



Child Care and Development Fund (CCDF)

For

State/Territory:

North Carolina Region IV

FFY 2012-2013

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2011 – 9/30/2013. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

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

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

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

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

North Carolina
FFY 2012-2013

PART 1 ADMINISTRATION

1.1 Contact Information

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

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

Name of Lead Agency: [North Carolina Department of Health and Human Services](#)

Address of Lead Agency: [2001 Mail Service Center Raleigh, NC 27699-2001](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Lanier M. Cansler, Secretary](#)

Phone Number: [919-733-4534](#)

Fax Number: [919-715-4645](#)

E-Mail Address: Lanier.Cansler@dhhs.nc.gov

Web Address for Lead Agency (if any): www.dhhs.state.nc.us

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: [Dr. Deborah J. Cassidy](#)

Title of CCDF Administrator: [Director, NC Division of Child Development and Early Education \(DCDEE\)](#)

Address of CCDF Administrator: [2201 Mail Service Center, Raleigh ,NC 27699-2201](#)

Phone Number: [919-662-4499](#)

Fax Number: [919-662-4568](#)

E-Mail Address: deb.cassidy@dhhs.nc.gov

Web Address for Lead Agency (if any): www.ncchildcare.net

Phone Number for CCDF program information

(for the public) (if any): (919) 662-4499

Web Address for CCDF program

(for the public) (if any): http://ncchildcare.dhhs.state.nc.us/parents/pr_sn2_ov.asp

Web Address for CCDF program policy manual

(if any): <http://info.dhhs.state.nc.us/olm/manuals/dcd/scc/man/index.htm>

Web Address for CCDF program administrative rules

(if any): <http://nrckids.org/STATES/NC/northcarolina.htm>

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

Name of CCDF Co-Administrator: N/A

Title of CCDF Co-Administrator: N/A

Address of CCDF Co-Administrator: N/A

Phone Number: N/A

Fax Number:

E-Mail Address: N/A

Description of the role of the Co-Administrator:

N/A

1.2 Estimated Funding

1.2.1 What is your expected level of funding for the first year of the FY 2012 - FY 2013 plan period?

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2011 through September 30, 2012. (§98.13(a)).

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$
\$196,089,908

Federal TANF Transfer to CCDF: \$ \$79,434,674

Direct Federal TANF Spending on Child Care: \$ \$67,439,721

State CCDF Maintenance-of-Effort Funds: \$ \$37,927,282

State Matching Funds: \$ \$28,310,270

Reminder - Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2012 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

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

Territories not required to meet CCDF Matching and MOE requirements should mark 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:

The General Revenue and lottery funding is the source of funds.

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

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

If checked, are those funds:

donated directly to the State?

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

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

N/A

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:

DCDEE is the current administrator of the state pre-kindergarten program (NCPK). Pre-k and child care services will be well coordinated and streamlined by ensuring blended funding so that integrated services are available through Pre-K, subsidized child care and Smart Start.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: \$8,425.563.00

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

To ensure parents have access to pre-k programs, subsidy funds provide wrap-around care to accommodate parents needing full day 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 fund requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care:

The pre-k program (NCPK) has been developed to meet the needs of working families, so programs' hours are at least 6.5 hours per day; wrap around services are provided for families who need additional child care hours; and parental choice information is given to families as they determine how to meet their child care needs.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: \$7,585,456.00

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

To ensure parents have access to pre-k programs, subsidy funds provide wrap-around care to accommodate parents who need full-day 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 2012. In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Activity	Estimated Amount of CCDF Quality Funds (indicate if targeted funds will be used)	Purpose	Projected Impact and Anticipated Results
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Child Care Resource & Referral	\$4,279,704.00(Child Care Resource & Referral)	This project funds a network of CCR&R agencies across the state. The CCR&R System ensures equity of access and consistency of quality across the state in the delivery of Child Care Resource & Referral CORE services: Parent Education and Referrals; Technical Assistance; Professional Development; Data Collection; & Public Awareness.	Consumer Ed: Consumer education and referrals tailored to individual family needs; parent education about the star rating system, quality criteria, and encouragement to use quality indicators when selecting care; information on state licensing requirements, availability of child care subsidy and other family supports, parenting resources, and community supports. Professional Development: Provide access to contact hours and credit-bearing courses and professional development supports to the child care workforce. Technical Assistance: On-site consultation to child care programs to improve quality of care. Data Collection: Data collection, evaluation, and analysis of critical services delivery and usage.
Infant Toddler Quality Enhancement Project	\$1,694,557.00 (Promoting Healthy Social Behaviors in Child Care Centers Project)		
Promoting Healthy Social Behaviors in Child Care Centers Project	\$1,646,365.00(Infant Toddler Quality Enhancement Project)	The Infant Toddler (IT) Quality Enhancement Project provides technical assistance and training to IT teachers to improve the quality of care they provide in their classrooms. The project features a highly trained team of regional infant toddler specialists who work with child care programs and community agencies in all 100 North Carolina counties.	In 2011-12,the Infant Toddler project is scheduled to deliver 4,500 on-site technical assistance consultations; provide 600 contact hours of training; development of a document that aligns the Infant-Toddler Foundations, ITERS-R and the Infant Toddler Inventory of Practices; develop CEU modules on infant toddler topics, including the science of infant and toddler development and the implications for teacher practices; develop a tool to measure/record classroom implementation of NCs Infant Toddler Foundations.
School Age Care Quality Improvement Project	\$1,213,258.00(School Age Care Quality Improvement Project)		
T.E.A.C.H. Scholarships	\$3,515,000.00(T.E.A.C.H. Scholarships)	The Promoting Healthy Social Behaviors in Child Care Centers project (HSB), improves program quality. The highly trained HSB specialists who work in all 100 counties across the state provide training and technical assistance to aid teachers in modifying their own behavior and early childhood environments to promote social-emotional competencies and prevent challenging behavior in the classroom.	In 2011-12,Promoting Healthy Social Behavior is scheduled to deliver 4,500 on-site technical assistance consultations; provide 600 contact hours of training; develop
T.E.A.C.H. Infant Toddler Scholarships	\$434,750.00(T.E.A.C.H. Infant Toddler Scholarships)		
T.E.A.C.H. Health Insurance Child Care	\$1,874,646.00(T.E.A.C.H. Health Insurance)	The School Age Care Quality Improvement Project is designed to improve outcomes for the states school age children by improving the quality and availability of out-of-school time care for that population. A team of highly trained specialists work in all 100 counties in North Carolina to provide technical assistance to	
The Child Care WAGE\$ Project	\$1,365,383.00 (The Child Care WAGE\$ Project)		
Healthy Safety Calendar/Bulletin for Child Care Providers	\$174,947.00 (Healthy Safety Calendar/Bulletin for Child Care Providers)		
NC Rated License Assessment Project (NCRLAP)	\$3,121,192.00 (NC Rated License Assessment Project)		

		<p>improve quality in licensed programs and to support successful licensure of unlicensed programs.</p> <p>T.E.A.C.H. Early Childhood® Project provides comprehensive educational scholarships to early care and education professionals as a strategy to improve the education, compensation and retention of North Carolinas early childhood workforce. Scholarships are structured using four components (scholarship, education, compensation and commitment) and are available to center-based teachers, directors and family child care providers working in licensed child care facilities in North Carolina.</p> <p>The goal of the T.E.A.C.H. Infant Toddler scholarships is to support increased participation in educational activities among teachers working with infants and toddlers. T.E.A.C.H. Early Childhood® Infant Toddler Scholarships offers enhanced release time support through associate and bachelor degree scholarships as a strategy to attract, educate, compensate and retain child care professionals caring for children ages 0-2.</p> <p>The Child Care WAGE\$® Project provides child care professionals with education-based salary supplements. To encourage consistency, installments based on half of the annual award are issued after each six month period the participant completes in the same child care program. Because these supplements reward education and continuity</p>	<p>a crosswalk aligning the CSEFEL Preschool Inventory of Practices and the Early Childhood Environment Rating Scale; and develop CEU modules on topics related to social-emotional health of young children.</p> <p>In 2011-12, School Age Care Quality Improvement Project the project is scheduled to deliver 600 contact hours of training on school age care; provide 3,276 on-site technical assistance consultations; and develop CEU bearing modules on school age topics, including linking school age care environments through the use of the SACERS assessment tool with the Common Core and NC Essentials.</p> <p>T.E.A.C.H. Scholarships in 2011-2012- estimated 2,400 child care professionals will access higher education through the TEACH Scholarship project in 2011-12. Of those AA and BA scholarship programs, the average turnover rate will be less than 10%.</p> <p>T.E.A.C.H. Infant Toddler Scholarships- estimated 2,000 child care professionals working directly with infants and toddlers will access higher education through the TEACH Infant Toddler Scholarship project.</p> <p>The Child Care WAGE\$ Project- An estimated 5,000 child care professionals will receive WAGE\$ salary supplements in 2011-12, and the turnover rate for WAGE\$ participants will be less than 25%.</p> <p>Healthy Safety Calendar/Bulletin for Child Care Providers Publish quarterly NC</p>
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		<p>of care, children benefit from more stable relationships with better educated teachers. The consistent care of an educated provider is fundamental to quality, and quality child care leads to future success in school and life.</p> <p>Healthy Safety Calendar/Bulletin for Child Care Providers-The Health and Safety Bulletin keeps early childhood educators abreast of changes to both the North Carolina Child Care Laws and Rules and the North Carolina Department of Environment and Natural Resources, Sanitation of Child Care Rules and covers up-to-date health and safety information as well as recommendations suggested in the most current edition of Caring for Our Children: National Health and Safety Performance Standards: Guidelines for Out-of Home Child Care Programs.</p> <p>The North Carolina Rated License Assessment Project's (NCRLAP)purpose is to conduct voluntary assessments for child care centers and family child care homes attempting to earn a higher star rating in the North Carolina star rated license system. NCRLAP is responsible for conducting assessments in the NCPK classrooms and public school pre-kindergarten and school-age classrooms, since licensing is a requirement.</p>	<p>Child Care Health and Safety Bulletins in English and Spanish. Disseminate the English version to regulated child care facilities and selected child care professionals in North Carolina. Four (4)ITS-SIDS Online Train-the-trainer Courses will be offered for child care health consultants, Two (2)Medication Administration in Child Care Train-the-trainer Courses will be offered for child care health consultants who are registered nurses or other early childhood professionals partnering with registered nurses. Two (2) Emergency Preparedness and Response in Child Care Train-the-trainer Courses will be offered for child care health consultants.</p> <p>NC Rated License Assessment Project (NCRLAP)September 1, 2011 through August 31, 2012, we estimate that approximately 1,878 facilities will be eligible to receive rating scale reassessments. We estimate that the 1,269 child care centers will require 2,031 assessments and the 617 homes will require FCCERS-R assessments over the next year. In total, we believe NCRLAP will be asked to complete a total of 2,648 assessments for the period of September 1, 2011 to August 31, 2012.</p>
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1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

- No, the Lead Agency will manage all quality funds directly
- Yes, the Lead Agency will manage some quality funds directly and distribute a portion to local entities. Estimated amount or percentage to be distributed to localities

Child care resource & referral funds will be managed by local child care resource & referral agencies.

This includes the following quality funds:

\$4,279,704.00 (Child Care Resource & Referral management and core services)

\$1,694,557.00 (Promoting Healthy Social Behaviors in Child Care Centers Project)

\$1,646,365.00 (Infant Toddler Quality Enhancement Project)

\$1,213,258.00 (School Age Care Quality Improvement Project)

Yes, all quality funds will be distributed to local entities

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.

Describe:

Child Care Resource and Referral: Child care resource and referral (CCR&R) services, funded through the Division of Child Development and Early Education's quality initiatives, link families, early care and education providers, and community partners. This linkage allows families to have a single point of access when requesting and receiving assistance in identifying child care options in their area, making informed decisions about child care choices, and matching needs to available resources. CCR&R services are available in all of North Carolina's 100 counties and delivered by local agencies.

The Division of Child Development and Early Education requires performance-based outcomes in its contracts with the CCR&R Council, which is responsible for ensuring the outcomes of regional CCR&R's. Division of Child Development and Early Education staff frequently perform financial monitoring with the three CCR&R Council agencies to ensure that contract outcomes are met and that CCDF quality funds are spent appropriately.

Quality Activities: For activities funded with CCDF quality dollars, the Division of Child Development and Early Education's Center of Excellence reviews and evaluates proposals. Its members ensure that

all funded programs reflect the goals of the Division of Child Development and Early Education, comply with all CCDF regulations, and have measurable, performance-based outcomes.

Formal contracts stipulate the services to be rendered by the contractor; outline specific budget line items; and require assurances/certifications that funding will be used for approved purposes. All contracts are performance-based to ensure that each has specifically defined program outcomes and measures. Once contracts are approved and initiated, the Division of Child Development and Early Education follows a comprehensive monitoring plan to assess contractor compliance with all fiscal and programmatic requirements. Contractors typically submit monthly financial status reports to receive contract funding based on actual expenses incurred.

Subsidy Activities: The subsidy services section of the Division of Child Development and Early Education conducts on-going monitoring and technical assistance visits to each local agency administering the program. Technical Assistance is provided to each agency each year. In these visits a defined number of records are reviewed for accuracy utilizing a checklist containing nineteen items reflecting activities of the local agency from the application through payment for the service.

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

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

Describe:

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, required annual fiscal audit, 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.

Quality Activities: The Division of Child Development and Early Education conducts comprehensive program monitoring that includes varying activities depending on the (sub) contractors and situation. Sub recipients are required to submit their audits to DCDEE and to the Attorney General. Each approved contract has a designated contract administrator who is employed by DCDEE, and who reviews the contract's activities, approves monthly financial expenditures, and ensures that reports are completed as required by the terms of the contract. An annual desk audit, performed by the contract administrator, is used to assess the risk (high, moderate, or low) of each contract. The risk level guides the evaluation and monitoring process, and determines monitoring priorities. An internal control questionnaire is completed by the contractor to report staffing patterns, programmatic supervision, service delivery and management control systems. Once the desk audit and internal control questionnaire are completed and reviewed, the risk level of the contract is determined.

