

Child Care and Development Fund (CCDF) Plan  
For

North Carolina  
FFY 2014-2015

**PART 1  
ADMINISTRATION**

**1.1 Contact Information**

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

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

Effective Date: 01-OCT-13

Name of Lead Agency: [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: [Secretary Aldona Wos](#)

Phone Number: [919 855-4800](#)

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

E-Mail Address: [Aldona.Wos@dhhs.nc.gov](mailto:Aldona.Wos@dhhs.nc.gov)

Web Address for Lead Agency (if any): [www.dhhs.state.nc.us](http://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:**

Effective Date: 01-OCT-13

Name of CCDF Administrator: [Rob Kindsvatter](#)

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: : [919 662-8499](#)

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

E-Mail Address: [Rob.Kindsvatter@dhhs.nc.gov](mailto:Rob.Kindsvatter@dhhs.nc.gov)

Phone Number for CCDF program information

(for the public) (if any): [\(919\) 662-4499](#)

Web Address for CCDF program

(for the public) (if any): [www.ncchildcare.net](http://www.ncchildcare.net)

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):

## **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:

## **1.2 Estimated Funding**

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

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

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FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$  
[\\$198,342,198](#)

Federal TANF Transfer to CCDF: \$ [\\$71,773,001](#)

Direct Federal TANF Spending on Child Care: \$ [\\$65,998,306](#)

State CCDF Maintenance-of-Effort Funds: \$ [\\$37,927,282](#)

State Matching Funds: \$ 27,596,936

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

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

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

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N/A here

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

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

State General Funds are the source of funds.

If known, identify the estimated amount of public funds the Lead Agency will receive: \$ 27,596,936

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

If checked, are those funds:

donated directly to the State?

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

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

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

State expenditures for Pre-K programs to meet the CCDF Matching Funds requirement.

If checked, provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures ( not to exceed 30%): 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 administrator of the state pre-kindergarten program (NC Pre-K). 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: \$8,279,081

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 NC Pre-K program (NC Pre-K) 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

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 2014 - 2015. Note: Funding estimate is limited to FY 2014** In as much detail possible, list the activities that will be funded, the estimated amount of CCDF

quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

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Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>Infant/Toddler Targeted Fund 1,400,000</p>	<p>Infant Toddler Quality Enhancement Project</p>	<p>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.</p>	<p>In 2013-2014, the Infant Toddler project is scheduled to deliver 3,700 on-site technical assistance consultations; provide 590 contact hours of training; Develop CEU modules on infant toddler topics.</p>
<p>School-Age/Child Care Resource and Referral Targeted Funds 1,000,000</p>	<p>School Age Care Quality Improvement Project</p>	<p>The 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.</p>	<p>In 2013-2014 School Age Care Quality Improvement Project is scheduled to provide 2,385 on-site technical assistance consultations; and develop CEU bearing modules on school age topics. The project will provide 418 contact hours of training.</p>

Quality Expansion  
Targeted Funds

4,000,000

**Child Care Resource  
and 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 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. 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

			<b>improve quality of care. Data Collection: Data collection, evaluation, and analysis of critical services.</b>
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Quality Funds (not including Targeted Funds)

13,462,000

Promoting Healthy Social Behaviors in Child Care Centers Project

T.E.A.C.H. Early Childhood® Scholarships

T.E.A.C.H. Infant Toddler Scholarships

T.E.A.C.H. Health Insurance

The Child Care WAGE\$ Project

Promoting Health and Safe Environments for Young Children Project

NC Rated License Assessment Project (NCRLAP)

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.

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 Carolina's 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.

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

In 2013-14, Promoting Healthy Social Behaviors is scheduled to deliver 3,680 on-site technical assistance consultations; provide 590 contact hours of training; develop CEU modules on topics related to social-emotional health of young children.

In 2013-14 T.E.A.C.H. estimates that 3800 child care professionals will access higher education through the T.E.A.C.H. Early Childhood® Scholarship project.

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 T.E.A.C.H. Infant Toddler Scholarships project.

T.E.A.C.H. Health Insurance Scholarships: in 2013-2014 estimated to reach 200 child care programs and 1870 child care staff providing access to health insurance.

Approximately 4,400 applicants will receive or be eligible to receive WAGE\$ payments WAGE\$ will offer five different funding options (tiers), four county-specific eligibility options and implement tier changes, percentage cuts and/or increases as requested.

The North Carolina Child Care Health and Safety Bulletin will be produced three times. 4000 copies will be printed and mailed to

		<p><b>Toddler Scholarships</b> 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><b>T.E.A.C.H. Early Childhood® Health Insurance Program :</b> Provides partial reimbursement of health insurance costs to qualifying child care programs as a strategy to incentivize and reward teacher education and retention.</p> <p><b>The Child Care WAGE\$® Project</b> 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 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><b>Promoting Health and Safe Environments for Young Children Project</b> promotes safe and healthy environments for young children and supports the well-being of early childhood</p>	<p>all regulated family child care homes, licensing consultants, child care health consultants, community colleges, and other early childhood professionals. The NC Child Care Health and Safety Bulletin will provide timely, in-depth information on health and safety topics relevant to child care staff members and families with children in child care.</p> <p>The North Carolina Rated License Assessment Project provides environment rating scale assessments for North Carolina's Star Rated License. Results from these assessments are used by providers to improve the quality of child care programs and to achieve higher license star ratings. Quality rating assessments are conducted by trained assessors and voluntarily requested by early care and education providers. The ITERS-R, the ECERS-R, the FCCERS, and the SACERS are used.</p>
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		<p>educators by providing research-based information and resources through the NC Health and Safety Bulletin; various online trainings (Train the Trainer); TA support for professionals providing those trainings; website &amp; database hosting/maintenance; &amp; Child Care Health Consultant trainings, meetings, and support.</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 prekindergarten and school age classrooms, since licensing is a requirement.</p>	
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**1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?**

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

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

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

Estimated amount or percentage to be distributed to localities

\$4 M (Child Care Resource & Referral management and core services)

\$1.4 M (Promoting Healthy Social Behaviors in Child Care Centers Project)

\$1.4 M (Infant Toddler Quality Enhancement Project)

\$1 M (School Age Care Quality Improvement Project)

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.

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Describe:

Quality Activities: For activities funded with CCDF quality dollars, the Division of Child Development and Early Education's Center of Excellence committee 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. During 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 for care 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](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010)). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

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Describe:

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 N.C.G.S. 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.

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<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"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

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

The North Carolina process to reduce errors and maintain errors at a minimal level is the 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 cases and a ceiling of 150. Additionally, technical assistance staff reviews 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 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. 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 subsidy policy unit as well. This training will provide 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:**

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

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Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$	<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?**

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- 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 N.C.G.S. 150B-23.

Prosecute criminally

Other.

Describe.

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

N/A here

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Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
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<p>North Carolina Families Accessing Services through Technology (NC FAST) is in development. 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>DCDEE has contracted with Xerox (formerly Affiliated Computer Services (ACS) State &amp; Local Solutions, Inc.) to develop and implement a statewide system for subsidized child care attendance reporting. The system is called Subsidized Early Education for Kids (SEEK). SEEK will provide more efficient attendance reporting and integrate with NC FAST.</p>	<p>The Subsidized Child Care Program is slated to be included into NC FAST by the end of 2014.</p>	

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

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

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

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

<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
<p><input checked="" type="checkbox"/> <b>Representatives of general purpose local government (required)</b></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><u>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 &amp; Referral Agencies, etc.</u></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.**

<input checked="" type="checkbox"/> State/Territory agency responsible for public education  This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	<p><u><a href="#">The Division of Child Development administers the NC Pre-K program.</a></u>  <u><a href="#">The CCDF Plan was sent to the Birth-Kindergarten Higher Education Consortium for review and feedback.</a></u></p>
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs  This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	<p><u><a href="#">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).</a></u></p>
<input type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	<p>N/A</p>
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<p><u><a href="#">The CCDF Plan was sent for review to the Head Start Collaboration Office Director.</a></u></p>
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	<p><u><a href="#">The CCDF Plan was sent for review to the Early Childhood Advisory Council (ECAC).</a></u></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	<p><u><a href="#">The CCDF Plan was sent for review by the Director of the North Carolina Partnership for Children (Smart Start Administrative Agency).</a></u></p>
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	<p><u><a href="#">The CCDF Plan was sent for review by the Director of the Division of Public Health.</a></u></p>
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	<p><u><a href="#">The CCDF Plan was sent for review by the Director of the Division of Public Health.</a></u></p>

<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)	<a href="#"><u>The CCDF Plan was sent for review by the Director of the Division of Public Health.</u></a>				
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	<a href="#"><u>The CCDF Plan was sent for review by the Director of the Division of Social Services.</u></a>				
<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 Fort Bragg Office of Child, Youth and School Services				
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services/workforce development	<a href="#"><u>The CCDF Plan was sent for review by the Director of the Division of Social Services.</u></a>				
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	<a href="#"><u>The CCDF Plan was sent for review by the Director of the Division of Social Services.</u></a>				
<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 Eastern Band of the Cherokee Tribe
<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	<a href="#"><u>The CCDF Plan was sent to the Director of the QRIS National Learning Network (BUILD funded).</u></a>				
<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	<a href="#"><u>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.</u></a>				
<input type="checkbox"/> Parent groups or organizations					
<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	<a href="#"><u>The CCDF Plan was sent for review by the Directors of the Regional Child Care Resource &amp; Referral Agencies.</u></a>				



Other

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

Effective Date: 01-OCT-13

a) Date(s) of notice of public hearing: [04/05/2013](#)

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

b) How was the public notified about the public hearing? [The public hearing notice was posted on the DCDEE website, sent as an email to all agency partners, sent as an email to child care providers \(approximately 65% of providers have email addresses registered with DCDEE\) and posted on the Dept. of Health & Human Services website.](#)c) Date(s) of public hearing(s): [04/25/2013](#)

**Reminder** - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).

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 April 5, 2013 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.

