



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

**For**

**State/Territory: Tennessee**

**FFY 2014-2015**

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

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

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

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

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

CCDF Plan Effective Date: October 1, 2013  
Amended Effective: \_\_\_\_\_

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**PART 1**

**ADMINISTRATION**

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

**1.1 Contact Information**

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

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

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

Name of Lead Agency: Tennessee Department of Human Services  
Address of Lead Agency: 400 Deaderick Street, Nashville, TN 37248-1403  
Name and Title of the Lead Agency's Chief Executive Officer:  
Dr. Raquel Hatter, Commissioner  
Phone Number: 615.313.4700  
Fax Number: 615.741.4165  
E-Mail Address: Raquel.Hatter@tn.gov  
Web Address for Lead Agency (if any): <http://tn.gov/humanserv/index.html>

**1.1.2. Who is the CCDF administrator?**

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

**a) Contact Information for CCDF Administrator:**

Name of CCDF Administrator: Joyce Turner  
Title of CCDF Administrator: Interim Child Care Services Director

Address of CCDF Administrator: 400 Deaderick Street, Nashville, TN 37243-1403  
Phone Number: 615.313.4771  
Fax Number: 615.532.9956  
E-Mail Address: Joyce.Turner@tn.gov  
Phone Number for CCDF program information (for the public) (if any): 615.313.4771  
Web Address for CCDF program (for the public) (if any): <http://www.state.tn.us/humanserv/adfam/ccfa.html>  
Web address for CCDF program policy manual: (if any): None  
Web address for CCDF program administrative rules: (if any): None

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

Name of CCDF Co-Administrator: Jada Meriwether  
Title of CCDF Co-Administrator: Child Care Certificate Program Director  
Address of CCDF Co-Administrator: 400 Deaderick Street, Nashville, TN 37243-1403  
Phone Number: 615.313.5760  
Fax Number: 615.532.9956  
E-Mail Address: Jada.Meriwether@tn.gov  
Description of the role of the Co-Administrator: *Provides oversight for the child care certificate program*

**1.2 Estimated Funding**

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

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

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching):  
\$124,000,000  
Federal TANF Transfer to CCDF: \$58,000,000  
Direct Federal TANF Spending on Child Care: \$28,000,000  
State CCDF Maintenance-of-Effort Funds: \$18,975,782  
State Matching Funds: \$18,250,000

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

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

Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark  N/A here.

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

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

If checked, identify source of funds:

State of Tennessee General Revenue Funds and Education Trust Funds

If known, identify the estimated amount of public funds the Lead Agency will receive: \$ 18,250,000

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

If checked, are those funds:

- donated directly to the State?  
 donated to a separate entity(ies) designated to receive private donated funds?

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

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

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

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

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

Collaboration is a cornerstone of the TN Voluntary Pre-K program. Approximately 25% of the State Pre-K classrooms are collaborative classes with for-profit and non-profit child care, faith based child care and Head Start. The Tennessee Early Learning Developmental Standards (TN-ELDS) are required to be used in all programs serving children birth to age 5. In addition, both child care and Pre-K use the same instrument to monitor for health and safety of all classrooms, and coordinate professional development on the social emotional foundations of early learning.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: \$ 5,300,000.00  
Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

The State Pre-K program is required to meet a minimum of 5.5 hours per day for a minimum of 180 days (school year). In collaborative programs between child care and State Pre-K, the Pre-K funds pay for the instructional day of 5.5 hours for a minimum of 180 days of the school year. Child care provides before/after care, and summer child care services.

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

The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1). Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%): 20%

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

Collaboration is a cornerstone of the TN Voluntary Pre-K program. Approximately 25% of the State Pre-K classrooms are collaborative classes with for-profit and non-profit child care, faith based child care and Head Start. The Tennessee Early Learning Developmental Standards (TN-ELDS) are required to be used in all programs serving children birth to age 5. In addition, both child care and Pre-K use the same instrument to monitor for health and safety of all classrooms, and coordinate professional development on the social emotional foundations of early learning.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: \$ 3,797,000.00  
Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

The State Pre-K program is required to meet a minimum of 5.5 hours per day for a minimum of 180 days (school year). In collaborative programs between child care and State Pre-K, the Pre-K funds pay for the instructional day of 5.5 hours for a minimum of 180 days of the school year. Child care provides before/after care, and summer child care services.

**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.**

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
Infant/Toddler Targeted Funds \$1,039,050	Child Care Resource & Referral	To provide training, targeted technical assistance, and resources to licensed child care providers and to provide referral services to families of young children.	Targeted training and technical assistance for: infant/toddler and school-age providers; quality improvements for all age groups based upon assessment results. Better informed parental choice in selecting quality child care.
School-Age/Child Care Resource and Referral Targeted Funds \$83,124	Child Care Resource & Referral	To provide training, targeted technical assistance, and resources to licensed child care providers and to provide referral services to families of young children.	Targeted training and technical assistance for: infant/toddler and school-age providers; quality improvements for all age groups based upon assessment results. Better informed parental choice in selecting quality child care.
Quality Expansion Targeted Funds \$1,346,736	Child Care Resource & Referral	<u>CCR&amp;R</u> - To provide training, targeted	<u>CCR&amp;R</u> - Targeted training and technical

	<p>(\$1,163,736)</p> <p>Family Child Care Mentoring (\$183,000)</p>	<p>technical assistance, and resources to licensed child care providers and to provide referral services to families of young children.</p> <p><u>Family Child Care Mentoring</u> - To provide mentoring and technical assistance for licensed family child care providers.</p>	<p>assistance for: infant/toddler and school-age providers; quality improvements for all age groups based upon assessment results. Better informed parental choice in selecting quality child care.</p> <p><u>Family Child Care Mentoring</u> - Improved business practices and quality within group and family child care settings. Established mentor and protégé network.</p>
<p>Quality Funds (not including Targeted Funds) \$45,263,924</p>	<p>Child Care Resource &amp; Referral (\$1,870,290)</p> <p>Assessment Support and Evaluation (\$1,150,000)</p> <p>Professional Recognition System (\$2,930,734)</p> <p>Child Care Bonus Payments (\$19,000,000)</p> <p>Licensing (\$11,901,400)</p> <p>Program</p>	<p><u>CCR&amp;R</u> - To provide training, targeted technical assistance, and resources to licensed child care providers and to provide referral services to families of young children.</p> <p><u>Assessment Support and Evaluation</u> -To provide support and evaluation services for the Tennessee Child Care Evaluation and Report Card System.</p>	<p><u>CCR&amp;R</u> - Targeted training and technical assistance for: infant/toddler and school-age providers; quality improvements for all age groups based upon assessment results. Better informed parental choice in selecting quality child care.</p> <p><u>Assessment Support and Evaluation</u> - Comprehensive data and evaluation system, statewide inter-rater</p>

	<p>Assessment (\$8,411,500)</p>	<p><u>Professional Recognition System</u> - To provide a statewide articulated early childhood training, education, and professional recognition system.</p> <p><u>Child Care Bonus Payments</u> - To support providers enrolled in the certificate payment program who also earn a 1, 2 or 3 Star Quality rating on their license and participate in that quality care program.</p> <p><u>Licensing</u> - To protect the overall health and safety of children in licensed care and to establish a foundation upon which to build high quality child care programs.</p> <p><u>Program Assessment</u> - To assess structural and process quality of licensed child care environments.</p>	<p>reliability system for program assessment, and report card developmental learning component verification instruments.</p> <p><u>Professional Recognition System</u> - Higher education academic courses, CDA and Program Administrator credentials, early childhood technical certificates, and child development related degrees for licensed child care staff.</p> <p><u>Child Care Bonus Payments</u> - Financial incentive to providers who attain and maintain a level of quality.</p> <p><u>Licensing</u> - Healthy and safe child care for Tennessee's families. Licensing compliance established as the threshold for child care programs to enter the Star-Quality Report Card and Evaluation System.</p> <p><u>Program</u></p>
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			<u>Assessment</u> - Improved overall quality of child care and better informed parental choice in selecting quality child care. 100% of eligible licensed providers will be assessed.
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**1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?**

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

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

- No, the Lead Agency will not distribute any quality funds directly to local entities
- Yes, all quality funds will be distributed to local entities
- Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities \_\_\_\_\_
- Other. Describe. \_\_\_\_\_

**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.

The Lead Agency administers child care services and quality improvement activities through internal staffing as well as contractual agreements with universities and community agencies. The Lead Agency includes measurable performance standards and expectations in its contracts and provides oversight to contract agencies to ensure maximum compliance and performance outcomes. Regular reporting and routine meetings are required from contract agencies to ensure adherence to the contracted scope of services. The majority of Tennessee's grant contracts are executed annually through a noncompetitive negotiation process. The Lead Agency ensures overall administrative control of activities not administered directly by utilizing its policies and procedures for third party funding. At a minimum, annual monitoring of contracts, grants, agreements are performed by the Lead Agency according to state and federal regulations. Additionally, the External Program Review division of the Lead Agency conducts routine and unannounced monitoring visits of child care centers. Centers are selected for review through either a random selection process or a focused process where areas of risk have been identified. Further, through the computerized payment process we are able to conduct desk reviews of agencies that indicate the potential for non-adherence to contractual compliance. In addition, Internal Audit conducts an annual Risk Assessment of the Child Care Development Fund. The purpose of the risk assessment is to identify any potential problems associated with the program. In the event any potential problems are noted during the risk assessment, Internal Audit will do compliance testing of the potential problem areas to determine if the Department is adhering to the policies and procedures of the program. When any deficiencies are noted, a follow up review is done to ensure a corrective action plan has been established and is being followed.

Finally, the contracting instrument used by the Lead Agency makes clear that contracting agencies are subject to monitoring and audit and can be held liable for any type of improper payment.

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

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

**Definition:** A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor** ([http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2010](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010)). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

The Lead Agency does not use sub-recipients to administer the program. Eligibility for the Child Care Certificate Program is determined by Lead Agency staff, who also have access to financial assistance information on the parents. Child Care providers receive funding

from the Lead Agency for the care of eligible children. CCDF-Specific Guidance to Transparency Act Requirements, Appendix A, posted on the HHS website states, "Child Care providers funded through certificates/vouchers are not considered sub recipients."

**1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below.**

Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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

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

Child Care Certificate Program

On-site Visits to Providers

There are two types of reviews regarding the Child Care Certificate Program. They are Random and Special Purpose.

Random Reviews

These agencies are chosen by various methods, such as using a random number generator. The steps taken for these include: Taking a sample of children from a test month and

tracing the hours reported on the EAV's to the required secondary documentation. Taking a sample of children with required co-pays and tracing them to the agency's cash receipts records to verify the co-pays were made. Comparing the agency's private pay rates, including sibling discounts, with the certificate rates to ensure the state was not being charged more than the private pays. Determining if agencies were paid for days they were closed other than state observed holidays. Determining that all current employees have the required background checks.

Special Purpose Reviews

These agencies are chosen based on various factors. The factors include referrals from DHS Fiscal Services, calls from the public, "red flags" from the EAV's (i.e. there are 50 children and there is never a reported absence) and referrals from CACFP staff. The steps taken for these reviews include: Selecting a three-month period (or 12 weeks if the agency submits their EAV's biweekly). Tracing the hours reported on the EAV's to the required secondary documentation for 100% of the children listed on the EAV's.

Error Review Process

In addition to the above audits, the Internal Audit section conducts an error rate review of the program every three years. The data collection process, includes sample selection and case record reviews, adhered to all requirements of the "Measuring Improper Authorizations for Payment in the Child Care and Development Fund (CCDF) program" instructions and regulations at 45 CFR 98 Subpart K.

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

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

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount <b>\$100.00</b>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe <u>We currently refer food stamp claims for persons living out of state to other states for termination of benefits.</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Strategy	UPV	IPV and/or Fraud	Administrative Error
Reduce payments in subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through other means. Describe <u>Lottery offsets, government garnishments</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit <u>Office of Inspector General-Investigation-Internal Audit-External Program Review</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

*In addition to all of the activities outlined in Response 1.3.3, the Lead Agency will assign investigators from its investigation division to conduct investigations. Funds are already recovered for instances of fraud and abuse. Typically we will offset future payments against monies owed. If an agency is no longer receiving funds, we would pursue traditional collection methods.*

*A total of 276 cases were tested during the second error review process cycle and resulted in three findings of missed or insufficient documentation that did not result in any over or under payment, and one finding of an encoding/processing error that resulted in one overpayment. The above errors were addressed by providing staff who enter the information into our systems with additional training to ensure that necessary data is entered correctly.*

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

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

*Clients may be disqualified from the program for intentional program violations. Clients may appeal negative actions that impact their eligibility, and may continue to receive benefits during the appeal period. If the nature of the provider's fraud is such that it warrants disqualification from the program, there are no provisions for becoming a participant again.*

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

*Providers who are removed from the program do not have appeal rights in the same sense as applicants/clients. Their contract includes "termination for cause"*

language. If the improper payment does not result in "termination for cause," providers may also be given the opportunity to create a corrective action plan addressing the problems that resulted in improper payments in addition to developing a repayment plan to repay their overpayment.

- Prosecute criminally  
 Other. Describe. \_\_\_\_\_

**1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below.**

Territories not required to complete the Error Rate Review should mark  N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
The need to correct improper authorizations for payment identified during the case record review process in order to reduce errors in the future.	Encoding/Processing Error. One client received Families First in error due to employee error. This error resulted in an overpayment. A client was no longer eligible to receive Families First child care but the case worker did not make the change in the Tennessee Child Care Management System (TCCMS) so the agency was still paid the Families First rate.	Staff will receive further training to ensure that any information entered in ACCENT and TCCMS is correct and in agreement. The issue was addressed with the employee and this area is emphasized with staff as a part of their training.	Ongoing

**1.4. Consultation in the Development of the CCDF Plan**

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

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

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/> <b>Representatives of general purpose local government (required)</b> 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.	Local government representatives were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)
<b>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</b>	
<input checked="" type="checkbox"/> State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21 <sup>st</sup> Century Community Learning Centers), or higher education.	Representatives from Pre-K, child care providers serving school-age children, and higher education were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearings(s).
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	Representatives were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)
<input type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<i>The Head Start State Collaboration Director was consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	<i>Representatives from the Executive Board and the Steering Committee of the Tennessee Early Childhood Advisory Council were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	<i>The CACFP Director was consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state</i>

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	<i>plan content; invitation to public hearing(s)</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	<i>The State Director was consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	<i>The State Director was consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	<i>Representatives from the Department of Children's Services were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input checked="" type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives	<i>Representatives were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input type="checkbox"/> State/Territory agency responsible for employment services/workforce development	
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	<i>The Lead Agency is also responsible for TANF</i>
<input type="checkbox"/> Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input checked="" type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	<i>Representatives from the Strengthening Families and CSEFEL initiatives were consulted by: review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	<i>Representatives from Tennessee Association for the Education of Young Children, Tennessee Family Child Care Alliance, and the Tennessee Child Care Association were consulted by: review of the draft plan; invitation to</i>

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	<i>collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input type="checkbox"/> Parent groups or organizations	
<input checked="" type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)	<i>Representatives from Prevent Child Abuse of Tennessee and Child Care Resource and Referral were consulted by; review of the draft plan; invitation to collaborators meeting; request for comments/edits on state plan content; invitation to public hearing(s)</i>
<input type="checkbox"/> Other	

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

At a minimum, the description should include:

- a) Date(s) of notice of public hearing: May 22, 2013 **Reminder** - Must be at least 20 days prior to the date of the public hearing.
- b) How was the public notified about the public hearing?  
  
