for background checks:

Early childhood educators, household members, employees of child care programs, etc. will be expected to bear the costs of the FBI Criminal Background checks. Child care programs may assist in defraying the cost for their employees.

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

Pursuant to regulatory violations, EEC may make probationary, suspend, refuse to renew, revoke, or refuse to issue a license for any of the following grounds: (1) failure to comply with any regulation, correction order, sanction; (2) failure to comply with suspension, agreement or probation terms; (3) failure to pay a fine; (4) submission of false or misleading statements or reports to EEC; (5) refusing to admit EEC staff to conduct an inspection or investigation; or (6) failure to obtain a license prior to opening a program or facility or prior to changing the location of a program. In addition, EEC may issue a suspension, without a prior hearing, in an emergency situation, which endangers the life, health or safety of children.

Additionally, providers may be deemed ineligible based on results from the background record check review. Depending on the nature of the result, providers may have a presumptive or discretionary disqualification status resulting in the denial, suspension or revocation of a child care license. Crimes indicating a presumptive or a discretionary disqualification are defined in the background record check regulations of the Commonwealth at 606 CMR 14.00 et seq. Presumptive disqualifications include convictions and pending charges for very serious crimes. In order to even be considered for review, an applicant must obtain a letter from a criminal justice official or qualified mental health provider explaining that the person does not represent a threat to children. If such a letter is received the applicant may then undergo discretionary review. Any provider that has a pending charge and/or a conviction for a lesser offense will receive a discretionary disqualification status. In addition, providers that have supported allegations of abuse or neglect identified in the MA child absue registry will be deemed a discretionary disqualifiation. A discretionary review will take into account the following factors: 1) number of violations; 2) length of time since the last violation; 3) age of the applicant when the violation occurred; 4) seriousness of the violation and its relationship to the welfare of children; and 5) any evidence of rehabiliation. An applicant for an EEC license may appeal the adverse finding under M.G.L. c. 30A and request an administrative hearing before a Magistrate.

Additionally, Massachusetts reserves the right to disqualify an early education and care program from participating in the child care subsidy system, if the provider has a history of contract non-compliance.

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

Sanctions may be appealed by filing a request for administrative reconsideration with the EEC General Counsel. Emergency suspensions, revocations, probationary status actions and/or fines may appealed by requesting an administrative hearing through the Commonwealth’s Division of Administrative Law Appeals.

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced

per the CCDF regulations? Describe (658E(c)(2)(E), §98.40(a)(2))

Not applicable, as EEC conducts both announced and unannounced visits of all licensed programs.

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?

Effective Date: 01-OCT-13

☑ Yes.
Describe:

The Child Care Search function on EEC's website not only assists families in locating licensed child care programs and services in their service area, but also includes information regarding the existence of certain sanctions that may have been imposed on a program for various licensing violations. The agency will also respond to telephonic and written inquiries from the public and parents.

☐ No

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

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

☑

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

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

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.				
The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☑ 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))

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**
☑ 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)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc). 'On-going' would be some type of routine occurrence (e.g., maintain qualifications each year).

CCDF Categories of Care	**Health and safety training requirements**	Pre-Service	On-Going
Child Care Centers	First Aid	The licensee must ensure that at least one educator currently certified in first aid is present at any and all times when children are in care.	The licensee must continue to ensure that at least one educator currently certified in first aid is present at any and all times when children are in care.

	CPR	The licensee must ensure that at least one educator currently certified in ageappropriate cardiopulmonary resuscitation (CPR) is present at any and all times when children are in care.	The licensee must continue to ensure that at least one educator currently certified in age appropriate cardiopulmonary resuscitation (CPR) is present at any and all times when children are in care. CPR training must be renewed annually.
	Medication Administration Policies and Practices	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Moreover, licensees must ensure that at least one staff member, specifically trained in this health and safety topic area, is present at all times.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area. Moreover, licensees must ensure that at least one staff member, specifically trained in this health and safety topic area, is present at all times.
	Poison Prevention and Safety	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area.

	Shaken Baby Syndrome and abusive head trauma prevention	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on-going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Age appropriate nutrition, feeding, including support for breastfeeding	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on-going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Physical Activities	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on-going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on-going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Recognition and mandatory reporting of suspected child abuse and neglect	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on-going obligations for inservice trainings, which may include specific training opportunities in this topic area.

	Emergency preparedness and planning response procedures	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Moreover, the regulations expressly state that all educators must be trained in the program's emergency and evacuation procedures.	Regulations describe licensee and educator on -going obligations for inservice training, which may include specific training opportunities in this topic area. Moreover, the regulations expressly state that all educators must be trained in the program's emergency and evacuation procedures.
	Management of common childhood illnesses, including food intolerances and allergies	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area.

	Transportation and child passenger safety (if applicable)	The Department of Early Education and Care (EEC) has developed an on-line training presentation on ensuring the safe transport of children. This training is intended to increase awareness in all adults, including parents and caregivers, about the risks of hyperthermia in vehicles and best practices to prevent this from occurring. In addition to the transportation safety training , this Drivers Transportation Training is required for all individuals who are employed or contracted to drive children to early education and care programs and for all transportation monitors.	All licensees/approved programs will ensure that all drivers and monitors that transport children to and from child care have completed both of EEC's transportation safety trainings annually.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area.

	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Additionally, completion of a child growth and development course is a requirement for educators seeking to qualify as a lead teacher or higher in centerbased/ group child settings.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area. Additionally, completion of a child growth and development course is a requirement for educators seeking to qualify as a lead teacher or higher in centerbased/group child care settings.
	Supervision of children	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Behavior management	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator on -going obligations for inservice trainings, which may include specific training opportunities in this topic area.
	Other Describe: Licensed, center-based early education and care programs are required to engage the services of a health care consultant.	Not applicable.	Not applicable.