Effective Date: 01-OCT-13

[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 \(approximately 65% of providers have email addresses registered with DCDEE\) and posted on the Dept. of Health & Human Services website. The public hearing was also available virtually through a conference call system.](#)

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

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services

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

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

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

Effective Date: 01-OCT-13

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
<input checked="" type="checkbox"/> Representatives of general purpose local government  This may include, but is not limited to: <input type="checkbox"/> representatives from counties and municipalities, local education representatives, or local public health agencies.	<p><u>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.</u></p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p><u>We expect to continue a coordinated system of services with local DSS agencies to provide "one-stop shops" for families that seek related services.</u></p> <p><u>Streamlined eligibility policies include families who have been deemed eligible for Food &amp; Nutrition services are automatically deemed eligible for child care subsidy services.</u></p>

<p>State/Territory agency responsible for public education <b>(required)</b></p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p><u>DCDEE goals with higher education coursework objectives. DCDEE will work with the Community College system to support NAEYC accreditation of early childhood AAS degree programs.</u></p> <p><u>DCDEE collaborates with DPI and other stakeholders that support NC Pre-K through the advisory committee.</u></p>	<p><u>Alignment of DCDEE goals with higher education. Increased number of NC Community Colleges with accredited early childhood degree programs. Articulation agreements in place for early childhood AAS degree programs.</u></p> <p><u>NC Pre-K service delivery will be coordinated across systems.</u></p>
<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services <b>(required)</b></p>	<p><u>DCDEE will continue to coordinate with the Association of Developmental Day Directors and the Exceptional Children's Division of the Department of Public Instruction for input on child care rules, now that DCDEE monitors developmental day centers.</u></p>	<p><u>The Developmental Day Directors provide the developmental day perspective when making rule changes that impact this population.</u></p>

<p>State/Territory agency responsible for public health <b>(required)</b></p> <p><input checked="" type="checkbox"/> This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p><u>DCDEE will coordinate with the Division of Public Health (DPH) to get input on child care rules related to health issues. DCDEE will coordinate with the Maternal &amp; Child Health Section at DPH to ensure that information is shared and aligned to support the Home Visitation project</u></p>	<p><u>The Child Care Commission will explore the Public Health perspective when making rule changes that impact the health &amp; well-being of children in child care. Information is made available to providers about the DPH Home Visitation project.</u></p>
<p>State/Territory agency responsible for employment services / workforce development <b>(required)</b></p> <p><input checked="" type="checkbox"/></p>	<p><u>DCDEE will coordinate with the Division of Social Services to streamline access for families involved in Work First or TANF recipients</u></p>	<p><u>We expect to continue a coordinated system of services with local DSS agencies to provide "one-stop shops" for families that seek related services.</u></p>
<p>State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies <b>(required)</b></p> <p><input checked="" type="checkbox"/></p>	<p><u>DCDEE will coordinate with the Division of Social Services to streamline access for families involved in Work First or TANF recipients.</u></p>	<p><u>Streamlined eligibility policies have already begun in that families who have been deemed eligible for Food &amp; Nutrition services are automatically deemed eligible for child care subsidy services.</u></p>

<p>Indian Tribes/Tribal Organizations (required)</p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State</p>	<p><u>DCDEE will coordinate efforts to promote culturally responsive care with representation from the Eastern Band of Cherokee Indians.</u></p>	<p><u>DCDEE licensing consultants work closely with the Eastern Band of Cherokee Indians to provide culturally responsive consultation around the QRIS. DCDEE licensing consultants work closely with the Eastern Band of Cherokee Indians to provide culturally responsive consultation around the QRIS.</u></p>
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**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**

<p><input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant</p>	<p><u>DCDEE will continue to collaborate with Head Start State Collaboration office.</u></p>	<p><u>Head Start programs are licensed through the DCDEE Regulatory System for coordination and alignment of services.</u></p>
<p>State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC)</p> <p><input checked="" type="checkbox"/></p> <p><input type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC</p>	<p><u>DCDEE is the agency that is charged with managing many RttT-ELC projects. A Project Coordinator manages these projects in coordination with the leadership provided by the Early Childhood Advisory Council.</u></p>	<p><u>The RttT-ELC projects are designed to build upon the initiatives funded through CCDF Quality funding. This will further expand projects/activities that have been successful in supporting quality child care in North Carolina. The RttT-ELC projects are designed to build upon the initiatives funded through CCDF Quality funding. This will further expand projects/activities that have been successful in supporting quality child care in North Carolina.</u></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p><u>DCDEE will coordinate with the Division of Public Health to continue to align child care licensing standards with CACFP. DCDEE will coordinate with the Division of Public Health to continue to align child care licensing standards with CACFP.</u></p>	<p><u>According to child care licensing requirements, child care programs must meet CACFP nutrition standards whether or not they participate in the CACFP program.</u></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><u>DCDEE coordinates services with the IDEA Coordinator within the Division of Public Health that is responsible for Part C services.</u> <u>DCDEE maintains representation on the State Interagency Coordinating Council.</u> <u>DCDEE also coordinates services with the Section 619 Coordinator at the Office of Early Learning.</u></p>	<p><u>The anticipated results are there should be increased access to higher quality child care for children with special needs.</u></p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p><u>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.</u></p>	<p><u>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, &amp; Neighbor care when the home visiting program becomes involved with families in those settings.</u></p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for child welfare</p>	<p><u>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.</u></p>	<p><u>We expect to continue a coordinated system of services with local DSS agencies to provide "one-stop shops" for families that seek related services and prioritization of services for homeless children.</u></p>

<input checked="" type="checkbox"/>	<p>State/Territory liaison for military child care programs or other military child care representatives</p>	<p><u>DCDEE will coordinate services for military families through our work with the federal military liaison.</u></p>	<p><u>We expect that communication will be strengthened through these partnerships, and that the military perspective can be incorporated into DCDEE initiatives.</u>  <u>Military families are also automatically eligible to participate (at no cost) in the NC Pre-K program.</u></p>
<input checked="" type="checkbox"/>	<p>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</p>	<p><u>DCDEE is a participant in the Technical Assistance Learning Table that is funded by the BUILD initiative.</u></p>	<p><u>DCDEE and agency partners are receiving training and technical assistance to support efforts to streamline the technical assistance system in the state.</u></p>
<input checked="" type="checkbox"/>	<p>Local community organizations (child care resource and referral, Red Cross)</p>	<p><u>DCDEE contracts with the NC Child Care Resource &amp; Referral Council to provide coordinated CCR&amp;R services and three special initiatives across the state.</u></p> <p><u>DCDEE coordinates initiatives funded through CCDF Quality funding with activities funded through Smart Start (local Partnerships for Children).</u></p> <p><u>DCDEE contracts with Child Care Services Association for T.E.A.C.H. Scholarships , T.E.A.C.H., Health Insurance and WAGE\$ salary supplements.</u></p>	<p><u>The core CCR&amp;R services provide Technical Assistance, Professional Development &amp; Training, Consumer Education and Referrals. This coordination ensures access and consistency statewide.</u></p> <p><u>Smart Start creates innovative solutions to measurably increase learning and the healthy development of children birth to five.</u>  <u>These workforce initiatives are designed to increase teacher education, compensation and retention.</u>  <u>Smart Start creates innovative solutions to measurably increase learning and the healthy development of children birth to five.</u></p> <p><u>These workforce initiatives are designed to increase teacher education, compensation and retention.</u></p>
<input checked="" type="checkbox"/>	<p>Provider groups, associations or labor organizations</p>	<p><u>DCDEE coordinates efforts and collaborates with various provider organizations including: NCaeyc, the NC Licensed Child Care Association, NC Center for Afterschool Programs, North Carolina Early Childhood Association, the Institute for Child Development Professionals, and the Wake County Family Child Care Association.</u></p>	<p><u>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: the DCDEE Professional Development Advisory Committee, Early Learning Collaborative, Subsidy Advisory and Pre-K Advisory Committees.</u></p>

<input type="checkbox"/>	Parent groups or organizations	N/A	N/A
<input checked="" type="checkbox"/>	Other	<u>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.</u>	<u>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.</u>

**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.

Effective Date: 01-OCT-13

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:

No

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

Effective Date: 01-OCT-13

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 Early Childhood Advisory Council (ECAC) works 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:

[The North Carolina Partnership for Children Inc. \(NCPC/Smart Start\) is the NC public-private partnership that serves as a convener for early childhood programs. Smart Start creates innovative solutions to measurably increase learning and the healthy development of children birth to five.](#)

[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-2011-01) located on the Office of Child Care website at: <http://www.acf.hhs.gov/programs/occ/resource/im-2011-01>

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

Effective Date: 01-OCT-13

**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]:** [9//24/1/2004](#) and put into operation as of **[insert date]:** [9//21/2004](#), if available. Provide a web address for this plan, if available: [http://ncchildcare.dhhs.state.nc.us/providers/pv\\_childcarehandbook.asp](http://ncchildcare.dhhs.state.nc.us/providers/pv_childcarehandbook.asp) AND [http://ncchildcare.dhhs.state.nc.us/pdf\\_forms/center\\_appendix\\_e.pdf](http://ncchildcare.dhhs.state.nc.us/pdf_forms/center_appendix_e.pdf)

**Other.**

**Describe:**

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

Effective Date: 01-OCT-13

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

**PART 2**

**CCDF SUBSIDY PROGRAM ADMINISTRATION**

**2.1 Administration of the Program**

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

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

Effective Date: 01-OCT-13

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

Local entity.

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

Other.

Describe:

Sliding fee scale is set by the:

State/Territory

Local entity.

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

Other.

Describe:

Payment rates are set by the:

State/Territory

Local entity.

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

Other.

Describe:

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

Effective Date: 01-OCT-13

### Implementation of CCDF Services/Activities

Agency (Check all that apply)

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

Implementation of CCDF Services/Activities

Who determines eligibility?

