



CHILD CARE AND DEVELOPMENT FUND PLAN

FOR: Massachusetts

FFY 2010-2011

This Plan describes the CCDF program to be conducted by the State/Territory for the period 10/1/09 – 9/30/11. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

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

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

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

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CHILD CARE AND DEVELOPMENT FUND PLAN FOR: MASSACHUSETTS FOR THE PERIOD: 10/1/09 – 9/30/11

Lead Agencies must submit plan amendments within 60 days of the effective date of an amendment (§98.18 (b)).

Instructions for Amendments:

- 1) Lead Agency completes the first 3 columns of the Amendment Log and sends a photocopy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

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 The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan.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

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF
Attachment 3.5.1	7/1/2011	8/22/2011	
Table 3.3.2	7/1/2011	8/22/2011	
Section 3.4.2(b)	7/1/2011	8/22/2011	
Section 3.5.5	7/1/2011	8/22/2011	

PART 1

ADMINISTRATION

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 Lead Agency Information (as designated by State/Territory Chief Executive Officer)

Name of Lead Agency: [Department of Early Education and Care \(EEC\)](#)
Address of Lead Agency: [51 Sleeper Street, 4th Floor, Boston, MA 02210](#)
Name and Title of the Lead Agency's Chief Executive Officer: [Sherri Killins, Ed. D., Commissioner](#)
Phone Number: [\(617\) 988-6600](#)
Fax Number: [\(617\) 988-2451](#)
E-Mail Address: Sherri.Killins@massmail.state.ma.us
Web Address for Lead Agency (if any): www.eec.state.ma.us

1.2 State/Territory Child Care (CCDF) Contact Information (day-to-day contact)

Name of the State/Territory Child Care Contact (CCDF): [Constantia T. Papanikolaou](#)
Title of State/Territory Child Care Contact: General Counsel
Address: [51 Sleeper Street, 4th Floor, Boston, MA 02210](#)
Phone Number: [\(617\) 988-6600](#)
Fax Number: [\(617\) 988-2451](#)
E-Mail Address: Constantia.Papanikolaou@massmail.state.ma.us
Phone Number for CCDF program information (for the public) (if any): [see above](#)
Web Address for CCDF program information (for the public) (if any): [see above](#)

1.3 Estimated Funding

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2009 through September 30, 2010. (§98.13(a))

CCDF: [\\$101,817,614](#)
Federal TANF Transfer to CCDF: [\\$91,874,224](#)
Direct Federal TANF Spending on Child Care: [\\$268,083,256](#)
State CCDF Maintenance of Effort Funds: [\\$44,973,368](#)
State Matching Funds: [\\$31,846,226](#)
Total Funds Available: [\\$538,594,688](#)

1.4 Estimated Administration Cost

The Lead Agency estimates that the following amount (and percentage) of Federal CCDF and State Matching Funds will be used to administer the program (not to exceed 5 percent): \$11,276,903 (5 %). (658E(c) (3), §§98.13(a), 98.52)

1.5 Administration of the Program

1.5.1 Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5.1 – Activities & Services to Improve the Quality and Availability of Child Care, Quality Targeted Funds and Set-Aside?

☐ Yes.

☒ No. If no, use **Table 1.5.1** below to **identify** the name and type of agency that delivers services and activities. If more than one agency performs the task, identify all agencies in the box under “Agency,” and **indicate** in the box to the right whether each is a non-government entity.

Table 1.5.1: Administration of the Program

Service/Activity	Agency	Non-Government Entity (see Guidance for definition)	
Determines individual eligibility:			
a) TANF families	Department of Transitional Assistance	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b) Non-TANF families	Child Care Resource and Referral Agencies	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
	Contracted Child Care Providers	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
	Family Child Care Systems	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
	Department of Children and Families	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Assists parents in locating care	Department of Early Education and Care	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	Department of Children and Families	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	Child Care Resource and	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

PLAN FOR CCDF SERVICES IN: Massachusetts
FOR THE PERIOD 10/1/09 – 9/30/11

Service/Activity	Agency	Non-Government Entity (see Guidance for definition)
	Referral Agencies	
	Contracted Child Care Providers	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Community Partnerships for Children (local councils)	<input checked="" type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Family Child Care Systems	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Makes the provider payment	Department of Early Education and Care	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Child Care Resource and Referral Agencies	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Family Child Care Systems	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Quality activities	Department of Early Education and Care	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Child Care Resource and Referral Agencies	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Community Partnerships for Children	<input checked="" type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Family Child Care Systems	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Other:		<input type="checkbox"/> Yes <input type="checkbox"/> No

1.5.2. Describe how the Lead Agency maintains overall internal control for ensuring that the CCDF program is administered according to the rules established for the program (§98.11).

EEC Internal Controls to Ensure CCDF Compliance

All state and federally funded providers that contract with EEC to provide and/or manage subsidized child care for eligible families- including family child care systems and Child Care

Resource and Referral Agencies (CCR&R's) - are subject to fiscal and compliance monitoring by EEC's Purchased Services Fiscal Monitoring Unit. The monitoring program consists of activities to confirm that families receiving care through these contracts are eligible to receive services according to state and federal regulations and EEC policies. In addition, the monitoring program corroborates contractor compliance by verifying financial information, confirming compliance with audits and evaluating internal controls.

The EEC Purchased Services Fiscal Monitoring Unit conducts the following activities to ensure compliance with CCDF:

- **Evaluation of financial and audit reports**, including Uniform Financial Report, A133 Audits and independent provider audits;
- **Risk Assessment analysis** to determine the priority status and scope of monitoring for each contracted provider. As part of the risk assessment, monitors consider each provider's licensing history and the amount of state and/or federal funding received by each provider;
- **Onsite monitoring visits** to contracted providers and Child Care Resource and Referral Agencies (CCR&R's) according to their priority status resulting from the risk assessment analyses. (Note: Some providers may not be subject to an onsite review). The onsite review may consist of verification of some or all of the items below:
 - Revenues/expenses
 - Eligibility determination and documentation
 - Management procedures and internal controls
 - Billing practices and records
 - Attendance records
 - Verification of the MICSQ
 - Follow up to previous audit or onsite review issues
- **Confirm compliance with Corrective Action Plans** that may result from desk reviews or prior onsite monitoring visits by requesting follow-up reports and/or conducting follow-up onsite visits.

Regulations, terms and guidelines

Child Care contracts are administered in accordance and monitored for compliance with the following regulations, terms and guidelines:

- Commonwealth Terms and Conditions for Human and Social Services;
- 801 CMR 21.00 Procurement of Commodities or Services, Including Human and Social Services;
- 808 CMR 1.00 Compliance, Reporting and Auditing for Human and Social Services;
- 606 CMR 10 EEC's Subsidy Regulations;
- EEC's Financial Assistance Policy Guide;
- Audit Resolution Policy for Human and Social Services, issued by the Operational Services Division (OSD) Audit Bureau July 7, 2007 pursuant to 808 CMR 1.04 (10);

- Code of Federal Regulations 45 CFR Parts 98 & 99 (Child Care & Development Fund Final Rule);
- OMB Circulars: A-133 Compliance Supplement for CFDA 93.575 Child Care and Development Block Grant and CFDA 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-110 Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations and A-123 Management's Responsibility for Internal Control (Effective beginning with Fiscal Year 2006); and
- Improper Payments Information Act of 2002 (IPIA).