Group Home Child Care	First Aid	The licensee must ensure that at least one educator currently certified in first aid is present at any and all times when children are in care.	The licensee must continue to ensure that at least one educator currently certified in first aid is present at any and all times when children are in care.
	CPR	The licensee must ensure that at least one educator currently certified in ageappropriate cardiopulmonary resuscitation (CPR) is present at any and all times when children are in care.	The licensee continue to must ensure that at least one educator currently certified in ageappropriate cardiopulmonary resuscitation (CPR) is present at any and all times when children are in care. CPR training must be renewed annually.
	Medication Administration Policies and Practices	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Moreover, licensees must ensure that at least one staff member, specifically trained in this health and safety topic area, is present at all times.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area. Moreover, licensees must ensure that at least one staff member, specifically trained in this health and safety topic area, is present at all times.
	Poison Prevention and Safety	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.

	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Shaken Baby Syndrome and abusive head trauma prevention	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Age appropriate nutrition, feeding, including support for breastfeeding	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Physical Activities	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.

	Recognition and mandatory reporting of suspected child abuse and neglect	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Emergency preparedness and planning response procedures	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Moreover, the regulations expressly state that all educators must be trained in the program's emergency and evacuation procedures.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area. Moreover, the regulations expressly state that all educators must be trained in the program's emergency and evacuation procedures.
	Management of common childhood illnesses, including food intolerances and allergies	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.

	Transportation and child passenger safety (if applicable)	The Department of Early Education and Care (EEC) has developed an on-line training presentation on ensuring the safe transport of children. This training is intended to increase awareness in all adults, including parents and caregivers, about the risks of hyperthermia in vehicles and best practices to prevent this from occurring. In addition to the transportation safety training , this Drivers Transportation Training is required for all individuals who are employed or contracted to drive children to early education and care programs and for all transportation monitors.	All licensees/approved programs will ensure that all drivers and monitors that transport children to and from child care have completed both of EEC's transportation safety trainings annually.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.

	Supervision of children	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Behavior management	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service trainings, which may include specific training opportunities for this topic area.
	Other Describe: Not applicable.	Not applicable.	Not applicable.
Family Child Care Providers	First Aid	The licensee must ensure that at least one educator currently certified in first aid is present at any and all times when children are in care.	The licensee must continue to ensure that at least one educator currently certified in first aid is present at any and all times when children are in care.
	CPR	The licensee must ensure that at least one educator currently certified in ageappropriate cardiopulmonary resuscitation (CPR) is present at any and all times when children are in care.	The licensee must continue ensure that at least one educator currently certified in age appropriate cardiopulmonary resuscitation (CPR) is present at any and all times when children are in care. CPR training must be renewed annually.

	Medication Administration Policies and Practices	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Moreover, licensees must ensure that at least one staff member, specifically trained in this health and safety area, is present at all times.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area. Moreover, licensees must ensure that at least one staff member, specifically trained in this health and safety area, is present at all times.
	Poison Prevention and Safety	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Shaken Baby Syndrome and abusive head trauma prevention	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.

	Age appropriate nutrition, feeding, including support for breastfeeding	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Physical Activities	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Recognition and mandatory reporting of suspected child abuse and neglect	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.

	Emergency preparedness and planning response procedures	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area. Moreover, the regulations expressly state that all educators must be trained in the program's emergency and evacuation procedures.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area. Moreover, the regulations expressly state that all educators must be trained in the program's emergency and evacuation procedures.
	Management of common childhood illnesses, including food intolerances and allergies	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.

	Transportation and child passenger safety (if applicable)	The Department of Early Education and Care (EEC) has developed an on-line training presentation on ensuring the safe transport of children. This training is intended to increase awareness in all adults, including parents and caregivers, about the risks of hyperthermia in vehicles and best practices to prevent this from occurring. In addition to the transportation safety training , this Drivers Transportation Training is required for all individuals who are employed or contracted to drive children to early education and care programs and for all transportation monitors.	All licensees/approved programs will ensure that all drivers and monitors that transport children to and from child care have completed both of EEC's transportation safety trainings annually.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.

	Supervision of children	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Behavior management	Regulations describe licensee and educator obligations for preservice trainings and orientation, which include an overview and discussion related to this health and safety topic area.	Regulations describe licensee and educator obligations for in-service training, which may include specific training opportunities in this health and safety topic area.
	Other: Describe: Not applicable.	Not applicable.	Not applicable.
In - Home Child Care	First Aid	Not applicable.	Not applicable.
	CPR	Not applicable.	Not applicable.
	Medication Administration Policies and Practices	Not applicable.	Not applicable.
	Poison Prevention and Safety	Not applicable.	Not applicable.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Not applicable.	Not applicable.
	Shaken Baby Syndrome and abusive head trauma prevention	Not applicable.	Not applicable.
	Age appropriate nutrition, feeding, including support for breastfeeding	Not applicable.	Not applicable.
	Physical Activities	Not applicable.	Not applicable.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Not applicable.	Not applicable.

	Recognition and mandatory reporting of suspected child abuse and neglect	Not applicable.	Not applicable.
	Emergency preparedness and planning response procedures	Not applicable.	Not applicable.
	Management of common childhood illnesses, including food intolerances and allergies	Not applicable.	Not applicable.
	Transportation and child passenger safety (if applicable)	Not applicable.	Not applicable.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Not applicable.	Not applicable.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Not applicable.	Not applicable.
	Supervision of children	Not applicable.	Not applicable.
	Behavior management	Not applicable.	Not applicable.

	Other Describe: EEC requires all in-home and relative providers to attend an orientation and training session conducted by the CCR&Rs prior to receiving any state reimbursements for providing care. These trainings cover topics such as health and safety issues, age appropriate activities and appropriate child guidance techniques. As part of the orientations, the CCR&Rs provide information on how to become a licensed child care provider and educational resources available to them in their community.	As stated in the description above, participation in the orientation/training session with the local CCR&R is a prerequisite for any person seeking to provide in-home or relative child care services funded by the Department of Early Education and Care.	In addition to the CCR&R orientation and training, the CCR&R Network is working to improve outreach and communication with the in-home and relative care community by establishing a system of quarterly newsletters, which will address various topics related to health and safety, curriculum and early literacy.