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

N/A

**Agency (Check all that apply)**

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

Describe:

N/A

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

Describe:

N/A

**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.  
The local child care and resource referral agencies have family support staff that provides consumer education to families on choosing child care.

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

Describe:

N/A

**Who issues payments?**

**Agency (Check all that apply)**

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

Describe:

N/A

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

Describe:

N/A

**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 family's plan of care and provider charges, based on the child's enrollment or attendance.

**Other. List and describe:**

N/A

## 2.2. Family Outreach and Application Process

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

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

Effective Date: 01-OCT-13

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

(provide website): <http://ncchildcare.net>

- 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, childcare 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.

Effective Date: 01-OCT-13

In person interview or orientation

By mail

By Phone/Fax

Through the Internet

(provide website):

By Email

Through a State/Territory Agency

Through an organization contracted by the State/Territory

Other.

Describe:

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

Effective Date: 01-OCT-13

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 strive 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 and to understand what to look for when choosing an arrangement. 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.**

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

New policies to increase quality for CCDF served children enacted during the 2011-2012 legislative session require the use of subsidy funds for only three, four and five star rated facilities and the use of approved curricula in all four year old classrooms in four and five star rated facilities. 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. Describe how the Lead Agency promotes access to the CCDF subsidy program? Check the strategies that will be implemented by your State/Territory.**

Effective Date: 01-OCT-13

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

Describe:

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

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

List the program names: [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 subsidy agreement an individual is allowed a limited time period to complete training or educational activities, participate in job search and enter employment.](#)

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

Other.  
Describe:

[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 \(i.e.: Smart Start, CCR&R, etc.\) 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.

Effective Date: 01-OCT-13

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.](#)

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

Describe:

N/A

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

Describe:

N/A

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

Individualized case management to help families find and keep stable child care arrangements.

Describe:

N/A

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.

Effective Date: 01-OCT-13

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

Describe:

None

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

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

Effective Date: 01-OCT-13

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

[Spanish speaking staff, materials and caseworkers are available. In addition the telelanguage incorporated translators are available.](#)

None

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

[Spanish speaking staff, materials and caseworkers are available, for other languages access to the telanguage incorporated translators are available.](#)

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

Effective Date: 01-OCT-13

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	<u><a href="#">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.</a></u>
<input checked="" type="checkbox"/> Household composition	<u><a href="#">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. Family size is documented on the Child Care Application.</a></u>

<input checked="" type="checkbox"/> Applicant's relationship to the child	<p><u>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.</u></p>
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	<p><u>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.</u></p>
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	<p><u>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.</u></p>
<input checked="" type="checkbox"/> Income	<p><u>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.</u></p>
<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?**

Effective Date: 01-OCT-13

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 2.2.1 through 2.2.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))**

Effective Date: 01-OCT-13

Yes.

If yes, describe:

No.

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

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act. In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

Effective Date: 01-OCT-13

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

State/Territory TANF Agency [The Division of Social Services establishes these criteria. The Division of Child Development and Early Education has confirmed with the Division of Social Services that these definitions are to be effective October 1, 2013.](#)

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

- "appropriate child care": [Appropriate Child Care: 1\) Care in a regulated child care center or family child care home that has a license, or 2\) Care in a non-licensed child care arrangement that meets the requirements of North Carolina's Subsidized Child Care Program 3\) Child care options must have hours of operation that mesh with the work schedules of parents and meet any special needs of the individual children.](#)
- "reasonable distance": [In evaluating 'reasonable distance', counties 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 the differences in North Carolina's geography and highway/road systems, county departments have maximum discretion to decide what is 'reasonable' for individual families based on their resources (i.e., whether they have a vehicle in working order or families' resources available for transporting the family) and local transportation considerations. As a guideline, counties should consider that it might not be reasonable to require families receiving Work First to travel more than 80 minutes one-way to work and child care. Eighty minutes is approximately four times the average one-way commute time in North Carolina (not including stops at child care arrangements), based on data from the U.S. Census Bureau. This does not preclude an exemption from the sanction or a loss of Work First benefits based on a shorter commute if the county considers the commute an obstacle to children's healthy development or the family's self-sufficiency goals.

- "unsuitability of informal child care": The unsuitability of a non-licensed child care arrangement is determined on a case-by-case basis. A non-licensed child care provider may be considered 'unsuitable' for a particular family if one of the following exists: The non-licensed child care arrangement does not meet the requirements of North Carolina's Subsidized Child Care Program to receive subsidy payment. A parent does not want their child(ren) cared for by the non-licensed child care provider.

- "affordable child care arrangements": Affordable Child Care Arrangement: When a child care subsidy is available to the family, the child care is considered affordable. If the child care provider charges parents the difference in the subsidy payment rate and the private paying rate and the parent cannot afford to pay the difference, that care does not meet the definition of 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 -*

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

### 2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

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

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

Yes, and the upper age is 17 (may not equal or exceed age 19).  
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 (may not equal or exceed age 19).

No.

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

Effective Date: 01-OCT-13

a) How does the Lead Agency define "working" for the purposes of eligibility? Provide a

narrative description below, including allowable activities and if a minimum number of hours is required.

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

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

Effective Date: 01-OCT-13

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

Yes.

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

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

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

*protective services*

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. The Division of Child Development and Early Education does not use CCDF funds to pay for subsidized care 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

Effective Date: 01-OCT-13

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

*income -*

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

Adoption subsidies

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

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
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other.

Describe:

None

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

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

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	2,903	2,467	2,177	75
2	3,796	3,226	2,847	75
3	4,689	3,966	3,517	75
4	5,582	4,745	4,187	75
5	6,475	5,504	4,856	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.

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

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

### 2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

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

Yes

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

6 months

24 months

Other.

Describe:

Length of eligibility varies by county or other jurisdiction.

Describe:

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

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

Head Start and/or Early Head Start Programs.

Re-determination period:

Pre-kindergarten programs.

Re-determination period:

TANF.

Re-determination period:

SNAP.

Re-determination period:

Medicaid.

Re-determination period:

SCHIP.

SCHIP.

Re-determination period:

Other.

Describe:

No.

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

Family eligibility will be reviewed prior redetermination when there is a change in family situation, such as:

- change employment
- increase/decrease family income
- increase/decrease family unit
- end of each semester for recipients receiving services for post-secondary education
- opening or closing a CPS/foster care cases
- child welfare case

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

Recipients are required to report the following changes within 5-days business day of the occurrence. Recipients and providers are notified with a 10-day Action Notice of any changes affecting the:

- parent fee
- plan of care
- eligibility status
- increases/decreases in provider payment

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

### Retention Policies

- Reporting changes may occur by telephone, mailing or faxing documentation of changes which does not require a face to face interview.
- Income increases of less than \$100 does not constitute an increase in parent fees
- Parents are notified are notified of changes to the plan of care, eligibility status, or changes in parent fees or provider payment using a 10-day Action Notice
- Parents/responsible adults are allowed a minimum of 30 days or a maximum of 60 days to job search if they become unemployed while receiving child care subsidies.
- LPA may use an average of three to six months of income to anticipate or project future income for families with fluctuation/seasonal income.
- LPAs may continue care for a family when a parent/responsible adult is temporarily unemployed with intent to return to the same job due temporary layoff, parent's temporarily on medical leave, the child is visiting a relative or non-custodial parent, or a child illness for up to 30 days. When an absence extends beyond the initial thirty day period, the LPA may choose to pay for child care for the extended unemployed period, terminate services, or discontinue payment during the extended period and reinstate payment when the parent returns to work. If the illness extends more than 30 days, the LPA must gain approval to extend services from the Division of Child Development and Early Education.

### Policies and Practices to Reduce Administrative Burden

- LPA must use income information for current means-tested programs to determine eligibility. If this information can be obtained from other means-tested programs or online verification systems, LPA cannot require additional documentation from applicants.
- North Carolina is currently engaged with Public Consultant Group to develop work support strategies to implement a One Stop approach to integrated eligibility for all means-tested program for eligibility purpose and to train all program staff as a universal worker.

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

Yes.

If yes, describe:

Redeterminations may be conducted by face-to-face interviews or telephone which requires mailing in or faxing in verification information. Recipients must provide pay source documentation of income, work or class schedule/grades to verify continued eligibility. A 10-day action notice is used to notify recipients and providers of changes to eligibility status, plan of

care, parent and provider fees.

At re-determination the most recent application is updated with new eligibility begin and end dates. If the family is determined ineligible to continue receiving services, the child care worker must notify the parent and provider by telephone and follow up with a 10-day Action Notice.

No.

### 2.3.7. Waiting Lists

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

Effective Date: 01-OCT-13

Lead Agency currently does not have a waiting list and:

All eligible families *who apply* will be served under State/Territory eligibility rules

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

Lead Agency has an active waiting list for:

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

Only certain eligible families.

Describe those families:

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

Effective Date: 01-OCT-13

Yes.

Effective Date: [August 1, 2013](#)

No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

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

Effective Date: 01-OCT-13

State Median Income,

Year: 2013-14

Federal Poverty Level,

Year:

Income source and year varies by geographic region.

Describe income source and year:

78 FR 28597 <https://federalregister.gov/a/2013-11575>

Published May 15, 2013

The SMI estimates that HHS publishes in this notice are 3-year estimates derived from the American Community Survey (ACS) conducted by the U.S. Census Bureau, U.S. Department of Commerce (Census Bureau).

Other.

Describe income source and year:

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

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Fee as dollar amount and

Fee is per child with the same fee for each child

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

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee as percent of income and

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

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

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

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

A parental fee is based on the family's size, gross income, and the hours of care.

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

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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.

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

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

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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:

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*.

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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
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Children with special needs

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

N/A

- Priority over other CCDF-eligible families
- Same priority as other CCDF-eligible families
- Guaranteed subsidy eligibility
- Other.

Describe:

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.

Yes.