1.5.3. Describe how the Lead Agency ensures adequate personnel, resources, systems, internal controls, and other components necessary for meeting CCDF reporting requirements (658K, §98.67, §§98.70 & 98.71, §§98.100 to 102), including the Lead Agency's plans for addressing any reporting deficiencies, if applicable. At a minimum, the description should address efforts for the following reporting requirements:

a) **Fiscal Reporting:** EEC tracks CCDF expenditures on a month-to-month and year-to-date basis. EEC breaks down the Mandatory Fund, Matching Fund and Discretionary Fund and monitors these expenditures to ensure that we are meeting our mandatory, quality and administrative requirement percentages until the liquidation of the current CCDF grant. We report and monitor these expenditures to our 696 report and any draws of CCDF funds are reconciled to the 696 at this point. EEC also coordinates TANF transfers with the Executive Office of Health and Human Services, which is responsible for claiming federal revenue for the state agencies under their purview, including the TANF lead agency, the Department of Transitional Assistance.

b) **Data Reporting:** To produce the ACF-801 Report, EEC generates a sample of voucher and contract cases for each month. Due to late billings and the fact that voucher payments are submitted for payment two months after the month of service, EEC submits monthly billing files each quarter for the prior three months. The report is produced by combining two databases and taking a random sample of these cases to equal approximately 200 families per month. This ACF-approved sample of voucher and contracted assistance includes families' demographics, billing information, provider detail and eligibility data. The information gives EEC a way to monitor the changes in the subsidized caseload on a month-to-month basis, as well as giving ACF accurate information about families receiving early education and care services in Massachusetts. To complete the annual ACF 800 report, EEC provides unduplicated totals of all families, children and providers that received EEC services during the previous federal fiscal year. The total number of children and providers are described in the report by type of care. The number of families requesting and receiving child care information is also included. The report also gives the percentage of EEC services funded through the CCDF grant.

c) **Error Rate Reporting:** In accordance with §§98.100 to 102 of the CCDF Final Rule, Massachusetts selected a statewide random sample of 276 cases for review, which consists of 23 randomly selected cases for each of the 12 months (October 2007 thru September 2008) of the review period. In addition, five replacement cases were randomly selected for each month. If replacements were needed, they were drawn in the order selected by the sample. These samples would only be used with approval from the Regional Office and in accordance with the Data Collection Instructions for sample use, such as instances of natural disaster, fraud or those under appeal. The methodology for generating samples was documented. The samples generated pulled data on children served by every type of delivery model, including Community Partnerships for Children Local Councils (CPCs), which administered financial assistance through grants for pre-school services to three and four year olds; Child Care Resource and Referral Agencies (CCR&Rs), which manage financial assistance through vouchers; and contracted providers. CCR&Rs, CPCs and contracted agencies, including both family child care systems and direct care providers, were required to submit copies of case records selected from the sample to the EEC Central office for review. These paper case records will be both scanned into our electronic filing system and stored in secure paper files, as required for five years.

1.6 Funds Used to Match CCDF

1.6.1 Will the Lead Agency use public funds to meet a part of the CCDF Match requirement pursuant to §98.53(e)(1)?

☒ Yes, **describe** the activity and source of funds:

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

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

☐ No.

1.6.2 Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2)?

☐ Yes. If yes, are those funds: (**check one below**)

☐ Donated directly to the State?

☐ Donated to a separate entity or entities designated to receive private donated funds?

a) How many entities are designated to receive private donated fund?

b) **Provide** information below for each entity:

Name:

Address:

Contact:

Type:

☒ No.

1.6.3 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

☒ Yes (**respond to 1.6.5**), and:

a) ☒ The State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

b) (20 %) Estimated percentage of the MOE requirement that will be met with Pre-K expenditures. (Not to exceed 20%.)

c) If the Lead Agency uses Pre-K expenditures to meet more than 10% of the MOE requirement, **describe** how the Lead Agency will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

The Massachusetts Universal Pre-Kindergarten (UPK) Program, first funded in fiscal year 2007, requires participating programs to be currently providing or willing to provide access to full-day, full year services. This requirement helps to ensure that all UPK programs are available to and meet the needs of working families. The UPK

requirements also increase access to various types of programs for families by requiring participating programs to serve or be willing to serve children that receive EEC financial assistance (CCDF-funded subsidies).

☐ No.

1.6.4 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirements? (§98.53(h))

☒ Yes (**respond to 1.6.5**), and

a) (30 %) Estimated percentage of the Matching Fund requirement that will be met with pre-K expenditures. (Not to exceed 30%.)

b) If the State uses Pre-K expenditures to meet more than 10% of the Matching Fund requirement, **describe** how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

Please refer to 1.6.3(c) above.

☐ No.

1.6.5 If the Lead Agency indicated “yes” to 1.6.3 or 1.6.4, **describe** Lead Agency efforts to ensure that pre-K programs meet the needs of working parents: (§98.53(h)(2))

Please refer to 1.6.3(c) above.

1.6.6 Will the Lead Agency use any other funds to meet a part of the CCDF Match requirement pursuant to §98.53(e)(1)?

☒ Yes, **describe** the activity and source of funds:

Through the Child Care Quality Fund (CCFQ), which is established under Massachusetts General Law, Chapter 29, section 2JJ, the Commonwealth funds the Quality Improvement Grant program. The CCQF was created in 1997 and is supported by revenues received from the sale of the “Invest in Children” Massachusetts license plates. The purpose of the Quality Improvement Grant program is to promote school readiness, school success and positive outcomes for children by supporting and enhancing the quality of services being delivered to children in early education and out-of-school time settings across the Commonwealth. For additional information regarding this grant program, please refer to Section 5.1.6 below.

☐ No.

1.7 Improper Payments

Has your State implemented any strategies to prevent, measure, identify, reduce, and collect improper payments? (§98.60(i), §98.65, §98.67)

☒ Yes, and these strategies are:

Prevention, Measurement, and Reduction of Improper Payments

- **Technical Support-** EEC staff provides ongoing technical support to providers regarding the State's subsidy policies and procedures.
- **Financial Assistance Agreement-** All recipients of subsidized child care must sign a Financial Assistance Agreement certifying that the information they are providing is true and accurate. Through this Agreement, recipients authorize EEC, CCR&Rs or any contracted child care provider, to whom they apply for subsidized child care services in the Commonwealth, to contact their employer(s) to verify income, pay scale, hours and schedule of work for eligibility purposes. The Agreement also notifies families that in the event that they provide false and/or misleading information:
 - their subsidy may be terminated,
 - they may have to repay the funds,
 - they may be ineligible for subsidized care for up to three years, and
 - they may face civil fines and possible criminal prosecution.
- **Reassessment:** All families receiving subsidized child care are reassessed annually or sooner if there are changes to their residence, income, service need or anything which may affect their eligibility. Families are required to report any changes which may affect their eligibility to their provider (if they are in a contracted slot) or their local CCR&R (if they have a child care voucher) within ten (10) days of such change occurring. The reassessment process gives providers and/or CCR&R staff an additional opportunity to review a family's information for accuracy.
- **Risks assessments and monitoring visits** – Please see Section 1.5.2.
- **Voucher-only providers:** CCR&R staff conduct desk reviews and site visits to non-contracted, "voucher only" providers. They review the provider's attendance and billing information.
- **Information sharing:** EEC fiscal monitoring, licensing and policy staff work closely together to share information regarding providers. For example, if a program has fiscal management issues, licensing will monitor the provider to determine whether the quality of care is being affected by such mismanagement. In addition, EEC fiscal, policy and licensing units conduct intervention meetings to offer a comprehensive approach to assist providers that have management issues.

- **Non-compliance:** Providers (both contract and voucher) who are cited for non-compliances (including lack of internal controls, billing errors, authorizing care to ineligible clients) must submit a Corrective Action Plan to EEC's fiscal monitoring staff or the local CCR&R outlining the measures they will implement to correct all problems identified.
- **Payment Review:** As part of the Child Care Bureau's CCDF Improper Authorizations for Payment Review and Reporting Initiative, Massachusetts, among other states, will be compiling and reviewing a comprehensive sample of 276 children authorized for care between October 1, 2007 and September 30, 2008 to determine whether early education and care subsidies were properly authorized in accordance with EEC and CCDF regulations.

Recoupment of Funds

- Through EEC's automated eligibility and billing system, eCCIMS, EEC can recoup from a provider's future payments any sums that must be repaid related to services provided within the current fiscal year, including payments that were improperly authorized for families who were ineligible for child care subsidies. EEC can also recoup any improper payments made to CCR&Rs through its automated billing system, CCIMS, by reducing future payments for services provided within the current fiscal year.
- EEC places outstanding debts owed by contractors, providers and/or subsidy recipients on the Commonwealth's Billing and Accounts Receivable Subsystem (BARS). Through BARS, invoices are generated to debtors that include instructions on how to make payments and notifications of any rights which the debtor may have to request a hearing to challenge the debt amount. If the debtor fails to make any payments on a timely basis, the Commonwealth may initiate a collection action against the debtor and/or intercept any other State funds being paid to the debtor, including, but not limited to the intercept of tax refund payments.
- EEC works closely with the Massachusetts Operational Services Division and the Attorney General's Office's Division of Public Charities in reviewing and following up with providers whose annual financial reports and/or filings indicate that improper payments may have occurred. In addition, and as discussed above, EEC fiscal monitoring staff conduct annual fiscal evaluations of its contracted child care providers which include reviews of providers' current fiscal year filings.
- When a contracted provider, voucher provider or subsidy recipient is suspected of committing fraud, the case is referred to the State Auditor's Office who may initiate an in-depth investigation through its Bureau of Special Investigations. EEC and/or the Auditor's Office may also refer the matter to the Attorney General's Office or District Attorney's Office for further civil or criminal legal action, which could include the attachment and liquidation of assets.