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:
Prior to being reimbursed for subsidized child care, relative caregivers providing care in the child's own home must complete an orientation to child care, satisfy all applicable health and safety requirements and sign an agreement to provide subsidized child care services.

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

http://www.mass.gov/edu/birth-grade-12/early-education-and-care/laws-regulations-and-policies/child-care-regulations-and-policies/

3.1.4 Effective enforcement of the CCDF health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in3.1.2 for licensed providers, please describe how the Lead Agency enforces the CCDF health and safety enforcement requirements.

To ensure that all children are in safe and secure child care environments, EEC requires that CORI and DCF background record checks be completed for all non-relative, in-home care providers. EEC conducts sex offender registry checks and FBI database fingerprint checks for all individuals who care for children receiving CCDF assistance and who are not subject to the enforcement procedures. EEC also requires all non-relative, in-home providers to be at least 18 years old and limits the number of children such providers can care for to six or less. EEC requires all in-home relative providers to attend an orientation and training session conducted by the CCR&Rs prior to receiving any state reimbursements for providing care. These trainings cover topics such as health and safety issues, age appropriate activities and appropriate child guidance techniques. As part of the orientations, the CCR&Rs provide information on how to become a licensed child care provider and educational resources available to them in their community. Licensed-exempt providers, such as public school pre-school programs, seeking to provide early education and care services through the EEC contract or voucher program must agree to meet all health and safety requirements, as a condition of receiving any funding from the Department.

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

Not applicable.

b) Describe whether the Lead Agency uses background checks

Yes, please refer to the response to Question 3.4.1.

c) Does the Lead Agency permit providers to self-certify compliance with applicable health and safety standards?

☑ Yes. If yes, what documentation, if any, is required?

Describe:

Yes, please refer to the response to Question 3.4.1.

☐ No

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

As described in Question 3.4.1, in-home care providers are required to complete an orientation prior to providing and being reimbursed for subsidized child care and are subject to background record reviews if unrelated to the children. In addition, Massachusetts is in the process of implementing new requirements related to FBI fingerprint checks and matches with the Commonwealth's sexual offender registry database.

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

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

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

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☑ Yes.
Describe

EEC prioritizes the use of development screening through its competitive procurement system. It awards points to those who use developmental screening to provide early education and care services through the income-eligible contract and/or the priority populations' contract (i.e., supportive child care, teen parent child care, or homeless child care). The QRIS program also accounts for the added value of use of developmental screenings in early education and care by requiring the use of screenings at Level 3 and Level 4. In addition, UPK grantees are required to use formative assessment tools in their programs as a condition of grant funding and are encouraged to implement developmental screening tools.

☐ No
a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

☑ Yes.
Describe

QRIS participants are eligible for QRIS Quality Improvement Grants, which may be used, subject to appropriation, to help programs progress along the QRIS. As such, these grants funds could be used by programs to purchase developmental training tools/materials and/or for training on the use of developmental tools to inform program curriculum. Additionally, the terms of the UPK grant expressly state that UPK funds may be used by grantees to support assessment and/or developmental screening activities, including training. EEC has also contracted with a vendor to provide assessment and screening trainings statewide. Technical assistance and mentoring, as well as distribution of tools, may be provided with these assessment and screening grant funds.

☐ No
☐ Other.
Describe

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

☐ Yes.
Describe

☑ No
☐ Other.

Describe

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

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

EEC encourages programs to use the Ages and Stages Questionnaire.

☐ 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).

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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):
The Department has access to the number of licensed programs by type of care and capacity for infants, toddlers, pre-school, school age and mixed groups.

☑ Numbers of programs operating that are legally exempt from licensing.
Describe (optional):
The Department has access to the number of programs that are legally exempt from licensing.

☑ Number of programs whose licenses were suspended or revoked due to non-

compliance.
Describe (optional):
The Department has access to the number of licensed programs that were subjected to legal orders including sanction, suspension and revocation, as well as those programs that have been issued statements of non-compliance reports, which may not have led to a sanction, suspension or revocation.

☑ Number of injuries in child care as defined by the State/Territory.
Describe (optional):
The Department tracks the number of injuries requiring hospital visits.

☑ Number of fatalities in child care as defined by the State/Territory.
Describe (optional):
The Department tracks the number of fatalities involving early education and care programs.

☑ Number of monitoring visits received by programs.
Describe (optional):
The Department tracks the number of monitoring visits by program and license status of programs.

☑ Caseload of licensing staff.
Describe (optional):
The Department tracks the number of licensors and caseload of each as well as number of monitoring visits by staff by month.

☑ Number of programs revoked from CCDF due to non-compliance with health and safety requirements.
Describe (optional):
The Department tracks the the number of legal orders issued seeking licensing revocations.

☐ 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?
The Department has a dedicated data system that records the number of regulatory non-compliances related to child health and safety requirements. A number above the mean could result in enforcement action on behalf of the agency up to and including revocation of the license.

c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring

implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.
The Department is developing a risk instrument to provide for an objective analysis of licensee's performance during a licensing period. Agency has implemented a QRIS system that includes licensing and health and safety standards.

3.1.7 Goals for the next Biennium -

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

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

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

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Goal #1:
Implement a licensing risk instrument in order to increase the number of licensed child care programs visited on an annual basis.

Goal #2:
Revise the licensing visit protocols through the implementation of abbreviated focus visits to increase the number of visits conducted.

Goal #3:
Implement the FBI background record checks and the Sex Offender record checks.

Goal #4:
Improve the number and type of ongoing trainings available to providers.

NEW!

CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link http://www.acf.hhs.gov/programs/occ/resource/government-performance-and-results-act-gpra-measures to see the CCDF performance measures. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon

in Section 3.2 through 3.4 order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

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

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

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

If yes, insert web addresses, where possible:

(1) http://www.eec.state.ma.us/docs1/Workforce_Dev/Layout.pdf; and (2) http://www.eec.state.ma.us/docs1/research_planning/ta_guideprelearnexper.pdf

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

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.