*The public was notified via Public News Release to more than 200 media outlets statewide and e-mailing of notice of the plan to specifically identified persons in state and local government, and a copy of the notice was added to the state's websites for all interested persons.*
- c) Date(s) of public hearing(s): June 11, 2013 **Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).
- d) Hearing site(s):

*Citizens Plaza State Office Building  
2<sup>nd</sup> Floor, Tennessee River Conference Room  
400 Deaderick Street  
Nashville, TN 37243*

*Southwest Community College  
Nabors Auditorium  
5983 Macon Cove  
Memphis, TN 38132*

*UT College of Social Work  
Conference Room 304  
600 Henley Street*

Knoxville, TN 37996

- e) How was the content of the Plan made available to the public in advance of the public hearing(s)?

The content of the plan was made available on the state's website at [http://tn.gov/humanserv/adfam/cc\\_main.html](http://tn.gov/humanserv/adfam/cc_main.html) The plan was also duplicated and distributed to interested parties upon request by mail or e-mail; electronic copies were made available to each of the individuals on the coordination/collaboration list. Review copies (paper version) were made available at each of the public hearings.

- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan?

All comments received by the public were summarized and distributed to the Lead Agency Executive Staff and Program leadership to determine 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.

Public hearings were held in the three grand divisions of the state. The hearings were held in the evening to accommodate parent and provider work schedules. The draft plan was posted for public comment on the Lead Agency website.

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

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

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

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

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

<p><b>Agency/Entity (check all that apply)</b></p>	<p><b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b></p>	<p><b>Describe results expected from the coordination</b></p>
<p><input checked="" type="checkbox"/> Representatives of general purpose local government <b>(required)</b></p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p><u>Collaborative work among the Tennessee partners including Department of Education, Department of Health, TAEYC, Department of Children's Services, CCDF Contract Agencies, Early Childhood Advisory Council, CSEFEL</u></p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p><u>Increase the quality and access to child care programs for families with low incomes.</u></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for public education <b>(required)</b></p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21<sup>st</sup> Century Community Learning Centers), or higher education;</p>	<p><u>Collaborative work with the Tennessee Department of Education.</u></p>	<p><u>Align early learning standards in child care programs with Pre-K and Kindergarten to improve the transition from child care programs to early education, and help early educators understand the connection between quality child care programs, school readiness, and positive outcomes.</u></p> <p><u>Develop a system that promotes effective communication and connections between child care educators and Pre-K and Kindergarten.</u></p> <p><u>Promote parental involvement.</u></p>
<p><input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies</p>	<p><u>Collaborative work with the Tennessee</u></p>	<p><u>Increase involvement of agencies in development of</u></p>

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<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>
<input type="checkbox"/> providing early childhood and school-age/youth-serving developmental services <b>(required)</b>	<u>School-Age Care Alliance and the Tennessee Department of Education.</u>	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.  <u>major core competencies for individuals working with children and their families.</u>
<input checked="" type="checkbox"/> State/Territory agency responsible for public health <b>(required)</b>  This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health	<u>Collaborative work with the Tennessee Department of Health, Family Health and Wellness – Early Childhood Comprehensive Systems</u>	<u>Increase the importance and awareness of physical activity and healthy eating in child care programs to address childhood obesity.</u>  <u>Broaden the awareness and access to the Center for the Social Emotional Foundation for Early Learning(CSEFEL) model/training.</u>  <u>Increase training for child care providers and child care licensing staff in the areas of:</u> <ul style="list-style-type: none"> <li>• <u>Infant mortality</u></li> <li>• <u>Brain Development, and</u></li> <li>• <u>Safe Sleep</u></li> </ul> <u>Improve the quality of care for infants and toddlers by including standards from Caring For Our Children in child care licensing rules.</u>
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services / workforce development <b>(required)</b>	<u>Investigate prospects for collaboration with Tennessee Department of Labor and Workforce Development regarding work preparations and employment opportunities</u>	<u>Improve employment technical assistance opportunities for parents.</u>

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 results expected from the coordination
<input checked="" type="checkbox"/> State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies( <b>required</b> )	<u>Lead Agency also administers TANF</u>	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.  <u>The overall goal is to improve service delivery and provide consumer education to TANF recipients.</u>
<input type="checkbox"/> Indian Tribes/Tribal Organizations ( <b>required</b> )  <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
<b>For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery</b>		
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<u>Collaborative work with the Tennessee Head Start State Collaboration Office and Early Childhood Comprehensive Services Council</u>	<u>Using the Head Start performance standards as a guide and resource, increase health and safety standards, school readiness, and staff professional development in child care licensing standards</u>  <u>Assist child care agencies in strategizing parental engagement opportunities.</u>
<input type="checkbox"/> State/Territory agency responsible for Race to the Top – Early Learning Challenge (RTT-ELC) <input checked="" type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC	<u>TN did not apply for the RTTT-ELC grant. All TN state child serving agencies are coordinating their work with the ECAC and the Tennessee Children’s Cabinet, co-chaired by the Governor and First Lady.</u>	
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	<u>Lead Agency also administers CACFP</u>	<u>To provide outreach and training for the new meal services available through the CACFP Afterschool Care Meal Component for</u>

<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe results expected from the coordination</b>  Examples might include increased supply of full- day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		<u>children from at risk environments.</u>  <u>Continued promotion of good nutrition and physical activity in child care agencies enrolled in CACFP.</u>
<input checked="" type="checkbox"/>	State/Territory agency responsible for programs for children with special needs  This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	<u>Collaborative work with Tennessee Early Intervention Services and the State Interagency Coordinating Council</u>  <u>Increase awareness, support, and resources for families and providers who care for children with special needs.</u>  <u>Promote inclusion.</u>
<input checked="" type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	<u>Collaborative work with the Tennessee Department of Health, Maternal and Child Health Division</u>  <u>Increase home visitation program services awareness – specifically referral process to licensed child care providers and child care services staff.</u>
<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	<u>Collaborate with Department of Children’s Services (DCS) on Licensing and Child Care Subsidy policy and procedures.</u>  <u>Update the Memorandum of Understanding regarding joint licensing and DCS staff child abuse and neglect investigations.</u>  <u>Align DCS and DHS child care subsidy enrollment policies and procedures for children in state custody and protective services.</u>
<input checked="" type="checkbox"/>	State/Territory liaison for military child care programs or other military child care	<u>CCR&amp;R provides oversight for the Army</u>  <u>Increase the number of DOD compatible civilian</u>

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 results expected from the coordination
<input type="checkbox"/> representatives	<u>Child Care in Your Neighborhood grant.</u>	<u>child care spaces.</u>
<input checked="" type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	<u>Lead agency is the primary funder for the Strengthening Families initiative.</u>	<u>Provide training and assistance to parents of children participating in the child care subsidy program.</u>  <u>Coordinate the formation of parent support groups to include parents enrolled in the child care subsidy program.</u>  <u>Help parents learn about and access quality child care.</u>
<input checked="" type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)	<u>Lead Agency is the primary funder for the Tennessee Child Care Resource and Referral Network.</u>	<u>Provide support for quality care, parent engagement and better child outcomes.</u>
<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	<u>Lead Agency participates in provider association boards and committees such as Early Childhood Comprehensive Systems, CSEFFEL, Tennessee Infant and Early Childhood Mental Health Initiative, Tennessee Family Child Care Alliance, Association for Early Learning Leaders</u>	<u>Maintain statewide collaboration to align shared efforts to improve child care quality.</u>
<input checked="" type="checkbox"/> Parent groups or organizations	<u>Collaborative work</u>	<u>Increase parental</u>

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 results expected 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.
	<u>within the Early Childhood Comprehensive Services Council (Parent Supports/ Parent Education Subcommittee)</u>	<u>engagement by providing parents access to resources and supports</u>
<input type="checkbox"/>	Other	

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

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

- Yes. If yes,
  - a) Provide the name of the entity responsible for the coordination plan(s):
  - b) Describe the age groups addressed by the plan(s):
  - c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
    - Yes
    - No
  - d) Provide a web address for the plan(s), if available: \_\_\_\_\_
- No

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

(658D(b)(1)(D), §98.14(a)(1))

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

- State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.  
If yes, describe entity, age groups and the role of the Lead Agency \_\_\_\_\_
- State Advisory Council (as described under the Head Start Act of 2007).

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

Focusing on education readiness, social competence, emotional development, physical and mental health, and nutrition, all of which are heralded by the various stakeholders represented in Tennessee, the Early Childhood Advisory Council (TN-ECAC) was approved in 2010. The Lead Agency has representation on the Executive Committee, which is composed of members from nine state and legislative agencies who have the primary funding and decision making authority for services available for young children and their families. In addition, the Lead Agency has representation on the Steering Committee and will assist with carrying out the activities of the TN-ECAC and supporting sustainability. The major goals of the TN-ECAC include:

1. Create a statewide high-quality comprehensive and aligned early childhood system of care and education for young children, ages birth through five years, which promotes school readiness.
2. To conduct a comprehensive statewide needs assessment to identify the quality and accessibility of early childhood education and development programs for children from birth to school entry.
3. Create a coherent system of aligned Early Learning and Program Quality Standards and Assessments.
4. Develop a statewide, well-qualified early childhood workforce.
5. Assist in the development and coordination of a uniform, statewide Longitudinal Data System.
6. Improve women's preconception, prenatal and postnatal health, including mental health, to assure a healthy beginning for all children in Tennessee; and build on this initiative by continuously addressing children's health and safety issues which impact learning and cognitive development up to school entry.

- Local Coordination/Council  
If yes, describe entity, age groups and the role of the Lead Agency \_\_\_\_\_
- Other.  
Describe \_\_\_\_\_
- None

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

- Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership \_\_\_\_\_
- No. \_\_\_\_\_

**1.6. Child Care Emergency Preparedness and Response Plan**

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

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

- Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

*Tennessee has continued to take steps to develop a comprehensive approach to addressing emergency preparedness and disaster planning with licensed child care facilities. During the past two years, emergency preparedness efforts have focused on the following:*

- 1. The creation of local community/regional partnerships with representatives from both state and local emergency management agencies, public health officials, child care licensing, child care resource and referral agencies, non-governmental organizations, and others who can provide resources and assistance with planning and preparedness activities. There are four regional models that have been created across the state since the emergency preparedness initiative started. **(Ongoing process)***
- 2. Expanding regulatory requirements for licensed child care providers that addresses multi-hazard disasters, capabilities for temporary shelter, evacuation and, relocation of children, reunification of children and families, and plans to accommodate children with disabilities, and special needs. **(Projected implementation September 2014).***
- 3. Through the formation of the regional models and our partnerships with public health, emergency management, and other emergency preparedness officials, child care providers are receiving training and technical assistance on writing emergency preparedness plans, and strategies for both home and center based programs. **(Ongoing)***
- 4. The development of a web based site with resources to help child care providers and families in emergency preparedness/disaster and post disaster planning that will include sample forms/templates, a Six Step Emergency Preparedness Manual and Checklist. **(Projected implementation October 2013)***

5. *Developing a written plan that provides guidance to lead agency team members responsible for implementing the response to an emergency/disaster. The plan will be reviewed annually to assess the:*

- *ability to continue services,*
- *level of coordination efforts with emergency management agencies and key partners,*
- *need for changes in regulatory requirements or increased technical assistance for providers*
- *mechanisms in place for providing or facilitating temporary child care services after a disaster,*
- *available supports for rebuilding care after a disaster*

**Developed.** A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available: \_\_\_\_\_

**Other. Describe:** \_\_\_\_\_

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

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

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

<p><b>PART 2</b></p> <p><b>CCDF SUBSIDY PROGRAM ADMINISTRATION</b></p>
------------------------------------------------------------------------

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

**2.1. Administration of the Program**

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

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

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

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

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

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

Implementation of CCDF Services/Activities	Agency (Check all that apply)
<b>Who determines eligibility?</b>	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or

Implementation of CCDF Services/Activities	Agency (Check all that apply)
<b>Note:</b> If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____	social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<b>Who assists parents in locating child care (consumer education)?</b>	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input checked="" type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<b>Who issues payments?</b>	<input checked="" type="checkbox"/> CCDF Lead Agency <input checked="" type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
<b>Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)</b>	Individuals eligible for the child care certificate program are issued a child care certificate that shows the amount of co-payment the parent is required to pay the provider. The provider is issued the same certificate. Providers are paid a state rate depending on the age of the child, the type of child care facility, their location in the State, and their star rating. Most are paid by direct deposit to their bank.
<b>Other. List and describe:</b> _____	

## 2.2. Family Outreach and Application Process

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

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

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

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

Internet (provide website):

<http://www.tennessee.gov/humanserv/adfam/cccp.html>

- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe: \_\_\_\_\_

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

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

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website)  
<http://www.tennessee.gov/humanserv/> This is for Families First child care.  
 Other child care funding types use the attached application (Attachment 2.2.9 Parent Application).
- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other. Describe: \_\_\_\_\_

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

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

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

The lead agency provides parent consumer education through contract. Contractors are required to assist parents by providing information on child care availability and consumer education on quality child care.

At the time of enrollment in the subsidy program parents are provided information about:

- the Rated Licensing System and Star Quality Program;
- visiting child care agencies prior to enrolling their child;
- how to observe teacher child interactions;
- Child Care Resource & Referral Centers;

Tennessee also created Internet sites developed to help parents make better-informed decisions regarding their child's care. A full listing of all regulated child care providers along with specific information regarding the provider's Star Quality Component Scores can be found at <http://www.tn.gov/accweb/> . An additional web site that parents can use to find child care providers by location can be accessed at <http://tnmap.tn.gov/childcare/> A full description of Tennessee's Star Quality Program can be accessed at <http://tnstarquality.org>. In addition, the Department is adding licensed child care agency compliance history to the main website for parents to review.

A website, "Parents Know, Kids Grow" ([www.parentsknowkidsgrow.org](http://www.parentsknowkidsgrow.org) ), is also available to parents to inform them about a variety of topics related to children's safety, well-being and learning. The site also assists parents in making informed choices when selecting child care. It is expected that parents will have the information and support necessary to make informed choices concerning the care of their children including how to choose quality child care. The information on this website will help parents understand their child's health, safety and developmental needs.