Contracts that are strictly financial assistance contracts and any contract determined to be “high risk,” are automatically selected for an on-site monitoring visit, which is conducted by the DCDEE’s monitoring team. The on-site monitoring team conducts programmatic and fiscal reviews per the requirements of OMB Circular A-133 and NCGS 143C-6.23. The results of the monitoring visit are presented in a formal written report, which is sent to the contractor to resolve and correct any noncompliance issues.

Subsidy: The subsidy services section of the Division of Child Development and Early Education conducts on-going monitoring and technical assistance visits to each local agency administering the program. Monitoring is completed on a three-year cycle. Technical Assistance is provided to each agency each year. In these visits a defined number of records are reviewed for accuracy utilizing a checklist containing nineteen items reflecting activities of the local agency from the application through payment for the service. In addition to monitoring by the Division, each local agency has the option to complete internal reviews. Many agencies utilize the DCDEE checklist to complete internal reviews. When errors are found in monitoring or agency internal reviews, those errors are corrected from the point of discovery to the point of origin. When errors are discovered in Technical Assistance reviews, errors are corrected from the point of discovery forward and targeted training is provided as needed to address the reason for the error’s occurrence.

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 type="checkbox"/>	<input type="checkbox"/>
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>
N/A		
None	<input type="checkbox"/>	<input type="checkbox"/>

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

The most important thing North Carolina does to reduce errors and maintain errors at a minimal level is implementation of an ongoing monitoring program. All local purchasing agencies are officially monitored every three years on a rotating cycle. The sample selected is 6% of the cases receiving a payment with a floor of 5 and a ceiling of 150. Additionally, technical assistance staff read a sample of records each year with the goal of identifying training needs. The technical assistance staff sample 2% of the cases receiving a payment, with a floor of 10 and a ceiling of 60. These processes have been in place for more than 5 years. These processes are implemented using excel spreadsheets that maximize the time that can be spent face to face with local purchasing agency staff in training and technical assistance. Child support policies are currently under evaluation by DCDEE's policy unit and this may streamline the calculation of child support and reduce errors. Technical Assistance staff will be asked to provide targeted training to address the errors noted. This targeted training will be completed with all local purchasing agencies, not just the ones where errors were noted. Additional training named "Calculating with Accuracy" is under development in the DCDEE policy unit as well. This training will provide some techniques for reducing human errors associated with management of child care records.

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

N/A

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
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Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
N/A			
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:

North Carolina has ongoing monitoring activities. In those activities, errors are corrected not only from the point of discovery, but to the point of origin.

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

After the first incidence of fraudulent misrepresentation by a recipient, the recipient shall be ineligible to receive subsidized child care services for 12 months; and after the second incidence of fraudulent misrepresentation by a recipient, the recipient shall be permanently ineligible to participate in the subsidized child care program.

A recipient may appeal any sanction imposed for fraudulent misrepresentation by following the appeals procedures used by the Division as codified in 10A NCAC 09 .2004 - .2007.

Disqualify provider.

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

After the first incidence of fraudulent misrepresentation by a provider, the provider shall not be reimbursed with subsidized child care funds for any new children that enroll in the provider's program for twelve months; and after the second incidence of fraudulent misrepresentation by a provider, the provider shall be permanently ineligible to participate in the subsidized child care program.

A child care provider may appeal any sanction imposed for fraudulent misrepresentation by following the appeals procedures used by the Division pursuant to G.S. 150B-23.

Prosecute criminally

Other.

Describe.

N/A

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

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
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<p>North Carolina Families Accessing Services through Technology (NC FAST) is in development. The contract has been awarded to Curam. An integrator is currently being chosen to customize the needed modules. The implementation of NC FAST will streamline the processes used by the local purchasing agencies in the determination of eligibility. There is a feature in the case management module for income calculation. In this module, income is entered into the system and the conversion to monthly income and calculation of parental fee is done automatically. We believe this will reduce errors in calculation.</p> <p>An automated attendance tracking and payment delivery system developed by DCDEE is currently in the implementation phase. This system, will automatically select the payment rate based on a combination of the child(ren)s birth dates and the facility selected. This will reduce errors made when the worker has to manually select and enter the payment rate.</p>		<p>NC FAST is being developed.</p> <p>The Division of Child Development and Early Education has contracted with Affiliated Computer Services (ACS) State & Local Solutions, Inc. to develop and implement a statewide system for subsidized child care attendance reporting and payment delivery. The system is called Subsidized Early Education for Kids (SEEK). SEEK will provide more efficient attendance reporting and a payment system.</p>	<p>The Subsidized Child Care Program is slated to be included into NC FAST by the end of 2014. This is what the NC FAST roll out schedule reflects. Based on historical events I have very little confidence in this date, but it is their current plan.</p> <p>SEEK will begin with a pilot in August 2011. SEEK should be fully implemented in all 100 counties by the end of April 2012.</p>
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1.4 Consultation in the Development of the CCDF Plan

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

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

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The CCDF Plan was sent for review by the Directors of the Division of Social Services and Local Purchasing Agencies; Local Smart Start Partnerships; Regional Child Care Resource & Referral Agencies, etc.</p>
<p>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.</p>	
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>The Division of Child Development and Early Education now administers the state Pre-k program”(NCPK), however, prior to this state agency change, DCD did send the CCDF plan to the Office of Early Learning (the former state agency pre-k administrator) for review .</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>The CCDF Plan was sent for review by the Director of the Office of Early Intervention (Part C) and the Office of Early Learning (Part B).</p>
<input type="checkbox"/> <p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	<p>N/A</p>
<input checked="" type="checkbox"/> <p>State/Territory agency with the Head Start Collaboration grant</p>	<p>The CCDF Plan was sent for review to the Head Start Collaboration Office Director.</p>
<input checked="" type="checkbox"/> <p>Statewide Advisory Council authorized by the Head Start Act</p>	<p>The CCDF Plan was sent for review to the Early Childhood Advisory Commission (ECAC).</p>

<input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	The CCDF Plan was sent for review by the Director of the North Carolina Partnership for Children (Smart Start Administrative Agency).				
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	The CCDF Plan was sent for review by the Director of the Division of Public Health.				
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The CCDF Plan was sent for review by the Section Chief for Maternal & Child Health within the Division of Public Health.				
<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)	The CCDF Plan was sent for review by the Director of the Division of Public Health.				
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	The CCDF Plan was sent for review by the Director of the Division of Social Services.				
<input checked="" type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives	The CCDF Plan was sent for review by the North Carolina Military Liason for the Department of Defense.				
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services/workforce development	The CCDF Plan was sent for review by the Director of the Division of Social Services.				
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	The CCDF Plan was sent for review by the Director of the Division of Social Services.				
<table border="1" style="width: 100%;"> <tr> <td style="width: 25%;"><input checked="" type="checkbox"/></td> <td>Indian Tribes/Tribal Organizations</td> </tr> <tr> <td><input type="checkbox"/></td> <td>N/A: No such entities exist within the boundaries of the State</td> </tr> </table>	<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations	<input type="checkbox"/>	N/A: No such entities exist within the boundaries of the State	The CCDF Plan was sent for review by the Director of the Division of Social Services.
<input checked="" 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	The CCDF Plan was sent to the NC Comprehensive Systems Grant Director (BUILD funded) and the NC Center for Afterschool Programs funded (Mott funded).				

<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	The CCDF Plan was sent for review to the NC Association for the Education of Young Children, the NC Institute for Child Development Professionals, the NC Licensed Child Care Association, the Wake County Family Child Care Association and the NC Early Childhood Association.
<input type="checkbox"/> Parent groups or organizations	N/A
<input checked="" type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)	The CCDF Plan was sent for review by the Directors of the Regional Child Care Resource & Referral Agencies.
<input type="checkbox"/> Other	N/A

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: [05/13/2011](#)

Reminder - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing? [The public hearing notice was posted on the DCDEE website, sent as an email to all agency partners, sent as an email to child care providers \(greater than 65% of providers have email addresses registered with DCDEE\) and posted on the Dept. of Health & Human Services website](#) Date(s) of public hearing(s): [06/02/2011](#)

Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).

d) Hearing site(s) [The Division of Child Development and Early Education and virtually through a conference call system.](#)

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? [The plan was posted to the DCDEE website on May 13, 2011 and the website where the plan could be accessed was included in the public notice.](#)

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 have been compiled and reviewed by CCDF lead agency and incorporated to the extent possible by management and section contacts before the plan is finalized.](#)

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.

1.4.3. Describe:

The public hearing notice was posted on the DCDEE website, sent as an email to all agency partners, sent as an email to child care providers (greater than 65% of providers have email addresses registered with DCDEE) and posted on the Dept. of Health & Human Services 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

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

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

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.

<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>DCDEE will coordinate with the state Division of Social Services and representatives from the county level DSS offices to integrate eligibility policies, and streamline services.</p> <p>Previously DCDEE coordinated efforts with NC Prekindergarten Program, More At Four, but now the NC Pre-K program will be administered by the Division of Child Development and Early Education (DCDEE). As the administrators DCDEE is taking on the monitoring functions for NC Prekindergarten Program classrooms in all NC child care settings and public school sites.</p>	<p>We expect to continue a coordinated system of services with local DSS agencies to provide “one-stop shops” for families that seek related services. Streamlined eligibility policies have already begun in that families who have been deemed eligible for Food & Nutrition services are automatically deemed eligible for child care subsidy services.</p> <p>We expect to also streamline services and create efficiencies through the transfer of the NCPK program to DCDEE. For example, DCDEE licensing consultants will now monitor the NC Prekindergarten program.</p>
<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>In the past we coordinated efforts with NC Prekindergarten Program described above, but DCDEE will administer the Pre-Kindergarten program and continue to collaborate with the NC Department of Public Instruction.</p> <p>DCDEE also will coordinate with the Birth-Kindergarten Consortium and the Community College System office to ensure alignment of DCDEE goals with higher education coursework objectives.</p> <p>DCDEE will financially support local Community Colleges in their efforts to obtain NAEYC program accreditation.</p> <p>DCDEE will work with the Community College system to promote articulation of early childhood AAS degree programs with 4-year universities.</p>	<p>A streamlined monitoring process for NC Prekindergarten Program classrooms in private child care settings. This change will also lead to streamlined data systems and a way for child care programs to be further connected with public school systems and further open the door for kindergarten entry assessments.</p> <p>Alignment of DCDEE goals with higher education.</p> <p>Increased number of NC Community Colleges with accredited early childhood degree programs.</p> <p>Articulation agreements in place for early childhood AAS degree programs.</p> <p>School-age programs will continue to receive support from the School-age Care Quality Improvement Project as they work on receiving their licensure. The focus is to improve the quality and availability of out-of-school time care for that population.</p>

<input checked="" type="checkbox"/>	<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>DCDEE will continue to coordinate with the Association of Developmental Day Directors and the Exceptional Children's Division of the Department of Public Instruction to get input on child care rules, now that developmental day centers have been moved to DCDEE for oversight purposes.</p>	<p>The Developmental Day Directors provide the developmental day perspective when making rule changes that impact this population.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>DCDEE will coordinate with the Division of Public Health (DPH) to get input on child care rules related to health issues.</p> <p>DCDEE will coordinate with the Maternal & Child Health Section at DPH to ensure that information is shared and aligned to support the Home Visitation project.</p>	<p>The Child Care Commission will be provided with the Public Health perspective when making rule changes that impact the health & well-being of children in child care.</p> <p>Shared information will be available to providers about the DPH Home Visitation project and Project Launch.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>DCDEE will coordinate with the Division of Social Services to streamline access for families involved in Work First or TANF recipients.</p>	<p>We expect to continue a coordinated system of services with local DSS agencies to provide "one-stop shops" for families that seek related services. Streamlined eligibility policies have already begun in that families who have been deemed eligible for Food & Nutrition services are automatically deemed eligible for child care subsidy services.</p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) (required)	DCDEE will coordinate with the Division of Social Services to streamline access for families involved in Work First or TANF recipients.	We expect to continue a coordinated system of services with local DSS agencies to provide “one-stop shops” for families that seek related services. Streamlined eligibility policies have already begun in that families who have been deemed eligible for Food & Nutrition services are automatically deemed eligible for child care subsidy services.
<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	DCDEE will coordinate efforts to promote culturally responsive care with representatives from the Eastern Band of Cherokee Indians.	DCDEE is contracting with NC A&T University on a project to create a framework for increased cultural competent practices in child care. A representative from the Eastern Band of Cherokee Indians is a member of the expert panel working on the project.