The time limit is:

No

Different eligibility thresholds.

Describe:

N/A

- Higher rates for providers caring for children with special needs requiring additional care
- Prioritizes quality funds for providers serving these children
- Other.

Describe:

N/A

<p>Children in families with very low incomes</p> <p><b>Provide the Lead Agency definition of Children in Families with Very Low Incomes:</b> N/A</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe: <u>Families whose income is less than 75% of the state median income are categorized as families with low income.</u></p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is: <input type="text"/></p> <p><input checked="" type="checkbox"/> No</p>	<p><input checked="" type="checkbox"/> Different eligibility thresholds.</p> <p>Describe: <u>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.</u></p> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input checked="" type="checkbox"/> Other.</p> <p>Describe: <u>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.</u></p>
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**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.

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- 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:

TANF 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.

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### **Term(s) - Definition(s)**

Describe:

#### Homelessness (as defined by the McKinney-Vento Act)

- 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

Effective Date: 01-OCT-13

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

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

Describe:

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

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

Website: <http://ncchildcaresearch.dhhs.state.nc.us/search.asp>

- 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

Effective Date: 01-OCT-13

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

Yes.

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

No. If no, skip to 2.6.3

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

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

Describe:

- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families.

Specify:

Other.  
Describe:

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

- Yes.
- No,

and **identify** the localities (political subdivisions) and services that are not offered:

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

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

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

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- 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?

Effective Date: 01-OCT-13

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

Restricted to in-home providers that meet some basic health and safety requirements

Other.

Describe:

There are limited situations where in home care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.

1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home, or

2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home, or

3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care home and the parent/responsible adult is not the owner or operator of the family child care home.

4. A child whose parent/responsible adult is in the Armed Forces and has selected the licensed family child care home provider to be the child's guardian while he or she is deployed.

5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or power of attorney.

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

Effective Date: 01-OCT-13

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

Effective Date: 01-OCT-13

Yes. Effective Date: [October 1, 2007](#)

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

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

Effective Date: 01-OCT-13

Policy on length of time for making payments.

Describe length of time:

Track and monitor the payment process

Other.

Describe:

[Payments are made on a monthly basis.](#)

None

## 2.7.3. Market Rate Survey

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

Effective Date: 01-OCT-13

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 08/2013

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

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

The 2012-2013 NC Child Care Market Rate study was conducted by the Center for Urban Affairs and Community Services (CUACS) at North Carolina State University for the Division of Child Development and Early Education (DCDEE). The overall purpose of the Market Rate Study is to collect data on the amount private paying parents in North Carolina pay for child care in order to recommend updated child care market rates that may be considered in setting payment rates for centers and homes providing subsidized child care. These data were collected based on child care rates paid in September 2012.

#### **Methodology**

All child care centers and family child care homes regulated by DCDEE are included in the survey except Head Start centers, Developmental Day centers, and providers that offer only part-time care for young children (ages 0-5 for less than 32 hours a week in September 2012). Surveys were mailed to 7,222 regulated child care centers and family child care homes in North Carolina. Ninety-two percent of all child care providers across the state participated in the study by returning a survey form or by responding to a telephone survey. At least 75 percent of providers in each county participated in the survey. These providers represented an adjusted response of 93.8 percent for child care centers and 89.0 percent for family child care homes. Over 6,200 providers returned completed survey forms (total adjusted response is 92.0 percent).

#### **Results**

The goal of the market rate study is to design subsidy payment rates for providers that are fair, equitable, and based upon actual fee data gathered throughout the state from the Market Rate Survey. The modeled rates produced by the 2013 analyses of data gathered through the 2013 Market Rate Survey meet these objectives. While funding is not available at this time to implement the modeled rates included in the 2013 study, providers who achieve higher levels of quality, as reflected by higher star ratings, are paid a higher rate of reimbursement. DCDEE also strives to ensure adequate child care is accessible to as many children as possible throughout the state.

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

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<b>2.7.4a - Highest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	\$1343.00- Wake County	\$1009.00- Orange County	56%
Full-Time Licensed Center Preschool (59 months)	\$1343.00- Wake County	\$1009.00- Orange County	56%
Full-Time Licensed Center School-Age (84 months)	\$1083.00-Durham County	\$687.00-Wake County	48%

<b>2.7.4b - Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	\$303.00 Hertford County	\$1009.00-Orange County	N/A
Full-Time Licensed Center Preschool (59 months)	\$303.00-Hertford County	\$1009.00-Orange County	N/A
Full-Time Licensed Center School-Age (84 months)	\$238.00-Greene County	\$687.00- Wake County	N/A

<b>2.7.4c - Highest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	\$975.00-Orange & Buncombe Counties	\$703.00-Wake County	54%
Full-Time Licensed FCC Preschool (59 months)	\$990.00-Orange County	\$646.00-Orange County	49%
Full-Time Licensed FCC School-Age (84 months)	\$975.00-Buncombe County	\$590.00-Orange County	45%

<b>2.7.4d - Lowest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
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Full-Time Licensed FCC Infants (11 months)	\$325.00- Davidson & Hertford Counties	\$703.00-Wake County	N/A
Full-Time Licensed FCC Preschool (59 months)	\$300.00-Brunswick County	\$646.00 Orange County	N/A
Full-Time Licensed FCC School-Age (84 months)	\$325.00 Berke, Hertford & Robeson Counties	\$590.00-Orange County	N/A

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

Effective Date: 01-OCT-13

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

DCDEE reimburses religious-sponsored child care facilities that choose to operate with Notice of Compliance rather than a star rating at the one star rate.

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

DCDEE reimburses religious-sponsored child care facilities that choose to operate with Notice of Compliance rather than a star rating at the one star rate.

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

N/A

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

N/A

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

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Differential rate for nontraditional hours.  
Describe:

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

Children with special needs can receive a local special needs supplement to provide for documented equipment or special services. In addition Developmental Day rates are established by cost study process. Neither of these is established through the market rate study.  
Differential rate for infants and toddlers.

An infant/toddler rate is included in the tiered subsidy rate structure. This is established through the market rate study.

Differential rate for infants and toddlers.  
Describe:

An infant/toddler rate is included in the tiered subsidy rate structure. This is established through the market rate study.

Differential rate for school-age programs.  
Describe:

A school- age rate is included in the tiered subsidy rate structure. This is established through the market rate study.

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

Differential rates are based on the program's star level. Star levels are rated from 1-5, 1 being the lowest rate and 5 the highest rate. This is established through the market rate study.

Other differential rate.  
Describe:

None.

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

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

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

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

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

Describe:

Policies vary across region, counties and or geographic areas.

Describe:

Other.

Describe:

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

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a) Number of absent days allowed. Describe

[Providers can be paid for up to 10 days of absences per month.](#)

b) Paying based on enrollment. Describe

The payment is made based strictly on enrollment when the child is enrolled according to the family's plan of care and is attending regularly.

When the child is enrolled in the same child care arrangement and care averages 32 through 55 hours per week, the appropriate monthly 100% rate for full-time care is paid to the provider.

When the child is enrolled in the same child care arrangement and care averages 18 through 31 hours per week, the appropriate monthly 75% rate for three-fourths care is paid to the provider.

When the child is enrolled in the same child care arrangement and care averages one (1) through 17 hours a week, the appropriate monthly 50% rate for half-time care is paid to the provider.

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

Providers are paid on a monthly basis the rates charged to private paying parents or the current market rate associated with their star rated license, whichever is lower.

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

Lead agency is in the process of implementing electronic payment system which would allow direct deposit for provider payments.

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

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

Effective Date: 01-OCT-13

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)):

Payment rates for subsidized child care are established for child care centers and family child care homes. 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, 78% of the licensed child care centers and family child care homes currently report that they will participate in the subsidized child care program.

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, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates

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

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

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

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**Goal #1:**

Finalize implementation of the SEEK time and attendance system to align with NC FAST.

**Goal #2:**

[Implement integrated services by providing a one stop shop for increased parent access.](#)

**Goal #3:**

[Streamline subsidy policies by integrating all means tested programs through the development of an integrated policy manual to align all eligibility requirements with Work First, Medicaid and Food and Nutrition services.](#)

**PART 3**

**Health and Safety and Quality Improvement Activities**

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

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

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

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

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

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

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

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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.

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

	Center-Based Child Care	Group Home Child Care <input checked="" type="checkbox"/>	Family Child Care <input type="checkbox"/>	In-Home Care <input type="checkbox"/>
		N/A. Check if your State/Territory does not have group home child care.		N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Yes, for some providers in this category	Describe	Describe N/A	Describe	Describe North Carolina considers this as the same as a licensed family child care home.
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe N/A	Describe N/A	Describe N/A	Describe N/A

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

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

Center-Based Child Care

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

Describe which types of center-based settings are subject to licensing in your State/Territory  
Child care in NC is defined as a program or arrangement where three or more children less than 13 years old, who do not reside where the care is provided, receive care on a regular basis of at least once per week for more than four hours but less than 24 hours per day from persons other than their guardians or full-time custodians, or from persons not related to them by birth, marriage, or adoption.

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

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 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;

g. Bible schools conducted during vacation periods;

h. Care provided by facilities licensed under Article 2 of Chapter 122C of the General Statutes;

i. Cooperative arrangements among parents to provide care for their own children as a

			<u>convenience rather than for employment; and</u>  <u>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.</u>
Group Home Child Care  N/A. Check if your State/Territory does not have group home child care.  <input checked="" type="checkbox"/>	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes settings are subject to licensing N/A	Describe which types of group homes are exempt from licensing: N/A

Family Child Care

Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.  
**Reminder** - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.