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

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

The Lead Agency administers the state's quality rating and improvement system. The Tennessee Report Card and Star Quality Program. This quality rating and improvement system requires all licensed child care providers to undergo an annual evaluation and to receive a report card detailing the results of the evaluation. Agencies that exceed basic licensing standards and which earn a 1-Star, 2-Star, or 3-Star rating and, if enrolled in the CCDF certificate program, may participate in a Star Quality bonus program that results in increased reimbursement rates in accordance with the star rating.

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

- Provide access to program office/workers such as:
  - Providing extended office hours
  - Accepting applications at multiple office locations
  - Providing a toll-free number for clients
  - Email/online communication
  - Other. Describe: Interviews for subsidy eligibility may be completed by phone.
  
- 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

To the extent it is possible, policies are coordinated between CCDF subsidy, TANF, Medicaid, and SNAP.

- Streamlining verification procedures, such as linking to other program data systems
- Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment). Length of time
- A 30 day “bridge” policy is in place to sustain continuity of care when recipients are between jobs. - Recipients may be exempt from work requirements for up to 12 weeks for childbirth. A recipient may not receive more than six weeks of child care on either side of the date of birth, but may receive the total of 12 weeks if circumstances warrant.
- A recipient may receive 6 weeks of child care following major surgery or major illness that prevents a client from meeting work/education requirements.

\_(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 Agency’s policies to promote continuity of care for children and stability for families.**

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

- Provide CCDF assistance during periods of job search. Length of time

-A 30 day “bridge” policy is in place to sustain continuity of care when recipients are between jobs.

-Recipients may be exempt from work requirements for up to 12 weeks for childbirth. A recipient may not receive more than six weeks of child care on either side of the date of birth, but may receive the total of 12 weeks if circumstances warrant.

- A recipient may receive 6 weeks of child care following major surgery or major illness that prevents a client from meeting work/education requirements.

- 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: TANF
- Longer eligibility re-determination periods (e.g., 1 year). Describe Our TANF child care recipients are re-determined for child care subsidy annually along with their TANF re-determination. Our Transitional Child Care recipients are re-determined every 6 months.
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe
- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
- Individualized case management to help families find and keep stable child care arrangements. Describe: Recipients who have a TANF work requirement and child care subsidy are managed by staff who are case managers and work with their clients to keep stable child care arrangements.
- Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
- Other. Describe \_\_\_\_\_
- None

**2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency?**

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

- 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: \_\_\_\_\_
- None

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

Spanish applications; interpreter service that translate for effectively any language

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

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

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

We use an interpreter service that can provide translation assistance in any language.

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

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

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

<b>The Lead Agency requires documentation of:</b>	<b>Describe how the Lead Agency documents and verifies applicant information:</b>
<input checked="" type="checkbox"/> Applicant identity	<i>Based on TANF eligibility</i>
<input checked="" type="checkbox"/> Household composition	<i>Based on TANF eligibility</i>
<input checked="" type="checkbox"/> Applicant’s relationship to the child	<i>Based on TANF eligibility</i>
<input checked="" type="checkbox"/> Child’s information for determining eligibility (e.g., identity, age, etc.)	<i>Based on TANF eligibility</i>
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	<i>Based on TANF eligibility</i>

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Income	<i>Same as above until TANF cash assistance ends. Then, income is verified every 6 months either with existing information from the Family Assistance eligibility system used for other programs, or with client-provided verification.</i>
<input type="checkbox"/> Other. Describe _____	

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

- Time limit for making eligibility determinations. Describe length of time  
*45 days*
- 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 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))**

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

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

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

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

- a) Identify the TANF agency that established these criteria or definitions:  
State/Territory TANF Agency

Tennessee Department of Human Services

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

- "appropriate child care": State licensed child care or approved unregulated (unlicensed) child care that meets the needs of the child.
- "reasonable distance": This term is not formally defined, but applied on a case-by-case basis based on the parent/caretaker's circumstances
- "unsuitability of informal child care": Informal child care or "unregulated" child care providers must comply with a health and safety check list and must provide information regarding their criminal background. Certain crimes such as those involving children, violence against another person, or those that are drug related will disqualify a prospective provider. Registers that can be accessed without a fee are checked, such as the Sex Offender Registry.
- "affordable child care arrangements": Determined by the parent's ability to pay for child care available in their area. Parents/caretakers who are unable to locate and/or pay for care will not be penalized for their inability to perform required work activities due to lack of child care.

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

- In writing  
 Verbally  
 Other: \_\_\_\_\_

### **2.3. Eligibility Criteria for Child Care**

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

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

- residing with - To be eligible to receive child care benefits, a child must live in a place of residence maintained by a specified relative (within the 5th degree) as his or her home and the home of the child. This same individual must have care and control of the child. A relative is considered to have care and control of child when he/she has the major responsibility for parental obligations of day-to-day care, support, supervision and guidance for the child.
- in loco parentis – A caretaker must be within the 5th degree of relationship to be eligible for assistance.

### 2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 6 weeks to 13 years (may not equal or exceed age 13).

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

Yes, and the upper age is 18 (may not equal or exceed age 19)

These children become ineligible effective the date of their 18th birthday, or the date of their high school graduation if this date is before they turn 19, whichever is later.

<sup>±</sup> Provide the Lead Agency definition of *physical or mental incapacity* –

Physically or mentally incapable of self-care

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 18 (may not equal or exceed age 19)

These children become ineligible effective the date of their 18th birthday, or the date of their high school graduation if this date is before they turn 19, whichever is later.

No.

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

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

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

*working* –

For individuals receiving TANF cash assistance, any TANF-countable activity per the State’s Work Verification Plan qualifies as “work” for the purposes of receiving child care assistance. Thirty hours of paid work per week, including self-employment and/or education and training hours, must be met to receive post-TANF cash child care assistance. Work that does not meet the federal minimum

wage requirement is allowed, but the “countable” hours per week are determined by dividing the gross weekly income by the federal minimum wage.

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

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

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

*attending job training or educational program –  
For individuals receiving TANF cash assistance, any TANF-countable activity per the State’s Work Verification Plan qualifies as “work” for the purposes of receiving child care assistance. For the post-TANF population, the following education and training hours can be counted: Class hours in any public school, Tennessee Board of Regents (TBR) school (including Internet courses), or accredited private institution; Non-paid work performed in college service learning or volunteer programs; Internship hours; Laboratory hours; Tutoring hours received or provided by the participant; and Clients participating in educational activities will be allowed to count supervised homework/study time and one hour of unsupervised homework/study time for each hour of class time. Supervised homework/study time must be verified and documented to be countable toward educational training hours. The total countable homework/study time may not exceed the hours required or advised by the educational program.*

- No.

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

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

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

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

**Note** – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are not

working, or who are not in education/training activities for CCDF purposes these children are considered to be in protective services and should be included in this definition.

*protective services –  
The child welfare agency (Department of Children’s Services)  
determines eligibility for this category of assistance, and the lead  
agency functions only as a data entry entity for these cases.*

No.

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

Yes.  
 No.

### 2.3.5. Income Eligibility Criteria

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

*income –  
For most categories of assistance, 60% of the State Median Income. The State Agency considers the following sources as countable income:  
Gross Wages or Salary  
Net Income from Non-Farm Self-Employment  
Net Income from Farm Self-Employment  
Social Security  
Dividends, Interest, Income from Estates or Trusts, from Net Rental Income or Royalties  
Public Assistance or Welfare Payments  
Pensions and Annuities  
Unemployment Compensation  
Worker’s Compensation  
Alimony  
Child Support  
Veterans Pension  
Education and Training Stipends received directly by the student or to cover living expenses*

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

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above \_\_\_\_\_
- None

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

- Children under age 18
- Children age 18 and over – still attending school
- Teen parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other unrelated legal guardian
- None

Verification of relationship and age will be completed for: Verification of relationships and age for Families First participants is completed during the eligibility determination process for that program. These verifications remain documented as the family transitions to TCC or elects to receive a Diversion Payment.

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.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1			n/a	60%
2			2050	60%
3			2532	60%
4			3015	60%
5			3497	60%

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

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

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

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

No.

f) SMI Year 2012 and SMI Source Department of Health and Human Services/Office of the Administration for Children and Families FY2012

g) These eligibility limits in column (c) became or will become effective on: 10-1-2012

### 2.3.6. Eligibility Re-determination

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

Yes

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. 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.

Eligibility may be reviewed when a change in circumstances is reported. Changes in circumstances that would affect the child care case generally include an addition or loss of a family member or an employment loss or gain.

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

A change in the co-pay amount or a termination of eligibility for child care may occur based on a change that affects eligibility.

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> ).

We allow for a continuation of eligibility during temporary changes such as caretaker illness or short breaks from work activities and periods of unemployment (up to 30 days).

We allow for temporary income increases and decreases by disregarding income that is not "representative" during the process of determining average income for financial eligibility.

We provide coverage for verified illnesses for the child and for vacation days (not to exceed 10 days within a month).

We provide coverage for up to six weeks before and six weeks after child birth, and six weeks following major surgery.

We coordinate with SNAP and TANF programs for verification purposes.

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

Yes. If yes, describe

A short renewal form is mailed to the child care recipient. They complete, sign, include verification of income or other changes, and mail the form to their child care worker who approves or denies the re-determination and, if approved, mails the individual and the child care provider a new certificate.

No.

### 2.3.7. Waiting Lists

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

- Lead Agency currently does not have a waiting list and:
- All eligible families *who apply* will be served under State/Territory eligibility rules
  - Not all eligible families *who apply* will be served under State/Territory eligibility rules
- Lead Agency has an active waiting list for:
- Any eligible family who applies when they cannot be served at the time of application
  - Only certain eligible families. Describe those families: \_\_\_\_\_
- Waiting lists are a county/local decision. Describe \_\_\_\_\_
- Other. Describe \_\_\_\_\_

### 2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

Individuals have the right to appeal at any point before, during, or after an impending action. To be considered valid, the appeal must be filed no later than ninety (90) calendar days following the effective date of the negative action causing the appeal. In order for benefits to continue during the appeal period, the appeal must be filed within 10 days of the effective date of the negative action. The parent must be informed that if the negative action is upheld, then any continued child care service would be charged to them as an overpayment and subject to recovery. This recovery does not apply to any child care received during the 10-day advance notice period. Individuals must continue to meet their work requirements and pay any assessed parent co-pay fees during the appeal process to receive continued child care service.

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

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

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

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

- Yes. Effective Date 10-1-2012
- No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

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

Check only one option.

- State Median Income, Year: FY2012
- 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))

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

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

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

- Yes, and describe those additional factors:  
 No.

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

Select **ONE** of these options.

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

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

Families receiving TANF cash assistance and those approved by the child welfare agency for foster care/protective services assistance are not assigned a co-pay fee.

**2.5. Prioritizing Services for Eligible Children and Families**

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

**2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes?** (658E(c)(3)(B), §98.44)

Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in

the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p><b>Provide the Lead Agency definition of <i>Children with Special Needs</i></b></p> <p><i>This is not defined because they are given the same priority as other CCDF eligible families</i></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input checked="" type="checkbox"/> Other. Describe <b><u>Increase age limit for children with special needs.</u></b></p>
<p>Children in families with very low incomes</p> <p><b>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i></b></p> <p><i>Guaranteed subsidy eligible if receiving TANF and participating in a work component</i></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input checked="" type="checkbox"/> Other. Describe _____</p> <p><i>Guaranteed subsidy eligible if receiving TANF and participating in a work component</i></p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input checked="" type="checkbox"/> Other. Describe <i>Different financial eligibility threshold for teen parents in high school.</i></p>

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

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

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

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

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

**Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)
None	None

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

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

**2.6.1. Child Care Certificates**

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

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

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

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

- Public Services Announcement
- Agency Website:  
<http://www.tennessee.gov/humanserv/adfam/cccp.html>
- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe \_\_\_\_\_

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

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

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

100% of children on the subsidy program, whose parent(s) are in a work component and need child care, receive certificates

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

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

- Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: \_\_\_\_\_
- No. If no, skip to 2.6.3.

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

- Increase the supply of specific types of care
  - Programs to serve children with special needs
  - Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
  - Programs to serve infant/toddler

- School-age programs
- Center-based providers
- Family child care providers
- Group-home providers
- Programs that serve specific geographic areas
  - Urban
  - Rural
- Other. Describe \_\_\_\_\_
- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families. Specify: \_\_\_\_\_
- Other. Describe \_\_\_\_\_

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

- Yes.
- No, and **identify** the localities (political subdivisions) and services that are not offered: \_\_\_\_\_

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

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

**2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)**

Check the strategies that will be implemented by your State/Territory.

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

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

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

- No
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.

- Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
- Restricted based on provider meeting a minimum age requirement
- Restricted based on hours of care (certain number of hours, non-traditional work hours)
- Restricted to care by relatives
- Restricted to care for children with special needs or medical condition
- Restricted to in-home providers that meet some basic health and safety requirements
- Other. Describe

Care provided in the home in which the child resides is allowed only if the caregiver is the primary resident of the household; i.e. the individual who is named on the lease agreement or mortgage.

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)**

Through the Child Care Complaint Hotline: A record of all parental and non-parental complaints is encoded into and maintained by the Lead Agency's Tennessee Regulated Adult and Child Care System (RACCS). Complaints can be made directly to a Licensing staff person in a local county office or made via a centralized Complaint Hotline. Complaints can be made by telephone, in person, electronically, or by mail. Each complaint is entered into RACCS, cross-referencing a provider and sent to a DHS Program Evaluator and to the Department of Children's Services, as indicated. The Program Evaluator completes an investigation of the complaint and then the results are entered into the same system. The number and type of substantiated complaints on any individual provider is made available to the general public upon request to the local licensing office. Parental complaints about unregulated providers are managed on the local level through county Department of Human Services offices.

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

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

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

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

- Yes. Effective Date: 10-1-12
- No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

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

- Policy on length of time for making payments. Describe length of time

The State has a 10-day turnaround goal for payments to providers.

- 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, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 <http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 7/2012.

b) Provide a **summary of the results** of the survey. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

In an effort to provide adequate subsidy payments to Tennessee child care providers relative to their costs, a Market Rate Survey is conducted annually to determine the maximum payment reimbursement rates for subsidized child care in the state. Providers caring for children who qualify for subsidy assistance through the child care certificate program are currently reimbursed for care at the subsidy rate or at the private-paying rate, whichever is lower.

The Market Rate data are gathered from an Annual Reporting Survey that is required of all licensed child care agencies in the state of Tennessee. Rate data for all active child care providers across the state are collected and reported for three provider categories: Day Care Centers, Group Homes, and Family Homes. Within each provider category, rates are further categorized by age of child (infant through school-age) and by type of rate (i.e., daily, weekly, monthly, full-time). The data are used to understand market prices for child care services in Tennessee.