For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery

<input type="checkbox"/>	State/Territory agency responsible for licensing (if separate from the Lead Agency)	N/A- within the lead agency	
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	DCDEE will continue to coordinate efforts with the Head Start Collaboration project by supporting Head Start programs through child care licensure services and blended funding with the NCPK program.	Head Start programs are typically licensed through the DCDEE Regulatory System for coordination and alignment of services.
<input checked="" type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	The Director of DCDEE will serve as a member of the NC Early Childhood Advisory Council (ECAC) and will work to coordinate efforts to meet the goals established by the ECAC.	Goals of the ECAC include: - Planning for the development of an integrated data system - Supporting NAEYC accreditation of early childhood programs in Community Colleges - Supporting the development of articulation agreements for AAS degree students - Embarking on a public awareness campaign to help inform the public about the importance of the early years in child development

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>DCDEE will coordinate with the Division of Public Health to continue to align child care licensing standards with CACFP requirements.</p>	<p>According to child care licensing requirements, child care programs must meet CACFP nutrition standards whether or not they participate in the CACFP program.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>DCDEE coordinates services with the Coordinator within the Division of Public Health that is responsible for Part C services.</p> <p>DCDEE also coordinates services with the Section 619 Coordinator at the Office of Early Learning.</p>	<p>DCDEE maintains representation on the State Interagency Coordinating Council.</p> <p>DCDEE is also an active participant on the steering committee for the NC grant with the National Professional Development Center on Inclusion.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>DCDEE has been an active member of the planning committee for the NC Home Visiting Program funded through the Maternal, Infant and Early Childhood Home Visiting Program in the Affordable Care Act.</p>	<p>DCDEE plans to support the program by using the program to help raise awareness about quality care, connect families to child care if they are not currently using regulated care, and promote licensing of Family, Friend, & Neighbor care when the home visiting program becomes involved with families in those settings.</p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	DCDEE will coordinate with the Division of Social Services to streamline access for families in the child welfare system. DCDEE is also exploring ways to increase participation of homeless families in the child care subsidy system.	We expect to continue a coordinated system of services with local DSS agencies to provide “one-stop shops” for families that seek related services.
<input checked="" type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	DCDEE will coordinate services for military families through our work with the federal military liaison and also through the collaborative relationship established with the representative from the military that serves on the DCDEE QRIS Advisory Committee.	We expect that communication will be strengthened through these partnerships, and that the military perspective can be incorporated into DCDEE initiatives. Military families are also automatically eligible to participate (at no cost) in the NCPK program.
<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	DCDEE has worked with the Coordinator of the Comprehensive Systems Grant funded through the BUILD initiative and also with the Mott project that is funded through the NC Center for Afterschool Programs (NC CAP).	We expect that this coordination of services will help to increase communication and awareness of the projects within the child care community.
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	DCDEE contracts with the NC Child Care Resource & Referral Council to provide coordinated CCR&R services across the state.	The core CCR&R services of Technical Assistance, Professional Development & Training, Consumer Education and Referrals.
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	DCDEE coordinates efforts and collaborates with various provider organizations including: NCaeyc, the NC Licensed Child Care Association, NC CAP, North Carolina Early Childhood Association, the Institute for Child Development Professionals, and the Wake County Family Child Care Association.	These coordination efforts ensure that the voice of the provider community is at the table when DCDEE planning occurs. These provider groups are consulted on the CCDF plan, through the QRIS Advisory Committee, the DCDEE Professional Development Advisory Committee, and the DCDEE Early Learning Collaborative.
<input checked="" type="checkbox"/>	Parent groups or organizations	Parents are represented on the Child Care Commission as described below.	DCDEE makes every effort to include a parent representative on collaborative groups so that the parent perspective is included when decisions are made. Parents are partners on two projects related to cultural responsiveness and inclusion.
<input checked="" type="checkbox"/>	Other	Child care rules in NC are set by the NC Child Care Commission. This group is comprised of members appointed by the NC House, Senate and Governor’s Office.	The Child Care Commission ensures that a broad representation of providers, parents and community stakeholders are involved in rule-making for the child care community.

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):
NC Early Childhood Advisory Council

b)

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

[Children ages birth to five years old are addressed by the plan.](#)

c)

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

Yes

No

d)

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

http://www.governor.state.nc.us/library/pdf/NC_ECAC_StrategicReport2010.pdf

No

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

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

N/A

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

[North Carolina's Governor Bev Perdue created North Carolina's Early Childhood Advisory Council \(ECAC\) to work toward five major goals:](#)

1. **Develop an integrated, comprehensive 3-year strategic plan** for high-quality health, family strengthening, and early care and education services that support ready children, families, and communities.

2. **Strengthen the quality of programs** and expand opportunities for young children and their families to participate in high-quality programs.
3. **Strengthen awareness and commitment** among families, business, and policy makers to ensure that all young children in North Carolina are healthy, learning, and thriving.
4. **Strengthen coordination and collaboration** across service sectors to promote high-quality, efficient services for young children and their families.
5. **Support the implementation of an integrated data system** that meets the individual and collective needs and capacities of state-funded programs serving young children birth to age five.

Local Coordination/Council

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

N/A

Other

Describe

N/A

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:

Smart Start is the NC public-private partnership that serves as a convener for early childhood programs. Smart Start local partnerships serve as a system to convene stakeholders to assess local needs; ensure accountability; and leverage private dollars, community, state and federal resources. Local partnerships have established community networks that bridge education, health services, and family supports to best meet the needs of young children and their families.

No

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services

to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-XX) located on the Office of Child Care website at:
http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm

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

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

Developed. A plan has been developed as of **[insert date]:** [12/01/2011](#) and put into operation as of **[insert date]:** [12/01/2011](#), if available. Provide a web address for this plan, if available: http://ncchildcare.dhhs.state.nc.us/providers/pv_emergency.asp

Other.
Describe:

[N/A](#)

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

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

2.1 Administration of the Program

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

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

Eligibility rules and policies (e.g., income limits) are set by the:

- State/Territory
- Local entity.

If checked, provide the name(s) of the local entity:

- Other.
Describe:

N/A

Sliding fee scale is set by the:

- State/Territory
- Local entity.

If checked, provide the name(s) of the local entity:

- Other.
Describe:

Payment rates are set by the:

- State/Territory
- Local entity.

If checked, provide the name(s) of the local entity:

--

Other.

Describe:

N/A

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

Who determines eligibility?

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

[County Division of Social Services agencies determine eligibility at the local level.](#)

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

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

Describe:

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

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

[Local purchasing agencies assist parents when they need help with the provider selection process. During the initial interview, the child care worker helps the family to plan for child care, to understand what to look for when choosing an arrangement, and to deal with the emotional effects of separating from the child.](#)

[The local child care and resource referral agencies have family support staff that provide consumer education to families on choosing child care.](#)

[Parents can visit the Division of Child Development and Early Education's website at \[www.ncchildcare.net\]\(http://www.ncchildcare.net\) to search for regulated providers. Information such as the provider's location, and star level are available online.](#)

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

Describe:

Who issues payments?

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

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

Describe:

Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)

Child care payments are issued as vendor payments to providers and the local purchasing agency (LPA) claims reimbursement through the automated Subsidized Child Care Reimbursement System. Payment for subsidized child care services is determined by the plan of care and provider charges, based on the child's enrollment or attendance.

Other. List and describe:

2.2. Family Outreach and Application Process

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

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

- CCDF Lead Agency
- TANF offices
- Other government offices

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

(provide website): <http://ncchildcaresearch.dhhs.state.nc.us/search.asp>

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

Describe:

Parents are informed of the availability of child care services by the local Smart Start Partnerships, child care resource & referral agencies, early childhood educators and Head Start Programs.

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

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

(provide website):

- By Email
- Other.

Describe:

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

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

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

The Division of Child Development and Early Education strives to make parents and other customers aware of early care and education information and resources. The Division collects and disseminates consumer education information to parents of eligible children and the general public that will promote informed child care choices.

DCDEE's current activities include: support of CCR&R Core Services to provide resource and referral to parents and technical assistance and training to early care and education providers throughout North Carolina.

Local purchasing agencies assist parents when they need help with the provider selection process. During the initial interview, the child care worker helps the family to plan for child care, to understand what to look for when choosing an arrangement, and to deal with the emotional effects of separating from the child. Parents can visit the Division of Child Development and Early Education's website at <http://ncchildcaresearch.dhhs.state.nc.us/search.asp> to search for regulated providers. Information such as the provider's location, and star level are available online.

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.

North Carolina has a five-star rated license system for child care facilities based upon levels of program standards and staff education. Market rates have been established for each star level of the rated license so that as providers increase their star rating they have the opportunity to receive a higher subsidy payment rate. Market rates also vary depending on the age of the child, ensuring that costly infant/toddler care receives a higher reimbursement rate.

2.2.5. How will the Lead Agency promote access to the CCDF subsidy program?

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

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

Describe:

- Using a simplified eligibility determination process such as by:
- Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)

- Developing a single application for multiple programs
- Developing web-based and/or phone-based application procedures
- Coordinating eligibility policies across programs.

List the program names: [Food and Nutrition Services](#)

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

Length of time: [Based on the MRA Agreement and individual is allowed the opportunity to complete training or educational activities, participate in job search and enter employment within twenty-four months.](#)

Other.
Describe:

[Families who receive benefits through the Food and Nutrition Services Program automatically are deemed income eligible for subsidized child care services. Child care staff in local purchasing agencies access family demographics and income information from the Food Stamp Information System \(FSIS\). Work Support Strategies Grant: DCDEE has been working in collaboration with other means tested benefits and services programs such as \(1\) Food and Nutrition Services \(2\) Work First \(3\) Medicaid, and \(4\) Special Assistance to collect income information through the Integrated Eligibility project. The purpose is to 1\) standardize the types of income collected at initial intake, and 2\) align how different income types are treated. These goals will promote consistency and streamline eligibility processes.](#)

Other.
Describe:

[Include other agency partners \(ie: Smart Start, CCR&R, etc\) in sharing information about child care subsidy to help promote access & awareness.](#)

None

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

Provide CCDF assistance during periods of job search.

Length of time: [30-60 days](#)

Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

Synchronize review date across programs

List programs:

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

Describe:

An annual redetermination is required for every case. However, a six (6) month review is required for cases of families receiving assistance for developmental needs, Child Welfare Services and Child Protective Services. Cases of parents receiving assistance for education must be reviewed at the end of each semester. The local purchasing agency may choose to conduct more frequent reviews, such as quarterly reviews.

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

Describe:

The pre-k programs are developed to meet the needs of working families, so programs hours are at least 6.5 hours per day, wrap around services are provided for families who need additional child care hours, and parental choice and information is given to families as they determine how to meet their child care needs.

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

Describe:

- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment

- Targeted case management to help families find and keep stable child care arrangements

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

- Other.

Describe:

Families who meet income eligibility and have a need for care for children age 13 through 17; such as children who have special needs or circumstances; children under court-ordered supervision; children receiving child protective services or foster care services; or children who would be left in an unsafe situation if care were not provided.

- 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
- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Other.

Describe:

None

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

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

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

Describe:

None

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

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

Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available: <http://info.dhhs.state.nc.us/olm/manuals/dcd/ccs/man/dcd-0456.pdf>

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	<p>When an applicant applies for child care subsidy services, the benefit programs database for Work First, Medicaid and/or Food Nutrition Services is reviewed to determine if the applicant is already receiving services and would have had their identity verified via methods such as a picture id, vital records check, social security inquiry, etc. at the time those services began. In rare cases if an applicant is not participating in another benefits program, the applicant is asked to sign a statement attesting to their identity.</p>
<input checked="" type="checkbox"/> Household composition	<p>The applicant's statement of family size is acceptable unless there is some reason to suspect that the statement is not correct. Family size can be verified by birth certificates, baptismal certificates, and contacts with schools or other objective sources of verification are necessary. Family size is documented on the Child Care Application.</p>
<input checked="" type="checkbox"/> Applicant's relationship to the child	<p>When an applicant applies for child care subsidy services, the benefit programs database for Work First, Medicaid and/or Food Nutrition Services is reviewed to determine if the applicant is already receiving services and would have had the relationship with the child verified at the time those services began. In rare cases when the applicant and child are not participating in other benefits programs, the applicant is asked to sign a statement attesting to their relationship to the child.</p>
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	<p>When an applicant applies for child care subsidy services, the benefit programs database for Work First, Medicaid and/or Food Nutrition Services is reviewed to determine if the applicant is already receiving services and would have had the child's information verified via birth certificates, hospital records, etc. at the time those services began. The family may be asked to present documentation, such as a birth certificate or hospital physician record if the child is not participating in other benefit programs.</p>

<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Work is verified by pay stubs, employer verification forms, award letters and current information from existing agency records and documented in the case record. Job training or educational program is documented by school schedules, proof of enrollment, grades and attendance and documented in the case record.
<input checked="" type="checkbox"/> Income	The amount of gross family income is verified by pay stubs, employer verification forms, award letters, current information from existing agency records and other source documents and documented in the case record.
<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 [The applicant must be notified of any eligibility decision within 30 calendar days after the date of application.](#)

Track and monitor the eligibility determination process

Other.

Describe

[If eligibility requirements are not met within 30 days, the parent is issued a copy of the application which serves as notice of the eligibility decision.](#)

None

2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

Yes.

If yes, describe:

No.

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

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain

needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act. In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

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

State/Territory TANF Agency [The Division of Social Services establishes these criteria.](#)

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

- "appropriate child care": [Care in a regulated child care center or family child care home that has a license, or care in an unregulated child care arrangement that meets the minimal health, safety or criminal record check standards required of unregulated providers for payment through North Carolinas child care subsidy program.](#)

- "reasonable distance": [In evaluating reasonable distance, counties or local agencies consider the total time it takes for parents to travel one-way from home to the child care provider, then to work or work-related activity. Because of differences in North Carolinas geography and highway/road systems, county departments of social services or local purchasing agencies have maximum discretion to decide what is reasonable for individuals based on their resources \(i.e. whether they have a vehicle in working order or family resources available for transporting the family\) and local transportation considerations. As a guideline, counties or local purchasing agencies should consider that it may not be reasonable to require families receiving Work First to travel more than eighty minutes one-way to work and child care. Eighty minutes is approximately 4 times the average one-way commute time in North Carolina \(not including stops at child care arrangements\), as reported by the US Census Bureau based on the 2000 decennial census. This does not preclude exemption from the sanction based on a shorter commute if the local purchasing agency considers the commute an obstacle to childrens healthy development or the familys self-sufficiency goals.](#)

- "unsuitability of informal child care": [unregulated child care arrangements that do not meet the health, safety, and criminal record check standards required of unregulated providers necessary to receive subsidy payments from the State of North Carolina; or](#)

- "affordable child care arrangements": [Families receiving subsidies pay a maximum amount of 10% of their countable income as a parental fee. This fee percentage makes care affordable to families regardless of the market rate or private pay rate paid to the provider. This fee percentage allows families receiving subsidies to enroll their children in higher quality care without increased cost, thereby making care affordable.](#)

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

- In writing
- Verbally
- Other.