Describe which types of family child care home providers are subject to licensing  
[A family child care home is a child care arrangement located in a residence where, at any one time, more than two children, but less than nine children, receive care.](#)

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;](#)

[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 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;

g. Bible schools conducted during vacation periods;

h. Care provided by facilities licensed under Article 2 of Chapter 122C of the General Statutes;

i. Cooperative arrangements among parents to provide care for their own children as a convenience rather than for employment; and

j. Any child care program or arrangement consisting of two or more separate

			<p><u>components, each of which operates for four hours or less per day with different children attending each component. among parents to provide care for their own children as a convenience rather than for employment.</u></p>
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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.



N/A. Check if in-home care is not subject to licensing in your State/Territory.

Describe which in-home providers are subject to licensing  
[There are limited situations where in home care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.](#)

[1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home,](#)  
[or](#)

[2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home,](#)  
[or](#)

[3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care home and the parent/responsible adult is not the owner or operator of the family child care home.](#)

[4. A child whose parent/responsible adult is in the Armed Forces and has](#)

Describe which types of in-home child care providers are exempt from licensing

**N/A**

		<p><u>selected the licensed family child care home provider to be the child's guardian while he or she is deployed.</u></p> <p><u>5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or power of attorney.</u></p>	
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**Note:** In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's:**

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

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

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

Do the licensing requirements include **child:staff ratios and group sizes?**

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.
Infant ratio (11 months): <a href="#">0-12 months 1:5</a>	Infant ratio (11 months):	List ratio requirement by age group:	List ratio requirement by age group:
Toddler ratio (35 months): <a href="#">12-24 Months 1:6 &amp; &amp; 2-3 Years 1:10</a>	Toddler ratio (35 months):	<a href="#">0-12 years 1:8 (5) children ages 0-5 and (3) school-age</a>	<a href="#">0-12 years 1:8 (5) children ages 0-5 and (3) school-age</a>
Preschool ratio (59 months): <a href="#">3-4 Years &amp; 3-5 1:15 &amp; 4-5 1:20 &amp; 5 Years and older 1:25</a>	Preschool ratio (59 months):	<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.
<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.	<input checked="" type="checkbox"/> Yes, Group size requirement.	<input checked="" type="checkbox"/> Yes, Group size requirement.
<input checked="" type="checkbox"/> Yes,	<input type="checkbox"/> Yes,	List ratio requirement by age group: <a href="http://ncrkids.org/STATE_S/NC/nc_9.pdf">.1700 http: ncrkids.org/STATE S/NC/nc_9.pdf</a>	List ratio requirement by age group: <a href="http://ncrkids.org/STATE_S/NC/nc_9.pdf">.1700 http: ncrkids.org/STATE S/NC/nc_9.pdf</a>
<input type="checkbox"/> No ratio requirements. <input checked="" type="checkbox"/> Yes, Group size requirement Infant group size (11 months): <a href="http://ncrkids.org/STATE_S/NC/nc_9.pdf">10NCAC 09. 0713 @ http://ncrkids.org/STATE_S/NC/nc_9pdf</a>	<input type="checkbox"/> No ratio requirements. <input type="checkbox"/> Yes, Group size requirement Infant group size (11 months):	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Toddler group size (35 months): <a href="http://ncrkids.org/STATE_S/NC/nc_9pdf">10NCAC 09. 0713 @ http://ncrkids.org/STATE_S/NC/nc_9pdf</a>	Toddler group size (35 months):	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Preschool group size (59 months):	Preschool group size (59 months):	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.

	Preschool group size (59 months): <a href="http://ncrac.org">10NCAC 09. 0713</a> @ <a href="http://ncrkids.org/S/TATES/NC/nc_9pdf">http://ncrkids.org/S/TATES/NC/nc_9pdf</a>			
	<input type="checkbox"/> No group size requirements.			
Do the licensing requirements identify specific experience and educational <b>credentials for child care directors?</b>	<input type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED	<input checked="" type="checkbox"/> High school/GED	<input checked="" 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 checked="" type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:
	<a href="#">Equivalencies are allowed</a>			

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

<input type="checkbox"/>	High school/GED	<input checked="" type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input checked="" type="checkbox"/>	State/ Territory Credential	<input checked="" type="checkbox"/>	State/ Territory Credential
<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"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	Equivalencies are allowed		

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

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

Yes.

Describe:

The NC Child Care Commission has proposed rule changes on Emergency Preparedness and Response (EPR) Rules for child care centers and family child care homes. The proposed rules would require child care staff to complete training on EPR and develop and implement an EPR plan. In addition, the facility would be required to conduct quarterly shelter-in place and lock down drills.

In addition, the NC Child Care Commission proposed a rule related to transportation safety that would prohibit the use of a cellular phone while transporting children.

No.

### 3.1.2 Enforcement of Licensing Requirements

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

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

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

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

No.

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
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<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: <a href="#">As requested for technical assistance regarding any child care requirement.</a>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: <a href="#">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.</a>
<input type="checkbox"/> Group Home Child Care  <input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have 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



Family Child Care Home



Once a Year



More than Once a Year



Once Every Two Years



Other.

Describe:

As requested by the provider for technical assistance support.



Once a Year



More than Once a Year



Once Every Two Years



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 addition, visits are conducted by building inspectors, fireinspectors and environmental health agencies in some counties.



In-Home Child Care



N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)



Once a Year



More than Once a Year



Once Every Two Years



Other.



Once a Year



More than Once a Year



Once Every Two Years



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 addition, visits are conducted by building inspectors, fire inspectors and environmental health agencies in some counties .....](#)

Describe:

As requested by the provider for technical assistance support.

There are limited situations where in home care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.

1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home, or

2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home, or

3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care home and the parent/responsible adult is not the owner or operator of the family child care home.

4. A child whose parent/responsible adult is in the Armed Forces and has selected the licensed family child care home provider to be

the child's guardian while he or she is deployed.

5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or power of attorney.

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.

<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input checked="" type="checkbox"/> Yes.
	Describe: <u>Pre-licensing workshops are required for a child care facility prior to issuing a license.</u>
	<input type="checkbox"/> No.
<input checked="" type="checkbox"/> Other.	
Describe: <u>Pre-licensing is optional for Family Child Care Home operators (training is offered but not currently required).</u>	

The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.



An on-site inspection is conducted.



Programs self-certify.

Describe:

N/A



No procedures in place.



Other.

Describe:

N/A

Licensing staff has procedures in place to address violations found in an inspection.



Providers are required to submit plans to correct violations cited during inspections.



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



Licensing staff provide technical assistance regarding how to comply with a regulation.



No procedures in place.



Other.

Describe:

N/A

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 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.

<input checked="" type="checkbox"/>	Yes.
	Describe: <u>The child care provider may file an appeal with the Office of Administration 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.</u>
<input type="checkbox"/>	No.
<input type="checkbox"/>	Other.
	Describe: N/A

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

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

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
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<input checked="" type="checkbox"/> <b>Center-Based Child Care</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <a href="#">Background checks are required every 3 years.</a>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other. <a href="#">Any uncompensated provider who is left alone with children or counted into the staff child ratios. Household members age 16 years and older in a center in a residence.</a>
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <a href="#">Background checks are required every 3 years.</a>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other. <a href="#">Any uncompensated provider who is left alone with children or counted into the staff child ratios. Household members age 16 years and older in a center in a residence.</a>
	<input checked="" type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <a href="#">Background checks are required every 3 years.</a>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other. <a href="#">Any uncompensated provider who is left alone with children or counted into the staff child ratios. Household members age 16 years and older in a center in a residence.</a>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <a href="#">FBI background checks are conducted every 3 years.</a>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other. <a href="#">Any uncompensated provider who is left alone with children or counted into the staff child ratios. Household members age 16 years and older in a center in a residence.</a>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <a href="#">FBI background checks are conducted every 3 years.</a>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other. <a href="#">Any uncompensated provider who is left alone with children or counted into the staff child ratios. Household members age 16 years and older in a center in a residence.</a>

		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Volunteers
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Other.
		<input checked="" type="checkbox"/> Other.	<u>Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u> <u>Household members age 16 years and older in a center in a residence.</u>
		Describe: <u>Sex Offender Registry is reviewed on a monthly basis.</u>	
			<input checked="" type="checkbox"/> Director
			<input checked="" type="checkbox"/> Teaching staff
			<input checked="" type="checkbox"/> Non-teaching staff
			<input type="checkbox"/> Volunteers
			<input checked="" type="checkbox"/> Other.
			<u>Any uncompensated provider who is left alone with children or counted into the staff child ratios. Household members age 16 years and older in a center in a residence.</u>

<input type="checkbox"/> <b>Group Child Care Homes</b>	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Provider
<input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Other.	N/A
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	Describe: N/A	<input type="checkbox"/> Provider
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Other.	N/A
		Describe: N/A	<input type="checkbox"/> Provider
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	N/A
		Describe: N/A	<input type="checkbox"/> Provider
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	N/A
		Describe: N/A	

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<input checked="" type="checkbox"/> <b>Family Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <u>Criminal background checks are required to be completed every 3 years.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. <u>Any individual employed and household members 16 years and older. Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u>
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <u>Criminal background checks are required to be completed every 3 years.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. <u>Any individual employed and household members 16 years and older. Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u>
	<input checked="" type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <u>Criminal background checks are required to be completed every 3 years.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. <u>Any individual employed and household members 16 years and older. Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <u>FBI background checks are conducted every 3 years.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. <u>Any individual employed and household members 16 years and older. Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <u>FBI background checks are conducted every 3 years.</u>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. <u>Any individual employed and household members 16 years and older. Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u>

		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<u>Any individual employed and household members 16 years and older.</u>
		<input checked="" type="checkbox"/> Other.	<u>Any uncompensated provider who is left alone with children or counted into the staff child ratios.</u>
		Describe: <u>Sex Offender Registry is reviewed on a monthly basis.</u>	
			<input checked="" type="checkbox"/> Provider
			<input checked="" type="checkbox"/> Non-provider residents of the home.
			<u>Any individual employed and household member 16 years and older.</u>