In order to minimize the effects of state subsidies on the calculations of these market rates, only data for those agencies whose subsidies comprise less than 50 percent of revenue are used in this analysis. Further, it is necessary to perform some adjustments to the raw data before the market rates are calculated. Multiple fee structures are reported across all categories of providers (i.e., daily, weekly, monthly). Therefore, all rates are first converted to one single, standard weekly rate using the following conversion: weekly and full-time rates are used as reported; monthly rates are divided by 4.33; and daily rates are multiplied by 5. For instance, a \$433 monthly rate is divided by 4.33 to yield a \$100 weekly rate. Similarly, a reported daily rate of \$20 is multiplied by 5 to get a weekly rate of \$100. In the event that more than one rate structure is reported within a single age category for an agency, an average weekly rate is computed from the calculated standard weekly rates.

In an effort to exclude part-time rates from the market rate calculations, facilities reporting fees under \$40.00 per week for Infant through 5-Year Olds are excluded in determining the average cost of care or percentile rankings of rates. Likewise, weekly fees for Before and After School care of less than \$30.00 per week are excluded.

An average market rate and ranked percentiles are calculated for the following age categories: Infant, Toddler, 2 Years Old and Over, and School Age. The average rate is a simple average of all the weekly rates within an age group and category. All rates within an age bracket and category are also ranked from highest to lowest. Once the rates are ranked, the 50th, 60th, and 70th percentiles for each age bracket and provider category are calculated and reported. A percentile is the percent of the distribution of ranked rates that are equal to or below a given rate. To illustrate, the 70th percentile is the point in the ranked set of rates where 70 percent of the reported rates are lower, and 30 percent of the reported rates are higher.

Percentiles are reported for two groups of counties, as well as the state as a whole. The method used to identify the counties in the first group (Tier I Market) includes those Tennessee counties that were either one of the top-20 highest 2010 population counties or one of the top-20 highest 2008-2010 average per capita personal income counties. This method is preferable to one that relies on a ranking of the average daycare rates charged by day care centers. Use of population and personal income rankings allows selection based on measures that are likely correlated with the conditions in each market for child care services, while at the same time it separates the selection criteria from the Department of Human Services' influence on the market rates. These criteria yielded 27 counties to include Anderson, Blount, Bradley, Coffee, Davidson, Fayette, Greene, Hamilton, Knox, Loudon, Madison, Maury, Montgomery, Moore, Putnam, Roane, Robertson, Rutherford, Sevier, Shelby, Sullivan, Sumner, Tipton, Trousdale, Washington, Williamson, and Wilson counties. The second group (Tier II Market) contains all other 68 Tennessee counties.

School-Age care presents some unique problems. Day care facilities report rates of care for school-aged children in several sub-categories: Before School care only; After School care only; Before and After School care; School Weekly; School Full-Time; School Monthly; and School Daily. From these, two categories of School-Age care were determined, School-Age Out and School-Age In. The School-Age Out category represents rates charged for children who are in Kindergarten through 17 years when school is not in session and care is provided all day. An average weekly rate was computed for School-Age Out using the School Full-Time, School Weekly, and School Monthly divided by 4.33 rates. The School-Age In category represents rates charged for children in Kindergarten through 17 years when school is in session and care is not provided for a full day. The School-Age In weekly rate was determined by averaging the School Before and After, School After, School Daily times 5, and 5-Year Before and After rates.

The tables described below can be viewed at:  
<http://www.tn.gov/humanserv/adfam/cc/TN-MarketRateSurvey72012.pdf>

Table 1 includes summary data for the 27- highest ranking Tennessee counties as defined above. The remaining 68 counties were aggregated and results are presented in Table 2. Table 3 contains summary data for all 95 Tennessee counties. As shown in the tables, calculations were made at the 50th, 60th, and 70th percentiles for the two aggregated sets of counties, as well as for the state as a whole. The average weekly rate charged by

providers in the survey, the current fee (state rate) as provided by the Tennessee Department of Human Services, and the number of providers in each age group are also shown for each provider type. The summary tables can be used in establishing appropriate policy regarding child care subsidy reimbursement rates for each county.

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

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

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

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

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

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

<b>2.7.4a – Highest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	757.75 (175x4.33)	571.56 (132x4.33)	60%
Full-Time Licensed Center Preschool (59 months)	632.18 (146x4.33)	428.67 (99x4.33)	60%
Full-Time Licensed Center School-Age (84 months)	411.35 (95x4.33)	324.75 (75x4.33)	60%

<b>2.7.4b – Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	757.75 (175x4.33)	411.35 (95x4.33)	60%
Full-Time Licensed Center Preschool (59 months)	632.18 (146x4.33)	329.08 (76x4.33)	60%
Full-Time Licensed Center School-Age (84 months)	411.35 (95x4.33)	216.50 (50x4.33)	60%

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

**Note** - Report the “base” maximum reimbursement rate ceilings, not including any rate add-ons or tiered reimbursement. For example, if maximum reimbursement

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

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

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

<b>2.7.4c – Highest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	541.25 (125x4.33)	433.00 (100x4.33)	60%
Full-Time Licensed FCC Preschool (59 months)	519.60 (120x4.33)	411.35 (95x4.33)	60%
Full-Time Licensed FCC School-Age (84 months)	433.00 (100x4.33)	324.75 (75x4.33)	60%

<b>2.7.4d – Lowest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75<sup>th</sup> percentile of the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75<sup>th</sup> percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	541.25 (125x4.33)	324.75 (75x4.33)	60%
Full-Time Licensed FCC Preschool (59 months)	519.60 (120x4.33)	303.10 (70x4.33)	60%
Full-Time Licensed FCC School-Age (84 months)	433.00 (100x4.33)	281.45 (65x4.33)	60%

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

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

Payment rates for license-exempt centers are set the same way as centers who are not exempt.

- b) Describe how license-exempt family child care home payment rates are set: N/A
- c) Describe how license-exempt group family child care home payment rates are set: N/A
- d) Describe how in-home care payment rates are set: N/A

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

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

- Differential rate for nontraditional hours. Describe \_\_\_\_\_
- Differential rate for children with special needs as defined by the State/Territory. Describe \_\_\_\_\_
- Differential rate for infants and toddlers. Describe See Attachment 2.7.1 Payment Rates - Based on MRS
- Differential rate for school-age programs. Describe See Attachment 2.7.1 Payment Rates- Based on MRS
- Differential rate for higher quality as defined by the State/Territory. Describe See Attachment 2.7.1 Payment Rates- Based on MRS
- Other differential rate. Describe Urban/rural distinctions See Attachment 2.7.1 Payment Rates- Based on MRS
- 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...**

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

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

a) Number of absent days allowed. Describe

5-10 absence days are allowed depending on whether the provider is paid monthly (10) or bi-monthly (5)

b) Paying based on enrollment. Describe

Providers submit an attendance document; they are paid based on documented attendance

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

Providers cannot charge parents/caretakers of children participating in the subsidy program any more than parents of children who are not participating in the program

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

Our providers are paid by check or direct deposit

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

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

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

The reimbursement rate which a provider will be paid for the care of a child is based on a variety of factors, each of which helps ensure that a full range of providers are available. The factors include:

- age of the child (infant, toddler, pre-school, school-age) - provider location (2 county designations that account for higher costs in larger counties and those with higher per capita incomes)  
- type of provider (center-based, family home, group home, unregulated)

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

A market rate survey is conducted on an annual basis; although the reimbursement rates themselves have not been changed since 1/1/08, an analysis of the rates in comparison to current market rate data indicates there are an adequate number of providers charging the same or less than the state rate.

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

The current co-pay fees are calculated so that no family receiving subsidized child care pays in excess of 8% of their income toward that expense.

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 None

## **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.)

<u>Goal 1 – Build/expand information technology system for the child care subsidy program.</u>
------------------------------------------------------------------------------------------------

<u>Goal 2 – Double the number of unregulated provider monitoring visits.</u>
------------------------------------------------------------------------------

Goal 3 - Require basic health and safety training for unregulated providers within 30 days of enrolling in the program to include but not limited to safe sleep, vehicle restraints, and identified high risk activities .

Goal 4 - Require basic criminal background check for all non-relative unregulated providers that would include at least a local name check (the lead agency has not yet determined if this requirement would apply to existing unregulated providers or if it would only be applicable to new unregulated providers as they enroll in the program).

Goal 5 - Develop standardized materials to educate parents regarding choosing care that includes a safe and healthy learning environment, and require a parent orientation during the intake process that includes information on the importance of their involvement in their child's early learning, social emotional development, and school-readiness.

### **PART 3**

## **HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES**

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

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

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

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

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

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

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

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

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

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

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

**Definition:** Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification 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.

Tennessee's child care licensing rules are comprehensive and surpass the CCDF health and safety requirements.

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

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

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
category				
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe 	Describe 	Describe 	Describe 

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

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s) work.	Describe which types of center-based settings are subject to licensing in your State/Territory  <i><u>"Child care center" means any place or facility operated by any person or entity that provides child care for three (3) or more hours per day for at least thirteen (13) children who are not related to the primary caregiver; provided, that a child care agency shall not be classified as a "child care center" that operates as a "group child care home" and keeps three (3) additional school-age children as permitted in subdivision (10); provided, further, that all children, related or unrelated shall be counted in the adult-to-child supervision ratios and group sizes applicable to child care centers; with the exception, that if the child care center is operated in the occupied residence of the primary caregiver, children nine (9) years of age or older who are related to the primary caregiver will not be counted in determining the adult-to-child supervision ratios or group sizes applicable to child care centers if such children are provided a separate space from that occupied by the child care center. The department may permit children in the separate space to interact with the children in the licensed child care center in such manner as it may determine is appropriate."</u></i>	Describe which types of center-based settings are exempt from licensing in your State/Territory  <i><u>Exempt providers include: Boys and Girls Clubs; summer camps; casual care; Parents' Day Out; recreational programs; child care centers operated by church schools; any center falling under the jurisdiction of the Department of Education; nurseries, activities, or babysitting associated with religious services.</u></i>  For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.
Group Home	Group home child care provider is defined as	Describe which types of group homes are subject to	<i>Describe which types of group homes are exempt</i>

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?
Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	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.	licensing <u>Group child care home" means any place or facility operated by any person or entity that provides child care for three (3) or more hours per day for at least eight (8) children who are not related to the primary caregiver; provided, however, that the maximum number of children present in a group child care home, including those related to the primary caregiver, shall not exceed twelve (12) children, with the exception that, if the group child care home is operated in the occupied residence of the primary caregiver, children related to the primary caregiver nine (9) years of age or older will not be counted in determining the maximum number of children permitted to be present in a group child care home, if those children are provided a separate space from that occupied by the group child care home; and, provided, further, that up to three (3) additional school age children, related or unrelated to the primary caregiver, may be received for child care before and after school, on school holidays, on school snow days and during summer vacation. The department may permit children in the separate space to interact with the children in the licensed group child care home in such manner as it may determine is appropriate."</u>	from licensing  <u>Any program caring for four or fewer unrelated children and/or an unlimited number of related children. Related children are defined as the children, step-children, grandchildren, step-grandchildren, siblings of the whole or half-blood, step-siblings, nieces, nephews, or foster children of the primary caregiver. By Tennessee law licensed family or group homes can be in locations other than a private residence.</u>
Family Child Care	Family child care provider is defined as one individual who	Describe which types of family child care home providers are subject to	Describe which types of family child care home providers are exempt from

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?
	<p>provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.</p> <p><b>Reminder</b> - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>licensing</p> <p><u><i>"Family child care home" means any place or facility that is operated by any person or entity that provides child care for three (3) or more hours per day for at least five (5) children but not more than seven (7) children who are not related to the primary caregiver; provided, that the maximum number of children present in the family child care home, including related children of the primary caregiver shall not exceed twelve (12), with the exception that, if the family child care home is operated in the occupied residence of the primary caregiver, children related to the primary caregiver nine (9) years of age or older will not be counted in determining the maximum number of children permitted to be present in a "family child care home" if those children are provided a separate space from that occupied by the family child care home. The department may permit children in the separate space to interact with the children in the licensed family child care home in such manner as it may determine is appropriate."</i></u></p>	<p>licensing</p> <p><u><i>Individuals who care for four (4) or fewer unrelated children are exempt, by law, from licensure. Related children are defined as the children, step-children, grandchildren, step-grandchildren, siblings of the whole or half-blood, step-siblings, nieces, nephews, or foster children of the primary caregiver. By Tennessee law licensed family or group homes can be in locations other than a private residence.</i></u></p>

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?
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. <b>Reminder</b> - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.  Describe which in-home providers are subject to licensing <u>None</u>	Describe which types of in-home child care providers are exempt from licensing <u>All in-home care is exempt in Tennessee.</u>

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

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
Do the licensing requirements	<input checked="" type="checkbox"/> Yes, Child: staff ratio	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care. <input checked="" type="checkbox"/> Yes, Child: staff ratio	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List	<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home) <input type="checkbox"/> Yes, Child: staff ratio

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
<p>include <b>child: staff ratios and group sizes</b>?</p> <p>If yes, provide the ratio for age specified.</p>	<p>requirement</p> <p>Infant ratio (11 months): <u>1:4</u></p> <p>Toddler ratio (35 months): <u>1:7</u></p> <p>Preschool ratio (59 months): <u>1:13</u></p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months): <u>8</u></p> <p>Toddler group size (35 months): <u>14</u></p> <p>Preschool group size (59 months): <u>20</u></p> <p><input type="checkbox"/> No group size requirements.</p>	<p><input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.</p> <p>requirement</p> <p>Infant ratio (11 months): <u>2:15 or 3:15</u></p> <p>Toddler ratio (35 months): <u>2:15 or 3:15</u></p> <p>Preschool ratio (59 months): <u>1:15 or 2:15 or 3:15</u></p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months): <u>15</u></p> <p>Toddler group size (35 months): <u>15</u></p> <p>Preschool group size (59 months): <u>15</u></p> <p><input type="checkbox"/> No group size requirements.</p>	<p>ratio requirement by age group:</p> <p><b><u>Family Home Ratios:</u></b> <u>The total number of children in a family day care home with one caregiver shall not exceed seven, including "related" children under nine years of age, and in a home with one caregiver, the number of children under two years of age shall not exceed four.</u></p> <p><u>If the number of children, including the primary caregiver's "related" children, exceeds seven, one of the following options shall be met at all times: Two Caregivers are required if there are more than 7 children (including "related" children under age 9), and no more than 4 are under age 2. Three caregivers are required if there are more than 7 children (including "related" children under age 9), with more than 4 under age 2.</u></p> <p><u>If any child's physical or mental condition requires special care, or when a field trip is taken off premises, the</u></p>	<p><input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)</p> <p>requirement. List ratio requirement by age group:</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input type="checkbox"/> No group size requirements.</p>