Describe:

Form DSS-8221 – What Happens If You Can't Meet Your Work Requirements Because Appropriate Child Care Is Not Available?

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 -

Any adult that the child resides with and has primary responsibility for the care and well being of the child.

in loco parentis -

The adult that is responsible for the care of the child, but is not financially obligated, such as a step-parent or grandparent.

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from birth weeks to 13 years (maximum age under age 13).

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

Yes, and the upper age is [Through age 17](#)

Provide the Lead Agency definition of *physical or mental incapacity* -

[An "incapacity," as determined by a medical professional, which supports the need for supervision or involvement in child 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 17

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-

Being engaged in an activity on a regular basis which provides earned income. (This activity may also include a period in which the parent is seeking employment.) Child Care is approved to support full and part-time employment. Full time employment is considered an average of 30 hours or more per week. Some activities that are considered "working" include self-employment, parents participating in the Work First Program, and employment performed outside the home.

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 -

"Making satisfactory progress in a job training or educational activity approved by the local purchasing agencies." This may include (a) education leading to a high school diploma or its equivalent, and (b) post-secondary education or skills training. There is no minimum number of hours that child care assistance can be provided to support families engaged in job training or educational programs. However, services are available to support this post-secondary education and skills training."

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

While the Division of Child Development and Early Education does provide child care services to children in need of "protective services," the funds used to support these services are non-CCDF funds. Consequently, the Division of Child Development and Early Education does not use CCDF funds to pay for children who receive and are in need of protective services.

No.

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

Yes,

No.

2.3.5. Income Eligibility Criteria

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

income -

Income is defined as monetary resources, earned or unearned, received for labor, services, government or private benefits, or any money available to members of the income unit for their maintenance.

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

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

DCDEE excludes lump sum payments, payments/trust funds under the Indian Claims Commission, payments from the Alaska Native Claims Settlement Act, income from the sale of personal assets, bank withdrawals, money borrowed, tax refunds, non-recurring gifts, contributions or other in-kind contributions from non-legally responsible adults, capital gains, Relocation/Acquisition Act payments, earnings of a dependent child under 18 years of age, home produce utilized for household consumption, Volunteers in Service to America (VISTA) earnings and employee benefits for child care.

None

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

- Children under age 18
- Children age 18 and over - still attending school
- Teen parents living with parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other.

Describe:

N/A

None

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

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

Family Size	(a) 100% of State Median Income (SMI)(\$/month)	(b) 85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	2,945	2,503	2,209	75
2	3,851	3,274	2,889	75
3	4,758	4,044	3,568	75
4	5,664	4,814	4,248	75
5	6,570	5,585	4,928	75

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

Yes.

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

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

N/A

No.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month)[Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI[Divide (c) by (a), multiply by 100]

1				
2				
3				
4				
5				

f) SMI Year 2011 and SMI Source US Census Bureau, American Community Survey, State Median Family Income by Family Size (3-year; LIHEAP)

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

2.3.6. Eligibility Re-determination

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

- 6 months
- 12 months
- 24 months
- Other.

Describe:

- Length of eligibility varies by county or other jurisdiction.

Describe:

N/A

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

- Yes.
- No. If no, **check the categories of families for whom authorizations are different and describe the redetermination period for each.**

- Families enrolled in Head Start and/or Early Head Start Programs.

Re-determination period:

- Families enrolled in pre-kindergarten programs.

Re-determination period:

- Families receiving TANF.

Re-determination period:

- Families who are very-low income, but not receiving TANF.

Re-determination period:

Other.
Describe:

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

Yes.

If yes, describe:

Thirty days prior to the end of the eligibility period, the local purchasing agency sends the parent or responsible adult written notification that a new application must be completed prior to the end of the current certification period to redetermine eligibility for child care services. The parent schedules an appointment or the LPA provides the redetermination appointment date and time. However, the recipient can reschedule the appointment with the LPA. If the parent or responsible adult cannot visit the local purchasing agency, a phone review can be conducted or the application mailed for signature. The recipient must provide any required documentation needed to determine eligibility within thirty days of the appointment date. The LPA and parent complete and sign the following forms– Child Care Application (DCD-0456); Recipient Responsibilities for Subsidized Child Care (DCD-0106); Child Care Action Notice (DCD-0450). The parent or responsible adult receives copies of the forms. The parent or responsible adult and child care provider receives the action notice indicating the decision.

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:

All applicants and recipients have a right to request and obtain a fair hearing if they disagree with eligibility determinations. The hearing will establish whether the action was correct and will provide benefits if it was wrong. Applicants or recipients wishing to request a fair hearing must contact the local purchasing agency within sixty (60) calendar days after the effective date of the action taken. The hearing can be requested either orally or in writing. The hearing will be scheduled with an official of the local purchasing agency.

The hearing will be held within five (5) calendar days of each request unless the applicant or recipient postpones it for good reasons. If the hearing is postponed for good cause, the hearing may be delayed up to ten (10) additional calendar days. If the applicant or recipient is dissatisfied with the decision made at the local hearing, they can request a second hearing with an impartial official from the North Carolina Department of Health and Human Services.

2.4. Sliding Fee Scale and Family Contribution

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

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

The attached sliding fee scale was or will be effective as of: [August 1, 2011](#)

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

Yes

No.

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

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

State Median Income,

Year: 2009

Federal Poverty Level,

Year:

Income source and year varies by geographic region.

Describe income source and year:

Other.

Describe income source and year: N/A

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

Fee as dollar amount and

Fee is per child with the same fee for each child

Fee is per child and discounted fee for two or more children

No additional fee charged after certain number of children

Fee per family

Fee as percent of income and

Fee is per child with the same percentage applied for each child

Fee is per child and discounted percentage applied for two or more children

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

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

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

Yes,
and describe those additional factors:

The hours that care is needed is an additional factor used when determining each family's contribution to the cost of care.

No.

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

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

ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee.

The poverty level used by the Lead Agency for a family of 3 is:

SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families:

The Lead Agency waives the fee for the following families:

Fees are not assessed to families whose only source of income is "not countable" (as defined in child care subsidy policy). In addition, fees are not charged for children with no income who live with someone

other than a biological or adoptive parent, or with someone who does not have court-ordered financial responsibility.

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*.

Children with special needs

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

Children who have developmental delays, an established condition, or development that is atypical.

This is what is in rule and in policy. If the parent indicates that the child has not been evaluated and the child care social worker believes the child may have special needs, the child care worker should encourage the parent to have the child evaluated. Families may be referred to the local agency under the auspices of the following state agencies which are responsible for overseeing that children with special needs are identified and assessed: 1) The Early Intervention Branch in the Women's and Children's Health Section of the Division of Public Health (DPH) of the Department of Health and Human Services for children under age three (3) and 2) the Exceptional Children Division in the Department of Public Instruction (DPI) for children age (3) and over.

Describe:

Children in families with very low incomes

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

Families whose income is less than 75% of the state median income.

Describe:

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children with special needs	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other.	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input checked="" type="checkbox"/> Other. Describe: <input type="text"/> <p>The amount set aside for each state fiscal year must be at least as much as they spent in SFY 1996-1997 to serve children with special needs. Counties may choose to set aside a higher amount.</p>
Children in families with very low incomes	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other.	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input checked="" type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input type="checkbox"/> Other. Describe: <input type="text"/>

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

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

Describe:

During the 2010-2011 SFY, the North Carolina General Assembly approved the transfer of \$79.4 million from TANF to CCDF and \$67 million in direct TANF funds to be spent for child care subsidies. These funds are part of the allocation of blended funding that local purchasing agencies receive for subsidy services. Most local purchasing agencies give priority to families who are working, including those who are receiving TANF benefits, when there are not enough funds to serve all families. Local purchasing agencies develop local plans for meeting TANF goals which include projections about the number of families and children who need child care to support the parent's employment.

Some counties have chosen to use funding from local Work First Block Grant funds to provide child care services for TANF-eligible families when county child care allocations have been insufficient to meet the needs of families.

Families that transition off TANF through work activities continue to receive child care services as long as the need and income criteria for services are met. Those at risk of becoming dependent on TANF can receive services as long as the need and income criteria are met, and as long as funding is available.

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)

Describe:

Homelessness (as defined by the McKinney-Vento Act) is being considered as a priority category at the state level.

- Individuals who lack a fixed, regular, and adequate nighttime residence.
- Children and youths who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative adequate accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; or are awaiting foster care placement.
- Children and youths who have a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings.
- Children and youths who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and migratory children.

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:

- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other.

Describe:

Local Smart Start partnerships, public schools, early childhood educators, and Head Start programs may also offer information to parents about the availability of subsidized child care services.

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:

North Carolina uses a child care voucher system to provide child care services to families. The voucher includes the identifying information of the family including the family and child's name, date of birth, race, ethnicity, language preference, eligibility period, parental fee, plan of care, etc. It also provides information regarding the appeals and hearing processes. Signatures from the parent, early care and education provider and child care social worker are required on the voucher. The voucher serves as verification to an early care and education provider that the child is eligible for subsidized child care funding.

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

100% is the estimated proportion of services that will be available for child care services through certificates.

2.6.2. Child Care Services Available through Grants or Contracts

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1),

98.30(a)(1) & (b)). **Note:** Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

Yes.

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

No.

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

Increase the supply of specific types of care

Programs to serve children with special needs

Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs

Programs to serve infant/toddler

School-age programs

Center-based providers

Family child care providers

Group-home providers

Programs that serve specific geographic areas

Urban

Rural

Other.

Describe:

Support programs in providing higher quality services

Support programs in providing comprehensive services

Serve underserved families.

Specify:

N/A

Other.

Describe:

N/A

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:

N/A

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

N/A

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

N/A

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:

North Carolina child care requirement 10A NCAC 09.0205 and .1701(g) requires the parent, guardian or full-time custodian of a child enrolled in any child care facility be allowed unlimited access to the child during its operating hours for the purpose of contacting the child or evaluating the center and the care provided by the center.

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

No

- Yes. If checked, what limits will the Lead Agency set on the use of in-home care?
Check all limits the Lead Agency will establish.
- Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
 - Restricted based on provider meeting a minimum age requirement
 - Restricted based on hours of care (certain number of hours, non-traditional work hours)
 - Restricted to care by relatives
 - Restricted to care for children with special needs or medical condition
 - Restricted to in-home providers that meet some basic health and safety requirements
 - Other.
- Describe:

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

Complaint reports alleging violations of licensing requirements in regulated programs are investigated by licensing staff from the Division of Child Development and Early Education. Staff jointly investigate reports which allege child abuse and/or neglect in child care settings with county departments of social services. Records are maintained on both unsubstantiated and substantiated complaint report investigations. The Division's website lists each complaint made against a facility and whether or not the complaint was substantiated. If a report of abuse or neglect is received and the early care and education provider is non-licensed, or if the educator is a relative of the child, the county department of social services conducts the investigation. Certain documents regarding investigative findings are considered public information and are available at the Division of Child Development and Early Education headquarters in Raleigh, North Carolina and on the Division's website.

In addition to information on complaints that are investigated and described above, parents may gain access to information on any early care and education provider's compliance with licensing requirements. Files are maintained in the Division of Child Development and Early Education's office on each regulated center and home. Parents may view the records by visiting the office, or they may request a copy via e-mail or phone (1-800-859-0829 for in-state calls or 919-662-4527). Parents can also access some information from on-line records available through the Division of Child Development and Early Education's web site (This portion of website is also available in Spanish.)

2.7. Payment Rates for Child Care Services

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

2.7.1. Provide a copy of your payment rates as Attachment 2.7.1.

The attached payment rates were or will be effective as of: [October 1, 2007](#)

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

Yes.

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

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

Policy on length of time for making payments.

Describe length of time: [Beginning October 1, 2011, payments will be made on the middle and end of each month.](#)

Track and monitor the payment process

Other.

Describe:

[Local purchasing agencies mail or make direct deposit to providers' designated banking account for subsidized child care payments.](#)

None

2.7.4. Market Rate Survey

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

<http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm> for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): [06/2011](#)

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

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

Yes

No.

If no, list the MRS year that the payment rate ceiling is based upon: [MRS payment ceiling is October 2007.](#)

2.7.6. At what percentile of the most recent local MRS are or will payment rates be set? Provide the percentile for your payment rate ceiling in relation to the most recent survey and **describe**:

Note: Identify the percentile where payment rates fall according to the most recent local MRS (identified in 2.7.4a) regardless of whether or not you use the most recent survey to set rates. If the percentile(s) varies across categories of care (e.g., different for centers and family child care homes), regions or ages of children, provide the range of the highest and lowest percentile in relation to the most recent survey.

[This varies by county, type of care, and age and star rate category. The most recent market rate adjustments have been partial increases of recommended adjustments. Across all counties, across all rates for centers and homes by age and star levels, the current market rates will purchase care at the 75th percentile of private rates an average of 31% of the time.](#)

2.7.7. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement.

Differential rate for nontraditional hours.

Describe:

[N/A](#)

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

Describe:

N/A

Differential rate for infants and toddlers.

Describe:

An infant/toddler rate is included in the tiered subsidy rate structure.

Differential rate for school-age programs.

Describe:

N/A

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

Describe:

Differential rates are based on the programs star level. Star level's are rated from 1-5, and 1 being the lowest rate and 5 the highest rate.

Other differential rate.

Describe:

None.

2.7.8. Will the Lead Agency allow providers to charge parents any additional fees?

Check the policies, if any, the Lead Agency has chosen to establish regarding additional fees.

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

Providers are allowed to charge registration fees

Providers are allowed to charge for transportation fees

Providers are allowed to charge for meals.

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

Policies vary across region, counties and or geographic areas.

Describe:

No, providers may not charge parents any additional fees

Other.

Describe:

The Lead Agency does not pay for transportation and registration fees, however, providers are allowed to charge for those fees.