<input checked="" type="checkbox"/> <b>In-Home Child Care Providers</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Other.	<a href="#"><u>Any individual employed and household members 16 years and older.</u></a> <a href="#"><u>Any uncompensated provider who is left alone with children or counted into the staff ratios.</u></a>
	<input checked="" type="checkbox"/> Check if the State/Territory background check includes fingerprints	Describe: <a href="#"><u>Criminal background checks are required to be completed every 3 years.</u></a>	<input checked="" type="checkbox"/> Provider
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<a href="#"><u>Any individual employed and household members 16 years and older.</u></a> <a href="#"><u>Any uncompensated provider who is left alone with children or counted into the staff ratios.</u></a>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Other.	
		Describe: <a href="#"><u>Criminal background checks are required to be completed every 3 years</u></a>	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	
		<input checked="" type="checkbox"/> Other.	
		Describe: <a href="#"><u>FBI background checks are conducted every 3 years.</u></a>	

		<input checked="" type="checkbox"/> Initial Entrance into the System	<u>Any individual employed and household members 16 years and older. Any uncompensated provider who is left alone with children or counted into the staff ratios.</u>
		<input type="checkbox"/> Checks Conducted Annually	
		<input checked="" type="checkbox"/> Other.	
		Describe: <u>Sex Offender Registry is reviewed on a monthly basis.</u>	
			<input checked="" type="checkbox"/> Provider
			<input checked="" type="checkbox"/> Non-provider residents of the home.
			<u>Any individual employed and household member 16 years and older.</u>

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

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

The cost associated with a background check is \$25.00 for the total cost.

d-2) Who pays for background checks:

Individuals pay for their own federal background checks. DCDEE staff conduct other background checks at the agency's expense.

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

Violations that make providers ineligible include:

North Carolina General Statute 110-90.2 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.

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

Process for Appeal:

N.C.G.S. 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.

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

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?

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Yes.

Describe:

The NC Division of Child Development and Early Education website ([www.ncchildcare.net](http://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 if parents want to request those records for review.

No

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

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



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

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

<b>For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.</b>				
<b>The Lead Agency requires:</b>	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 checked="" 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 checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provider immunizations				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Child immunizations				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Hand-washing policy for providers and children				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Diapering policy and procedures				
<input type="checkbox"/>	<input 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				



Other.



**Describe:**

**There are limited situations where in home care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.**

**1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home, or**

**2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home, or**

**3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care**

home and the parent/responsible adult is not the owner or operator of the family child care home.

4. A child whose parent/responsible adult is in the Armed Forces and has selected the licensed family child care home provider to be the child's guardian while he or she is deployed.

5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or power of attorney.

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

**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"/> Fire inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>



Other.



Describe:

Some local ordinances may require licensed Family Child Care Homes and licensed In-home child care providers to get a building, fire and sanitation inspection.

There are limited situations where in home care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.

1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home, or

2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home,

or

3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care home and the parent/responsible adult is not the owner or operator of the family child care home.

4. A child whose parent/responsible adult is in the Armed Forces and has selected the licensed family child care home provider to be the child's guardian while he or she is deployed.

5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or

power of attorney.

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

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
<b>Child Care Centers</b>	First Aid	<u>First aid training must have been completed within the last 12 months prior to receiving a license.</u>	<u>First aid training shall be renewed on or before the expiration of the certification or every two years, whichever is less.</u>
	CPR	<u>CPR training must have been completed within the last 12 months prior to receiving a license.</u>	<u>CPR training shall be renewed on or before the expiration of the certification or every two years, whichever is less.</u>
	Medication Administration Policies and Practices	N/A	N/A
	Poison Prevention and Safety	N/A	N/A

	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<u>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).</u>	<u>ITS-SIDS training must be completed within 4 months of assuming caregiving responsibilities and every 3 years following.</u> <u>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).</u>
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	N/A
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	N/A
	Physical Activities	N/A	N/A
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	N/A
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	<u>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.</u>
	Emergency preparedness and planning response procedures	N/A	N/A

	Management of common childhood illnesses, including food intolerances and allergies	N/A	N/A
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	N/A
	Supervision of children	N/A	<u>Information regarding requirements for supervision of children is part of orientation for new hires. New hires must receive training and orientation within first 2 weeks of hire date.</u>
	Behavior management	N/A	<u>CSEFEL training is made available to child care providers to help with behavior management issues.</u>

Other

Describe:

Staff must complete at least 4 clock hours of training in safety each year. 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

<b>Group Home Child Care</b>	First Aid	N/A	N/A
	CPR	N/A	N/A
	Medication Administration Policies and Practices	N/A	N/A
	Poison Prevention and Safety	N/A	N/A
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	N/A
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	N/A
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	N/A
	Physical Activities	N/A	N/A
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	N/A
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	N/A

	Emergency preparedness and planning response procedures	N/A	N/A
	Management of common childhood illnesses, including food intolerances and allergies	N/A	N/A
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	N/A
	Supervision of children	N/A	N/A
	Behavior management	N/A	N/A
	Other	N/A	N/A
	Describe: N/A		
<b>Family Child Care Providers</b>	First Aid	<u>First aid training must have been completed within the last 12 months prior to receiving a license.</u>	<u>First aid training shall be renewed on or before the expiration of the certification or every two years, whichever is less.</u>
	CPR	<u>CPR training must have been completed within the last 12 months prior to receiving a child care license.</u>	<u>CPR training shall be renewed on or before the expiration of the certification or every two years, whichever is less.</u>

	Medication Administration Policies and Practices	<u>N/A</u>	<u>N/A</u>
	Poison Prevention and Safety	<u>N/A</u>	<u>N/A</u>
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<u>N/A</u>	<u>Training must be completed within 4 months of assuming caregiving responsibilities and every 3 years.</u>
	Shaken Baby Syndrome and abusive head trauma prevention	<u>N/A</u>	<u>N/A</u>
	Age appropriate nutrition, feeding, including support for breastfeeding	<u>N/A</u>	<u>N/A</u>
	Physical Activities	<u>N/A</u>	<u>N/A</u>
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<u>N/A</u>	<u>N/A</u>
	Recognition and mandatory reporting of suspected child abuse and neglect	<u>N/A</u>	<u>N/A</u>
	Emergency preparedness and planning response procedures	<u>N/A</u>	<u>N/A</u>
	Management of common childhood illnesses, including food intolerances and allergies	<u>N/A</u>	<u>N/A</u>
	Transportation and child passenger safety (if applicable)	<u>N/A</u>	<u>N/A</u>

	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	N/A
	Supervision of children	N/A	N/A
	Behavior management	N/A	N/A

Other:

N/A

N/A

Describe:

Family Child Care

Home providers and

staff are required to

complete twelve

annual in-service

training hours.

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

In - Home Child Care	First Aid	<u>First aid training must have been completed within the last 12 months prior to receiving a license.</u>	<u>First aid training shall be renewed on or before the expiration of the certification or every two years, whichever is less.</u>
	CPR	<u>CPR training must have been completed within the last 12 months prior to receiving a child care license.</u>	<u>CPR training shall be renewed on or before the expiration of the certification or every two years, whichever is less.</u>
	Medication Administration Policies and Practices	N/A	N/A
	Poison Prevention and Safety	N/A	N/A
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	<u>Training must be completed within 4 months of assuming caregiving responsibilities and every 3 years.</u>
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	N/A
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	N/A
	Physical Activities	N/A	N/A
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	N/A
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	N/A
	Emergency preparedness and planning response procedures	N/A	N/A

	Management of common childhood illnesses, including food intolerances and allergies	N/A	N/A
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	N/A
	Supervision of children	N/A	N/A
	Behavior management	N/A	N/A

Other

N/A

N/A

Describe:

There are limited situations where in home care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.

1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home, or

2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home, or

3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care home and the parent/responsible adult is not the owner or operator of the family child care home.

4. A child whose parent/responsible adult is in the Armed

Forces and has selected the licensed family child care home provider to be the child's guardian while he or she is deployed.

5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or power of attorney.

Family Child Care Home providers and staff are required to complete twelve annual in-service training hours. 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

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:

**There are limited situations where in relative care will be reimbursed. In all of these situations the arrangements will be in a licensed family child care home.**

- 1. A child is in DSS custody and resides in a licensed foster home and the foster parent operates a licensed family child care home, or**
- 2. A child is in DSS custody and is placed in the home of a relative and the relative operates a licensed family child care home, or**
- 3. A child and parent/responsible adult reside in the home with another adult household member who operates a licensed family child care home and the parent/responsible adult is not the owner or operator of the family child care home.**
- 4. A child whose parent/responsible adult is in the Armed Forces and has selected the licensed family child care home provider to be the child's guardian while he or she is deployed.**

**5. A child whose parent/responsible adult is incarcerated and has given the licensed family child care home provider custody (physical and/or legal) and/or power of attorney.**

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

[http://ncchildcare.dhhs.state.nc.us/providers/pv\\_childcarehandbook.asp](http://ncchildcare.dhhs.state.nc.us/providers/pv_childcarehandbook.asp)

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

N/A

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

N/A

b) Describe whether the Lead Agency uses background checks

N/A

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

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

Describe:

N/A

No

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

N/A

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

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

Yes.  
Describe

Screenings and referrals are a requirement for the state NC Pre-K program; Early Head Start; Head Start programs and Developmental Day programs.

No

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

Yes.  
Describe

Training and 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.

No

Other.