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<p><i>number of caregivers required (any option) shall be increased by one.</i></p> <input type="checkbox"/> No ratio requirements. <input checked="" type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group <i>See Above</i> <input type="checkbox"/> No group size requirements.	<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
Do the licensing requirements identify specific educational <b>credentials for child care directors?</b>	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: <i>Plus Four Years of Experience</i>	<input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:
Do the licensing requirements identify specific educational <b>credentials for child care teachers?</b>	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
	Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other:  <i>Each Group must have one caregiver present that has a high school diploma.</i>	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.  <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> required for licensing <input type="checkbox"/> Other:	<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)  <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:
Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <i>Directors must have 36 hours of training during the first year and 18 hours of training each year thereafter. Caregivers must 18 hours of training during the first year and 12 hours of</i>	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <i>Primary Caregivers must have eight (8) hours of training annually. Caregivers must have two (2) hours of training annually.</i>	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <i>Primary Caregivers must have four (4) hours of training annually. Caregivers must have two (2) hours of training annually.</i>	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input type="checkbox"/> Other:

Indicator	For each indicator, check all requirements for <b>licensing</b> that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
	<i>training each year thereafter.</i>			

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

Yes. Describe

*The Tennessee Child Care Licensing Rules are under review for possible promulgation in FY 2014-2015.*

No

### 3.1.2 Enforcement of Licensing Requirements

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

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

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

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year	<input type="checkbox"/> Once a Year <input checked="" type="checkbox"/> More than Once a Year

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
	<input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____
<input checked="" type="checkbox"/> Group Home Child Care  <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Once a Year <input checked="" type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____
<input checked="" type="checkbox"/> Family Child Care Home	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Once a Year <input checked="" type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe _____

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

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

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input checked="" type="checkbox"/> Yes. Describe <u>All new agencies must participate in an orientation</u> <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe _____
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input checked="" type="checkbox"/> An on-site inspection is conducted. <input type="checkbox"/> Programs self-certify. Describe _____ <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe _____
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections. <input checked="" type="checkbox"/> Licensing staff approve the plans of _____

<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
	correction submitted by providers.
	<input checked="" type="checkbox"/> Licensing staff verify correction of violation.
	<input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation.
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe <span style="background-color: #ccccff;">      </span>
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license
	<input checked="" type="checkbox"/> License revocation or non-renewal
	<input checked="" type="checkbox"/> Injunctions through court
	<input checked="" type="checkbox"/> Emergency or immediate closure not through court action
	<input checked="" type="checkbox"/> Fines for regulatory violations
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe <span style="background-color: #ccccff;">      </span>
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input checked="" type="checkbox"/> Cease and desist action
	<input checked="" type="checkbox"/> Injunction
	<input type="checkbox"/> Emergency or immediate closure not through court action
	<input type="checkbox"/> Fines
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other. Describe <span style="background-color: #ccccff;">      </span>
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe <i>Tennessee law establishes an appeal process in which child care providers can appeal enforcement actions to a Board of Review. Decisions of the Board of Review can also be appealed to chancery court.</i>
	<input type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe <span style="background-color: #ccccff;">      </span>

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

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

No

<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>	<b>Who is Subject to Background Checks?</b>
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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> <b>Center-Based Child Care</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe  <i>This check is also required when:</i> <u>1. An individual begins employment at another agency</u> <u>2. A change in ownership or legal status occurs</u> <u>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc.</u> <u>Additional checks may be conducted upon request by Licensing staff.</u>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other  <i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</i>
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>This check is also required when:</i> <u>1. An individual begins employment at another agency</u> <u>2. A change in ownership or legal status occurs</u> <u>3. We have a reasonable suspicion that someone has acquired an</u>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
		<i>excludable background i.e. in response to a complaint, etc. Additional checks may be conducted upon request by Licensing staff.</i>	_____
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>This check is also required when:</i> <i>1. An individual begins employment at another agency</i> <i>2. A change in ownership or legal status occurs</i> <i>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc. Additional checks may be conducted upon request by Licensing staff.</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other  <i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</i>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>This check is also required when:</i> <i>1. An individual begins employment at another agency</i> <i>2. A change in</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other  <i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in</i>



CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	background check includes fingerprints	<input checked="" type="checkbox"/> Other. Describe <u><i>This check is also required when:</i></u> <u><i>1. An individual begins employment at another agency</i></u> <u><i>2. A change in ownership or legal status occurs</i></u> <u><i>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc.</i></u> <u><i>Additional checks may be conducted upon request by Licensing staff.</i></u>	<u><i>paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</i></u>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u><i>This check is also required when:</i></u> <u><i>1. An individual begins employment at another agency</i></u> <u><i>2. A change in ownership or legal status occurs</i></u> <u><i>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc.</i></u> <u><i>Additional checks may be conducted upon request by Licensing staff.</i></u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home  <u><i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</i></u>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>This check is also required when:</u> <u>1. An individual begins employment at another agency</u> <u>2. A change in ownership or legal status occurs</u> <u>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc.</u> <u>Additional checks may be conducted upon request by Licensing staff.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home  <u>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</u>
<input checked="" type="checkbox"/> <b>Family Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <u>This check is also required when:</u> <u>1. An individual begins employment at another agency</u> <u>2. A change in ownership or legal status occurs</u> <u>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home  <u>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</u>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
		<i>response to a complaint, etc. Additional checks may be conducted upon request by Licensing staff.</i>	
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>This check is also required when:</i> <i>1. An individual begins employment at another agency</i> <i>2. A change in ownership or legal status occurs</i> <i>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc. Additional checks may be conducted upon request by Licensing staff.</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</i>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>This check is also required when:</i> <i>1. An individual begins employment at another agency</i> <i>2. A change in ownership or legal status occurs</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
		<p><u>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc. Additional checks may be conducted upon request by Licensing staff.</u></p>	<p><u>agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</u></p>
<p><input type="checkbox"/> <b>In-Home Child Care Providers</b></p> <p><input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not</p>	<p><input type="checkbox"/> Child Abuse Registry</p>	<p><input type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; display: inline-block; width: 20px; height: 1em; vertical-align: middle;"></span></p>	<p><input type="checkbox"/> Provider</p> <p><input type="checkbox"/> Non-provider residents of the home</p> <p><span style="background-color: #ADD8E6; display: inline-block; width: 20px; height: 1em; vertical-align: middle;"></span></p>
	<p><input checked="" type="checkbox"/> Sex Offender Registry</p>	<p><input checked="" type="checkbox"/> Initial Entrance into the System</p> <p><input type="checkbox"/> Checks Conducted Annually</p> <p><input checked="" type="checkbox"/> Other. Describe <u>This check is also required when:</u></p> <p><u>1. An individual begins employment at another agency</u></p> <p><u>2. A change in ownership or legal status occurs</u></p> <p><u>3. We have a reasonable suspicion that someone has acquired an excludable background i.e. in response to a complaint, etc. Additional checks may be conducted upon request by Licensing staff.</u></p>	<p><input checked="" type="checkbox"/> Provider</p> <p><input checked="" type="checkbox"/> Non-provider residents of the home</p> <p><u>Any person applying to work with children as a paid employee, director, manager or owner of a child care agency in which any significant contact with children is likely in the course of the person's employment, including substitutes who are used by the child care agency to meet child care standards and who substitute for more than thirty-six (36) hours in one calendar year.</u></p>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
subject to licensing in your State/Territory (skip to 3.1.2e)	<input type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe [redacted]	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home <input type="checkbox"/> [redacted]
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe [redacted]	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home <input type="checkbox"/> [redacted]
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe [redacted]	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home <input type="checkbox"/> [redacted]

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

d -1) The cost associated with each type of background check conducted \$48.00

d-2) Who pays for background checks

Tennessee Department of Human Services

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

(e) (1) (A) (i) Whether obtained by use of the procedures established in this section or whether information is obtained by any other means, no person shall be employed with, be a licensee or operator of, provide substitute services to, or have any access whatsoever to children in a childcare agency as defined by this part, nor shall the person be employed with the department in a position having significant contact with children.

whose criminal or available juvenile background records, registry or perpetrator records demonstrate that the person has been convicted of, pled guilty or no contest to an offense or lesser included offense, is the subject of a juvenile petition or finding that would constitute an offense or lesser included offense, or whose criminal or juvenile background history report or other information demonstrates the existence of a pending warrant, indictment, presentment or petition, involving:

(a) The physical, sexual or emotional abuse or gross neglect of a child;

(b) A crime of violence against a child or any person;

(c) Any offense determined by the department, pursuant to properly promulgated rules, to present a threat to the health, safety or welfare of children;

(d) The identification of the person on the department of health's vulnerable persons registry pursuant to title 68, chapter 11, part 10, or on the state's sex offender registry, or, whose status, pursuant to a review under § 71-3-515, of the department of children's services and the department of human services records of indicated perpetrators of abuse or gross neglect of children or adults, or if determined necessary by the department, reviews of available juvenile court records, demonstrate a history that would require the person's exclusion under this part.

(ii) No person who is currently charged with or who has been convicted of or pled guilty to a violation of § 39-13-213, § 55-10-101, § 55-10-102 or § 55-10-401, or any felony involving use of a motor vehicle while under the influence of any intoxicant, may, for a period of five (5) years after the date of the conviction or felony plea, be employed as or serve as a driver transporting children for a childcare agency.

(B) (i) Upon receipt from the department of the criminal and juvenile fingerprint-based background report or other information regarding the criminal, juvenile, vulnerable persons, sex offender or perpetrator records histories of a person about whom this information was obtained, the department shall notify the childcare agency and the person of the person's clearance to assume a position with the childcare agency or that the person must be excluded from positions or circumstances with the agency described in subdivision (a)(1) or from any access to children.

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

The law allows an individual to appeal an exclusion by challenging the accuracy of the determination. The individual may only show that they are not the person identified in the records used to make the determination; or that the basis for the exclusion has been dismissed, resulted in an acquittal, or has been expunged. The individual may not challenge the underlying facts or the legal basis of the actions that resulted in the determination.

The law also allows an individual to request an administrative waiver that will exempt them from the exclusion. A waiver can be requested at any time. Information and documentation that demonstrates that there are extenuating circumstances that provide a good reason to waive the exclusion are submitted to an advisory committee. The advisory committee then makes a recommendation to the Director of Child and Adult Care Licensing about whether or not a waiver that will exempt the person from the exclusion should be granted. A decision by the Director of Child and Adult Care Licensing to reject a waiver request may also be appealed to the Division of Appeals and Hearings.

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

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other “search tools,” about child care program licensing status and compliance records?

Yes. Describe

A searchable database containing all licensed child care providers is maintained on the Lead Agency's website. <http://www.tn.gov/accweb/> Participation in the Star Quality Program is noted on the website for each provider. Specific compliance records beyond what is required for meeting the Star Quality criteria (such as complaint information) is not available on the website, but it is available through the Child Care Complaint Hotline. All compliance information is available for public review upon request.

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))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Physical exam or health statement for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Physical exam or health statement for children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe <u>Additional precautions required for sick child care</u>  <u>Tuberculosis check for providers and children is only done under specified conditions.</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) **Describe** the Lead Agency’s health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which

assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

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

c) **Describe** the Lead Agency’s health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc). “On-going” would be some type of routine occurrence (e.g., maintain qualifications each year).

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	<i>Required for all staff who provide transportation: A first aid course sponsored or approved by the American Red Cross, or other first aid course, as recognized by the Lead Agency.</i>	<i>Current certification from a recognized certifying organization must be maintained – course must be a minimum of 3 hours.</i>

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
	CPR	<u>Required for all staff who provide transportation: Infant/Pediatric Cardiopulmonary Resuscitation (CPR) from the American Red Cross, the American Heart Association, or other certifying organization as recognized by the Lead Agency.</u>	<u>Current certification from a recognized certifying organization must be maintained – initial course must be a minimum of 4 hours.</u>
	Medication Administration Policies and Practices	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	<u>None</u>
	Poison Prevention and Safety	<u>None</u>	<u>None</u>
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<u>Before any caregiver can assume caregiving duties of any type in an infant room they shall be oriented in the SIDS and Safe Sleep procedures. Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	<u>Any staff member who cares for infants or may in the course of their duties become responsible for the care of infants shall additionally annually complete refresher training on SIDS and Safe Sleep Procedures.</u>
	Shaken Baby Syndrome and abusive head trauma prevention	<u>None</u>	<u>None</u>
	Age appropriate nutrition, feeding, including support for breastfeeding	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	<u>None</u>
	Physical Activities	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	<u>None</u>

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<u>Content included as a part of a mandatory pre-service training</u> <u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	<u>Within the first two (2) weeks of employment each staff shall receive training on disease control and health promotion and information on risks of infection to female employees of childbearing age.</u>
	Recognition and mandatory reporting of suspected child abuse and neglect	<u>Content included as a part of a mandatory pre-service training</u> <u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>  <u>Prior to assuming duties, each new employee shall receive orientation in, and be able to explain, policies regarding the reporting of child abuse. Within the first two (2) weeks of employment each employee shall receive instruction in child abuse detection, reporting, and prevention.</u>	<u>All agency staff, including non-caregiving staff, shall receive training every six (6) months regarding procedures to report child abuse and neglect.</u>
	Emergency preparedness and planning response procedures	<u>Content included as a part of a mandatory pre-service training</u> <u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u> <u>Prior to assuming duties, each new employee shall receive orientation in, and be able to explain emergency procedures.</u>	<u>The agency shall train staff and implement emergency procedures through timely practice drills to meet local regulations and local emergency services plans. Extended Care: At least one (1) of these drills shall be conducted during extended care hours.</u>
	Management of common childhood	<u>Content included as a part of a mandatory</u>	None

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	illnesses, including food intolerances and allergies	<u>pre-service training (Before You Begin New Caregiver).</u>	
	Transportation and child passenger safety (if applicable)	<u>Content included as a part of a mandatory pre-service training (Before You Begin New School-Age Caregiver). Prior to assuming their duties, all individuals responsible, or who may in the course of their duties become responsible at any time for transporting children (including drivers and monitors), shall complete Department-recognized pre-service training in:</u> <u>1. The proper daily safety inspection of the vehicle as required by these rules;</u> <u>2. The proper use of child safety restraints required by these rules and state law;</u> <u>3. The proper loading, unloading, and tracking of children as required by these rules;</u> <u>4. The proper use of a blood-borne pathogen kit, first aid kit, and other required vehicle emergency equipment as required by these rules;</u> <u>5. The proper verification procedures for the evacuation of the vehicle based upon the type of vehicle and the ages of the children served; and</u> <u>6. The developmentally appropriate practices applicable to the behavior management of children during transportation.</u>	<u>Following the completion of pre-service transportation training, all persons responsible at any time for the transportation of children (including drivers and monitors), shall complete Department-recognized transportation training on transportation rules every six (6) months.</u>