None

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

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

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

Separate payment rates for subsidized child care are established for child care centers, family child care homes, and in-home care. Subsidized child care reimbursement rates are further delineated by county, age group, and star level based on rates reported by providers to be charged for each of these categories of care. This allows for a wide range of centers and homes of different licensing levels to be available to parents.

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

Although market rates have not been adjusted recently, 84% of the licensed child care centers and family child care homes currently report that they will participate in the subsidized child care program. This percentage is the same as reported in 2009.

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

Family co-payments do not exceed 10% of a family's gross monthly income.

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

In the 2011 market rate survey, providers that did not participate in the subsidized child care program were asked if they chose not to participate because the market rate was lower than the rate they charged private-paying parents. Only 18% of centers and 16% of family child care homes statewide reported they did not participate for this reason.

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

1. DCDEE will utilize technology to streamline and make the subsidy reporting and payment process more efficient by implementing **(Subsidized Early Education for Kids (SEEK))**. SEEK is an electronic attendance reporting and payment delivery system that efficiently records the attendance and payment for the North Carolina Subsidized Child Care Program. Magnetic stripe cards will be issued to parents receiving subsidized child care assistance. These cards will be used by parents to check children in and out of child care facilities. Child care provider payments will be calculated automatically by SEEK and distributed by direct deposit tot the provider.
2. North Carolina's highest quality child care programs (3-5 Stars) will be eligible to serve children receiving subsidy. This will increase children receiving subsidy access to the highest quality learning programs.
3. DCDEE has been working in collaboration with other benefits and services programs to design, test and implement more effective, streamlined and integrated approaches to deliver key supports for low-income families. The goal of this workgroup is to promote consistency and streamline eligibility processes for low-income families seeking benefits and services.
4. DCDEE has been working with collaborators to increase and improve services for homeless families.

PART 3

Health and Safety and Quality Improvement Activities

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

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

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

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) Section 3.1 asks the State/Territory to identify and describe the components of both the licensing and CCDF health and safety requirements, indicate which providers are subject to the requirements, and describe compliance and enforcement activities. (658E(c)(2)(F), §98.41)

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

Lead Agencies shall certify that they have in effect licensing requirements applicable to

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

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

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. At a minimum, describe whether the State/Territory's licensing requirements serve as the CCDF health and safety requirements.

[North Carolina's child care laws and rules serve as the CCDF health and safety requirements. Licensed providers paid with CCDF funds are subject to licensing under the State requirements.](#)

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

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

Center-Based Child Care

Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

Describe which types of center-based settings are exempt from licensing in your State/Territory.

For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs

Child care does not include the following:

- a. Arrangements operated in the home of any child receiving care if all of the children in care are related to each other and no more than two additional children are in care;
- b. Recreational programs operated for less than four consecutive months in a year;
- c. Specialized activities or instruction such as athletics, dance, art, music lessons, horseback riding, gymnastics, or organized clubs for children, such as Boy Scouts, Girl Scouts, 4-H groups, or boys and girls clubs;
- d. Drop-in or short-term care provided while parents participate in activities that are not employment related and where the parents are on the premises or otherwise easily accessible, such as drop-in or short-term care provided in health spas, bowling alleys, shopping malls, resort hotels, or churches;
- d1. Drop-in or short-term care provided by an employer for its part-time employees where (i) the child is provided care not to exceed two and one-half hours during that day, (ii) the parents are on the premises, and (iii) there are no more than 25 children in any one group in any one room;
- e. Public schools;
- f. Nonpublic schools described in Part 2 of Article 39 of Chapter 115C of the General Statutes that

		<p>are accredited by the Southern Association of Colleges and Schools and that operate a child care facility as defined in subdivision (3) of this section for less than six and one-half hours per day either on or off the school site;</p> <p>g. Bible schools conducted during vacation periods;</p> <p>h. Care provided by facilities licensed under Article 2 of Chapter 122C of the General Statutes;</p> <p>i. Cooperative arrangements among parents to provide care for their own children as a convenience rather than for employment; and</p> <p>j. Any child care program or arrangement consisting of two or more separate components, each of which operates for four hours or less per day with different children attending each component.</p>
<p>Group Home Child Care</p> <p>N/A. Check if your State/Territory does not have group home child care.</p> <p><input checked="" type="checkbox"/></p>	<p>Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of group homes are exempt from licensing:</p> <p>N/A</p>

Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. Reminder - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are exempt from licensing: Child care does not include the following: a. Arrangements operated in the home of any child receiving care if all of the children in care are related to each other and no more than two additional children are in care. i. Cooperative arrangements among parents to provide care for their own children as a convenience rather than for employment.
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing: Arrangements operated in the home of any child receiving care if all of the children in care are related to each other and no more than two additional children are in care. Effective August 1, 2011 North Carolina no longer allows subsidy payment to be made for new children to be enrolled in unlicensed In-Home Care. This means that there will be no new subsidy payments to unlicensed providers.

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



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

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

Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
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Do the licensing requirements include **child:staff ratios and group sizes?** If yes, specify age group, where appropriate:

<input checked="" type="checkbox"/> Child:staff ratio requirement: 10A NCAC 09 .0712 STAFF/CHILD RATIOS FOR CENTERS WITH A LICENSED CAPACITY OF LESS THAN 30 CHILDREN include the following: 0 to 12 Months 1/5; 12 to 24 Months 1/6; 2 to 3 Years 1/10 ; 3 to 5 Years 1/15; and 5 Years and Older 1/25. 10A NCAC 09 .0713 STAFF/CHILD RATIOS FOR CENTERS WITH A LICENSED CAPACITY OF 30 OR MORE CHILDREN include the following: 0 to 12 Months 1/5 ; 12 to 24 Months 1/6 ; 2 to 3 Years 1/10 ; 3 to 4 Years 1/15; 4 to 5 Years 1/20 ; and 5 years and older 1/25.	<input type="checkbox"/> Child:staff ratio requirement: N/A	<input checked="" type="checkbox"/> Child:staff ratio requirement: 10.NCAC. 09 .1700 Family Child Care Home Capacity. Of the children present at any time in a family child care home, no more than five children shall be preschool-aged, including the operator's own preschool-age children. Eight is the total number of children that can be served and that includes five preschool-aged children and three school-aged children total.	<input type="checkbox"/> Child:staff ratio requirement:
<input checked="" type="checkbox"/> Group size requirement:	<input type="checkbox"/> Group size requirement: N/A	<input checked="" type="checkbox"/> Group size requirement:	<input type="checkbox"/> Group size requirement:
	<input type="checkbox"/> No requirements.	10.NCAC. 09 .1700 Family Child Care Home. Eight is the total number of children that can be served and that includes five preschool-aged children and three school-aged children total.	
		<input type="checkbox"/> No requirements.	<input type="checkbox"/> No requirements.

Age of Children and Maximum Groups size include the following: 0 to 12 Months (10); 12 to 24 Months (12) ; 2 to 3 Years (20); 3 to 5 Years (25); 5 Years and Older (25). 10A NCAC 09 .0713

STAFF/CHILD RATIOS FOR CENTERS WITH A LICENSED CAPACITY OF 30 OR MORE CHILDREN

maximum group size include the following: 0 to 12 Months (10); 12 to 24 Months (12); 2 to 3 Years (20); 3 to 4 Years (25); 4 to 5 Years (25); and 5 Years and Older (25).



No requirements.

Do the licensing requirements identify specific experience and educational **credentials for child care directors?**

<input checked="" type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input checked="" type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input checked="" type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
			N/A				

Do the licensing requirements identify specific experience and educational **credentials for child care teachers?**

<input checked="" type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input checked="" type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input checked="" type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input checked="" type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
			N/A				

Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year	<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"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year
	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement
	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:
		Complete five to twenty annual in-service training hours. Number of hours is based on the individuals education and experience.	N/A		Complete twelve hours of annual in-service training.	

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

Yes.

Describe: In 2010, the Division of Child Development and Early Education assembled the Minimum Standards Logistical Team to take a closer look at North Carolina's current child care requirements to identify ways to strengthen requirements and oversight of licensed child care facilities. The team is using the reports released from two publications from the National Association of Child Care Resource and Referral Agencies (NACCRA). (*Leaving Children to Chance: 2010 Update: NACCRRRA's Ranking of State Standards and Oversight of Small Family Child Care Homes* and *We Can Do Better: 2011 Update: NACCRRRA's Ranking of State Child Care Center Regulation and Oversight*). The overall goal is to ensure children in child care are cared for in safe and healthy environments. The team makes recommendations for short and long-term changes to strengthen and improve the child care requirements. Recommendations are discussed with members of the North Carolina Child Care Commission. The Commission is responsible for adopting rules to implement the child care laws established by the North Carolina General Assembly. The Commission is highly committed to ensuring quality child care across the state.

The North Carolina QRIS Advisory Committee was convened to review the current QRIS for policy revisions and initiatives that will improve and enhance the current early care and education systems.

The QRIS Advisory Committee made the following recommendations for example:

- Create minimum standards for family engagement and communication efforts.
- Participating in pilot studies for appropriate measures of assessment pertaining to family engagement, inclusion and cultural competency
- Require the completion of a standardized Professional Development Plan
- Require programs to use the CSEFEL (Center on Social Emotional Foundations for Early Learning) Inventory of Practices for promoting social-emotional competence
- Strengthen staff/child interactions

No.

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

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

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

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.				
The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Physical exam or health statement for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self- certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/> Other.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Describe: N/A				

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

The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Other. Describe: Conduct monthly playground inspections Evacuation plan for non-ambulatory children (includes evacuation crib requirements) Aquatic activity policy and procedures for (Centers only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3))

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	CPR (Child Care Centers)	CPR training must have been completed within the last 12 months prior to receiving a license.	CPR training shall be renewed on or before the expiration of the certification or every two years, whichever is less.
	First Aid (Child Care Centers)	First aid training must have been completed within the last 12 months prior to receiving a license.	First aid training shall be renewed on or before the expiration of the certification or every two years, whichever is less.
	Training on infectious diseases (Child Care Centers)	N/A	N/A

	<p>SIDS prevention (i.e., safe sleep) (Child Care Centers)</p>	<p>ITS-SIDS training must be completed within 4 months of assuming caregiving responsibilities and every 3 years.</p> <p>Part of the orientation requirement for new hires, is to receive training and orientation on center's operational policies, including the center's safe sleep policy (completed within first 2 weeks of the hire date).</p>	<p>ITS-SIDS training must be completed within 4 months of assuming caregiving responsibilities and every 3 years.</p> <p>Part of the orientation requirement for new hires, is to receive training and orientation on center's operational policies, including the center's safe sleep policy (completed within first 2 weeks of the hire date).</p>
	<p>Medication administration (Child Care Centers)</p>	<p>Medication Administration is a requirement for new hires, within the first 2 weeks off the hiring date.</p>	<p>Medication Administration is a requirement for new hires, within the first 2 weeks off the hiring date.</p>
	<p>Mandatory reporting of suspected abuse or neglect (Child Care Centers)</p>	<p>Mandatory reporting of abuse and neglect are part of orientation for new hires. New hires must receive training and orientation within first 2 weeks of the hire date.</p>	<p>Mandatory reporting of abuse and neglect are part of orientation for new hires. New hires must receive training and orientation within first 2 weeks of the hire date.</p>
	<p>Child development (Child Care Centers)</p>	<p>Child Development concepts are the foundation for the NC Early Childhood Credential.</p>	<p>Child Development concepts are the foundation for the NC Early Childhood Credential.</p>
	<p>Supervision of children (Child Care Centers)</p>	<p>N/A</p>	<p>Supervision of children is part of orientation for new hires. New Hires must receive training and orientation within first 2 weeks of hire date.</p>

	Behavior management (Child Care Centers)	N/A	CSEFEL training is made available to child care providers to help with behavior management issues.
	Nutrition (Child Care Centers)	N/A	N/A
	Breastfeeding (Child Care Centers)	N/A	N/A
	Physical activity (Child Care Centers)	N/A	N/A
	Working with children with special needs or disabilities (Child Care Centers)	N/A	N/A
	Emergency preparedness and response (Child Care Centers)	N/A	N/A

Other. (Child Care Centers)

N/A

N/A

Describe:

Staff must complete at least 4 clock hours of training in safety. The training addresses playground safety hazards, maintenance and general upkeep, playground supervision and developmentally appropriate activities for outdoor play.

Complete five to twenty annual in-service training hours. Number of hours required to complete annually is based on the individual's education and experience.