- ☐ No. If no, are there plans underway to determine and implement such strategies?
- ☐ Yes, and these planned strategies are: _____
- ☐ No.

PART 2

DEVELOPING THE CHILD CARE PROGRAM

2.1 Consultation and Coordination

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

Indicate the entities with which the Lead Agency has a) **consulted** and b) **coordinated** (as defined below), by checking the appropriate box(es) in Table 2.1.1.

Consultation involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State Plan. **At a minimum, Lead Agencies must consult with representatives of general purpose local governments (noted by the asterisk in the chart below).**

Coordination involves the coordination of child care and early childhood development services, including efforts to coordinate across multiple entities, both public and private (for instance, in connection with a State Early Childhood Comprehensive System (SECCS) grant or infant-toddler initiative). **At a minimum, Lead Agencies must coordinate with** (1) other Federal, State, local, Tribal (if applicable), and/or private agencies responsible for providing child care and early childhood development services, (2) public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health), (3) employment services / workforce development, (4) public education, and (5) Temporary Assistance for Needy Families (TANF), and (6) any Indian Tribes in the State receiving CCDF funds (noted by the asterisks in the chart below).

Table 2.1.1 Consultation and Coordination

Agency	a) Consultation in Development of the Plan	b) Coordination with Service Delivery
Representatives of local government	<input checked="" type="checkbox"/> *	<input checked="" type="checkbox"/>
Other Federal, State, local, Tribal (if applicable), and/or private agencies providing child care and early childhood development services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Public health	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
Employment services / workforce development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Public education	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
TANF	<input type="checkbox"/>	<input checked="" type="checkbox"/> *

Agency	a) Consultation in Development of the Plan	b) Coordination with Service Delivery
Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
State/Tribal agency (agencies) responsible for:		
State pre-kindergarten programs	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Head Start programs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Programs that promote inclusion for children with special needs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other (See guidance):	<input type="checkbox"/>	<input type="checkbox"/>

* **Required.**

For each box checked in Table 2.1.1, (a) identify the agency(ies) providing the service and **(b) describe** the consultation and coordination efforts. Descriptions must be provided for any consultation or coordination required by statute or regulation.

The Department of Early Education and Care: A New Approach to Delivering, Coordinating and Funding Early Education and Child Care Services

In 2005, led with vision and creativity by the Legislature, Massachusetts became the first state in the nation to create one agency to oversee and coordinate early education and care and after school services for families across the Commonwealth. The creation of the Department of Early Education and Care (EEC) represented an ambitious redesign of government to create one streamlined and accountable system of high-quality early education and care for all Massachusetts' children. On July 31, 2008, Governor Patrick signed into law "*An Act Relative to Early Education and Care*," a major milestone in the effort to build a truly comprehensive and coordinated system that meets the needs of families and children. This bill codifies in state law a broad range of programs and initiatives that EEC has been developing and implementing, since EEC's creation in 2005.

EEC is the CCDF Lead Agency with a unique governance structure, discussed below. With an annual budget of approximately \$575 Million and nearly 180 full-time staff, EEC provides the following services and programs, touching the lives of more than 275,000 children every day:

- **Financial Assistance** to help eligible low-income working and at-risk families pay for early education and out-of-school time programs. Currently, EEC administers financial aid to almost 60,000 children from birth to 13 years of age. Due to limited funding, however, EEC maintains a centralized waiting list which currently includes more than 20,000 children in families who need financial assistance to afford licensed, appropriate child care and afterschool programs.

- **Licensing and Monitoring** of nearly 12,000 early education and care programs statewide, including after school programs, group child care centers and family child care homes. EEC also licenses adoption placement agencies, foster placement agencies and residential care programs.
- **Information and Resources** for families about choosing early education and care and out-of-school time programs, finding parenting and other resources in their community and applying for child care financial assistance.
- **Early Childhood Special Education** services and resources for pre-school children with special needs and their families. EEC is responsible for overseeing federal IDEA preschool special education funds for young children ages 3 to 5, and working with public schools on special education services.
- **Universal Pre-kindergarten program (UPK) implementation.** EEC is in the third year of implementing the Massachusetts UPK program in the Commonwealth. The UPK initiative promotes school readiness and positive outcomes for children and furthers the long-term creation of a universally accessible, high-quality early education program by providing grant funding directly to pre-school programs meeting specific quality guidelines, with a particular focus on programs located within high-risk priority districts (in collaboration with the Department of Elementary and Secondary Education) and/or serving a high proportion of subsidized children (50% or greater);
- **Professional Development and Program Quality Advancement** for early education and out-of-school time professionals delivered primarily through community-based and regional organizations as well as institutions of Higher Education. Support is provided to meet basic licensing requirements and teacher certifications, achieve accreditation from the National Association for the Education of Young Children (NAEYC) and other accrediting bodies, and address children's behavioral and mental health needs. EEC also administers a number of scholarship programs to help early education and out-of-school time professionals seek higher education degrees.
- **Family Education and Support** including community and home-based family literacy efforts and outreach to and engagement of families with newborn or very young children.
- **Head Start Collaboration.** As described in further detail below in this section, the Massachusetts Head Start-State Collaboration Project (HSSCP) is housed within EEC and is fully integrated into EEC's organizational structure to ensure maximum participation by Head Start in the early education and care system in Massachusetts.
- **IDEA.** EEC administers preschool special education funding.

The Board of Early Education and Care

EEC is overseen by an eleven member Board of Early Education and Care, appointed by the Governor. Membership of the Board includes the Secretary of Education, the Secretary of Health and Human Services, an early education and care provider, an early education and care teacher, a representative of the business community, a parent receiving early education and care services, an expert on assessment and evaluation, a pediatrician, and three other at-large members appointed by the Governor. The Board meets monthly to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and

regular meeting schedule allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

In December 2007, the Board of Early Education and Care began developing a multi-year Strategic Plan to further the development of a well-coordinated system of high achievement of early education and care in the Commonwealth. The planning process was inclusive and participatory, building on EEC's on-going successes and the expertise and wisdom of a broad range of stakeholders. The Strategic Plan, which was approved by the Board of Early Education and Care in February 2009, outlines a mission, a practical vision and five key strategic directions for the agency:

- (1) **Quality** – To create and implement a system to improve and support quality statewide
- (2) **Family Support, Access & Affordability** – To increase and promote family support, access and affordability
- (3) **Workforce** – To create a workforce system that maintains worker diversity and provides resources, supports, expectations and core competencies that lead to outcomes we want for children
- (4) **Communications** – To create and implement an external and internal communications strategy that advocates for and conveys the value of early education and care to all stakeholders and the general public
- (5) **Infrastructure** – To build the internal infrastructure to support achieving the vision

Within this framework, the Department's efforts will be guided by an agency work plan that includes initiatives that support these five strategic directions.

Executive Office of Education

In January 2008, the Massachusetts legislature created an Executive Office of Education (EOE) to oversee the Commonwealth's three education agencies: (1) the Department of Early Education and Care (EEC); (2) the Department of Elementary and Secondary Education (ESE); and (3) the Department of Higher Education (DHE). Governor Patrick proposed this new Secretariat to encourage coordination and seamless delivery of education from birth through higher education and beyond. In support of this new vision, Governor Patrick submitted his education agenda entitled "The New Promise of Public Education" in June 2008. With the creation of EOE and within the context of the Governor's proposal to revolutionize the Commonwealth's public education system, EEC, which stands as a family's first point of entry into the Commonwealth's education and system, now serves as an integral part of the overall continuum of education in the Commonwealth by providing the foundation for children's healthy development and learning.