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	<u>Parents or other appropriate individual identified by the parent shall provide information and, as appropriate, training for caregivers regarding special needs/techniques/emergency measures/etc., as utilized in the child's home to ensure the child's safety and well-being.</u>
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Supervision of children	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Behavior management	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Other. Describe <span style="background-color: #ADD8E6; display: inline-block; width: 50px; height: 15px;"></span>		
<b>Group Home Child Care</b>	First Aid	<u>All persons responsible, or who may in the course of their duties become responsible at any time, for the transportation of children shall complete a first aid course sponsored or approved by the American Red Cross, or other first aid course, as recognized by the Lead Agency.</u>	<u>The primary caregiver shall have evidence of completing, or being currently enrolled in, a pediatric first aid course (a minimum of three hours) taught by a qualified instructor.</u>

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	CPR	<u>All persons responsible, or who may in the course of their duties become responsible at any time, for the transportation of children shall hold current certification in Infant/Pediatric Cardiopulmonary Resuscitation (CPR) from the American Red Cross, the American Heart Association, or other certifying organization, as recognized by the Lead Agency.</u>	<u>The primary caregiver shall have evidence of completing, or being currently enrolled in, a pediatric CPR course (a minimum of three hours) taught by a qualified instructor.</u>
	Medication Administration Policies and Practices	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	None
	Poison Prevention and Safety	None	None
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	<u>Any staff member who cares for infants or may in the course of their duties become responsible for the care of infants shall additionally annually complete refresher training on SIDS and Safe Sleep Procedures.</u>
	Shaken Baby Syndrome and abusive head trauma prevention	None	None
	Age appropriate nutrition, feeding, including support for breastfeeding	None	None
	Physical Activities	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New</u>	None

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		<u>School-age Caregiver).</u>	
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	<u>A primary caregiver shall complete a Lead Agency - sponsored child care orientation class within three months of licensure.</u>
	Recognition and mandatory reporting of suspected child abuse and neglect	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	<u>All caregivers shall have training in detection, reporting, and prevention of child abuse.</u>
	Emergency preparedness and planning response procedures	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	<u>All caregivers shall be able to explain emergency procedures to follow in case of fire, serious injury or illness of a child or a caregiver, or disaster.</u>
	Management of common childhood illnesses, including food intolerances and allergies	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Transportation and child passenger safety (if applicable)	<u>Content included as a part of a mandatory pre-service training (Before You Begin New School- Age Caregiver). Prior to assuming their duties, all persons responsible, or who may in the course of their duties become responsible, at any time, for transporting children (including drivers and monitors) shall complete Department of Human Services recognized pre-service transportation training in:</u> <u>(i) The proper daily safety inspection of the vehicle</u>	<u>Following the completion of pre-service transportation training, all persons responsible at any time for the transportation of children (including drivers and monitors), shall complete Department of Human Services-recognized transportation training that includes the subject matter set forth in 1240-04-01-.07(1)(c)3, above, a minimum of every six (6) months.</u>

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		<p><u>set forth in subparagraph (2)(b) below:</u>  <u>(ii) The proper use of child safety restraints set forth in paragraph (4) and Tennessee Code Annotated, Title 55, Chapter 9, Part 6 and applicable Federal Motor Vehicle Safety Standards relative to child safety restraint systems and vehicle design requirements for the type of vehicle used to transport children;</u>  <u>(iii) The proper use of the verification procedures set forth in subparagraph (1)(b) above;</u>  <u>(iv) The proper use of a blood borne pathogen kit;</u>  <u>(v) The proper procedures for the evacuation of the vehicle based upon the type of vehicle and the ages of the children served; and</u>  <u>(vi) The developmentally appropriate practices applicable to the behavior management of children during transportation.</u></p>	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	None
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	None
	Supervision of children	<u>Content included as a part of a mandatory</u>	None

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
		<u>pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	
	Behavior management	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-Age Caregiver).</u>	None
	Other. Describe		
<b>Family Child Care Providers</b>	First Aid	<u>All persons responsible, or who may in the course of their duties become responsible at any time, for the transportation of children shall complete a first aid course sponsored or approved by the American Red Cross, or other first aid course, as recognized by the Lead Agency.</u>	<u>The primary caregiver shall have evidence of completing, or being currently enrolled in, a pediatric First Aid course (a minimum of three hours) taught by a qualified instructor.</u>
	CPR	<u>All persons responsible, or who may in the course of their duties become responsible at any time, for the transportation of children shall hold current certification in Infant/Pediatric Cardiopulmonary Resuscitation (CPR) from the American Red Cross, the American Heart Association, or other certifying organization, as recognized by the Lead Agency.</u>	<u>The primary caregiver shall have evidence of completing, or being currently enrolled in, a pediatric CPR course (a minimum of three hours) taught by a qualified instructor.</u>
	Medication	<u>Content included as a part of a mandatory</u>	None

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
	Administration Policies and Practices	<u>pre-service training (Before You Begin New Caregiver).</u>	
	Poison Prevention and Safety	None	None
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	<u>Any staff member who cares for infants or may in the course of their duties become responsible for the care of infants shall additionally annually complete refresher training on SIDS and Safe Sleep Procedures.</u>
	Shaken Baby Syndrome and abusive head trauma prevention	None	None
	Age appropriate nutrition, feeding, including support for breastfeeding	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver).</u>	None
	Physical Activities	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	<u>A primary caregiver shall complete a Lead Agency sponsored child-care orientation class within three months of licensure.</u>
	Recognition and mandatory reporting of suspected child abuse and neglect	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	<u>All caregivers shall have training in detection, reporting, and prevention of child abuse.</u>
	Emergency preparedness and planning response procedures	<u>Content included as a part of a mandatory pre-service training (Before You Begin New</u>	<u>The primary caregiver shall provide training and all caregivers shall be able to explain emergency</u>

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		<u>Caregiver and New School-age Caregiver).</u>	<u>procedures to follow in case of fire, serious injury or illness of a child or a caregiver, or disaster.</u>
	Management of common childhood illnesses, including food intolerances and allergies	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Transportation and child passenger safety (if applicable)	<u>Prior to assuming their duties, all persons responsible, or who may in the course of their duties become responsible, at any time, for transporting children (including drivers and monitors) shall complete Department of Human Services recognized pre-service transportation training in: (i) The proper daily safety inspection of the vehicle set forth in subparagraph (2)(b) below; (ii) The proper use of child safety restraints required by these rules. Tennessee Code Annotated, Title 55, Chapter 9, Part 6, applicable Federal Motor Vehicle Safety Standards relative to child safety restraints, and; the restraint and vehicle manufacturer's design requirements for the type of child restraints and vehicles used to transport children; (iii) The proper use of the verification procedures set forth in subparagraph (1)(b) above; (iv) The proper use of a blood borne pathogen kit; (v) The proper procedures for the evacuation of the vehicle based upon the</u>	<u>Following the completion of pre-service transportation training, all persons responsible at any time for the transportation of children (including drivers and monitors), shall complete Department of Human Services-recognized transportation training that includes the subject matter set forth in 1240-04-04-.07(1)(c)3, above, a minimum of every six (6) months.</u>

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
		<u>type of vehicle and the ages of the children served; and (vi) The developmentally appropriate practices applicable to the behavior management of children during transportation.</u>	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Supervision of children	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Behavior management	<u>Content included as a part of a mandatory pre-service training (Before You Begin New Caregiver and New School-age Caregiver).</u>	None
	Other. Describe <span style="background-color: #ADD8E6; display: inline-block; width: 50px; height: 1em; vertical-align: middle;"></span>		
<b>In-Home Child Care Providers</b>	First Aid		
	CPR		
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death		

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
	Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and planning response procedures		
	Management of common childhood illnesses, including food intolerances and allergies		
	Transportation and child passenger safety (if applicable)		
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children		

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	receiving services.		
	Supervision of children		
	Behavior management		
	Other. Describe <u>Unregulated providers complete a health and safety checklist and are allowed the opportunity to correct any deficits related to the checklist subsequent to a home visit, and prior to approval to become a subsidy program provider.</u>		

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

- All relative providers are subject to the same health and safety requirements as described in 3.1.2a-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

*Relative providers are subject to the following requirements that are a part of a Health and Safety Checklist:*

1. There are no more than six (6) children present in the home, with no more than four (4) unrelated to the provider.
2. There must be a working landline telephone or cellular phone in the home. 911 phones are not acceptable.
3. Parent contact information must be readily accessible in case of an emergency. Emergency numbers must be placed near the telephone in a clearly visible location.
4. Children must not be kept in a room that is without a window.
5. Rooms used for child care must have at least two (2) outside exits. One exit may be through a non-barred window.

6. There must be at least one working smoke detector and fire extinguisher on each floor of the home. Each detector must be tested at each visit. One extinguisher must be located in the kitchen.
7. All hazardous materials/equipment and toxic substances, such as medicines, cleaning agents, polishes, bleach, detergents, paints, insecticides, etc. must be stored out of children's reach and away from food.
8. Unused electrical outlets within children's reach must have protective coverings.
9. There must be a safety gate for all open stairwells when there are children in the home under the age of five (5).
10. All weapons and ammunition must be stored and locked separately. Weapons must be stored unloaded.
13. The home must have a working toilet available to the children and provider, as well as a diapering area with appropriate supplies and is sanitized after each use.
12. Both hot and cold running water and soap must be available for hand washing.
13. Children's toys, play materials, tables and chairs, etc., must be clean and in good repair and meet safety standards.
14. Have a first aid kit available and appropriately stocked.
15. If transportation is provided, the provider ensures that age appropriate and Federally approved child safety restraints are always used and the provider has a clear procedure to ensure that no child is ever left unattended in a vehicle.

e) Provide a web address for the State/Territory's health and safety requirements, if available: <http://www.state.tn.us/sos/rules/1240/1240-04/1240-04.htm> (Rules for child care providers licensed by the Department of Human Services)

### **3.1.4 Effective enforcement of the CCDF health and safety requirements.**

For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in 3.1.2 for licensed providers, please describe how the Lead Agency enforces the CCDF health and safety enforcement requirements.

A health and safety checklist is completed during the application process and verified during all home visits. The check list includes the following items and assurances:

1. There are no more than six (6) children present in the home, with no more than four (4) unrelated to the provider.
2. There must be a working landline telephone or cellular phone in the home. 911 phones are not acceptable.
3. Parent contact information must be readily accessible in case of an emergency. Emergency numbers must be placed near the telephone in a clearly visible location.
4. Children must not be kept in a room that is without a window.
5. Rooms used for child care must have at least two (2) outside exits. One exit may be through a non-barred window.
6. Children must not be kept in a second story apartment without a second exit door to the ground unless the provider is a relative
7. There must be at least one working smoke detector and fire extinguisher on each floor of the home. Each detector must be tested at each visit. One extinguisher must be located in the kitchen.

8. All hazardous materials/equipment and toxic substances, such as medicines, cleaning agents, polishes, bleach, detergents, paints, insecticides, etc. must be stored out of children's reach and away from food.
9. Kerosene or other portable heaters must not be in use while children are present. (Exception: When the child lives in the provider's home and the provider is a relative.)
10. Unused electrical outlets within children's reach must have protective coverings.
11. There must be a safety gate for all open stairwells when there are children in the home under the age of five (5).
12. All weapons and ammunition must be stored and locked separately. Weapons must be stored unloaded.
13. The home must have a working toilet available to the children and provider, as well as a diapering area with appropriate supplies and is sanitized after each use.
14. Both hot and cold running water and soap must be available for hand washing.
15. Children's toys, play materials, tables and chairs, etc., must be clean and in good repair and meet safety standards.
16. Have a first aid kit available and appropriately stocked.
17. If transportation is provided, the provider ensures that age appropriate and Federally approved child safety restraints are always used and the provider has a clear procedure to ensure that no child is ever left unattended in a vehicle.

I, as the unregulated provider, agree that all of these items are now in compliance or will be in compliance by the time of my initial home visit.

I agree that I will maintain these items in compliance while on the Certificate Program. I understand that I may be immediately terminated without appeal for failure to maintain compliance with these health and safety conditions while on the Certificate Program.

I agree to immediately report to the Child Care Certificate Program office any accident with or without injury of a child in my care.

I agree to immediately report to the Department of Children Services and the Child Care Certificate Program office any suspicions of child abuse or neglect.

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

For unregulated child care providers (unlicensed), Lead Agency Child Care counselors make announced home visits prior to final approval to determine if the provider's home meets certain health and safety guidelines necessary to participate in the Child Care Certificate Program.

- b) Describe whether the Lead Agency uses background checks

Background checks are currently not required for unregulated providers.

- 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 \_\_\_\_\_

No

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

If the provider does not or is unable to meet the health and safety standards, he/she will be disqualified from the program.

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

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

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

- Yes. Describe [redacted]  
 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 [redacted]  
 No  
 Other. Describe [redacted]

- 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 [redacted]  
 No  
 Other. Describe [redacted]

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

- Yes. If Yes, provide the name of the tool(s) [redacted]  
 No  
 Other. Describe [redacted]

**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).

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

- Number of licensed programs. Describe (optional)
- Numbers of programs operating that are legally exempt from licensing. Describe (optional)

*These data are limited to programs that are required to register as exempt providers and unregulated providers receiving subsidies.*

- Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional)
- Number of injuries in child care as defined by the State/Territory. Describe (optional)
- Number of fatalities in child care as defined by the State/Territory. Describe (optional)
- Number of monitoring visits received by programs. Describe (optional)
- Caseload of licensing staff. Describe (optional)
- Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional)

*We maintain records of license denials, suspensions, and 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?

*Regulated Adult and Child Care System (RACCS) performance reports; i.e., violation trends, agency open/close, legal enforcement data, unannounced visits. Quality Assurance case review system is in place.*

**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 Lead Agency conducted a child care strategy session with child care providers, parents, and community and state agency partners, with a focus on the current ORIS, child outcomes and parental engagement. A preliminary evaluation of the ORIS will be completed by January 1, 2014.

### 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.)

Goal 1 – Increase licensing staff training in the areas of developmentally appropriate practice and early learning

Goal 2 – Increase scope of licensing rules to include quality measures such as increasing the requirements for incorporating language/literacy, culturally sensitive activities and self-help skills into the daily curriculum.

Goal 3 – Increase pre-service and ongoing health and safety training for providers.

Goal 4 – Include child care agency compliance history on the lead agency's website.

Goal 5 – Require child care providers to include an overview of their program and information on parent engagement in their parent handbook, and to provide and review parent engagement strategies with the parent during the required pre-placement visit (the content of the parent engagement strategies will be developed by the lead agency).

**New!**

CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link <http://www.acf.hhs.gov/programs/occ/resource/government->

performance-and-results-act-gpra-measures to see the CCDF performance measures. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon  in Section 3.2 through 3.4 in order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

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

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

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

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

If yes, insert web addresses, where possible:

*ELG for birth to five are located at:*

<http://www.tennessee.gov/education/ci/earlychildhood/>

[http://www.readtennessee.org/teachers/pre-k\\_reading/tn-elds.aspx](http://www.readtennessee.org/teachers/pre-k_reading/tn-elds.aspx)

[http://www.readtennessee.org/math/teachers/pre-k\\_mathematics/tn-elds.aspx](http://www.readtennessee.org/math/teachers/pre-k_mathematics/tn-elds.aspx)

*ELG for five years and older are located at:*

[http://www.state.tn.us/humanserv/adfam/cc/school\\_age\\_dev\\_std.pdf](http://www.state.tn.us/humanserv/adfam/cc/school_age_dev_std.pdf)

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

*The lead agency for the birth to five ELG is the Department of Education. The lead agency for children five years and older in child care is the Department of Human Services.*

#### **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.

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

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

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

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. List <i>Practitioners and students majoring in ECED and/or Child Development</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



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

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional credential
- To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
- To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
- To develop State-/Territory –approved curricula
- Other. List All school-administered public and private pre-K programs.
- None.