Describe

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

Yes.  
Describe

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 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

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

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

Approved screening tools for NC Pre-K include:

1. Ages & Stages Questionnaires, Third Edition (ASQ-3) or Ages & Stages Questionnaires (ASQ)
2. Brigance Early Childhood Screen II (3-5 Years), or Brigance Head Start Screen, or Brigance Preschool Screen – II, (under 4 yrs. 11 mos.) or Brigance K & 1 Screen – II (5 yrs.0 mos. and older)
3. Developmental Indicators for the Assessment of Learning, Third Edition (DIAL-3) or Fourth Edition (DIAL-4)
4. Parents' Evaluation of Developmental Status (PEDS)

- No  
 Other.  
Describe

### 3.1.6 Data & Performance Measures on Licensing and Health and Safety

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

Effective Date: 01-OCT-13

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):

[Data is available in the Child Care Regulatory database. As of February 2013, North Carolina has 7,654 licensed facilities \(4,786\) centers and \(2868\) family child care homes.](#)

- Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

[Data is available in the Child Care Regulatory database.](#)

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

Describe (optional):

[Data is available in the Child Care Regulatory database.](#)

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

Describe (optional):

[Data is available in the Child Care Regulatory database.](#)

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

Describe (optional):

[Data is collected and maintained by DCDEE Regulatory Compliance Branch.](#)

Number of monitoring visits received by programs.

Describe (optional):

[Data is available in the Child Care Regulatory database. Licensed center-based programs received an average of 2 monitoring visits during the last fiscal year.](#)

Caseload of licensing staff.

Describe (optional):

[Current caseloads are averaging from 65-75 per child care licensing staff.](#)

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

Describe (optional):

[Data is available in the Regulatory Child Care database.](#)

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.

[North Carolina is currently working through the RttT-ELC grant on a TQRIS Validation Study of our licensing system. This study is a multi-step process that will assess the following:](#)

- [Identify quality features that distinguish between programs at higher levels.](#)
- [Relate program features and quality ratings to children's progress, especially children with high needs.](#)
- [Use results to develop blocks, points, weighting, and standards for each level of the TQRIS.](#)

### **3.1.7 Goals for the next Biennium -**

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

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

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

Effective Date: 01-OCT-13

#### **Goal #1:**

[Increase the number of programs that have 3-5 star rated licenses through targeted technical assistance, to identify specific steps for programs to attain higher points in Program Standards and Staff Education within NC's QRIS.](#)

#### **Goal #2:**

Increase the number of infant/toddler slots in programs with 4-5 star rated licenses in the Transformation Zone identified in NC's RttT-ELC grant.

**Goal #3:**

Strengthen NC's QRIS by revising any features as recommended for improvement by the TQRIS validation study in NC's RttT-ELC grant.

**NEW!**

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



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

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

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

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



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

If yes, insert web addresses, where possible:

[http://ncchildcare.dhhs.state.nc.us/pdf\\_forms/dcd\\_infant\\_toddler\\_early\\_foundations.pdf](http://ncchildcare.dhhs.state.nc.us/pdf_forms/dcd_infant_toddler_early_foundations.pdf)

<http://www.earlylearning.nc.gov/Foundations>

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 the Infant -Toddler Early Learning Guidelines and the Department of Public Instruction is 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.

Effective Date: 01-OCT-13

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:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe: <a href="#">Cultural competence and inclusion are embedded throughout the early learning guidelines in each of the domains.</a>	<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.

Effective Date: 01-OCT-13

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. List:	<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 NC Pre-K Program \(NC Pre-K\), Infant Toddler Quality Improvement Project's Trainings and Technical Assistance, embedded into the Community College Early Childhood coursework and part of CCR&R training and technical assistance and professional development statewide.](#)

None.

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

Effective Date: 01-OCT-13

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

List:

[Implemented statewide throughout the Child Care Resource and Referral professional development.](#)

None.

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

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

Effective Date: 01-OCT-13

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 program (NC Pre-K) which requires ongoing assessments of children's progress using valid reliable and age appropriate tools aligned with the early learning guidelines. Early childhood educators obtain information about children in multiple ways (e.g., through observation, children's work samples, rating scales) and on a consistent, on-going basis (e.g., throughout the day while children are playing indoors and outdoors). Authentic, on-going assessment provides information about what children can do in settings where they are most comfortable, whether home, classroom, or community — in other words, in real life settings and during daily routines.

Pre-K Classroom staff are also required to conduct ongoing formal assessments to gather information about each child's growth and skill development, as well as to inform instruction.

The

following instruments meet this requirement:

1. Creative Curriculum Developmental Continuum, Ages 3-5 and Teaching Strategies GOLD

2. Galileo On-line Assessment System

3. HighScope Preschool Child Observation Record (COR) (second edition)

4. Learning Accomplishment Profile – Third Edition (LAP-3)

5. Learning Care System (for use with Tutor Time LifeSmart™ and The Empowered Child™ Childtime)

6. Work Sampling System (Meisels)

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

Yes.

Describe:

Programs and classroom staff are required to use assessments to improve classroom practices and meet individual children's developmental needs. This is a requirement for state Pre-K and Developmental Day Programs. The major purpose of child assessment in pre-kindergarten is to make ongoing educational decisions such as:

• Informing and supporting learning, curriculum, and instruction of each and every child;

- Showing child progress; and
- Identifying children who may need additional services and supports.

Assessment data is especially helpful to:

- Identify children who may need to be referred for specialized services;
- Document behaviors that a child may exhibit in order to implement specialized learning and/or behavioral supports to help him or her to be successful in a particular classroom setting;
- Plan instruction for individuals and groups of children;
- Guide and promote engagement of each child based on individual abilities, interests and temperament;
- Track children's progress and generate individual and classroom reports;
- Determine program effectiveness and personnel development needs.

No

Other.  
Describe:

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

Yes.

Describe:

Partnering with families and keeping them well-informed of their child's development is a requirement for both NC Pre-K and Developmental Day Programs. Data gathered from these ongoing assessments helps early childhood educators know how each child is progressing and effectively plan for that child's learning and that of future classrooms. All assessment information is shared with the child's family.

Early childhood educators gather facts about all aspects of the child's individual development, growth, strengths, needs, and interests and about his or her family's culture, language, and priorities. Information is gathered and shared through multiple sources, using formal and informal procedures such as family interviews during home visits, meetings and conferences. Through authentic, ongoing assessment, educators gather and share useful information about young children, including stages of development, interests and temperament, social relationships, how they learn, responses to new situations, and changes in behavior.

No

Other.  
Describe:

No

Other.

Describe:

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

Yes.

Describe:

All children enrolled in the NC Pre-K programs and Developmental Day programs are assessed using reliable assessment tools.

Pre-K Classroom staff are required to conduct ongoing assessments to gather information about each child's growth and skill development, as well as to inform instruction. The following instruments meet this requirement:

1. Creative Curriculum Developmental Continuum, Ages 3-5 and Teaching Strategies GOLD;
2. Galileo On-line Assessment System
3. HighScope Preschool Child Observation Record (COR) (second edition)
4. Learning Accomplishment Profile – Third Edition (LAP-3)
5. Learning Care System (for use with Tutor Time *LifeSmart*™ and The Empowered Child™ Childtime)
6. Work Sampling System (Meisels)

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

Yes.

Describe:

The developmental domains are identified in the assessment tools.

No

Other.

Describe:

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

All children.

Describe:

All children enrolled in the NC Pre-K programs and Developmental Day programs are assessed using reliable assessment tools.

Samples of children.

Describe:

Other.

Describe:

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

Yes.

Describe:

NC uses the information gathered to improve teacher practices and for the development of program quality improvement activities. Data gathered from these ongoing assessments helps early childhood educators know how children are progressing and effectively plan for each child's learning and that of future classrooms.

Assessment data is especially helpful to:

- Identify children who may need to be referred for specialized services;
- Document behaviors that a child may exhibit in order to implement specialized learning and/or behavioral supports to help him or her to be successful in a particular classroom setting;
- Plan instruction for individuals and groups of children;
- Guide and promote engagement of children based on individual abilities, interests and temperament;
- Track children's progress and generate individual and classroom reports;
- Determine program effectiveness and personnel development needs.

Training in the appropriate use of assessment instruments for instructional planning is part of initial staff development in pre-kindergarten programs for all teaching staff that have not previously completed appropriate training. Further, ongoing professional development supports effective instructional assessment and planning.

No

Other.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

No

Not applicable. State does not have an SLDS.

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

Effective Date: 01-OCT-13

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

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

Describe (optional):

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?

An Early Learning Guidelines Advisory Committee was convened to revise both the Infant Toddler Foundations and the Preschool Foundations document into one Early Learning Guidelines document for children ages 0-5. The expected date for the release of the revised Early Learning Guidelines is set for June 2013. The dissemination and implementation of the revised document includes the development of a two credit CEU course for providers and rollout through professional development institutes. RttT-ELC promises that the new ELDS will be a required part of the revised TQRIS.

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 revised ELDS will be included in the revised TQRIS and required provider training will be aligned with the ELDS.

North Carolina's RttT-ELC - TQRIS Validation Study will evaluate the progress of children in child care and determine if differences in quality ratings are associated with differences in children's progress. This study will document program features most closely associated with differences in child outcomes among children with high needs, identify quality features that distinguish between programs at the upper ranges of quality, and assess the potential impact of the revised TQRIS on the distribution of program ratings.

### **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?

Effective Date: 01-OCT-13

#### **Goal #1:**

Finalize revision of NC's Early Learning Guidelines for children ages 0-5, which will combine and replace two separate Early Learning Guidelines documents issued for infants/toddlers and preschool-age children.

#### **Goal #2:**

Implement an RttT-ELC activity that will develop a two credit CEU course to introduce providers to the revised Early Learning Guidelines, including train-the-trainer and cross-sector institutes to roll out the course.