In its important and vital role as the entry point to the public education system, EEC reports directly to EOE and is overseen by an eleven member board. In recognition of this role, the legislature and the Governor have ensured that the Board of Early Education and Care (Board), which is responsible for, among other thing, the oversight and supervision of the administration of a high-quality system of public and private early education and care, contains a dynamic and diverse membership of individuals representing key stakeholders in the field of early education and care. Specifically, Massachusetts General Laws require the Board to be composed of the

following individuals: the Secretary of Education, the Secretary of the Executive Office of Health and Human Services, an early education and care teacher, a representative from the business community, a parent/guardian of child receiving early education and care services or family child care provider, an early education and care provider with management and administration experience, an expert in evaluation and assessment of pre-schools, a pediatrician with child development focus or nationally recognized child psychologist, and three at large gubernatorial appointments with a demonstrated interest in early education and care and a commitment to maximizing family choice by preserving a mixed system of high-quality public and private programs. The inclusion of the Secretary of Education and the Secretary of the Executive Office of Health and Human Services on the EEC Board ensure seamless coordination and collaboration with the lead agencies responsible for administering public education, public health and transitional assistance in the Commonwealth, as required by the CCDF regulations.

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- (5) Infrastructure – To build the internal infrastructure to support achieving the vision

Within this framework, the Department's efforts are guided by an agency work plan that includes initiatives that support these five strategic directions.

Coordination with Other Agencies

A key priority for EEC is coordinating services with other state agencies and external stakeholders, outlined below:

Other agencies providing child care and early childhood development services

As described above in the introduction to section 2.1.1, EEC was created to coordinate and streamline child care and early childhood development services in Massachusetts. Prior to the creation of EEC, the early childhood sector in the state was a labyrinth of separate bureaucracies

and disconnected categorical programs covering four agencies with oversight for services to children ages birth to 14.

In addition to the Board structure, which includes the Secretary of the Executive Office of Health and Human Services as an ex officio member discussed above, EEC's work with the legislatively mandated Advisory Council and EEC's work with the Parent Advisory team, the Department collaborates with several agencies that provide child care and early childhood development services, as follows:

- Department of Children and Families (DCF): EEC contracts with programs that provide Supportive Child Care to families who have active protective services cases with Department of Children and Families (DCF). The supportive child care program facilitates children's placement in quality child care settings and supports the work of DCF through the purchase of early education and out-of-school time care, which is supplemented by case management, comprehensive social services and transportation services. EEC reimburses providers at a base rate for child care for DCF-referred families and provides an additional rate for the provision of support services. The provider bills EEC or the appropriate Child Care Resource & Referral Agency for supportive vouchers after services are provided. EEC has worked closely with DCF central office staff, social workers and area child care coordinators to provide technical assistance and support to clarify policy and resolve case-specific issues to facilitate coordination of supportive child care services.

In 2006, EEC and DCF launched a joint initiative to expand supportive child care services and increase child care access to families involved with DCF. EEC and DCF developed and conducted surveys to assess need, provider capacity, barriers, and referral practices for the supportive child care system. Since January 2007, EEC and DCF have implemented an aggressive expansion plan for supportive child care. As a direct result of this initiative, EEC currently has over four thousand contracted slots for children needing supportive child care. Concurrently, EEC is working to strengthen other aspects of the supportive child care system. Starting in May 2007, DCF implemented centralized waitlist reporting and is continuing to work on developing a longer range plan to utilize technology to enhance child care provider and case management linkages and connectivity between EEC and DCF. Furthermore, DCF embarked on a comprehensive internal strategic planning process in the spring/summer of 2008 in addition to a joint planning process with EEC. EEC and DCF efforts are focused on improving service delivery regarding access to supportive child care for children and families, quality of services provided and workforce development.

- MassHealth (Massachusetts' Medicaid Program): EEC collaborates with MassHealth and the Massachusetts Behavioral Health Partnership (MBHP) to administer the Comprehensive Mental Health in Child Care (CMHCC) project. This project provides comprehensive mental health services for children and their families on-site at their child care program. Currently, EEC funds 16 Supportive Child Care programs that are implementing the CMHCC model across the Commonwealth. Each of these programs partner with a mental health clinic contracted with MBHP. Through this partnership, the

child care program and mental health clinic jointly hire a clinician, who provides on-site mental health consultation to staff and therapeutic services to children and families. The mental health clinic generates one-third of the clinician's salary by billing the families' insurance directly for clinical services. EEC funds the remaining two-thirds of the clinician's salary to enable the clinician to provide a broad range of training and support to children, their families and the child care staff. The clinician also helps families access a full range of mental health services at the partnering clinic. In developing future plans for its Mental Health Consultation initiatives, EEC will target the needs of children in enrolled in Supportive Child Care.

- The Massachusetts Department of Public Health (DPH): EEC coordinates with DPH on several initiatives, including:
 - Massachusetts Early Childhood Comprehensive Systems (MECCS) project: Since the summer of 2003, DPH has received funds from the federal Maternal and Child Health Bureau to support the MECCS project. The goal of this project is to work across state agencies to coordinate policies relative to early education and care, preventive health care, family support, parenting education and mental health services for young children. To strengthen and leverage the convening power MECCS provides, the project was restructured in August 2006 to be administered jointly by EEC and DPH.
 - Young Children's Interagency Working Group: EEC and DPH are also lead partners in the Young Children's Interagency Working Group, comprised of the leaders of key agencies across state government serving young children and their families including: the Departments of Elementary and Secondary Education, Mental Health, Mental Retardation, Children and Families and Transitional Assistance, along with the EOHHS Children, Youth and Family Cluster, MassHealth, the Head Start State Collaboration Office and the Children's Trust Fund. These leaders agree that to meet the needs of young children, particularly the Commonwealth's most vulnerable children, their agencies must work together to provide affordable, accessible, quality services and supports that cross traditional lines among Departments and disciplines. The goals of the Young Children's Interagency Working Group, which have also been incorporated into the MECCS strategic plan, are to develop a comprehensive plan for a children's mental health system and a "roadmap" for a system of family support and parent education across state agencies.
 - Interagency Collaborating Council (ICC): As part of the Department of Public Health's (DPH) Early Intervention program, EEC is a participating member of DPH's Interagency Collaborating Council (ICC), which is a federally mandated statewide inter-agency group that advises and assists DPH on issues related to Early Intervention services. The purpose of the Council, which was established pursuant to Part C of the IDEA, is to advise and assist in the planning, development and implementation of activities necessary to operate the statewide system of early intervention services for infants and toddlers under 3 years of age with disabilities or those who would be at risk of experiencing a substantial developmental delay if early intervention services were not provided. Many young children receiving Early

Intervention services are participating in EEC licensed child care programs and family child care homes. EEC staff also participate on the ICC Program Planning subcommittee, working to improve transitions for young children as they age out of Early Intervention and move on to either Early Childhood special education and/or community based programs.

- The Massachusetts Department of Transitional Assistance (DTA): In the fall of 2005, EEC and DTA formed an interagency working group dedicated to streamlining the process for TANF families to receive child care services. This working group identified several key barriers, including:
 - Inconsistent policies, practices, and communications between EEC and DTA;
 - Issuance of short-term vouchers that led to disruptions in services for children, inconveniences for families trying to stabilize their lives and upheaval for providers; and
 - Agency policies and practices that do not always take into consideration the needs of the child when determining the family's eligibility

In the fall of 2006, both agencies implemented policy changes to address these barriers. EEC also implemented a number of regulatory changes designed to improve the stability of care for children and streamline administrative requirements for families. These include:

- Lengthening the eligibility period for families receiving financial assistance from up to six months to up to one year;
- Allowing 12 college credits and some study time to be considered “full-time”;
- Allowing mothers whose employers have granted them maternity leave to take up to 12 weeks for such leave; and
- Lengthening the time a family has to transition their child into an early education and care program before starting an approved activity from one to two weeks.

In the fall of 2007, EEC and DTA worked together to review and assess the process for homeless families living in shelters, who require child care services in their efforts to achieve self-sufficiency. This working group identified several key barriers faced by TANF families living in shelters in accessing and receiving child care services including:

- Inconsistent policies and practices, between EEC and DTA;
- Confusion by shelter staff and parents regarding how to access vouchers;
- Lack of communication between homeless shelter staff and CCR&Rs; and
- Hardships for families in getting to their local CCR&R to access the vouchers.