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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.

	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:	☐	☐	☐

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.

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☑ 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.

☐ None.

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

☑ Cross-walked to align with Head Start Child Development and Early Learning Framework
☑ Cross-walked to align with K-12 content standards
☑ Cross-walked to align with State/Territory pre-k standards
☑ Cross-walked with accreditation standards
☐ Other.

☐ None.

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

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

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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:

As programs participating in the Commonwealth's QRIS work to advance to higher levels of quality, the QRIS Standards require use of formative assessment tools. In order to achieve a QRIS Rating of Level 3 in the Massachusetts QRIS, center and school based programs are required to use formative assessment tools. In order to achieve a QRIS Rating of Level 3 in the Massachusetts QRIS, family child programs are required to use formative assessment tools. As described in part b-1 below, all programs, including center/school-based and family child care, are encouraged to use the information from on-going assessments to improve practice and to address children's needs.

In addition to QRIS, the Universal Pre-Kindergarten (UPK) grant program requires grantees to provide developmentally appropriate programs, as evidenced by use of one of three EEC approved assessment tools for at least one year: (1) Work Sampling, (2) High Scope Child Observation Record (COR), (3) Teaching Strategies Creative Curriculum Developmental Continuum or GOLD.

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

☑ Yes.
Describe:

For center-based and school aged programs participating in QRIS in Massachusetts: Level 3 of the QRIS standards requires programs to use formative assessment to set goals for individual children across all developmental domains. Level 4 of the QRIS standards requires programs to use formative assessment to inform curriculum planning and to use results to monitor each child's progress, as well as to inform program decision making (e.g., curriculum content, strategies for improved staff implementation, and professional development.)

For family child care programs participating in QRIS in Massachusetts: Level 3 of the QRIS standards requires programs to, either directly or through a network or system, use screening tools, progress reports, formative assessments, and other information gathered to set goals for individual children across developmental domains. Level 4 of the QRIS standards requires programs to, either directly or through a network or system, use screening tools, progress reports, formative assessments, and other information gathered to inform curriculum planning and use results to monitor each child's progress across developmental domains.

For UPK grantees:EEC anticipates that funds related to child assessments will be used by grantees to improve curriculum and professional development opportunities for staff.

☐ No

☑ Other.
Describe:

In addition, EEC emphasizes the importance of child assessments through procurement practices. Specifically, vendors that received contracts through the recent Income Eligible or Priority Populations (e.g., specialized contracts for families involved in the Commonwealth's child welfare system, homeless families or families headed by teen parents) were required to describe their child assessment practices by responding to each of the following questions: (1) identify assessment tool(s)used for each age group or state why an assessment tool is not used for a specific age group or in the program; (2) indicate if the tool was developed in-house or commercially developed (if developed in-house briefly describe the development process and training); (3) describe the frequency with which assessments are conducted; (4) describe how assessment results are used to inform curriculum and plan instruction; (5) describe how assessment results are used to inform professional development; (6) describe how assessment results are used to communicate child progress, including during transitions; (7) describe how assessment files and data are managed; and (8) describe how you connect your curriculum and assessment.

Through a competitive procurement, EEC also awarded a grant to provide training and assessment tools to programs, in order to support the implementation of assessment systems and screening tools in settings serving preschool children across the Commonwealth. This grant supports the coordination of ongoing coaching and mentoring in programs being trained to help ensure educators are supported as they integrate assessment and screening into their programs and planning. By investing in training, materials, and mentoring on use of child assessment tools, EEC seeks to make child assessment and screening sustainable practices in the early education and care field.

a-2) If yes, is information on child's progress reported to parents?
☑ Yes.
Describe:

EEC regulations require that parents be provided with a copy of the report and/or an opportunity to discuss its content. EEC's licensing regulations require programs to periodically prepare progress reports on the progress of each child in the program. The program must offer parents a conference to discuss the content of the report. A copy of the progress report must be given to the parent and a copy kept in the child's record.

- **Frequency.** For infants and children with identified special needs the progress report must be prepared every three months. For toddlers and preschoolers, the progress report must be prepared every six months. For school age children, the progress report must be prepared at least annually, at the midpoint of the child's program year.
- **Content.** The progress report must be based on observations and documentation of the child's progress in a range of activities over time and may include samples of the child's work. For children younger than school age, the progress report must address the development and growth of the child including, but not limited to, the developmental domains of Cognitive, Social/Emotional, Language and Fine and Gross Motor and Life Skills. For school age children, the progress report must address the child's growth and development within the parameters of the program's statement of purpose. All educators, specialists and consultants working with the child in the program must be offered an opportunity to contribute to the progress report of the child.

- **Use of Progress Reports**. Educators shall use progress reports to adapt the program to the children's individual strengths, interests, and needs; to maintain ongoing communication with the child's family, and; with parental permission, to facilitate the child's transition to another early education and care program or to kindergarten, as appropriate.

☐ No

☐ Other.
Describe:

☐ No

☐ Other.
Describe:

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

Massachusetts uses formative assessment tools to track the school readiness of children in pre-kindergarten and as they enter kindergarten. In pre-kindergarten, the tools used are Teaching Strategies GOLD, the Work Sampling System, and the Preschool Child Observation Record (HighScope COR). The assessment tools used as children enter kindergarten are Teaching Strategies GOLD and the Work Sampling System.

b-1) If yes, do the tools cover the developmental domains identified in 3.2.2?
☑ Yes.
Describe:

All domains identified in 3.2.2 (Physical development and health, social and emotional development, approaches to learning, logic and reasoning/problem-solving, language development, literacy knowledge and skills, mathematics knowledge and skills, science knowledge and skills, creative arts expression, social studies knowledge and skills, and English language development for dual language learners) are covered by the above-referenced formative assessment tools.