**Goal #3:**

[Align CCR&R training with the revised Early Learning Guidelines, through one of the RttT-ELC activities.](#)

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

Effective Date: 01-OCT-13

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

[The entities involved in the planning and administering of program quality improvement activities include the following: DCDEE; QRIS Advisory Committee; Professional Development Advisory Committee; CCR&R; Smart Start; Rated License Assessment Project; NC Pre-K Program; Head Start; Child Care Health & Safety Resource Center; Institutes of Higher Education and Child Care Services Association.](#)

[The QRIS Advisory Committee released an Executive Summary of the proposed recommendations for the NC QRIS. The Executive Summary can be found here: \[http://ncchildcare.dhhs.state.nc.us/PDF\\\_forms/QRIS-Advisory-Committee-Executive-Summary.pdf\]\(http://ncchildcare.dhhs.state.nc.us/PDF\_forms/QRIS-Advisory-Committee-Executive-Summary.pdf\)](#)

**3.3.1 Element 1 - Program Standards**

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

Effective Date: 01-OCT-13

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

- Ratios and group size
- Health, nutrition and safety
- Learning environment and curriculum
- Staff/Provider qualifications and professional development
- Teacher/providers-child relationships

- Teacher/provider instructional practices
  - Family partnerships and family strengthening
  - Community relationships
  - Administration and management
  - Developmental screenings
  - Child assessment for the purposes of individualizing instruction and/or targeting program improvement
  - Cultural competence
  - Other.
- Describe:

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

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

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

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

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

Describe:

Not linked.

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

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

there is a reciprocal agreement between Head Start and the quality improvement system)

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

Other.

Describe:

None.

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

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.3.**

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<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 type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

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

Yes.  
Describe:

No  
 Other.  
Describe:

[CCR&R and Smart Start strategies are based on the outcomes related to helping providers to increase quality as measured by the QRIS.](#)

### 3.3.3 Element 3 - Financial Incentives and Supports

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<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 improving / maintaining quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Other. Describe:			
<a href="#">T.E.A.C.H. Early Childhood Scholarships</a> <a href="#">T.E.A.C.H. Health Insurance and WAGE\$ Salary Supplement Program</a> <a href="#">provide financial incentives and supports for teachers.</a>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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.

Effective Date: 01-OCT-13

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

None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <a href="#">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.</a>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. <a href="#">N/A</a>	<input type="checkbox"/>	N/A	<input type="checkbox"/>

<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. <input type="text" value="N/A"/>	<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 type="checkbox"/> Other. Describe: <input type="text" value="N/A"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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:

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



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 of the three regions of the state.

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

Effective Date: 01-OCT-13

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

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



Participation is voluntary for:

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



Participation is mandatory for:

Licensed one star child care centers and family child care homes.



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:

[Public school preschool programs funded with Title I funding or other funding sources.](#)

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

Effective Date: 01-OCT-13

**please describe:**

[The Division of Child Development and Early Education is currently targeting quality improvement strategies for religious sponsored and one and two star programs through the RttT-ELC project.](#)

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

Effective Date: 01-OCT-13

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



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

Describe(optional)

N/A



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

Describe(optional)

N/A



Program scores on program assessment instruments.

List instruments:

[Environment Rating Scales \(ERS\) assessment is the instrument.](#)

Describe(optional)

N/A



Classroom scores on program assessment instruments.

List instruments:

[Environment Rating Scales \(ERS\) is the assessment instrument.](#)

Describe(optional)

N/A



Qualifications for teachers or caregivers within each program.

Describe(optional)

N/A



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

Describe(optional)

N/A



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



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

Describe(optional)

**N/A**



Other.

Describe:

**N/A**



None.

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

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

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 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. The Division of Child Development and Early Education continues to use CCDF funds to support the implementation of this project.**

**The RttT-ELC Validation Study will assess the development of children in child care and determine if differences in quality ratings are associated with differences in children's progress. This study will document program features most closely associated with differences in child outcomes among children with high needs, identify quality features that distinguish between programs at the upper ranges of quality, and assess the potential impact of the revised TQRIS on the distribution of program ratings.**

### **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?

Effective Date: 01-OCT-13

#### **Goal #1:**

**Disseminate the revised Early Learning and Development Standards with training for providers and technical assistance staff, and incorporate the revised standards into professional development offered through the CCR&R system.**

#### **Goal #2:**

**Implement statewide competencies and standards/qualifications for technical assistance staff, through the RttT-ELC grant.**

#### **Goal #3:**

**Lead a consortium of states to develop and pilot-test a new program quality assessment tool for use in a TQRIS through the RttT-ELC.**

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

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

For purposes of this section, States and Territories will respond according to five key

elements for workforce systems:

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

Effective Date: 01-OCT-13

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, Smart Start, CCR&R, Institute for Child Development Professionals, NC Pre-K, Institute of Higher Education, Professional Development Advisory and Child Care Services Association.](#)

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

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

Effective Date: 01-OCT-13



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

Yes

No, the State/Territory has not developed core knowledge and competencies. **Skip to question 3.4.2.**

Other.  
Describe:

If yes, insert web addresses, where possible:

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, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other.

Describe:

None.

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

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

Describe:

[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. General competencies have been developed for TA providers including mentors, coaches and consultants.](#)

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

Describe:

Other.

Describe:

None.

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

Birth-to-three

Three-to-five

Five and older

Other.

Describe:

None.

### 3.4.2 Workforce Element 2 - Career Pathways

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

Effective Date: 01-OCT-13

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

Yes.

Describe:

[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.](#)

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

Insert web addresses, where possible:

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:

[The State's Workforce Education unit collects child care program staff's education to determine education](#)

[levels for the North Carolina Early Childhood Credentials \(NCECC\) and the star rated license.](#)

<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.](#)

[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 assesses staff directly working with children in centers.](#)

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

Describe:

[The State's Workforce Education unit collects family child care home provider's education to determine education levels for the North Carolina Early Childhood Credentials, but specifies family care provider.](#)

[http://ncchildcare.dhhs.state.nc.us/providers/pv\\_sn2\\_ereq.asp](http://ncchildcare.dhhs.state.nc.us/providers/pv_sn2_ereq.asp)

[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.](#)

Administrators in centers (including educational coordinators, directors).

Describe:

[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](http://ncchildcare.dhhs.state.nc.us/providers/pv_sn2_ereq.asp)

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.

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

Describe:

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

Describe:

Other.

Describe:

None.

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

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

Other.

Describe:

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 DCDEE Workforce Section or the North Carolina Institute for Child Development Professionals and NC Pre-K.](#)

No.

### 3.4.3 Workforce Element 3 - Professional Development Capacity

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

Effective Date: 01-OCT-13

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

practitioners, etc.)?

Yes.

If yes, describe:

[DCDEE has determined through its collaboration with higher education systems in NC, that degree programs are available to practitioners statewide either in person, through hybrid courses or via distance learning.](#)

[www.ncicdp.org](http://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

Standards set by State/Territory departments of education

Standards set by national teacher preparation accrediting agencies

Other.

Describe:

None.

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

Training approval process.

Describe:

(1) Prior approval from the Division is not required for training offered by a college or university with nationally recognized regional accreditation, a government agency, or a state or national professional organization or its affiliates, provided the content complies with N.C.G.S. 110-91(11). Government agencies or state or national professional organizations who provide training shall submit an annual training plan on a form provided by the Division for review by the Division. The plan is not required for any state, national, or international conferences sponsored by a professional child care organization, effective March 1, 2013.

Trainer approval process.

Describe:

Prior approval from the Division is required for any agencies, organizations, or individuals not specified in Item (1) above who wish to provide training for child care operators and staff. To obtain such approval, the agency, organization, or individual shall complete and submit the in-service training approval forms provided by the Division at least 20 business days prior to the training event.

Training and/or technical assistance evaluations.

Describe:

Each project is expected to collect and report evaluations on its training and technical assistance.

Other.

Describe:

None.

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

Yes.

If yes, describe:

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.

Effective Date: 01-OCT-13

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

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.

Insert web addresses, where possible: <http://childcarerrnc.org/index.php>

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, and Rated License Assessment Project, Child Care Health Consultants, and \(DCDEE\) Licensing Consultant Staff.](#)

Reimbursement for training and education expenses.

Describe:

Grants.

Describe:

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.

Describe:

[Certain T.E.A.C.H. Early Childhood® Project scholarship models offer release time for participants.](#)

Other.

Describe:

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 and Early Educator Support, Licensure and Professional Development Unit, Quality Improvement Projects, CCR&R, Smart Start Quality Improvement and Quality Enhancement staff, Child Care Health Consultants, and North Carolina Rated License Assessment Project staff.

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.

Effective Date: 01-OCT-13



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

Yes.

If yes, describe:

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

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. Through the RttT-ELC programs that meet specified professional development requirements for their staff are eligible for one time bonuses.

[www.childcareservices.org](http://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 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](http://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](http://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).

Effective Date: 01-OCT-13

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

Data on the size of the child care workforce.  
Describe (optional):

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

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

Retention rates.  
Describe (optional):

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

Qualifications of teachers or caregivers linked to the programs in which they teach.

Describe (optional):

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):

[Data is received from T.E.A.C.H. and WAGE\\$.](#)

Number of credentials and degrees conferred annually.

Describe (optional):

[DCDEE issues and collects the data for the NC Early Childhood, Administration, Family Child Care, and School Age Credential.](#)

Data on T/TA completion or attrition rates.

Describe (optional):

Data on degree completion or attrition rates.

Describe (optional):

Other.

Describe:

None.

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

**Definition** - For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care

workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

Yes.

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

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

Describe:

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

Describe:

Administrators in centers (including educational coordinators, directors).

Describe:

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

Describe:

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

Describe:

Other.

Describe:

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. The recent workforce data study on both teachers and directors statewide has been completed.

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.

Periodic workforce studies are completed to assess the conditions of the workforce. The most recent workforce study can be found here:

[http://www.childcareservices.org/\\_downloads/research/WorkforceReport2013/WorkforceReport\\_2013.pdf](http://www.childcareservices.org/_downloads/research/WorkforceReport2013/WorkforceReport_2013.pdf)

### 3.4.7 Goals for the next Biennium -

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

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

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

**Goal #1:**

Implement T.E.A.C.H. Scholarships for Early Childhood Technical Assistance Providers through the RttT-ELC grant.

**Goal #2:**

Increase the number of child care professionals who have Early Educator Certification through the RttT-ELC grant.

**Goal #3:**

Increase the knowledge of child care administrators about appropriate curricula and their use in child care programs through training and technical assistance.