Based on these findings, EEC and DTA streamlined the homeless child care policy, including the referral and voucher process, and provided training across the state.

The new policy and procedure became effective December 3, 2007. The success of the initiative is evidenced by the number of families in homeless shelters who have gained immediate access to full time vouchers upon entrance to shelters, as shown below:

- On September 1, 2007 there were approximately 769 homeless children whose families were living in a shelter accessing child care; and
- On September 1, 2008 there were approximately 2,306 homeless children whose families were living in a shelter accessing child care.

On November 21, 2008, the interagency streamlining committee received the Manuel Carballo Governor's Award for Excellence in Public Service from Governor Deval Patrick for their work on behalf of homeless families.

Employment services / workforce development

EEC engages several outside entities for purposes of developing and enhancing its workforce development program, including, but not limited to, the following:

- The Department of Higher Education (DHE), to administer the Early Childhood Educator (ECE) Scholarship Program, and the Science, Technology, Engineering and Mathematics (STEM) initiative;
- The Department of Children and Families (DCF) to develop trainings on domestic violence;
- The Department of Public Health (DPH) to develop trainings on medication administration; early intervention and specific health-related trainings, such as asthma and diabetes;
- The Department of Elementary and Secondary Education (ESE) to assist on trainings related to inclusion of children with disabilities and special needs;
- The Council of Professional Recognition to administer the Child Development Associate (CDA) Scholarship;
- Direct contracts with twenty-one (21) two and four year colleges to provide the Building Careers Program;
- Contracts with 15 CCR&Rs and grants to 89 CPCs to fund professional development for the workforce and support collaboration; and
- Collaboration with the United Way of Massachusetts Bay and Merrimack Valley and the CAYL Institute (formerly the Schott Fellowship in Early Education and Care) to gather input on the next steps towards a systemic approach to workforce development.

For more detailed information regarding EEC's Workforce Development Plan, please refer to sections 5.1.6 and 5.2.5 below.

Public Education

As discussed in the introduction to Part 2.1.1, EEC reports directly to the Executive Office of Education (EOE) and the Secretary of Education is an ex officio member of the Board of EEC. The Secretary of EOE has been charged by the legislature to oversee and manage the state's three education departments- Early Education and Care; Elementary and Secondary Education, and Higher Education- with the goal of achieving a well coordinated system of education from early childhood through the university level and beyond.

In addition to the direct relationship EEC has with EOE, EEC collaborates with public education agencies- namely The Department of Elementary and Secondary Education (ESE)- on a number of initiatives, including the following:

- **Administration of Preschool Special Education:** EEC administers the federal Individuals with Disabilities Education Act (IDEA) 619 Part B funds for preschool special education. Working with the Department of Elementary and Secondary Education (ESE), EEC disseminates, collects, reviews and approves 306 allocation grants totaling \$7.5 million to public school districts and charter schools for their preschool and kindergarten programs serving young children with disabilities. EEC also collaborates with ESE on three of the 20 Indicators in the State Performance Plan. The three indicators relate to early childhood environments, measuring child outcomes, and transitions from Early Intervention. EEC also monitors the quality in public school preschool, participates with ESE in conducting the program quality assurance and comprehensive program reviews, represents EEC on the special education steering committee, provides professional development to the early childhood field, reviews all waiver requests for early childhood special education and provides technical assistance to any public school regarding serving children with disabilities.
- **Expanded Learning Time (ELT):** In FY '09, Massachusetts has increased funding for its ELT program that supports districts in redesigning the school day and/or school year. EEC and ESE have worked together to encourage linkages and partnerships between school officials and community based after school providers and have also worked to coordinate policies that meet the needs of families and their children due to the increase in school hours.
- **After school programs standards and licensure:** EEC sets standards for and licenses after school programs in Massachusetts that are not operated by a public school district. Public school districts are exempt from EEC licensing. EEC and ESE have worked together to develop a survey to identify public school operated after-school programs. ESE and EEC continue to work together to assure that these programs are offering quality services to children.
- **After School Time and Out of School Time Quality Grant Program:** EEC assisted ESE with its review of applications for the ESE After School and Out of School Time Quality Grant Program that funds comprehensive programming which supports children's academic, social and emotional development outside of the regular school day, including in EEC-licensed School Age Child Care programs.

- **Supporting Student Success Initiative:** EEC collaborated with ESE, the Governor's Office and key legislative leaders on a competitive grant proposal for the *Supporting Student Success* initiative, which is a joint initiative of the National Conference of State Legislatures, the National Governors Association, the Council of Chief State School Officers and the C.S. Mott foundation. Massachusetts was one of six states chosen nationally to receive grant funding, which will support the development, adoption and implementation of state policies that better integrate expanded learning opportunities into state education systems. Massachusetts is planning to develop a system to coordinate funding and align standards, evaluations and data systems across after school, extended day and extended year programs.

TANF

See summary on EEC's collaborations with the Massachusetts Department of Transitional Assistance discussed within this section of the Plan above.

Indian Tribes/Tribal Organizations

EEC coordinates with Indian Tribes receiving CCDF funds in the Commonwealth by publishing market rate survey information, reimbursement rates, sliding fee scales and eligibility information on its website, in addition to responding to any inquiries related to CCDF funding from Indian Tribes in the Commonwealth. Specifically, EEC provided the Mashpee Wampanoag Tribe with a copy of its 2009 Market Rate Study results in June 2009. EEC also contracts with regional child care resource and referral agencies, including the Child Care Network of Cape Cod and the Islands, which provide various child care resource information to the public.

State Pre-Kindergarten Programs

EEC Administers the Massachusetts Universal Pre-Kindergarten Program (UPK), which is designed specifically to integrate with CCDF funds. For further discussion of this program, see section (5.1.6).

Coordination of services at the local level

To address the fact that a consistent statewide system for identifying, assessing and addressing needs of families with children birth to five within a local community does not currently exist, EEC is in the process of finalizing a plan to establish/build on a local infrastructure of supports and services across the Commonwealth to ensure families with young children, especially those with the greatest educational need and experiencing multiple risk, have access to:

- **High-quality, accurate and readily available information** about early education and care programs and services, the variety of early education and care options available and resources on healthy child development – at locations as well as in languages that are accessible to all families, including those in hard to reach populations.

- **Strength based family education and early literacy activities** that recognize parents are their child's first teacher and are reflective of the needs of the community, including supporting parent and child relationship development, offering information to families on topics relating to child development, supporting family literacy, and encouraging the formation of supportive networks and relationships with other parents in the community.
- **Coordinated resources** across agencies and private, state and federal funding streams that support promotion of children's health, social and emotional well being, family self-sufficiency and economic stability, education, and assistance with meeting basic needs.
- **Leadership opportunities** for parents and those interested in taking an active role in assessing and designing improvements to the local early education and care infrastructure and informing state-wide policy.
- **An integrated and aligned** network of parents and providers that includes formal linkages among local schools, early education and care programs, Head Start, Early Head Start, CCR&Rs, out-of-school time programs, private or parochial systems and other community-based resources to ensure promotion of common school readiness goals; seamless transitions between and among home, early education and early intervention programs and into the public school system; and effective inclusion of children with special needs across the community.

Current state-funded, locally-delivered programs that EEC intends to better coordinate at the local level include: Community Partnerships for Children (CPCs); Massachusetts Family Networks (MFN); Parent Child Home Program (PCHP) and Joint Family Support Program (JFSP); Early Childhood Resource Centers; Preschool Direct Services (Comprehensive Services); select Children's Trust Fund services; Head Start and Early Head Start; Early Intervention; and Child Care Resource and Referral Agencies (CCR&Rs). The five proposed objectives for this planned local role are:

1. Increase knowledge of and accessibility to high-quality early education and care programs and services for families with children prenatal through school-age.
2. Promote family education, engagement and literacy
3. Facilitate collaboration and community planning between local early education and care partners and other community stake holders or partners.
4. Provide support and information to families with children transitioning between and among early education and care settings, home and school
5. Support early education and care programs across the public and private sectors in delivering high-quality services.

In FY10, EEC proposes to allow communities with multiple grants/funding streams supporting similar goals to submit one joint proposal to start (or continue) working towards comprehensive planning and delivery of local family access and supports. EEC will allow greater flexibility in service delivery and across funding streams but create increased accountability through outcome measurement (see above). Although participation in the consolidated grant application will be strongly encouraged, participation may be required through a competitive bid process in FY11.