☐ No

☐ Other.
Describe:

b-2) If yes, are the tools used on all children or samples of children?
☑ All children.
Describe:

Pre-kindergarten programs and kindergarten classrooms in which the above-referenced tools are used assess all children. At the pre-kindergarten level, not all programs use one of the tools; however, they are incentivized to do so through the Massachusetts Quality Rating and Improvement System (QRIS). At the kindergarten level, 20 public school districts are implementing Teaching Strategies GOLD or the Work Sampling System in the 2012-2013 school year. In the 2013-2014 school year, an additional 59 public school districts will implement one of these tools in the 2013-2014 school year. It is hoped that by the 2015-2016 school year substantially all public school districts in Massachusetts will use one of these two tools at the kindergarten level.

☐ Samples of children.

Describe:

☐ Other.

Describe:

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

At the pre-kindergarten level, the Massachusetts Quality Rating and Improvement System (QRIS) incentivizes programs to use information from one of the above-referenced tools to target program quality improvement activities. At the kindergarten level, participating school districts either do use or intend to use information collected through Teaching Strategies GOLD or the Work Sampling System to target program quality improvement activities.

☐ 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:

Massachusetts is in the process of completing an integrated P-20 Longitudinal Data System to allow stakeholders to analyze student outcomes and identify the educational and program areas in need of improvement on a student, classroom, program, school, district or systemic level.

☐ No

☐ Not applicable. State does not have an SLDS.

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

Effective Date: 01-OCT-13

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

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

EEC is able to report on the number/percentage of providers who take an on-line course or who meet this requirement as part of QRIS or UPK quality initiatives.

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

EEC is able to report on the number/percentage of providers who take an on-line course or who meet this requirement as part of QRIS quality initiatives.

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

EEC is able to report on the number of programs that meet this QRIS requirement.

☐ 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?

Not applicable.

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.

Not applicable.

3.2.8 Goals for the next Biennium -

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

Effective Date: 01-OCT-13

Goal #1:

Develop clear, research-based early learning standards that guide our screening and assessment, educator practice, informal and formal program learning environments and community and family supports and activities from birth to kindergarten.

Goal #2:

Develop Preschool Science, Technology, and Engineering (STE) Learning Standards and Guidelines.

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

Effective Date: 01-OCT-13

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

The entities involved in the planning and administration of the QRIS, include EEC, the Board of Early Education and Care, the Advisory Council, and the Department's community-level partners,including, but not limited to, Wheelock College and United Way of Massachusetts Bay and Merrimack Valley, as well as various stakeholders from the Commonwealth's mixed delivery system.

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-13

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

- [ ] Ratios and group size
- [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
- [x] Cultural competence
- [x] Other.

Describe:

Workforce qualifications

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

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

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

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

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

☐ Not linked.

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

☑ Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
☑ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
☑ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
☐ Other.
Describe:

☐ None.

3.3.2 Element 2 - Supports to Programs to Improve Quality

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

Effective Date: 01-OCT-13

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

☐ None. **skip to 3.3.3.**

Types and Purposes of Support	**Information or Written Materials**	**Training**	**On-Site Consultation**
☑ 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:	☐	☐	☐

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:

Massachusetts uses various methods to customize quality improvement supports for early education programs in the Commonwealth, including hiring health consultants, providing educational scholarships, awarding program improvement grants, supporting Individual Professional Development Plans (IPDP) for educators, offering trainings through CASE and EPS grantees, and identifying coaches and mentors.

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

☐ Yes.
Describe:

Massachusetts offers the following technical assistance opportunities to early education and care programs in the Commonwealth:

- 12 hour on-line course for providers in the fundamentals of QRIS;
- Educator/Provider Grantee trainings and EPS rountable meetings;
- Coaching/mentoring;
- Monthly technical assistance webinars;
- Program Quality Specialists in each region providing technical assistance via phone, email and site visits; and
- FCC system supports.

☐ No
☐ Other.
Describe:

3.3.3 Element 3 - Financial Incentives and Supports

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

Effective Date: 01-OCT-13

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory

chooses to offer. If none, **skip to 3.3.4.**

☐ None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	**Child Care Centers**	**Child Care Homes**	**License-Exempt Providers**
☐ 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 improving / maintaining quality	☑	☑	☑
☐ Tax credits tied to meeting program quality standards	☐	☐	☐
☑ Other. Describe: Educator scholarships and exceptional leadership awards.	☑	☑	☑

3.3.4 - Element 4 - Quality Assurance and Monitoring

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

Effective Date: 01-OCT-13

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

☐ None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	**Child Care Centers**	**Child Care Homes**	**License-Exempt Providers**
☑ Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. Applications are valid for two years. Providers are expected to complete the measurement tools every year. Level 3 programs have ERS completed by a Reliable Rater.	☑ Infant/Toddler ☑ Preschool ☑ School-Age	☑	☑
☑ Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. Applications are valid for two years, providers are expected to complete the CLASS every year.	☑	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. Applications are valid for two years, providers are expected to complete the PAS or BAS every year.	☑	☑	☑

☑ 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. Documentation of program policies/best practices is required for QRIS standards and only updated when policies change. Assessments are completed annually.	☑	☑	☑
☑ Other. Describe: Strengthening Families trainings are offered for CEUs through Children's Trust Fund. Massachusetts also uses the Arnett Caregiver Interaction Scale. Applications are valid for two years; providers are expected to complete the measurement tools every year.	☑	☑	☑

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:

"Duplicate Application" status has been added to the QRIS Program Manager (QPM). The Dashboard pulls data on contracted slots, UPK, Early Intervention, as well as demographics, educator qualifications. Some of the QRIS standards are linked to NAEYC, Head Start, NAFCC and COA.

☐ None.

3.3.5 - Element 5 - Outreach and Consumer Education

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

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

☑ Yes. If yes, how is it used?

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

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

☐ Searchable database on the web

☐ Voluntarily, visibly posted in programs

☐ Mandatory to post visibly in programs

☐ Used in marketing and public awareness campaigns

☑ Other.

Describe:

As Massachusetts continues to build the infrastructure necessary to develop a strong support for early education and care providers through developing and implementing its QRIS, it is expected that the Department will promote the importance of QRIS tiers to child care consumers.