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

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

- Cross-walked to align with Head Start Child Development and Early Learning Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other. List ELGs 4 year old standards aligned with Common Core State Standards
- None.

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

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

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

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

Yes. Describe

Currently local education agencies may choose an assessment instrument to be used in the State's Voluntary Pre-K program. The TN-ECAC proposed plan includes development of recommendations and guidance for the selection and administration of appropriate school readiness instruments aligned to the early learning standards and K-3 academic standards.

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

Yes. Describe

Ongoing assessments and the results are utilized in TN Voluntary Pre-K classes.

No

Other. Describe

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

Yes. Describe

This occurs in TN Voluntary Pre-K classes.

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

Each local education (LEA) agency has discretion for this tracking within the Voluntary Pre-K program.

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

Yes. Describe

No

Other. Describe Assessment tools may focus on one or more area at the discretion of the LEA.

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

- All children. Describe *NA*
- Samples of children. Describe [redacted]
- Other. Describe [redacted]

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

- Yes. Describe *Student achievement results are part of quantitative data used in teacher evaluation process.*
- No
- Other. Describe [redacted]

- No
- Other. Describe [redacted]

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

- Yes. Describe [redacted]
- No
- Not applicable. State does not have an SLDS.

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

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

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

- Number/percentage of child care providers trained on ELG’s for preschool aged children. Describe (optional) [redacted]
- Number/percentage of child care providers trained on ELG’s for infants and toddlers. Describe (optional) [redacted]
- Number of programs using ELG’s in planning for their work. Describe (optional) [redacted]

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

The performance measurement for the early learning guidelines is through the Developmental Learning component of the QRIS Report Card. In Tennessee, three stars is the top rating a child care agency can attain. For the one-, two-, and three-star levels, child care agencies must maintain copies of the applicable developmental standards (Tennessee Early Learning Developmental Standards and/or Tennessee School-Age Developmental Standards) on site and available to staff. For one-, two-, and three-star levels the use of the applicable developmental standards must be observed and documented. In addition, a percentage of teaching staff that have been employed for at least 120 days must participate in three hours of state approved training on the applicable developmental learning standards at least once every three years. For the one star level the director/primary caregiver and at least 50% of all teaching staff must have completed developmental learning training; two-stars requires the director/primary caregiver and at least 75% of all teaching staff; and three-stars requires the director/primary caregiver and 100% of all teaching staff.

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

The Lead Agency established a goal to develop a set of four instruments to evaluate the implementation of the early learning guidelines in child care agencies. Three of the instruments are designed specifically for the various age ranges found in child care centers including infant/toddler, preschool, and school-age. A fourth instrument is designed to be used in family/group agencies. Currently, this goal is being revisited to determine if the state wants to pilot the use of the instruments.

### 3.2.8 Goals for the next Biennium –

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

learning guidelines?

<i>Goal # 1 - Develop additional training opportunities and update existing online training modules on the Early Learning Guidelines.</i>
<i>Goal # 2 - Train child care agency providers on the revised Tn-ELDS for birth – 3 year old standards (revised standards will be available in 2013).</i>
<i>Goal # 3 - Launch the School Readiness model adopted by the ECAC at the Early Childhood Summit and implement in programs across all child care serving agencies by 2014.</i>

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

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

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

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

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

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

*The Lead Agency (the Department of Human Services) is responsible for the planning and administration of the quality rating and improvement activities. The Lead Agency houses the Adult and Child Care Licensing and the Child Care Assessment programs. The Lead*

Agency funds the Tennessee Child Care Resource and Referral (CCR&R) Network to provide training and technical assistance which supports parents, caregivers and child care providers. The Lead Agency also funds the Tennessee Early Childhood Training Alliance (TECTA) to support child care staff in continuing their education and/or meet ORIS training requirements. TECTA is a comprehensive, articulated provider training system provided through agreements with Tennessee Board of Regents (TBR) colleges and universities. The Lead Agency also funds the Tennessee Family Child Care Alliance (TFCCA) to manage Tennessee's Outstanding Providers Supported Through Available Resources (TOPSTAR) program to provide technical assistance and professional development for child care home providers. Additionally, research and evaluation services and assessment support are provided through contracts with the University of Tennessee College of Social Work Office of Research and Public Service. The quality improvement activities are offered statewide and are supported by local advisory committees comprised of early child care professionals including child care providers.

### 3.3.1 Element 1 – Program Standards

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

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

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

Tennessee Pre-K programs certified by the Department of Education are eligible to participate in the QRIS. The Lead Agency administers the program assessment and the Department of Education staff evaluates and tallies the remaining report card components. Programs that meet national accreditation standards are awarded two additional points in the calculation of the report card score.

- None

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

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



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

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe <span style="background-color: #ADD8E6; border: 1px solid black; display: inline-block; width: 50px; height: 1em; vertical-align: middle;"></span>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

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

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

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

- Yes. Describe

*The system is designed to be a network which supports providers in moving from compliance with health and safety standards to higher levels of program quality. On-site technical assistance and targeted technical assistance is provided primarily through CCR&R and TOPSTAR services. QRIS related help is extensive and includes free trainings to meet QRIS criteria, technical assistance specific to the Environment Rating Scales used for the Program Assessment component of the QRIS report card, access to*

QRIS related materials and resources to be used within the child care agency, and on-site consultations to improve the quality of care.

- 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.



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

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving/maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe <span style="background-color: #0070C0; color: white; padding: 0 20px;"> </span>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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



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

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS)  Describe, including frequency of assessments.  <u>All child care centers and homes licensed by the Lead Agency are required to receive a Program Assessment annually using the appropriate ERS.</u>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS)  Describe, including frequency of assessments.	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes  Describe, including frequency of assessments.  <u>A Program Administrator Credential is available to child care center directors (using the PAS) as well as to the primary caregiver in child care homes (using the BAS). The completion of the Program Administrator Credential by the center director fulfills part of the one-, two-, and three- star criteria for the "Director Qualifications" component of the QRIS Report Card. Completion of the credential by the child care home primary caregiver counts toward QRIS hours of training requirements.</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21 <sup>st</sup> Century Learning Center programs  Describe, including frequency of assessments.  <u>For one-, two-, and three-star levels the use of an annual professional development plan is required. A percentage of teaching staff that have been employed for at least 120 days must</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<u>complete an annual professional development plan. For the one-star level the director/primary caregiver and at least 50% of all teaching staff must have completed the plan; two-stars requires the director/primary caregiver and at least 75% of all teaching staff; and three-stars requires the director/primary caregiver and 100% of all teaching staff.</u>			
<input type="checkbox"/> Other. Describe <span style="background-color: #ADD8E6; display: inline-block; width: 50px; height: 1em;"></span>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

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

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

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

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

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

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

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

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

Periodic multi-partner events are organized within local Hispanic communities.

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

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

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

Participation is voluntary for

Boys & Girls Clubs and agencies approved by the Department of Education

Participation is mandatory for

Participation in the QRIS evaluation process and the posting of the QRIS report card are required of all child care agencies licensed by the Lead Agency (Department of Human Services). The assignment and posting of the actual rating is voluntary for agencies that attain a one-, two-, or three

star rating. Traditionally, less than 5% of qualifying agencies opt out of participating in the rated licensed system.

- Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.
- No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.
  - State/Territory is in the development phase
  - State/Territory has no plans for development
- Other. Describe



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

- Child care centers
- Group child care homes
- Family child care homes
- In-home child care
- License exempt providers
- Early Head Start programs
- Head Start programs
- Pre-kindergarten programs
- School-age programs
- Other. Describe

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

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

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

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

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

*These data are available for all child care programs licensed by the Lead Agency as well as agencies approved by the Department of Education that voluntarily participate in the QRIS evaluation process.*

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

*These data are available for all programs licensed by the Lead Agency. This is a regular part of the Annual Report, which is public information and is sometimes posted on the State website.*

- Program scores on program assessment instruments. List instruments: ECERS-R, ITERS-R, SACERS, and FCCERS-R Describe (optional)

*These data are available for all programs licensed by the Lead Agency as well as DOE agencies voluntarily participating in the QRIS evaluation process. Aggregate data on program assessment instruments are a regular part of the Annual Report, which is public information and is sometimes posted on the State website.*

- Classroom scores on program assessment instruments. List instruments: ECERS-R, ITERS-R, SACERS, and FCCERS-R

Describe (optional)

*These data are available for all programs licensed by the Lead Agency as well as DOE agencies voluntarily participating in the QRIS evaluation process. Aggregate data on program assessment instruments are a regular part of the Annual Report, which is public information and is sometimes posted on the State website.*

- Qualifications for teachers or caregivers within each program. Describe (optional)
- Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional)
- Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional)
- Other. Describe
- None

**b) Performance measurement.** What, if any, are the Lead Agency's

performance measures on program quality?

The following performance measures are used by the lead agency to impact overall program quality:

Report Card Ratings for all licensed child care agencies, including report card component scores and overall agency scores. These scores are analyzed and compared to previous years both as aggregate group scores and as paired agency scores to track progress. Supplemental data regarding agency characteristics (accreditation, number of children with subsidies, location, etc.) are collected by Licensing. Statistical tests are used to determine the relationship of agency characteristics to scores.

Provider participation data on TECTA, CCR&R, TOPSTAR Agency program assessment scores, individual classroom and home scores (ERS) and item level scores. These scores are analyzed and compared to previous years both as aggregate group scores and as paired agency scores to track progress. Supplemental data regarding caregiver characteristics (education, training, longevity) and agency characteristics are collected by state assessors at the time of assessment. Statistical tests are used to determine the relationship of characteristics to scores.

- 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.

Assessor reliability checks to ensure the consistent use of each ERS statewide Comptroller Report  
Tennessee Report Card and Star-Quality Annual Report  
Inter-Rater Reliability Report  
Annual Ranking Alpha Report

### **3.3.9 Goals for the next Biennium –**

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

<i>Goal 1 - Evaluate the effectiveness of the Report Card and Rated Licensing System.</i>
<i>Goal 2 – Collect information about other state's CCDF initiatives regarding how to improve parental engagement and provide more opportunities for parents to understand their role in making decisions about the care and early learning for their children in preparation for school readiness. In addition, collect more information about research</i>

<i>and strategies that work to inform and engage parents, and incorporate these parent engagement strategies into the Report Card and Rated Licensing System.</i>
<i>Goal 3 – Collect information from other states regarding how they are monitoring/measuring child outcomes within their QRIS, and enlist the help of partners in the process to identify outcomes and strategies that could be incorporated within our QRIS.</i>
<i>Goal 4 - Revisit the goal to pilot the instrument for evaluating the early learning guidelines in child care programs and to train licensing staff on the use of this instrument.</i>

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

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

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

- 1) Core Knowledge and Competencies
  - 2) Career Pathways (or Career Lattice)
  - 3) Professional Development Capacity
  - 4) Access to Professional Development
  - 5) Compensation, Benefits and Workforce Conditions
- a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.

*The Lead Agency has the primary responsibility for planning and administering the workforce professional development and related initiatives. Through contracts with state universities and non-profit organizations, the Lead Agency administers and funds the specific activities outlined in 3.4. Each of the entities listed below also utilize state and local advisory committees to assist with the planning of the contracted services:*

*1. Signal Centers, Inc. (Tennessee Child Care Resource and Referral Network – CCR&R)*

*2. Tennessee Family Child Care Alliance (Tennessee Outstanding Providers Supported Through Available Resources – TOPSTAR)*

*3. Tennessee State University (Tennessee Early Childhood Training Alliance - TECTA)*

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

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

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

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

Tennessee Early Childhood Training Alliance (TECTA) provides 30 clock hour orientations –occupation specific (Administrator, Center-based, Family Child Care, Infant Toddler, and School Age) which provide child care personnel with basic knowledge (content) and skills related to the core competencies of the Child Development Associate (CDA) credential to orient them and prepare them for academic courses. These core competencies are:

- 1: Planning a safe, healthy environment to invite learning
- 2: Steps to advance children's physical and intellectual development
- 3: Positive ways to support children's social and emotional development
- 4: Strategies to establish productive relationships with families
- 5: Strategies to manage an effective program operation.
- 6: Maintaining a commitment to professionalism
- 7: Observing and recording children's behavior
- 8: Principles of child development and learning

In addition, TECTA manages the Tennessee Early Childhood Program Administrator Credential (TECPAC) which is aligned with the National Association for the Education of Young Children Standards. These standards are:

1. Promoting child developing and learning
2. Building family and community relationship
3. Observing, documenting and assessing
4. Teaching and learning
5. Becoming a professional

If yes, insert web addresses, where possible:

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

- Child growth, development and learning  
 Health, nutrition, and safety

- Learning environment and curriculum
- Interactions with children
- Family and community relationships
- Professionalism and leadership
- Observation and assessment
- Program planning and management
- Diversity
- Other. Describe
- None

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

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

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other. Describe
- None

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe \_\_\_\_\_
- Providers working directly with children in family child care homes, including aides and assistants. Describe \_\_\_\_\_

- Administrators in centers (including educational coordinators, directors). Describe \_\_\_\_\_
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe \_\_\_\_\_
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe \_\_\_\_\_
- Other. Describe \_\_\_\_\_

Fully licensed teacher with certification in early childhood required for teacher position within Voluntary Pre-K classes.

None

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

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

### 3.4.2 Workforce Element 2 - Career Pathways

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



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

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

TECTA utilizes the career lattice concept to define the options and the sequence of qualifications for ongoing professional development in the field of child care/early childhood education. The lattice is introduced in all informational materials and embedded within TECTA orientations and all related activities. In addition, the preservice training in the Before You Begin modules supports the sequence of qualifications for new caregivers and directors. A licensed teacher with certification in early childhood is qualified to teach birth to age 8 in the Voluntary Pre-K program.

No, the State/Territory has not developed a career pathway. Skip to \_\_\_\_\_

question 3.4.3.