Head Start

The Massachusetts Head Start-State Collaboration Project (HSSCP) is housed within EEC and is fully integrated into EEC's organizational structure to ensure maximum participation by Head Start in the early education and care system in Massachusetts. The HSSCP is funded for a five year period with an annual award of \$175, 000. The primary federal goals of the HSSCP are to: 1) build support for early childhood support systems and increase access to comprehensive services for all low-income children; 2) create partnership agreements and initiatives between Head Start and appropriate state agencies/programs to augment Head Start's capacity to be a partner in State initiatives on behalf of children and their families; and 3) facilitate the involvement of Head Start in state policies, plans, processes, and decisions affecting the Head Start target population and other low-income families. The MA HSSCP works closely with the MA Head Start Association, the ACF Regional Office, the Office of Head Start and the Child Care Bureau, the HS Technical Assistance Providers, and EEC, other state agencies and other organizations in the early education and care community. Head Start programs participate in EEC's financial assistance system through contracts, vouchers and supportive child care. In addition, EEC provides supplemental grants, which are funded by a specific line item in the state budget, to enable Head Start programs to fulfill the federal requirement that each Head Start grantee receive at least 20% of their funding from non-federal sources. The EEC- Head Start Supplemental Grant is intended to support program quality, increase access for children and families, reduce staff turnover, retain qualified staff, meet the federal performance standards, and support eligible families to receive comprehensive services.

Programs for Inclusion

As discussed above in this section, EEC administers the IDEA Section 619 funds for preschool special education. One initiative that uses IDEA funds provides technical assistance to Communities of Practice, which is a gathering of early childhood practitioners from across all settings to discuss, share and learn strategies to improve inclusive opportunities for young children with disabilities. Practitioners include staff from child care, Early Intervention, public school preschool, family child care programs, CCR&R staff and early childhood coordinators.

- State Performance Plan (SPP)/Annual Performance report (APR)- Preschool in the Least Restrictive Environment (LRE) requires public schools to collect data on the number of hours young children with disabilities (age 3-5) spend in early education and care programs, even at parental expense. This new effort has engaged both community-based service providers and public school preschools, in addition to the promotion of conversations about their "shared" children. With respect to Measuring Preschool Outcomes, local education agencies are required to assess 3, 4, and 5 year olds with disabilities and special needs in three developmental domains: social-emotional development, acquisition of skills and knowledge, and behaviors to meet their needs. Sources of data include formative assessments and progress reports conducted by community-based programs and interviews with parents.
- Expanding Opportunities: In July 2007, Massachusetts was selected by the US Office of Special Education Programs (OSEP) and NECTAC to participate in Expanding Opportunities, a program designed to bring together state agencies and develop a plan to

improve the inclusive opportunities for young children with disabilities across settings, including community based programs. EEC assembled a team with representation from DPH/EI, Head Start, 619 staff, child care licensing (EEC), ESE and UCEDD (UMass/Boston). The goals are to:

- Increase awareness and understanding of each other's policies and standards;
- Develop common language and message on inclusion and embed language about inclusion in our materials;
- Create opportunities for discussion about best practice to inform recommendations for policies; and
- Develop a coordinated clearinghouse for resources for providers to feel supported and confident in their practice.

To achieve these goals, the team applied to become a Birth to Five State Leadership Team with SpecialQuest®. In February 2008, Massachusetts was awarded a three year SpecialQuest® grant to develop a State Leadership Team that will write and implement a plan to improve inclusive opportunities for infants, toddler and preschoolers with disabilities (birth to 5) and their families. EEC convened a state team of 42 people, which consists of a representa from across state agencies, parents, child care, Head Start, public schools, CCR&R, Early Intervention programs and higher education. The goal is to provide professional development to improve inclusive opportunities for young children with disabilities and reduce preschool expulsion by taking the existing SpecialQuest® materials that are relative to infants and toddlers with disabilities in early intervention and Early Head Start and expand them to age 5 across all early education and care settings.

In its first year, the state team has developed a vision, mission and state plan; has embedded SpecialQuest® materials in current college coursework on Infant/Toddler development; distributed materials to EEC's five Regional Resource Centers; supported two SpecialQuest® graduate programs and one emerging program to become Birth to 5 demonstration sites; hosted an Early Childhood Inclusion Symposium; and presented EEC's work at a national conference (OSEP).

In 2010-2011, EEC will develop a four module, on-line distance learning course on inclusion, train a cadre of trainers on SpecialQuest® and inclusion and develop new materials to cover 3-5 year olds with disabilities. EEC also sits on the SpecialQuest® Advisory Council.

Other Collaborations

- New Americans Initiative and the School Readiness Project: In August 2008, an interagency working group between EEC, the Head Start State Collaboration (HSSC) and the Office of Refugees and Immigrants (ORI) was formed for the purpose of developing creative and innovative partnerships that support the Governor's New Americans Initiative and the School Readiness Project, which aims to better integrate immigrants

and refugees into society by breaking down barriers to education. Key milestones demonstrating progress towards achieving the goals of this working group, include: identification of ethnic community based organizations representing immigrant and refugee populations in need of early education and care services in the Commonwealth; development of assessment tools to identify key needs and barriers to access; direct engagement with community-based organizations to discuss specific needs and opportunities; identification of cross-training opportunities for early education and care refugee service providers, including expansion of partnership through the sharing of resources and information; and development of policy recommendations for the Governor's New Americans Initiative. New initiatives planned for the working group include: expanding licensing opportunities for early education and care providers servicing immigrants and refugees; exploring the development of a bilingual/bicultural child care center; and assessing the needs and barriers to access and participation for Limited English Proficiency (LEP) learners.

- The Massachusetts Family Literacy Consortium (MFLC): EEC is part of the MFLC's efforts to address child and family literacy. MFLC is a statewide initiative chaired by ESE with the mission of forging effective partnerships among state agencies, such as DTA, Head Start, the Children's Trust Fund, DCF, DMH and the Department of Youth Services (DYS), as well as community organizations and other interested parties to expand and strengthen family literacy and support.

2.1.2 Emergency Preparedness and Response Plan for Child Care and Early Childhood Programs. Lead Agencies are encouraged to develop an emergency preparedness and response plan for child care and other early childhood programs operating in the State/Territory. The plan should include provisions for continuity of services and child care assistance payments to families and providers in the event of an emergency or disaster. Indicate which of the following best describes the current status of your efforts in this area. **Check only ONE.**

- ☐ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- ☐ **Developing.** A plan is being drafted. Include the plan as Attachment 2.1.2, if available.
- ☐ **Developed.** A plan has been written but has not yet been implemented. Include the plan as Attachment 2.1.2, if available.
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment 2.1.2.
- ☒ **Other. Describe:**

EEC has developed and implemented continuation of operations plans that have been in effect in its main and regional offices, and has created an emergency preparedness manual for use by its providers. On February 1, 2009, a new Commissioner was

appointed to EEC. Under this new leadership, and pursuant to the recent guidance issued by ACF, EEC is in the process of substantially reworking and building upon its existing plans to create a consolidated and comprehensive Emergency Preparedness and Response Plan that will serve the agency and all the programs under its licensing and/or funding jurisdiction.

a) **Describe** the progress made by the State/Territory in planning for an emergency or disaster event with regards to the operation of child care and early childhood education programs.

As described above, EEC is currently engaging in a wholesale review of its existing emergency preparedness plans and intends to complete the development and implementation of a comprehensive Emergency Preparedness and Response Plan in FY 2010. In addition, EEC's licensing regulations require that all of EEC's licensed programs have in place emergency plans; and EEC will continue to enforce this requirement and provide technical assistance to licensed providers on best practices in emergency planning.

b) **Describe** provisions the Lead Agency has in place for the continuation of core child care functions during and after a disaster or emergency.

In coordination with Massachusetts Department of Public Health (DPH) and MEMA, EEC had developed and implemented a Continuation of Operations Plan for all of EEC's offices. This plan outlines how EEC will ensure continued performance of essential services to its constituency in the event of a pandemic flu or other man-made or natural disaster as well as achieving timely and orderly recovery and resumption of full services. EEC, DPH, and MEMA have also required all licensed providers of child care to develop continuity of operations plans so that, in the case of an emergency, parents who are interested will have the opportunity to access child care. As referenced above, EEC is currently engaging in a review of its existing Continuation of Operations Plan in conjunction with its development and implementation of a comprehensive Emergency Preparedness and Response Plan.

c) **Describe** efforts the Lead Agency has undertaken to provide resources and information to families and child care providers about ways to plan and prepare for an emergency or disaster situation.