Training must be from these topic areas:

Planning a safe, healthy learning environment

Steps to advance children's physical and intellectual development

Positive ways to support children's social and emotional development

Strategies to establish productive relationships with families

Strategies to manage an effective program operation

Maintaining a commitment to professionalism

Observing and recording children's behavior

Principles of growth and

[development](#)
[Learning activities that](#)
[promote inclusion of](#)
[children with special](#)
[needs.](#)

Group Home Child Care	CPR (Group Home Child Care)	N/A	N/A
	First Aid (Group Home Child Care)	N/A	N/A
	Training on infectious diseases (Group Home Child Care)	N/A	N/A
	SIDS prevention (i.e., safe sleep) (Group Home Child Care)	N/A	N/A
	Medication administration (Group Home Child Care)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (Group Home Child Care)	N/A	N/A
	Child development (Group Home Child Care)	N/A	N/A
	Supervision of children (Group Home Child Care)	N/A	N/A
	Behavior management (Group Home Child Care)	N/A	N/A
	Nutrition (Group Home Child Care)	N/A	N/A
	Breastfeeding (Group Home Child Care)	N/A	N/A
	Physical activity (Group Home Child Care)	N/A	N/A
	Working with children with special needs or disabilities (Group Home Child Care)	N/A	N/A
	Emergency preparedness and response (Group Home Child Care)	N/A	N/A

	Other. (Group Home Child Care) Describe: N/A	N/A	N/A
Family Child Care Providers	CPR (Family Child Care Providers)	CPR training must have been completed within the last 12 months prior to receiving a child care license.	CPR training shall be renewed on or before the expiration of the certification or every two years, whichever is less.
	First Aid (Family Child Care Providers)	First aid training must have been completed within the last 12 months prior to receiving a license.	First aid training shall be renewed on or before the expiration of the certification or every two years, whichever is less. First aid training shall be renewed on or before the expiration of the certification or every two years, whichever is less.
	Training on infectious diseases (Family Child Care Providers)	N/A	N/A
	SIDS prevention (i.e., safe sleep) (Family Child Care Providers)	N/A	Training must be completed within 4 months of assuming caregiving responsibilities and every 3 years.
	Medication administration (Family Child Care Providers)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (Family Child Care Providers)	N/A	N/A
	Child development (Family Child Care Providers)	N/A	N/A
	Supervision of children (Family Child Care Providers)	N/A	N/A
	Behavior management (Family Child Care Providers)	N/A	N/A
	Nutrition (Family Child Care Providers)	N/A	N/A

	Breastfeeding (Family Child Care Providers)	N/A	N/A
	Physical activity (Family Child Care Providers)	N/A	N/A
	Working with children with special needs or disabilities (Family Child Care Providers)	N/A	N/A
	Emergency preparedness and response (Family Child Care Providers)	N/A	N/A

	<p>Other. (Family Child Care Providers)</p> <p>Describe:</p> <p>Family Child Care Providers complete twelve annual in-service training hours. Training must be from these topic areas:</p> <p>Planning a safe, healthy learning environment</p> <p>Steps to advance children's physical and intellectual development</p> <p>Positive ways to support children's social and emotional development</p> <p>Strategies to establish productive relationships with families</p> <p>Strategies to manage an effective program operation</p> <p>Maintaining a commitment to professionalism</p> <p>Observing and recording children's behavior</p> <p>Principles of growth and development</p> <p>Learning activities that promote inclusion of children with special needs</p>	N/A	N/A
In-Home Child Care Providers	CPR (In-Home Child Care Providers)	N/A	N/A
	First Aid (In-Home Child Care Providers)	N/A	N/A
	Training on infectious diseases (In-Home Child Care Providers)	N/A	N/A

	SIDS prevention (i.e., safe sleep) (In-Home Child Care Providers)	N/A	N/A
	Medication administration (In-Home Child Care Providers)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (In-Home Child Care Providers)	N/A	N/A
	Child development (In-Home Child Care Providers)	N/A	N/A
	Supervision of children (In-Home Child Care Providers)	N/A	N/A
	Behavior management (In-Home Child Care Providers)	N/A	N/A
	Nutrition (In-Home Child Care Providers)	N/A	N/A
	Breastfeeding (In-Home Child Care Providers)	N/A	N/A
	Physical activity (In-Home Child Care Providers)	N/A	N/A
	Working with children with special needs or disabilities (In-Home Child Care Providers)	N/A	N/A
	Emergency preparedness and response (In-Home Child Care Providers)	N/A	N/A
	Other. (In-Home Child Care Providers)	N/A	N/A
	Describe: N/A		

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:

If the child care provider chosen by the parent meets the definition of a non-licensed home caregiver (except for grandparents, aunts and uncles) there are basic safety requirements the caregiver must comply with to receive any form of subsidized child care services. These requirements are in the form of a checklist and may be viewed at:

<http://info.dhhs.state.nc.us/olm/forms/dcd/dcd-0455.pdf>.

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

<http://nrckids.org/STATES/NC/northcarolina.htm>

3.1.3 Enforcement of Licensing Requirements

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

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

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

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
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<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: As requested for technical assistance regarding any child care requirement.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Additional unannounced visits are conducted by the Division of Child Development and Early Education when allegations of violations of child care requirements are received and for the purpose of evaluating the program for quality indicators (varies by facility). In some counties additional, visits are conducted by building inspectors, fire inspectors and environmental health agencies.
<input type="checkbox"/> Group Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe: N/A	<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: N/A

<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: As requested for technical assistance regarding any child care requirement.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Additional unannounced visits are conducted by the Division of Child Development and Early Education and Early Education when allegations of violations of child care requirements are received and for the purpose of evaluating the program for quality indicators (varies by facility). In addition, visits are conducted by building inspectors, fire inspectors and environmental health agencies in some counties.
<input type="checkbox"/> In-Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe: N/A	<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: N/A

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: Pre-licensing training is a requirement for all new child care centers.
	<input type="checkbox"/> No.
	<input checked="" type="checkbox"/> Other. Describe: Pre-licensing is optional for Family Child Care Home operators (training is offered but not currently required).
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections.
	<input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers.
	<input checked="" type="checkbox"/> Licensing staff verify correction of violation.
	<input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation.
	<input type="checkbox"/> No procedures in place.
	<input type="checkbox"/> Other.
	Describe:

Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

[Written Reprimand, Written Warning, Special Provisional License, Suspension and Denial of a License are other enforcement actions available and outlined in Child Care Rules.](#)

The State/Territory has procedures in place to respond to illegally operating child care facilities.



Cease and desist action



Injunction



Emergency or immediate closure not through court action



Fines



No procedures in place.



Other.

Describe:

[The State has statutory authority for misdemeanor and felony warrants .](#)

The State/Territory has procedures in place for providers to appeal licensing enforcement actions.



Yes.

Describe:

The child care provider may file an appeal with the Office of Administrative Hearings (administrative law court), contested cases may also be subject to the Final Agency Decision process following an administrative law hearing and/or appeal processes through Superior and State Appellate Courts.



No.



Other.

Describe:

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

Specific violations alone would not make a provider ineligible but the issuance of specific enforcement actions would make a provider ineligible to receive CCDF funds beginning 45 days after the enforcement action is received by the operator. Those enforcement actions are Revocation of a License, Denial of a License and Summary Suspension of a License. In addition, the issuance of a Special Provisional License may limit the enrollment of new children that are eligible for CCDF services during the six month time period of the license. However, that restriction would not affect any currently enrolled children.

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

Yes.

If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency. Please **also provide a brief overview** of the State/Territory's process for conducting background checks for child care. For example, describe what types of violations would make providers ineligible for CCDF, funding for background checks, and the process for providers to appeal background check findings.

Process for conducting background checks:

NC reviews a name check from the applicant's county of residence coupled with a state fingerprint check and federal fingerprint check (when applicable) to obtain a complete criminal history on an applicant. Based on the information provided from these checks, a determination is made, based on NC child care law, as to whether an applicant is qualified to assume the responsibility of protecting the safety and well being of children in care.

Violations that make providers ineligible include:

North Carolina General Statute 110-90.2 and 110-91(8) provides the authority for criminal offenses (convictions and pending indictments/charges) that will disqualify an applicant from providing child care. Such offenses include child abuse and neglect, murder, rape, assault, drugs, DUI and other crimes of moral turpitude.

Funding for Background Checks:

The North Carolina General Assembly provides state appropriations to pay for the federal fingerprint checks. The North Carolina Department of Justice (SBI) provides the state fingerprint checks. The providers pay for the local name check. There is current pending legislation before the 2011 General Assembly that will change this funding structure.

Process for Appeal:

NCGS 110-90.2(d) allows for a disqualified applicant to appeal the decision by filing a civil lawsuit in district court within 60 days of the disqualification. DCDEE also provides for a reapplication process that doesn't involve the court system.

No.

CCDF Categories of Care	Types of Background Check	Frequency
-------------------------	---------------------------	-----------

**Center-Based Child Care**

Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers:

Any individual who is employed by or seeks to be employed by a child care facility. Any individual over the age of 15 years old who is a household member of a home based center in a residence.



Child Abuse Registry



State/Territory Criminal Background



FBI Criminal Background (e.g., fingerprint)



Sex Offender Registry



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

Pending legislation will address this issue.



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

Required upon employment and every 3 years thereafter.



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

Applicants who have not lived in NC for the past 5 years are subject to a federal fingerprint check upon employment. There is pending legislation that would require a federal fingerprint check of all applicants regardless of the length of time lived in NC.



Initial Entrance into the System

		<input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: Sex Offender Registry is reviewed on a monthly basis.
--	--	--

<input type="checkbox"/> Group Child Care Homes Who is subject to background checks for group homes? For example, provider, non-provider residents of the home:	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe: N/A
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe: N/A
	<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: N/A
	<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: N/A

**Family Child Care Homes**

Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home:

Any individual who is an owner or seeks to own a Family Child Care Home (FCCH) . Any individual who is employed by or seeks to be employed by a FCCH. Any individual (and household members over the age of 15 years old) who receives federal subsidy dollars, but are not licensed by DCDEE, but who are regulated through the local county DSS.



Child Abuse Registry



State/Territory Criminal Background



FBI Criminal Background (e.g., fingerprint)



Sex Offender Registry



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

[Pending Legislation will address this issue.](#)



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

[Currently, a state fingerprint check as well as local county name check is performed on all applicants who apply to own or work in licensed or regulated child care.](#)

[Upon employment and every 3 years thereafter.](#)



Initial Entrance into the System



Checks Conducted Annually



Other.

Describe:

Applicants who have not lived in NC for the past 5 years are subject to a federal fingerprint check upon employment.

There is pending legislation that would require a federal fingerprint check of all applicants regardless of the length of time lived in NC.

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:

Sex Offender Registry is reviewed on a monthly basis.

<input type="checkbox"/> In-Home Child Care Providers Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home:	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe: N/A
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe: N/A
	<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: N/A
	<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: N/A

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)):

N/A

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:

The NC Division of Child Development and Early Education website (www.ncchildcare.net) offers information to parents, providers and staff regarding the child care requirements. This includes a search feature that parents may utilize to review facility compliance records. Those records include documentation from each visit, violations cited during visits and whether or not an enforcement action has been issued. Currently, the enforcement actions are not posted on the website but the website does indicate if an enforcement action has been issued within the past three years and states if that enforcement action is under appeal. In addition, there is an email request form for public records that may be submitted to the Division for processing.

No.

3.1.4 Describe the State/Territory's policies for 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 above for licensed providers, please describe the health and safety enforcement measures in place. Include in this description whether and how the State/Territory uses on-site visits (announced and unannounced) and background checks and any other enforcement policies and practices for the health and safety requirements.

In-home care does not meet the state definition of a child care center or home and is, therefore, exempt from state regulation; however, a certain number of non-licensed home providers are visited each year to ensure that they are in compliance with the health and safety requirements required for participation in the subsidy program. The health and safety checklist is a self-checklist completed by the parent and the provider together.

Non-licensed home providers who receive child care subsidies must have criminal background checks. Household members of family child care or non-licensed home providers over age 15 who are present while children are in care must also have the background check completed. Once the facility is licensed, any new members joining the household over age 15 who are present while children are in care must also have the background check completed. Early care and education providers, non-licensed home providers and household members will also be subject to re-qualification by means of a name check every three (3) years.

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

Screenings and referrals are a requirement for the state Pre-K program (NCPK); Early Head Start; Head Start programs and Development Day programs.

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

Yes.

Describe

Resources are provided to program staff to ensure children receive appropriate developmental screenings through the NC Pre-K program, Early Head Start, Head Start, and Developmental Day programs.

No

Other.

Describe

N/A

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

Resources and supports are provided to child care programs to assist staff with information and resources to help families receiving referral services when a follow-up to a developmental screening is required for a child. The UNC-G Inclusion pilot project provides intensive training on inclusive practices and on-line learning supports for teachers and families of children with special needs. The state-wide Healthy Social Behavior project provides child care program staff with resources to local mental health and developmental disabilities agencies, so children and their families receive appropriate referrals and supports in their local communities.

No

Other.

Describe

N/A

No

Other.

Describe

N/A

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):

As of February 2011, North Carolina has 8, 275 licensed facilities (4,907) centers and (3,368) family child care homes).

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

This number is unknown to the Regulatory Section.

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

Describe (optional):

It can vary but approximately 50 revocations per year and 20 summary suspensions per year (this is based on SFY09-10). These numbers are representative of all licensed facilities, not just programs receiving CCDF funds.

Number of injuries and fatalities in child care as defined by the State/Territory.

Describe (optional):

N/A

Number of monitoring visits received by programs.

Describe (optional):

It can vary, but at least one per year, more if complaints are received and/or enforcement action is issued (enforcement monitoring is every 4-6 weeks for duration of action).

Caseload of licensing staff.

Describe (optional):

Current caseloads are averaging from 75-80 per child care licensing staff.

Number of programs revoked from CCDF due to non-compliance with health and safety requirements.

Describe (optional):

N/A

Other.

Describe:

N/A

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?

North Carolina uses Article 7 Chapter 110 of the North Carolina General Statutes and Chapter 9 – Child Care Rules as the measures to verify compliance with CCDF health and safety requirements.

Contained within our child care requirements are rules to ensure the health and safety; education and training standards; developmentally appropriate environments; nutrition standards; transportation standards; space requirements; criminal records and discipline/emotional and social health of the children served in North Carolina as well as the state's QRIS standards that are part of the licensing system.

Here is a link to the requirements: <http://nrckids.org/STATES/NC/northcarolina.htm>

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. After a license is issued, the Lead Agency is responsible for monitoring the facility to assure that compliance is being maintained. Monitoring compliance is an official observation to determine ongoing compliance. One goal of monitoring is to reduce noncompliance to avoid issuing negative administrative actions in the future. Monitoring visits also reveal whether an operator has corrected previously documented violations. Compliance visits include routine visits, complaint investigations, annual compliance visits, and follow-up visits. The Lead Agency conducts at least an unannounced annual compliance visit to each facility plus complaint investigation visits, and routine monitoring visits are completed as needed. Specific requirements at a minimum must be monitored during certain types of visits.