Insert web addresses, where possible:

<http://www.tecta.info/>

<http://tnccrr.org>

<http://tn.gov/education>

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

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

*The Star-Quality Report Card and Evaluation System includes a Professional Development component which defines career pathway options for work experience, degrees, credentials, and/or certifications.*

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

*The Star-Quality Report Card and Evaluation System includes a Professional Development component which defines career pathway options for work experience, degrees, credentials, and/or certifications.*

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

*The Star-Quality Report Card and Evaluation System includes a Director Qualifications component which defines career pathway options for work experience, degrees, credentials, and/or certifications.*

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

*The CCR&R specialists are highly qualified with a minimum of a bachelor's degree in early childhood or related field and highly trained through train-the-trainer institutes held biannually. TECTA specialists and coordinators are highly qualified with a minimum of a bachelor's degree in early childhood or related field and highly trained. TOPSTAR mentors must meet high quality standards as a licensed family provider. In addition, they must complete a standardized mentoring course.*

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

The CCR&R specialists are highly qualified with a minimum of a bachelor's degree in early childhood or related field and highly trained through train-the-trainer institutes held biannually. TECTA specialists and coordinators are highly qualified with a minimum of a bachelor's degree in early childhood or related field and highly trained, and must meet the Southern Association of Colleges and Schools Accreditation standards for faculty. TOPSTAR mentors must meet high quality standards as a licensed family provider. In addition, they must complete a standardized mentoring course.

Other. Describe

The education and preparation lattice concept of the TECTA program provides the means to ensure early childhood teacher and caregiver preparation and recognition includes efficient articulation between Certificate, CDA Credential, Technical Certificate, Associate Degrees at the 13 TBR 2-year institutions, and tuition assistance for advanced Early Childhood Education degrees. In addition, the Tennessee Early Childhood Program Administrator Credential includes academic coursework, experiential learning, and portfolio assessment for child care administrators.

The TECTA Orientation course is a free 30 clock hours of specialized training based upon core professional knowledge. TECTA Orientation is offered in five specializations: Infant/Toddler, Center-Based (Pre-School), School-Age, Family Child Care, and Administration. Students who successfully complete the 30 hours receive a TECTA Orientation Certificate indicating receipt of formalized training.

The TECTA Orientation provides the academic gateway to the career lattice system of early childhood academic courses toward earning a CDA National Credential awarded by The Council for Professional Recognition. These courses follow NCATE/NAEYC standards and articulate into the Associate's degree in Early Childhood Education. All academic courses are available online, on the various campus sites, or in local community sites accessible by each of the state's ninety-five counties. TECTA was instrumental in formulating and implementing the statewide A.A.S. Early Childhood Education degree and continues to work on articulation agreements with 4-year institutions within the TECTA TBR system to implement articulated pathways for both the B.S. Early Childhood Education degree (with teacher licensure) and B.S. Child Development Degree. Course work is based upon national standards for preparation of professional early childhood personnel. The program provides articulation between post-secondary certificate and degree programs when students meet higher education admission requirements.

None

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

- Infants and toddlers  
 Preschoolers

- School-age children
- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs
- Other. Describe

The Lead Agency has piloted an Infant and Toddler Credential that requires community based training, portfolio development, implementation of skills, and academic coursework for successful completion of one of four tiers. The Lead Agency's state infant and toddler director coordinated the process with CCR&R, TECTA, TOPSTAR, and an external evaluator for the pilot. The design of the credential includes a comprehensive framework of community based workshop trainings that cover essential core knowledge to infant caregivers that is the foundation for academic course work. Completion of this academic coursework, in turn, outlines the professional development required to work with children. The Tennessee Early Childhood Program Administrator Credential (TECPAC) and Child Development Associate (CDA) credential is embedded in the present career lattice as professional credential options for individuals working in child care/early childhood education in Tennessee. The TECPAC is specifically for administrators of eligible child care/early childhood education programs.

- 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

Using TN ID numbers verifies the individual's employment in order to attend community based workshops through the CCR&R, TOPSTAR services and TECTA courses. A letter from the administrator of the child care agency

supporting the participation of the employee in the Infant and Toddler Credential Pilot was necessary for enrollment.

No

### 3.4.3 Workforce Element 3 – Professional Development Capacity

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

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

Yes. If yes, describe

A matrix has been completed detailing what early childhood certificate, credential, and degree programs are available throughout the state.

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

Child Care Resource and Referral and Tennessee Early Childhood Training Alliance sites were strategically located across the state to ensure availability to all child care providers.

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

The majority of training hours completed by child care providers statewide are through Child Care Resource and Referral (CCR&R) and Tennessee Early Childhood Training Alliance (TECTA). Both entities are funded and monitored by the Lead Agency. Training approval processes are in place for both entities. Any other training hours to meet annual licensing requirements must be recognized by child care licensing staff.

- Trainer approval process. Describe

All CCR&R and TECTA staff must meet prescribed early childhood education and experience qualifications including at a minimum a bachelor's degree.

- Training and/or technical assistance evaluations. Describe

Evaluations are used as a part of all trainings conducted by TOPSTAR and TECTA. CCR&R has a formal two tiered system of evaluation for training and technical assistance. These evaluations are used to improve performance and to inform future practice.

- Other. Describe
- None

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

- Yes. If yes, describe

The Tennessee Higher Education Commission requires specific articulation agreements between two and four year institutions to help ensure a seamless transition for child care providers between certificate, credential, and degree programs.

- No

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

- Yes. If yes, describe

Two-year institutions will review a valid Child Development Associate Credential and award up to nine hours of academic credit in the Early Childhood Education AAS Degree Program. There is an articulation agreement for high school students enrolled in an approved Department of Education career and technical education course of study, to receive credits in the Early Childhood Education AAS Degree. Some institutions across the state evaluate child care provider's previous training for consideration in awarding 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.



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

Yes. If yes, for which sectors?

- Child care
- Head Start/Early Head Start
- Pre-Kindergarten
- Public schools
- Early intervention/special education
- Other. Describe

The Tennessee Early Childhood Training Alliance (TECTA) provides training, and other services to regular volunteers in child care/early childhood 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.

Yes. If yes, describe

Child Care Resource & Referral and Tennessee Early Childhood Training Alliance offer information and make professional development opportunities available for Department of Human Services licensed child

care agency staff, including Head Start, and for a limited number of staff of Department of Education approved child care programs.

No

Insert web addresses, where possible:

<http://tncrr.org>

<http://www.tecta.info/>

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

Scholarships. Describe

Monetary support is offered to attend academic courses toward an early childhood certificate or degree.

Free training and education. Describe

This is offered through Child Care Resource & Referral, Tennessee Early Childhood Training Alliance, and Tennessee's Outstanding Providers Supported Through Available Resources.

Reimbursement for training and education expenses. Describe

Text book support and the payment of CDA credentialing fees is provided through Tennessee Early Childhood Training Alliance.

Grants. Describe [redacted]

Loans. Describe [redacted]

Loan forgiveness programs. Describe [redacted]

Substitute pools. Describe [redacted]

Release time. Describe [redacted]

Other. Describe [redacted]

None

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

Yes. If yes, describe

Early Childhood Coordinators are available at all community colleges and TECTA Site Coordinators provide advisement on academic coursework and related training. At the four-year institutions, ECED and Child Development Advisors provide career advice to those practitioners who have articulated into the B.S. Programs.

No

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

Yes. If yes, describe

Tennessee Early Childhood Training Alliance offers technical assistance through Child Development Associate Credential observations and feedback. Child Care Resource & Referral also offers technical assistance and coaching to licensed child care providers statewide. In addition, Tennessee's Outstanding Providers Supported Through Available Resources (TOPSTAR) offers mentoring services to licensed family and group home child care providers.

No

### 3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

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

 a) Does the State/Territory have a salary or wage scale for various professional roles?

Yes. If yes, describe [REDACTED]  
 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

TECTA provides financial support for tuition and textbooks for academic courses if the individual has meet pre-qualifications and is pursuing an early childhood related credential, certificate or degree.  
TECTA provides full financial awards in the amount of \$325.00 per person for the Child Development Associate (CDA) credential assessment fee required by the Council for Professional Recognition in Washington D.C. The CDA is a national credential and is the most widely recognized credential in early childhood education and is a key stepping stone on the path of career advancement in early childhood education.

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).

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

- Data on the size of the child care workforce. Describe (optional)
- Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional)
- Records of individual teachers or caregivers and their qualifications. Describe (optional)

The educational level of directors/primary caregivers is available for all Department of Human Services licensed providers.

- Retention rates. Describe (optional)
- Records of individual professional development specialists and their qualifications. Describe (optional)

CCR&R, TOPSTAR, and TECTA staff have credentials on file at their respective human resources agency.

- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional)
- Number of scholarships awarded . Describe (optional)

Data is available for child care providers attaining scholarships through the Tennessee Early Childhood Training Alliance.

- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) \_\_\_\_\_
- Number of credentials and degrees conferred annually. Describe (optional)

The TECTA database possesses information on the educational level of TECTA supported child care/early childhood education professionals. This information is self-reported by the individual.

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

These data are available for child care providers attaining services through TECTA, CCR&R, and TOPSTAR.

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

These data are available for child care providers attaining services through Tennessee Early Childhood Training Alliance.

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

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

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

- Yes.

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

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

The TECTA database possesses voluntary information on the educational, employment and TECTA orientation training

history of TECTA supported child care/early childhood education professionals. This information is self-reported by the individual.

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

The TECTA database possesses voluntary information on the educational, employment and TECTA orientation training history of TECTA supported child care/early childhood education professionals. This information is self-reported by the individual.

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

The TECTA database possesses voluntary information on the educational, employment and TECTA orientation training history of TECTA supported child care/early childhood education professionals. This information is self-reported by the individual.

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

Qualifications for CCR&R Network technical assistance providers are on file with their agency human resources department (mandatory).

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

Qualifications for CCR&R Network technical assistance providers are on file with their agency human resources department (mandatory).

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?

Within the QRIS there are increasing levels of professional development criteria for directors, primary caregivers and caregivers.

- 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.

Assessor reliability checks to ensure the consistent use of each ERS statewide  
Comptroller Report  
Tennessee Report Card and Star-Quality Annual Report

### **3.4.7 Goals for the next Biennium –**

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

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

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

Goal 1 – Work towards developing a more comprehensive workforce data system.

Goal 2 – Secure information about how other states have set up their data system and what elements are included.

## AMENDMENTS LOG

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

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Lead Agency’s approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information  
<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>

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

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

### **Instructions for Submitting Amendments:**

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

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

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



## APPENDIX 1 QUALITY PERFORMANCE REPORT

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

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

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

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

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

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

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

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

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

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

**A1.1 Progress on Overall Goals**

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

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

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

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

**A1.2 Key Data**

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

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

### A1.2.1 Number of Programs

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

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

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

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

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

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

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

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

N/A

Describe:

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

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

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

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

N/A

Describe:

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

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

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

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

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

N/A

Describe:

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

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

N/A

Describe:

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

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

N/A

Describe:

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

**A2.1 Progress on Overall Goals**

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

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

No

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

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

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

**A2.2 Key Data**

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

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

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

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

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

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

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

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

<b>Provider Categories</b>	<b>Birth to Three ELG's</b>	<b>Three-to-Five ELG's</b>	<b>Five and Older ELG's</b>	<b>N/A</b>	<b>Describe</b>
age children)					

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

**A3.1 Progress on Overall Goals**

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

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

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

**A3.2 Key Data**

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

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

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

(rather than practitioners) that is intended for moving programs to higher levels of quality.

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

N/A

Describe:

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

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

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

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

Inclusion \_\_\_\_\_

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

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

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

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

N/A

Describe:

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

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

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

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

N/A

Describe:

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

N/A

Describe:

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

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

N/A

Describe:

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

N/A

Describe:

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

- a) What is the total number of eligible child care centers for QRIS \_\_\_\_\_ OR Other Quality Improvement System? \_\_\_\_\_  
 N/A  
Describe: \_\_\_\_\_
- b) What is the total number of eligible family child care homes for QRIS \_\_\_\_\_ OR Other Quality Improvement System? \_\_\_\_\_  
 N/A  
Describe: \_\_\_\_\_
- c) What is the total number of eligible license-exempt providers for QRIS \_\_\_\_\_ OR Other Quality Improvement System? \_\_\_\_\_  
 N/A  
Describe: \_\_\_\_\_

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

- a) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of child care center programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?  
  
Number of Child Care Centers Participating in QRIS \_\_\_\_\_ OR Other Quality Improvement System \_\_\_\_\_  
  
Percentage of Child Care Centers Participating in QRIS \_\_\_\_\_ OR Other Quality Improvement System \_\_\_\_\_  
 N/A  
Describe: \_\_\_\_\_
- b) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of family child care programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?  
  
Number of Family Child Care Homes QRIS \_\_\_\_\_ OR Other Quality Improvement System \_\_\_\_\_  
  
Percentage of Family Child Care Homes QRIS \_\_\_\_\_ OR Other Quality Improvement System \_\_\_\_\_  
 N/A  
Describe: \_\_\_\_\_
- c) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of license-exempt programs in the State/Territory that

participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

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

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

N/A

Describe: \_\_\_\_\_

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

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

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

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

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

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

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

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

- a) What percentage of CCDF children were served in participating programs during the last fiscal year? \_\_\_\_\_
- b) What percentage of CCDF children were served in high quality care as defined by the State/Territory? \_\_\_\_\_ Provide the definition of high quality care in the Describe box. This may include assessment scores, accreditation, or other metric, if no QRIS.  
 N/A  
 Describe:

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

**A4.1 Progress on Overall Goals**

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

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

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

**A4.2 Key Data**

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

information necessary in order to fully understand the context of these data for any reporting activities involving this information.

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

- a) What is the total number of child care center teachers in the State/Territory as of September 30, 2014? \_\_\_\_\_  
 N/A  
 Describe:
  
- b) What is the total number of family child care providers in the State/Territory as of September 30, 2014? \_\_\_\_\_  
 N/A  
 Describe:
  
- c) What is the number of center teachers and family child care providers by qualification level as of the end of the last fiscal year? Count only the highest level of education attained.

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

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

- Teachers in child care centers \_\_\_\_\_
- Family child care home providers \_\_\_\_\_
- License-exempt providers \_\_\_\_\_
- N/A
- Describe:

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

- Teachers in child care centers \_\_\_\_\_
- Family child care home providers \_\_\_\_\_
- License-exempt providers \_\_\_\_\_
- N/A
- Describe:

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

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

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

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

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

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

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

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

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

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

**A5.1 Progress on Overall Goals**

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

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

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

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

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

The Lead Agency also certifies that:

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

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

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

- 1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:**  
<http://www.hhs.gov/forms/HHS690.pdf>
- 2. Certification regarding debarment:**  
<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other>
- 3. Definitions for use with certification of debarment:**  
<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other-o>
- 4. HHS certification regarding drug-free workplace requirements:**  
<http://www.acf.hhs.gov/grants/certification-regarding-drug-free-workplace-requirements>
- 5. Certification of Compliance with the Pro-Children Act of 1994:**  
<http://www.acf.hhs.gov/grants/certification-regarding-environmental-tobacco-smoke>
- 6. Certification regarding lobbying:**  
<http://www.acf.hhs.gov/grants/certification-regarding-lobbying>

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