The existing emergency preparedness provider manual is available both on the EEC website, www.eec.state.ma.us, as well as on the Administration for Children and Families' National Child Care website, www.nccic.org. Through its licensing activities, EEC also provides providers with ongoing technical assistance on how to prepare for and mitigate emergency situations. For example, EEC publishes on its website technical assistance paper on topics such as Preventing the Flu and Assessing Injuries to Children.

d) Describe how the Lead Agency is coordinating with other State/Territory agencies, private, and/or non-profit charitable organizations to ensure that child care and early childhood programs are included in planning, response, and recovery efforts.

As described above in Paragraph b), EEC coordinated with DPH and MEMA to develop and implement its existing Continuation of Operations Plan. In reworking its plan EEC will be seeking external input, which will include outreach to other state agencies, parents, providers and other private organizations through both our existing parent and provider advisory structure and through other public comment means.

2.1.3 Plan for Early Childhood Program Coordination. Lead Agencies are encouraged to develop a plan for coordination across early childhood programs. **Indicate** which of the following best describes the current status of your efforts in this area. **Note: Check only ONE.**

- ☐ **Planning.** Are there steps under way to develop a plan?
- ☐ Yes, and **describe** the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.
- ☐ No.
- ☐ **Developing.** A plan is being drafted. Include the draft as **Attachment 2.1.3** if available.
- ☐ **Developed.** A plan has been written but has not yet been implemented. Include the plan as **Attachment 2.1.3** if available.
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. Include the plan as **Attachment 2.1.3**.
- ☒ **Other (describe):**

EEC was specifically created to ensure coordination across early childhood programs through a new comprehensive governance structure. As described above in section 2.1.1, EEC is situated within the Education Secretariat to ensure coordination of education programming birth through higher education (cradle to career).

a) Describe the progress made by the State/Territory in planning for coordination across early childhood programs since the date of submission of the 2008-2009 State Plan.

The Commonwealth of Massachusetts has made tremendous strides in the planning for coordination of services across early childhood programs in the past year. Evidence of this progress includes:

- Establishment of the Governor's Education Action Agenda: Through a public process, the governor has worked to outline a plan for the development and coordination of education in MA for all children, birth through college graduation. The development of this vision provides EEC and the field with a compass to guide all future work.
- Development of EEC's Strategic Plan: As described briefly in section 2.1.1, In February 2009, the EEC Board completed a year-long strategic planning process. The product is a 5 year strategic plan that outlines a mission, a practical vision, five strategic directions, and indicators of success; this plan will guide the agency's work over the next several years.
- Information Technology Infrastructure: Plans for the development of an information technology infrastructure have been developed and implementation of this plan has begun. The upgrade to EEC's IT systems will enable the agency to completely update, streamline and modernize its IT capacity.
- Rate Reform: EEC has made progress in the development of a single financial assistance system with one, statewide set of policies and procedures and reimbursement rates that are applicable to the various sources of funding that EEC administers to provide financial assistance.
- Regulation Reform: After a comprehensive two and a half year development process, the Board voted at its April meeting to have the new regulations take effect on January 1, 2010. Most of EEC's current requirements will remain unchanged. Highlights of new requirements include administration, curriculum, progress reports, professional development, interactions, and health and safety. They also offer more flexibility by defining new program types, and allowing more locations for family child care.

b) Indicate whether there is an entity that is, or will be, responsible for ensuring that such coordination occurs. Indicate the four or more early childhood programs and/or funding streams that are coordinated and describe the nature of the coordination.

As stated previously, EEC was created precisely to ensure coordination across all early childhood programs and funding streams. EEC does this under the guidance of the Board and in partnership with EOE and its local partners. In addition to creating EEC to coordinate early education and care functions, and the new Secretariat to coordinate all education functions, Massachusetts also has Children and Youth Readiness Cabinet. This Cabinet will help to further ensure that the work of EEC and related funding streams are coordinated with other state agencies.

c) **Describe** the results or expected results of this coordination. Discuss how these results relate to the development and implementation of the State/Territory's early learning guidelines, plans for professional development, and outcomes for children.

Through the creation of EEC as the entity responsible for coordinating all aspects of the state's early education and care system, the Board anticipates meeting the vision and goals outlined in its recently approved Strategic Plan.

d) **Describe** how the State/Territory's plan supports, or will support, continued coordination among the programs. Are changes anticipated in the plan?

EEC continues to build a highly coordinated system of early education and care and to balance access, affordability, and quality. In the upcoming year, current policy efforts will move into implementation phases consistent with the Governor's Education Agenda and the Board's Strategic Plan, which can be found at: <http://www.eec.state.ma.us/docs/StrategicPlanFormatted.pdf>.

2.2 Public Hearing Process

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 must provide:

- a) Date(s) of notice of public hearing: [May 8, 2009](#)
- b) Manner of notifying the public about the public hearing: [A notice regarding the hearings was posted on EEC's website and in the reception areas of all its offices on May 8, 2009. In addition, information about the hearings was provided at the May 12, 2009 meeting of the Board of EEC.](#)
- c) Date(s) of public hearing(s): [May 28, 2009, May 29, 2009 and June 9, 2009](#)
- d) Hearing site(s): [\(1\) May 28, 2009: Holyoke Community College located at 303 Homestead Avenue, Holyoke, MA 01040 from 10:30 a.m. to 12:30 p.m.; \(2\) May 29, 2009: Conference Rooms 1 and 2 at EEC's central office, 51 Sleeper Street, 4th Floor, Boston, Massachusetts from 2:00 p.m. - 4:00 p.m.; and \(3\) June 9, 2009 EEC Board meeting, EEC's Central Office, 51 Sleeper Street, 4th Floor, Boston, Massachusetts from 1:00 p.m. In addition to providing the public with an opportunity to provide comments at the hearings, EEC accepted written comments on the draft plan through June 5, 2009. Parties could submit comments via e-mail to \[eecccdf@massmail.state.ma.us\]\(mailto:eecccdf@massmail.state.ma.us\) or by regular mail to EEC's central office in Boston.](#)
- e) How the content of the plan was made available to the public in advance of the public hearing(s): [A copy of the draft plan was posted on EEC's website](#)

and copies were available at EEC's central office and five regional offices. In addition to the specific efforts related to publishing notice to the public about the State Plan hearings, EEC offers the citizens of the Commonwealth several opportunities throughout the year to provide feedback and to guide the direction of the agency. For example, EEC convenes an Advisory Council (now codified in Massachusetts statute at M.G.L. c. 15D, § 3A) of key stakeholders in the realm of early education and care; provides opportunities for public comment prior to each board meeting a minimum of ten (10) times per year; and convenes a parent advisory team.

- f) **Attach** a brief summary of the public comment process as **Attachment 2.2**.

2.3 Public-Private Partnerships

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?

☒ Yes. If yes, **describe** these activities or planned activities, including the results or expected results.

☐ No.

EEC has recently engaged in two successful public/private partnerships:

Workforce Task Force: During 2007, EEC in partnership with the United Way of Massachusetts Bay and Merrimack Valley and the CAYL Institute (formerly the Schott Fellowship in Early Care and Education) collaborated to convene the Massachusetts Early Education and Care and Out-of-School Time Workforce Development Task Force. This task force of experts in workforce development, early care and education, and out-of-school time focused on four critical areas articulated in the 2007 report: (1) core competencies; (2) orientation; (3) credentialing and career lattice; and (4) transfer, articulation, and credit for prior learning.

Birth to School-Age Task Force: EEC is currently partnering with the United Way of Massachusetts Bay and Merrimack Valley on the recently convened Birth to School-Age Task Force described in section 5 below.