North Carolina's Quality Rating and Improvement System is tied to the licensing system and is identified by a One to Five Star Rated License. The Rated License Program is North Carolina's means of recognizing child care facilities that provide higher quality care than the minimum One Star level. It is also a way to encourage facilities to continue working to improve the quality of care they provide. Facilities are rated according to the applicable components they choose to meet. North Carolina assigns ratings every three years and monitor annually for maintenance of ratings. A reassessment of the rating may also be conducted before the three year time period if the annual monitoring identified certain indicators, such as high staff turnover, a new director, or serious licensing violations. A program may also request a rated license assessment if it anticipates the rating will improve.

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

QRIS Advisory Committee:

The Division of Child Development and Early Education convened a QRIS Advisory Committee review the current QRIS, provide a vision for the future of the QRIS and make recommendations for short and long term changes that will lead the state toward their vision. Examples include:

Require ITS-SIDS training as a pre-service requirement.

Lower ratios for infants & toddlers

Require programs to use the CSEFEL (Center on Social Emotional Foundations for Early Learning)

Inventory of Practices for promoting social-emotional competence.
Create minimum standards for family engagement and communication efforts.
The diversity and culture of families are reflected in all aspects of the program.

Pending legislation for a Criminal Record Check bill and rule changes requiring federal checks for all applicants as a pre-service requirement is in process. This legislative change would also require checking the sex offender registry and the child abuse registry.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines include the expectations for what children should know (content) and be able to do (skills). The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These guidelines are voluntary in that States/Territory are not mandated to develop such guidelines or implement them in a specified manner.

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

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

If yes, insert web addresses, where possible:

Infant-Toddler Foundations: Guidelines for development and learning for North Carolinas infants and toddlers (birth to 36 months)

http://ncchildcare.dhhs.state.nc.us/pdf_forms/dcd_infant_toddler_early_foundations.pdf Preschool

Foundations can be found here: <http://www.ncprek.nc.gov/Foundations/index.asp>

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

The North Carolina Department of Health and Human Services is the lead agency for Infant-Toddler Foundations and the North Carolina Department of Public Instruction is the lead agency for Foundations for preschool children.

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 type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above: N/A	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. Describe: Cultural competence and inclusion are embedded throughout the early learning guidelines in each of the domains.	<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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. List: N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

The early learning guidelines are incorporated into the Pre-K Program (NC Pre-K), Infant Toddler Quality Improvement Project's Trainings and Technical Assistance, and throughout some of the Community College Early Childhood coursework.

None.

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

- Cross-walked to align with Head Start Outcomes Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other.

List:

N/A

- None.

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

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

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:

The Division of Child Development and Early Education administers the state Pre-k (NC Pre-K) and requires ongoing assessments of children's progress using valid reliable and age appropriate tools aligned with the early learning guidelines.

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

- Yes.

Describe:

Programs are encouraged to use the assessments to improve practice and meet individual children's needs. This is a requirement for state Pre-K (NCPK) and Developmental Day Programs.

- No

- Other.

Describe:

N/A

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

Yes.

Describe:

Keeping parent's informed of their child's progress is a requirement for state Pre-k (NCPK) and Developmental Day Programs.

No

Other.

Describe:

N/A

No

Other.

Describe:

N/A

b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children as they enter kindergarten?

Yes.

Describe:

All children enrolled in state Pre-K (NC Pre-K) must receive a developmental screening using an approved screening instrument. Pre-K programs are required to conduct ongoing assessments to gather information about each child's growth and skill development before they enter kindergarten.

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

Yes.

Describe:

The assessment tools are aligned with the domains in preschool early learning guidelines. Pre-k programs must be knowledgeable about Foundations; Early Learning Standards for North Carolina preschoolers and develop strategies for guiding their success. Early learning standards guide the planning of developmentally appropriate, high-quality pre-k experiences for children.

No

Other.

Describe:

N/A

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

All children.

Describe:

All children in the state Pre-K (NCPK) programs and Developmental Day programs are assessed using reliable assessment tools.

Samples of children.

Describe:

N/A

Other.

Describe:

N/A

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

Yes.

Describe:

Programs are required to conduct ongoing assessment to gather information about classroom teacher practices and for the development of program quality improvement activities.

No

Other.

Describe:

N/A

No

Other.

Describe:

N/A

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

Yes.

Describe:

N/A

No

Not applicable. State does not have an SLDS.

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

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

Number/percentage of child care providers trained on ELG's for preschool aged children.

Describe (optional):

Number/percentage of child care providers trained on ELG's for infants and toddlers.

Describe (optional):

Number of programs using ELG's in planning for their work.

Describe (optional):

N/A

Number of parents trained on or served in family support programs that use ELG's.

Describe (optional):

N/A

Other.

Describe:

N/A

None.

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

Through the Infant Toddler Quality Improvement Project, the Lead Agency is developing a teacher resource of materials & activities to support implementation of Infant Toddler Foundations (ITF), and a 5-hour training on ITF implementation. In addition, each CCR&R Region makes available training on Preschool Foundations.

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

The Infant Toddler Quality Improvement Project is developing a cross-walk between Infant-Toddler Foundations, ITERS-R, and CSEFEL Inventory of Practices to support teacher implementation of standards as a way to improve the quality of programs.

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?

To develop tools to track and record implementation of Infant Toddler Foundations in classrooms across the state and explore ways to embed into QRIS.

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

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.

DCDEE; QRIS Advisory Committee; Professional Development Advisory Committee; CCR&R; Smart Start; Rated License Assessment Project; NC Prekindergarten Program; Head Start; Child Care Health & Safety Resource Center; Institutes of Higher Education are involved in quality improvement planning and administering quality improvement activities.

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:

N/A

- 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:

N/A

- 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:

N/A

- 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.**

- 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 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	Business management practices	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	N/A			

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:

N/A

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

- Yes.

Describe:

DCDEE's Infant Toddler Quality Improvement Project (launched in 2005) provides a highly trained team of regional infant toddler specialists who work with child care programs and community agencies in all 100 North Carolina counties. Specialists provide on-site technical assistance in infant toddler (IT) classrooms; support IT start-up program development; distribute current IT information and resources; and conduct training specific to IT care. Intensive on-site technical assistance is available to eligible licensed programs through the Infant Toddler Quality Rating Improvement Program resulting in improved Environmental Rating Scales (ERS) scores in classrooms serving infants and toddlers. The specialists also work collaboratively with local and regional agencies and consultants working on IT issues and

provide technical assistance on IT care to community consultants as requested. This project is part of North Carolina's CCR&R System, and is managed by CCR&R Council Management Agency Child Care Services Association.

DCDEE's Promoting Healthy Social Behaviors in Child Care Centers project (HSB), improves program quality by systematically and intentionally promoting the social-emotional health of children enrolled in licensed child care in North Carolina. The core of the project is a team of highly trained HSB specialists who work in all 100 counties across the state. Their work is based upon a conceptual model developed by the Center on the Social and Emotional Foundations for Early Learning (CSEFEL), a national research center funded by the Office of Head Start and the Child Care Bureau. CSEFEL's Pyramid Model provides a framework to help teachers make personal and programmatic improvements to ensure the optimal social-emotional health of the children in their care. HSB Specialists provide training and technical assistance to aid teachers in modifying their own behavior and early childhood environments to promote social-emotional competencies prevent challenging behavior in the classroom; they partner with teachers to determine and implement intervention strategies as needed; and they assist staff and parents in finding appropriate referrals for children who require additional intervention. This project is part of North Carolina's CCR&R System, and is managed by CCR&R Council Management Agency Child Care Resources Inc.

DCDEE's School Age Care Quality Improvement Project is designed to improve outcomes for the state's school age children by improving the quality and availability of out-of-school time care for that population. A team of highly trained specialists work in all 100 counties in North Carolina to provide technical assistance to improve quality in licensed programs and to support successful licensure of unlicensed programs; technical assistance to support successful implementation of the School Age Care Environment Rating Scales (SACERS) and other current research; training to support developmentally appropriate practices/activities for school age children, aligned with the NC DPI Standard Course of Study; and information and resources to community partners to support high quality care. This project is part of North Carolina's CCR&R System, and is managed by CCR&R Council Management Agency Southwestern Child Development Commission, Inc.

- No
 Other.
Describe:

N/A

3.3.3 Element 3 - Financial Incentives and Supports

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

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

None. skip to 3.3.4.

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Grants to programs to meet or maintain licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to maintaining quality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other.			
Describe:			
T.E.A.C.H. Early Childhood Scholarship Program, T.E.A.C.H. Health Insurance and WAGE\$ Salary Supplement Program provide financial incentives and supports for programs.	<input checked="" type="checkbox"/>	<input checked="" 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.**

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. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> Environment Rating Scales are conducted every three years, or before by request of the facility operator. A reassessment of the rating may also be conducted before the three year time period if the annual monitoring identified certain indicators, such as, high staff turnover, a new director, or serious licensing violations. </div>	<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. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> N/A </div>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> N/A </div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. <input type="text" value="N/A"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe: <input type="text" value="Child Care Licensing Consultants monitor child care programs."/>	<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.

The CCR&R system is required to provide targeted outreach and referrals in the two most dominant languages in each region of the state.

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:

licensed child care centers and family child care home operators eligible to apply for a Two to Five Star Rated License.

Participation is mandatory for:

One star programs.

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:

The Division of Child Development and Early Education is currently targeting quality improvement for 1 and 2 star programs to increase their star licensure.

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

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:

The quality level of programs are tracked for all licensed child care facilities.



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

Describe:

This data is tracked on the quality levels for all licensed programs in the regulatory database.



Program scores on program assessment instruments.

List instruments:

The North Carolina Rated License Assessment Project conducts environment rating scales assessments for North Carolina child care facilities. The Assessors use the ITERS-R for infant and toddlers center classrooms, the ECERS-R for early childhood center classrooms, the FCCERS for family child care homes and the SACERS for school age classrooms to assess the quality of child care programs in North Carolina. The Division of Child Development and Early Education continues to use CCDF funds to support the implementation of the North Carolina Rated License Assessment Project.

Describe:

The recent study conducted by the North Carolina Rated License Assessment Project at The University of North Carolina Greensboro, validates 4 and 5 star centers provide higher quality child care. Children of all ages experience significantly higher quality learning environments and received more appropriate instructional and emotional support in 4 and 5 star centers compared to their peers in centers with 1 to 3 stars. Young children demonstrated more advanced cognitive and social skills in higher quality child care. Children had more positive learning experiences and were more engaged in learning activities in higher quality child care.

www.ncrlap.org



Classroom scores on program assessment instruments.

List instruments:

The North Carolina Rated License Assessors use the ITERS-R for infant and toddlers center classrooms, the ECERS-R for early childhood center classrooms, the FCCERS for family child care homes and the SACERS for school age classrooms are used to assess classrooms. The Division of Child Development and Early Education continues to use CCDF funds to support the implementation of this project.

Describe:

The Statewide Infant–Toddler Quality Enhancement project utilizes the Environment Rating Scales (ITERS-R, FCCERS) and the Center on the Social & Emotional Foundations of Early Learning (CSEFEL) Infant Toddler Inventory of Practices.

The Statewide Healthy Social Behaviors project utilizes the CSEFEL Inventory of Practices and the Teaching Pyramid Observation Tool (TPOT).

The Statewide School Age Quality Improvement Project utilizes the Environment Rating Scale (SACERS).



Qualifications for teachers or caregivers within each program.

Describe:

Requirements have been adopted to establish appropriate qualifications for all staff in child care facilities. The standards specify teachers' or caregivers' training, experience and education and credentialing. Requirements vary for different child care positions. Minimum requirements for Lead Teachers consist of the North Carolina Early Childhood Credential (NCECC) or its equivalent. Minimum requirements for Administrators/Directors consist of the North Carolina Early Childhood Administration Credential (NCECAC) or its equivalent. Both credentials are offered at 58 North Carolina Community

Colleges. At the highest level, Lead Teachers have at least an Associates Degree in ECE and Directors have at least a Bachelor in ECE.

http://ncchildcare.dhhs.state.nc.us/providers/pv_sn2_ereq.asp

Early Educator Certification (EEC) is North Carolina's voluntary certification system for the field of Early Childhood. EEC is an acknowledgement of an individual's verified level of educational achievement, based on a standardized scale. Early Educator Certification is administered by the NC Institute for Child Development Professionals.

www.ncicdp.org



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

Describe:

A total of 77,796 children are receiving CCDF assistance in licensed child care as of May 2011.



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:

34% of children in child care in North Carolina are receiving CCDF assistance at each of the tiers of quality.

The number /percentage for programs receiving financial assistance to meet higher program standards is collected through the local Smart Start agency.



Other.

Describe:

N/A



None.

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

Facilities that apply for 3 or more program points in standards in the Star Rated License System program quality are measured by the use of the Environment Rating Scale Assessment Tool. The North Carolina Rated License Assessment Project provides environment rating scales assessment for facilities. Results from these assessments are used to achieve higher star licensure and to inform providers to improve the quality of child care programs. Quality rating assessments are conducted by trained Assessors. Assessors are employed by the University of North Carolina-Greensboro and are located throughout the state.

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

The North Carolina Rated License Assessment Project (NCRLAP) is a collaboration between North Carolina Division of Child Development and Early Education (DCDEE) and the University of North Carolina at Greensboro. NCRLAP purpose is to conduct voluntary assessments for child care centers and family child care homes attempting to earn a higher star rating in the North Carolina Star Rated License system. Child care programs with higher rating scale scores can earn more Program Standards points. Highly trained assessors seek to determine the quality of children's care and education using items found in the Environment Rating Scales. To conduct a valid assessment, assessors attempt to complete the assessment on a "typical day" (e.g., usual routine, no special activities or guests). Also, each classroom or family child care home must have more than half of the children enrolled in attendance on the day of the assessment. Finally, each home or classroom being assessed should expect two assessors for the observation, although it is possible that only one assessor will conduct the observation. In multi-classroom centers, a minimum of one-third of the total classrooms will be assessed. This will include at least one classroom from each age group requiring a specific rating scale (i.e., one infant/toddler classroom, one school-age classroom, etc.).