☐ 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:

Massachusetts also uses email communications to stakeholders that have elected to receive communications from the Commissioner's Office.

☐ None.

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

EEC has partnered with the United Way to translate resources for families into several different languages.

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-13

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

☑ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.

☑ Participation is voluntary for:

early education and care programs that do not receive funding from the Department of Early Education

and Care.

☑ Participation is mandatory for:

early education and care programs that receive funding from the Department of Early Education and Care.

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

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

☐ State/Territory is in the development phase
☐ State/Territory has no plans for development

☐ Other.

Describe:

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

☑ Child care centers

☑ Group child care homes

☑ Family child care homes

☐ In-home child care

☑ License exempt providers

☑ Early Head Start programs

☑

Head Start programs

☑ Pre-kindergarten programs

☑ School-age programs

☐ Other.

Describe:

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

Effective Date: 01-OCT-13

please describe:

Not applicable.

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

Effective Date: 01-OCT-13

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

☑ Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory.

Describe(optional)

Not applicable.

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

Describe(optional)

Not applicable.

☑
Program scores on program assessment instruments.

List instruments:

Program Administration Scales (PAS); Business Administration Scales (BAS); and Classroom Assessment Scoring System (CLASS).

Describe(optional)

Not applicable.

☑
Classroom scores on program assessment instruments.

List instruments:

Environmental Rating Scales - ECERS, ITERS, FCCERS, and SACERS; Arnett Caregiver Interaction Tool; and Classroom Assessment Scoring System (CLASS).

Describe(optional)

Not applicable.

☑
Qualifications for teachers or caregivers within each program.

Describe(optional)

Not applicable.

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

Describe(optional)

Not applicable.

☑
Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory

☑ Number/Percentage of programs receiving financial assistance to meet higher program standards.

Describe(optional)

Not applicable.

☐ Other.

Describe:

☐ None.

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

The Department intends to increase participation in QRIS by 5% by June 30, 2014. The Department will measure increased participation by tracking both new entrants into the QRIS and assessing progress of existing programs that have advanced to higher levels in the QRIS. The Department tracks involvement in QRIS through the EEC's Dashboard. This application allows Massachusetts to monitor participation at all four QRIS levels, providing EEC staff with the ability to focus support as programs move through stages in the application process. The Department also tracks involvement in QRIS through participation in related trainings, webinars, roundtables, site visits and QRIS Program Improvement Grants.

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.

The Commonwealth has hired QRIS Program Quality Specialists who have been tasked with conducting site visits to programs that have engaged the Massachusetts QRIS. These site visits began in the Fall of 2012 and are expected to continue through federal fiscal years 2014 and 2015. In addition, Massachusetts has hired the University of Massachusetts Donahue Institute to pilot a validation study of QRIS. A full scale launch of the study is expected in late 2013. Lastly, EEC has begun a comprehensive review of the Massachusetts QRIS standards by seeking feedback from the Board, Advisory Council, representatives in the community, as well as EEC staff.

3.3.9 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include

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

Effective Date: 01-OCT-13

Goal #1:
Crosswalk QRIS Standards to NAEYC Accreditation requirements, with the goal of further streamlining the two systems.

Goal #2:
Review and revise, as needed, existing QRIS application system for ease of use, as well as consistent implementation by programs, including development of a policy manual for program users.

Goal #3:
Develop a plan for educating families about QRIS and begin consumer outreach.

Goal #4:
Review and revise the QRIS verification process to improve the consistency and accuracy of QRIS levels and standards.

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

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

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

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

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

EEC is committed to working across professional development systems and relies on collaboration with experts and stakeholders such as ESE, DPH, DHE, the Children's Trust Fund, EOHHS, early education and out of school time educators, higher education, CCR&Rs, public schools, and other agencies and entities in both the public and private sectors to develop and address the key components of its workforce development system. For example, EEC's Core Competencies were first developed by a task force of over 50 experts in workforce development, early education, and out of school time, which was led by EEC, the United Way of Massachusetts Bay and Merrimack Valley, and the CAYL Institute. EEC's Core Competencies were later refined by a working group consisting of members from EEC's legislatively required Advisory Council. Similarly, the same groups did groundwork for EEC's career ladder and their efforts were advanced through a partnership with the Bessie Tartt Wilson Initiative for Children. EEC also looked to a collaborative partnership model to assess and respond to professional development needs of the workforce. The procurement for educator and provider support (EPS) services required stakeholders to bid as regional partnerships that formalized collaboration across two and four year colleges and both regional and local community agencies. EEC acted on recommendations from other stakeholders in the field in developing and designing its Professional Qualifications (PQ) Registry which was launched in June 2010. Feedback from focus groups helped shape the look and feel of this on-line application. The PQ Registry is gathering a wealth of data on the compensation, benefits, education and experience of the early education and out of school time workforce. This information will enable EEC to focus its resources for maximum benefit to the educators who are working with Massachusetts children and their families.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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

Effective Date: 01-OCT-13

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

- [x] Yes
- [ ] No, the State/Territory has not developed core knowledge and competencies. **Skip to question 3.4.2.**

- [ ] Other.

Describe:

If yes, insert web addresses, where possible: Not applicable.

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
- [ ] Other.

Describe:

- [ ] None.

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

- [ ] To define the content of training required to meet licensing requirements
- [x] 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
- [ ] To correspond to the early learning guidelines
- [x] To define curriculum and degree requirements at institutions of higher education
- [ ] Other.

Describe:

- [ ] None.

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

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

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

Cross-walked with qualifications in the EEC regulations and in QRIS.

☐ 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:

Core competencies address all levels of teaching staff in center-based programs.

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

Core competencies address all levels of staff in family child care homes.

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

Administrative qualifications are addressed at the “advanced” competency level.

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

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

☐ Other.

Describe:

☐ None.

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

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

Competencies address children from birth through school age. Specialized competencies are imbedded in the appropriate section.