The Statewide Infant Toddler Quality Enhancement project staff will develop a crosswalk that will align NC's early learning guidelines for birth to three, *Infant-Toddler Foundations*, with the ITERS-R and the Infant Toddler Inventory of Practices (CSEFEL) to promote the *Infant-Toddler Foundations* as the "starting point for developing appropriate curriculum, child assessment, program assessment and professional development for infant and toddler programs and staff in North Carolina.

The Statewide Healthy Social Behaviors project staff will develop a crosswalk between CSEFEL Inventory of Practices (IOP) and the Early Childhood Environment Rating Scale-Revised (ECERS-R) to facilitate teachers', administrators' and technical assistance providers' understanding of the role of the social-emotional domain in rated license assessments and its compatibility with classroom goals set using the Inventory of Practices (IOP).

The North Carolina Rated License Assessment Project piloted a project, "*A Comparison of Quality Assessment Tools*". The purpose of the project was to pilot a variety of observation measures that may better inform our understanding of child care quality. One of the major focuses was to honor the diversity in children, their families, and the programs that serve them. Testing new measures may help us to create an accountability system that better meets the diverse needs of North Carolina's child care programs. This knowledge may also help us understand and meet the quality enhancement needs of programs at each star level in our state. Another goal of the project was to evaluate the quality of child care in the state of North Carolina and to examine and differentiate various measures of quality and to relate start levels with quality measured by the instruments below. In North Carolina, child care programs are currently distinguished by the star ratings on their licenses. This is a summary of the measures used in this project: Classroom Assessment Scoring System (CLASS); Preschool Outdoor Environment Measurement Scale (POEMS); Out of School Time (OST) Observation Instrument; Comfort

and Contentedness of Children in Child Care (C5); Teacher Satisfaction Inventory (TSI); NEO Five-Factor Inventory; Brief Infant/Toddler Social Emotional Assessment (BITSEA); Early Childhood Behavior Questionnaire (ECBQ); Social Skills Improvement System (SSIS); Child Behavior Questionnaire (CBQ; Very Short Form); Flexible Item Selection Task (FIST); Conceptual Perspective Taking; and Motivation Approach to Learning.

The results of this study validates that 4 and 5 star centers provide higher quality child care. Children of all ages experience significantly higher quality learning environments and received more appropriate instructional and emotional support in 4 and 5 star centers compared to their peers in centers with 1 to 3 stars. Young children demonstrated more advanced cognitive and social skills in higher quality child care. Children had more positive learning experiences and were more engaged in learning activities in higher quality child care.

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?

1. Coordinate with DCDEE's Quality Rating & Improvement System Advisory Committee and other partners to determine policy, rule, legislation, &/or program changes needed in order to improve the early care and education system in North Carolina.
2. Identify mechanisms to support providers in making program improvements , targeting geographic areas that lag behind in providing access to high quality care for families.
3. Continue to work towards embedding the CSEFEL Pyramid Model in North Carolina's professional development system.
4. North Carolina is looking forward to the opportunity to apply for the Race to the Top Early Learning Challenge grant. North Carolina has established itself as a model for other states in early childhood innovation, creativity and capacity. Our Quality Rating Improvement System (QRIS) led the way in our nation. Our focus has been on creating a system that promotes early learning outcomes for all children; meeting the needs of low-income and vulnerable families by ensuring families have access to high quality care; increasing high quality care for infants/toddlers; providing ongoing technical assistance and professional development for the child care workforce; and utilizing data collection to build and streamline our early care and education systems.

The Division of Child Development and Early Education continues to partner with the Center for Community Self Help to administer the Child Care Revolving Loan Fund (CCRLF). the CCRLF is a response to the dearth of care in rural counties, the growing need for high quality child care in North Carolina in general, and the lack of funding avenues available to many child care providers that serve disadvantaged children and their families.

www.self-help.org

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.

DCDEE, CCR &R, Higher Ed, Smart Start, Head Start, Child Care Health Consultants and NC Institute for Child Development Professionals, Professional Development Advisory Committee, NC AEYC, and Child Care Services Association are involved in planning and administering these activities.

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:

Because North Carolina is heavily focused on college credits for professional development, we consciously defer to the competencies defined by the higher education system in early childhood as our competencies for child care teachers and providers. The Adult Educator Endorsement has specialized competencies for trainers.

<http://ncicdp.org/certification-licensure/>

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:

[Inclusive classroom environments are covered in the CKC's.](#)

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, 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:

Specialized competencies are embedded in the Infant-Toddler Certificate, the North Carolina Early Childhood Credential, the North Carolina School Age Credential, and the Head Start CDA Credential.

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

Describe:

Specialized competencies are embedded in the North Carolina Family Child Care Home (FCCH) Credential.

Administrators in centers (including educational coordinators, directors).

Describe:

Specialized competencies are embedded in the Child Care Administration Credential.

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

Describe:

Each special quality improvement project has its own set of required competencies for its Technical Assistance providers.

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

Describe:

The Adult Educator Endorsement related to the voluntary Early Educator Certification requires competencies for certain professional development providers.

Other.

Describe:

N/A

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:

The Early Educator Certification (EEC) is a voluntary professional certification granted by the North Carolina Institute for Child Development Professionals. EEC assesses an individual's verified level of educational achievement based on a standardized scale and assigns an EEC level. As with other occupations, EEC recognizes and validates educational accomplishments of Early Educators.
<http://ncicdp.org/certification-licensure/>

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

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

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

Describe:

Early Educator Certification (EEC) is North Carolina's voluntary certification system for the field of Early Childhood. EEC is an acknowledgement of an individual's verified level of educational achievement, based on a standardized scale. The scale assess staff directly working with children in centers.

The State's Workforce Education unit collects child care program staff's education to determine education levels for the North Carolina Early Childhood Credentials (NCECC).
<http://ncchildcare.dhhs.state.nc.us/providers/credent.asp>

All (NC Pre-K) teachers will hold or work towards a North Carolina (NC) Birth-Kindergarten (B-K) Standard Professional II or Preschool Add On Licensure.

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

Describe:

Early Educator Certification (EEC) is North Carolina's certification system for the field of Early Childhood. EEC is an acknowledgement of an individual's verified level of educational achievement, based on a standardized scale. The scale assess staff directly working with children.

The State's Workforce Education unit collects family child care home provider's education to determine education level for the North Carolina Early Childhood Credentials, but specifies family care provider.
http://ncchildcare.dhhs.state.nc.us/providers/pv_sn2_ereq.asp

Administrators in centers (including educational coordinators, directors).

Describe:

Early Educator Certification (EEC) is North Carolina's certification system for the field of Early Childhood. EEC is an acknowledgement of an individual's verified level of educational achievement, based on a standardized scale. The scale assess staff directly working with children in centers.

The State's Workforce Education unit collects child care Administrators education to determine education level for the North Carolina Early Childhood Administration Credentials (**NCECAC**).

http://ncchildcare.dhhs.state.nc.us/providers/pv_sn2_ereq.asp

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

Describe:

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

Describe:

The Adult Educator Endorsement (AEE) represents the field's guidelines for adult educators providing EEC renewal options in CEU. The AEE is based on systems of qualification for trainers and systems of continuing education in North Carolina.

Other.

Describe:

None.

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

Children with disabilities, children with developmental delays, and children with other special needs

Other.

Describe:

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:

All credentials, certifications and licensures are verified by the State Workforce, North Carolina Institute for Child Development Professionals, and the NCPK Teacher Certification.

No.

3.4.3 Workforce Element 3 - Professional Development Capacity

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

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

Yes.

If yes, describe:

Through collaboration with higher education systems in NC, DCDEE has determined that degrees programs are available to practitioners statewide either in person, through hybrid courses or via distance learning.

www.ncicdp.org

No.

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

Yes.

If yes, describe:

Through the CCR &R System; Smart Start ; Cooperative Extension; and Child Care Health Consultants project, DCDEE assures training and TA availability to practitioners in all 100 counties across the state.

No.

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

Standards set by the institution

Standards set by the State/Territory higher education board

Standards set by program accreditors

Other.

Describe:

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:

Training can be delivered via "exempt" agencies, (colleges/ universities, government agencies, state/ national professional organizations) with annual approval from DCD required training plan. Non-exempt independent trainers trainings require comprehensive approval by DCD.

Trainer approval process.

Describe:

Training can be delivered via "exempt" agencies, (colleges/ universities, government agencies, state/ national professional organizations) with annual approval from DCD required training plan. Non-exempt independent trainers and trainings require comprehensive approval by DCD.

Training and/or technical assistance evaluations.

Describe:

Any training and technical assistance funded by the state, participant evaluations are required.

Other.

Describe:

All training must meet the statutory requirements related to content areas: North Carolina General Statute 110-91 (11).

None.

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

Yes.

If yes, describe:

DCDEE continues to collaborate with system partners to establish Articulation Agreements on a program by program basis.

No.

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

Yes.

If yes, describe:

No.

3.4.4 Workforce Element 4 - Access to Professional Development

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

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

Yes. If yes, for which sectors?

Child care

Head Start/Early Head Start

Pre-Kindergarten

Public schools

Early intervention/special education

Other.

Describe:

No.

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

Yes.

If yes, describe:

Each CCR&R Region maintains a training calendar listing professional development opportunities available across the region.

No.

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

Scholarships.

Describe:

The T.E.A.C.H. Early Childhood® Project provides educational scholarships to eligible early care and education professionals working in licensed child care across the state.

Free training and education.

Describe:

Free or low-cost training is provided through the CCR&R System ,Smart Start , Rated License Assessment Project, Child Care Health Consultants, and (DCDEE) Licensing Consultants Staff.

Reimbursement for training and education expenses.

Describe:

N/A

Grants.

Describe:

N/A

Loans.

Describe:

N/A

Loan forgiveness programs.

Describe:

N/A

Substitute pools.

Describe:

N/A

Release time.

Describe:

Certain T.E.A.C.H. Early Childhood® Project scholarship models offer release time for participants.

Other.

Describe:

N/A

None.

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

Yes.

If yes, describe:

Early childhood and school age practitioners have access to career advisors through the higher education system; Smart Start; NC Pre-k program; T.E.A.C.H. Early Childhood® Project and Child Care WAGE\$ 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:

Technical Assistance is provided by DCDEE Regulatory Licensing Consultants, Quality Improvement Projects, CCR&R, Smart Start Quality Improvement and Quality Enhancement staff, Child Care Health Consultants, and North Carolina Rated License Assessment Project.

No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce

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

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

Yes.

If yes, describe:

NC Institute for Child Development Professionals has a schedule of suggested salaries, and the Pre-k program has an official salary schedule.

<http://ncicdp.org/projects/resource-library/compensation/salary/>

No.

b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

Yes.

If yes, describe:

The T.E.A.C.H. Early Childhood® Project gives scholarships to child care workers to complete course work in early childhood education and to increase their compensation.

www.childcareservices.org

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:

The Child Care WAGE\$® Project provides education-based salary supplements to low-paid teachers, directors and family child care providers working with children between the ages of birth-5. The project is designed to provide preschool children more stable relationships with better educated teachers by rewarding teacher education and continuity of care.

www.childcareservices.org

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:

Through the T.E.A.C.H. Early Childhood® Health Insurance Program, the state provides limited reimbursement for a portion of the cost of health insurance for licensed programs that demonstrate a commitment to high quality professional development for their teaching staff.

www.childcareservices.org

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):

[As of May 2011, there were 45,770 child care professionals working in licensed care programs.](#)

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

[The T.E.A.C.H. Early Childhood® and WAGE\\$ programs collect this data, but only for their participants.](#)

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

[The State's Workforce Education database; the Institute for Child Development Professionals' Certification database; & the NC Pre-K program each collect this information for their participants.](#)

Retention rates.

Describe (optional):

The T.E.A.C.H. Early Childhood® and WAGE\$ programs has the retention information on their participants.

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

N/A

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

The State's Workforce Education database and the Institute for Child Development Professionals' Certification database collect this information for their participants.

Number of scholarships awarded .
Describe (optional):

The T.E.A.C.H. Early Childhood® program has information on the number of scholarships awarded for its participants.

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

T.E.A.C.H. Early Childhood® and WAGE\$ programs has data on the number of bonuses and financial rewards warded for its participants.

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

DCDEE issues NC Early Childhood, Administration, Family Child Care, and School Age Credentials, so DCDEE collects this data.

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

The CCR&R system reports annually the number of providers they have trained.

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

N/A

Other.

Describe:

Currently DCDEE has a contract with a consulting company to develop the requirements needed to create a child care workforce data system.

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:

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

Describe:

N/A

Administrators in centers (including educational coordinators, directors).

Describe:

N/A

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

Describe:

N/A

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

N/A

Other.
Describe:

The Division of Child Development and Early Education has a contract with a Consultant Company to develop the requirements needed to create a child care workforce system.

None.

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

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

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

No.

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

The state has annual performance measures related to the number of participants in the T.E.A.C.H and WAGE\$ programs and the number of child care professionals accessing training and TA through the CCR&R and Community College systems. Currently a workforce data study on both teachers and directors statewide is underway and should be complete by early 2012.

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.

DCDEE's subject matter experts (SME's) work with each project and look at their progress toward outcomes throughout the year, as part of a formative evaluation process.

In addition, DCDEE's Professional Development and QRIS Advisory Committees will be evaluating various components of the early care and education system in order to make recommendations to DCDEE for improvements, enhancements and etc.

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

DCDEE plans to continue its commitment to scholarship programs (such as the T.E.A.C.H.® Early Childhood Project); salary supplement programs (such as the Child Care WAGE\$® Project); and to work with its Professional Development Advisory Committee and other partners to explore improvements to the 5 key elements for the workforce and professional development system.

For additional details, see North Carolina's Professional Development Plan for its Early Care and Education Workforce at www.ncchildcare.net.