☐ None.

3.4.2 Workforce Element 2 - Career Pathways

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

Effective Date: 01-OCT-13

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

☑ Yes.

Describe:

A basic career ladder has been developed and endorsed by the Commonwealth's Board of Early Education and Care, which may be used as a model and as a resource for programs.

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

Insert web addresses, where possible:

http://www.eec.state.ma.us/docs1/prof_devel/20110512_career_ladder_table.pdf

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

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

Ladder applies to all staff working directly with children in center-based programs

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

Ladder applies to all staff working directly with children in family child care homes

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

Ladder applies to program directors and those responsible for the curriculum or professional development of their staff

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

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

☐ Other.
Describe:

☐ None.

c) Does the career 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:

Administrative qualifications are addressed at the “advanced competency level

☐ None.

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

☑ Voluntary guide and planning resource
☐ Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
☐ Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
☐ Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
☐ Required placement for participation in scholarship and/or other incentive and support programs
☐ Required placement for participation in the QRIS or other quality improvement system
☐ Other.
Describe:

☐ None.

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

☐ Yes.
If yes, describe:

☑ No.

3.4.3 Workforce Element 3 - Professional Development Capacity

Definition - For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce

including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Early childhood includes infants, toddlers and preschoolers.

Effective Date: 01-OCT-13

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

☑ Yes.
If yes, describe:

The Department embarked upon a two-phased Institutions of Higher Education (IHE) Mapping Project to gather detailed information on early childhood education and related degrees. The Mapping Project was designed to ease the process of selecting a degree and institution of higher education for early education and out-of-school time workers seeking to further their professional development. Phase 1 of the project mapped the current network of two and four year public and select private IHEs in the Commonwealth that offer a program of study in early childhood education (ECE), elementary education or a program in a related field that leads to a certificate and/or an associate's or bachelor's degree. Through this phase of the project, EEC developed a school profile and a searchable database of required coursework in ECE degree programs. Phase 2 of the project compared early childhood degree and certificate program coursework at each participating IHE. The intended goal of this phase is to facilitate the transfer of credits between IHEs by identifying a common course theme across institutions and mapping these courses to one or more of the EEC Core Competency areas.

☐ 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:

EEC awarded 5 individual grants for FY13 to regional Educator and Provider Support (EPS) Grantees across the Commonwealth. The grant required that the EPS Grantees to assess the professional development needs in their region of the state and to develop a calendar of corresponding opportunities for the year, in order to project the coursework that they would provide under these EPS grants. The result is a catalog of over three hundred professional development opportunities that will be offered from July 1, 2012 to June 30, 2013, including 94 college and 189 continuing education courses. This course catalog is a resource to help early education and out of school time educators and their programs map

their professional growth based on their needs and interests. Courses within this catalog are intended to support the professional development of educators and providers at all levels of their careers. Course opportunities in this catalog align with EEC's Licensing Regulations, EEC's Core Competencies, MA Curriculum Frameworks, EEC's Guidelines for Preschool Learning Experiences, and MA Early Learning Guidelines for Infants and Toddlers, and support the MA Quality Rating and Improvement System (QRIS). The catalog links the professional development of educators to the guidelines and standards governing the quality of the programs children in the Commonwealth attend. The catalog can be accessed at:

http://www.eec.state.ma.us/docs1/Workforce_Dev/20110630_fy2012_edu_provider_crse_catalog.pdf

In addition to the EPS catalog of professional development opportunities, EEC maintains an on-line professional development calendar. This calendar includes the professional development opportunities from the EPS partnerships, as described above, as well as professional development opportunities from private entities, EPS partnership members that are not funded by the EPS grants and non-credited opportunities (i.e., potential provider meetings, etc.). This calendar, which is located on EEC's website, is searchable by region of the state, course name, course location, course category, credit type, targeted age group, and targeted child care setting type, and education or professional experience. This calendar can be accessed at:

http://www.eec.state.ma.us/ProfessionalDevelopment/WebFindTraining.aspx

☐ No.

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

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

☐ None.

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

☐ Training approval process.
Describe:

☐ Trainer approval process.

Describe:

☑ Training and/or technical assistance evaluations.
Describe:

EEC requires participant evaluations for all training that it funds or lists on its professional development

☐ Other.
Describe:

☐ None.

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

☑ Yes.
If yes, describe:

EEC recently worked with the MA Department of Higher Education to revise the Early Childhood Education Transfer Compact. The Compact allows graduates of a state community college to begin a bachelor's degree in early education or Pre K-12 teacher licensure as a junior at a state university. In addition, articulation agreements are in place to facilitate transfer of the newly developed Post-Master's certificate into CAGS/Doctoral program credit.

☐ No.

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

☑ Yes.
If yes, describe:

Several individual colleges have policies for translating Continuing Education Units (CEUs) and/or CDAs into college credit.

☐ No.

3.4.4 Workforce Element 4 - Access to Professional Development

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

aware of, and receive supports and assistance to utilize, professional development opportunities.

Effective Date: 01-OCT-13

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

- [x] Yes. If yes, for which sectors?
- [x] Child care
- [x] Head Start/Early Head Start
- [x] Pre-Kindergarten
- [x] Public schools
- [x] Early intervention/special education
- [x] Other.

Describe:

After school and out of school time programs

- [ ] 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.

- [x] Yes.

If yes, describe:

As stated in Question 3.4.3(b), EEC asked its 5 regional Educator and Provider Support (EPS) Grantees to project the coursework that they would provide under their grants. The result is a catalog of over three hundred professional development opportunities that will be offered from July 1, 2012 to June 30, 2013, including 94 college and 189 continuing education courses. This course catalog is a resource to help early education and out of school time educators and their programs map their professional growth based on their needs and interests. Courses within this catalog are intended to support the professional development of educators and providers at all levels of their careers. Course opportunities in this catalog align with EEC’s Licensing Regulations, EEC's Core Competencies, MA Curriculum Frameworks, EEC's Guidelines for Preschool Learning Experiences, and MA Early Learning Guidelines for Infants and Toddlers, and support the MA Quality Rating and Improvement System (QRIS). The catalog links the professional development of educators to the guidelines and standards governing the quality of the programs children in Massachusetts attend. The catalog can be accessed at:

http://www.eec.state.ma.us/docs1/Workforce_Dev/20110630_fy2012_edu_provider_crse_catalog.pdf

In addition to the EPS catalog of professional development opportunities, EEC maintains an on-line

professional development calendar. This calendar includes the professional development opportunities from the EPS partnerships, as described above, as well as professional development opportunities from private entities, EPS partnership members that are not funded by the EPS grants and non-credited opportunities (i.e., potential provider meetings, etc.). This calendar, which is located on EEC's website, is searchable by region of the state, course name, course location, course category, credit type, targeted age group, targeted child care setting type, and education or professional experience.

☐ No.

Insert web addresses, where possible:

http://www.eec.state.ma.us/ProfessionalDevelopment/WebFindTraining.aspx

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

☑ Scholarships.
Describe:

EEC and the Massachusetts Department of Higher Education jointly administer a scholarship program for Early Childhood Educators (ECE). Subject to available funding, the ECE scholarship program has awarded on average $3.2M annually in scholarships to early childhood educators in the Commonwealth. In addition to Professional Development opportunities, CEU courses are presented at a maximum cost of $25.00/training hour.

☑ Free training and education.
Describe:

Several training opportunities and informational sessions are offered at no charge.

☐ Reimbursement for training and education expenses.
Describe:

☐ Grants.
Describe:

☐ Loans.
Describe:

☐ Loan forgiveness programs.
Describe:

☐ Substitute pools.
Describe:

☐ Release time.
Describe:

☐ Other.
Describe:

☐ None.

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

☑ Yes.
If yes, describe:

Career advising is one of the required functions performed by the regional EPS grantees and the 6 regional Readiness Centers.

☐ 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:

Coaching and mentoring are a critical responsibility of the 5 regional EPS grantees. In accordance with the expressed terms of the EPS grant, EPS partners are required to allocate at least 25% of their annual budget to coaching and mentoring activities.

☐ 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:

☑ 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-13

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):

All educators working in licensed programs and those working in programs that participate in initiatives like QRIS must register annually, in accordance with the Department's licensing regulations.

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

Data on the demographic characteristics of early childhood educators in the Commonwealth is collected by the Professional Qualifications Registry.

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

Records of individual educators and their qualifications are collected by the Professional Qualifications Registry. This data is also collected by EEC's Professional Certification process for teachers in center based programs.

☑ Retention rates.
Describe (optional):

Retention rate data on the early childhood workforce is collected by the Professional Qualifications Registry.

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

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

The qualifications of individual early childhood educators are linked to the programs in which the educators teach through the Professional Qualifications Registry.

☑ Number of scholarships awarded .
Describe (optional):

As stated in Question 3.4.4. (c), the Department awards scholarships to early childhood educators in the Commonwealth and has access to data on the number of scholarships awarded on an annual basis.

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

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

Through the Professional Qualifications Registry, the Department has access to data on the number of credentials and degrees conferred annually. Additional information is also required through contracts with the Regional Readiness Centers.

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

Through the Professional Qualifications Registry, the Department has access to data on training and technical assistance completed. The Professional Qualifications Registry collects program employment longevity data. If educators do not complete training, that data is available through the EPS grantees.

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

Through the Professional Qualifications Registry, the Department has access to data on educators who have a degree or have some college courses.

☑ Other.

Describe:

In addition, the Professional Qualifications Registry collects and maintains data on educator compensation rates in the Commonwealth.

☐ 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:

For staff working in licensed programs, the Department's licensing regulations require all staff to annually register in the Professional Qualifications Registry. For staff working in licensed exempt programs that may be receiving program quality improvement funds or participating in other quality improvement initiatives with the Department (i.e., QRIS programs), annual registration in the Professional Qualification Registry may also be required.

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

For staff working in licensed programs, the Department's licensing regulations require all staff to annually register in the Professional Qualifications Registry.

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

For staff working in licensed programs, the Department's licensing regulations require all staff to annually register in the Professional Qualifications Registry. For staff working in license-exempt programs that may be receiving program quality improvement funds or participating in other quality improvement initiatives with the Department (i.e., QRIS programs), annual registration in the Professional Qualification Registry may also be required.

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

Technical assistance providers are not required to register in the Department's Professional Qualifications Registry, but are encouraged to do so.

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

Technical assistance providers are not required to register in the Department's Professional Qualifications Registry, but are encouraged to do so.

☐ Other.
Describe:

☐ None.

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

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

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

As stated in 3.4.6(a) above, EEC launched a mandatory Professional Qualifications Registry for all educators working in center based programs and family child care homes in June 2010. Educators must register annually. The data being gathered by the Registry will enable EEC to set realistic benchmarks for the professional growth of the early education and out of school time workforce and the overall professional development system that align with the QRIS standards. In addition, the 5 regional Educator and Provider Support (EPS) grantees submit monthly data reports that permit ongoing monitoring of the delivery of professional development. The data from the grantees includes the number of educators who completed an Individual Professional Development Plan, the number of educators who reached a goal they set, the number that participated in college courses or receive coaching and mentoring help and the number of programs involved with accreditation and similar measures.

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.

EEC is evaluating the data gathered by its PQ Registry to better understand the size, demographics, qualifications, and needs of the workforce. This data will help evaluate the effectiveness of current activities and plan future initiatives.

3.4.7 Goals for the next Biennium -

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

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

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

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Goal #1:

Developing effective technical assistance to increase and support High Quality Early Learning Programs

Goal #2:

To Increase application of learning to practice through Peer Assistance and Coaching (PAC)

Goal #3:

To Build Professional Development Capacity in the early education and out of school time field.

Goal #4:

To provide support to all Early Childhood Educators to complete an associate’s or bachelor’s degree in early education-Early Childhood Educators (ECE) Scholarship Program