PART 3

CHILD CARE SERVICES OFFERED

3.1 Description of Child Care Services

3.1.1 Certificate Payment System. **Describe** the overall child care certificate process, including, at a minimum:

- a) a description of the form(s) of the certificate (§98.16(k)):
- b) a description of how the certificate permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to choice of the provider; (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))
- c) if the Lead Agency is also providing child care services through grants and contracts, **estimate** the proportion of §98.50 services available through certificates versus grants/contracts (this may be expressed in terms of dollars, number of slots, or percentages of services), and **explain** how the Lead Agency ensures that parents offered child care services are given the option of receiving a child care certificate. (§98.30(a) & (b)).
- d) **Attach** a copy of your eligibility worker's manual, policy handbook, administrative rules or other printed guidelines for administering the child care subsidy program as **Attachment 3.1.1**.

Note: If these materials are available on the web, the Lead Agency may provide the appropriate Web site address in lieu of attaching hard copies to the Plan.

<http://www.eec.state.ma.us/docs/FinancialAssistancePolicyGuide031209.pdf>

a) Description of the form(s) of the certificate

EEC contracts with the CCR&R agencies to administer the voucher (certificate) program. A voucher is a certificate issued to eligible families who provide proof (according to EEC eligibility policies) of their residency, family income and family activity or service need. After the family has established eligibility, the family may visit prospective programs that accept EEC vouchers, in order to decide what type of early education and care program (family child care, center-based, or informal in-home/relative) they would prefer for their child. Once the family has decided on a program that has an opening for their child, the voucher is issued to the family for the program. In order for a voucher to be issued to a licensed child care program, the program must hold a voucher agreement with the regional CCR&R specifying the rate that the program will be paid. If the family chooses a program that does not currently hold a voucher agreement, the CCR&R will complete an agreement with the program. EEC's voucher management program permits

increased flexibility and choice for families, by allowing them to use the voucher at a participating program of their choice.

If a family chooses an in-home child care provider, the provider must register with the local CCR&R and attend an orientation prior to being authorized to accept voucher payments. During the registration process, providers must complete a check list certifying that they have received and reviewed information on building and physical premises safety. In addition, both the provider and the parent must adhere to EEC policies, including, but not limited to, attending the orientation and consenting to CORI and DCF background checks (only if the in-home provider is unrelated to the child), before they are permitted to care for children and receive payment for providing care.

Families who are currently receiving, or transitioning from, public assistance (TANF families) receive priority for a voucher, while other low-income families may access a voucher if sufficient funding is available. TANF families, who are either employed or participating in qualified education and training programs, receive an authorization from DTA for a voucher. The family is then referred to the local CCR&R, which issues the voucher based upon the authorization by DTA and helps the family locate an early education and care program that meets the family's needs.

For low-income families who are not receiving TANF, the CCR&Rs determine whether the family is eligible to receive a voucher based on the requirements established by EEC as discussed below. If funding permits, EEC prioritizes access to vouchers for the following children: children living in a homeless shelter; children in foster care; children with a parent in military service who is deployed to a war zone; children of teen parents; children with a documented special need or with a parent who has a documented special need; and children in the care of a guardian or grandparent. If funding is not available, these low-income families are placed on the centralized waiting list for EEC financial assistance.

b) Parent Choice

Families who receive a voucher may choose to place their child with any provider who holds a voucher agreement. Once the local CCR&R has approved a voucher for an eligible family, the CCR&R helps the family locate the type of early education and care program that best suits their needs. CCR&Rs provide families with information about and characteristics of all early education and care settings, such as family or large family child care homes, school age and group child care center-based programs and in-home/relative care. In order to help parents select the best type of care for their child, EEC has published a "Choosing Child Care" brochure which is available in both English and Spanish through its website and at the CCR&R. Parents are encouraged to visit programs prior to choosing a provider for their children. The CCR&R issues the voucher when a parent selects a provider.

c) Proportion of early education and care services provided by certificates/vouchers

In State Fiscal Year 2009, EEC estimates that 65% of its services will be available through vouchers and 35% of its services will be available through contracts. Income eligible families are placed on the EEC Centralized Waiting List for Financial Assistance and prioritized for access, as enumerated in Section 3.4. When funding and a slot become available at a contracted child care provider, families at the top of the waiting list will receive a “funding availability letter” from the CCR&R or the program. Families are not required to enroll their children at a particular program; they may opt to remain on the waiting list until a voucher (certificate) and/or slot becomes available at their preferred provider.

3.1.2 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

- ☒ Yes, and **describe** the type(s) of child care services available through the grant or contract, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

EEC administers multiple contracts with child care programs to serve low-income and priority families. All contracted child care providers are authorized to perform the initial intake for a family and to make eligibility determinations for subsidized child care. Contracted providers use the centralized waiting list for EEC financial assistance to identify eligible families, coordinate continuity of care for children whose “status” is about to change (e.g., from an infant slot to a toddler slot as the child ages, etc.), and refer families to other services they may need. As such, eligible families placed on the centralized waiting list may be contacted by a number of contracted providers for placement, at which time the family may choose to place their child with a provider or remain on the waiting list until they are contacted by the program of their choice. In addition, contracted providers refer families to other sources of information about early education and care programs and services, such as CCR&Rs and the EEC website, www.eec.state.ma.us.

- Child Care for Low-Income Families: EEC contracts with child care providers throughout the Commonwealth for child care slots for the children of low-income families (Income Eligible Child Care Financial Assistance contracts). EEC contracts with center-based child care programs, including school age programs, and with family child care systems for family child care. These contracts include the following program types: family child care; infant; toddler; preschool; school age; and care before and after Head Start/Early Head Start hours. EEC recently issued a Request for Responses (RFR) for these contracts, which currently provide child care financial assistance to more than 12,000 children through 220 providers statewide. In an effort to continue building a thriving system, this RFR makes policies and practices more equitable and supports EEC’s ongoing efforts to promote quality programming by prioritizing providers based on quality criteria, phasing in an accreditation requirement over the life of the contract, and

gradually aligning contract requirements with the Quality Rating and Improvement System (QRIS) that is currently under development.

- Supportive Child Care: EEC contracts with programs that provide supportive child care to families who have active protective services cases with the Department of Children and Families (DCF). The purpose of the supportive child care program is to facilitate children's placement in quality child care settings and to support the work of DCF through the purchase of early education and out-of-school time care that is supplemented by case management, comprehensive social services, and transportation services. Consistent with the Strengthening Families protective factors, the services provided to each family are customized to meet that family's needs and are intended to assist in alleviating family stress and monitoring the health and safety of the children. EEC reimburses providers at a base rate for child care in addition to a "supportive add-on" of approximately \$15/day per child to cover support services and transportation. EEC works closely with DCF to coordinate supportive child care services. This coordination of care is vital to ensuring that families who are involved with DCF get the high quality child care and additional services that they need. Since August 2006, EEC has worked closely with DCF on a major expansion of supportive child care. Please see Section 2.1.1 for details on the expansion of supportive child care. This contract is planned to be rebid in 2010-2011.
- Non-Traditional Hours Child Care: Working families may have difficulty in locating affordable quality child care during non-traditional work hours, which often results in difficulties associated with locating and/or retaining employment. Many of the jobs available to people transitioning from receiving Transitional Assistance for Families with Dependent Children (TAFDC) require non-traditional hours. In response to the need for this type of child care in Massachusetts, EEC contracts with providers who can offer care before 8:00 a.m. and after 6:00 p.m., as well as on the weekends. Currently, EEC purchases 54 non-traditional hours slots and has a total of six (6) contracts for pilot programs throughout the state.
- Teen Parent Child Care Services: EEC purchases approximately 517 child care slots through 39 contracts for the children of teen parents. Teen parents need child care services that provide education and developmental activities for children and allow teens to develop their parenting skills, while attending school or developing career skills. Teen parents also need social supports designed to encourage them to stay in school, decrease the likelihood of repeat teen pregnancies and lower the risk that they or their children will be abused or neglected. In addition to child care, teen parent child care services include transportation, mentoring, parenting skills classes, counseling, and support to help teens finish high school or get their GED. Because teen parents often receive services from numerous community agencies, teen parent program contractors are required to fully assess each teen's needs prior to delivering services. Thus, contractors can only provide and bill for those services that are not being provided to the teen by other community

programs. This flexible contracting method helps to maximize resources and minimize duplication of services to teens and their children. This contract is planned to be rebid in 2010-2011.

- Child Care for Children Affected by HIV/AIDS: EEC purchases specialized child care support services for 17 children and their families who are infected with and/or affected by HIV/AIDS and who reside in Boston and the greater Boston area. The provider with whom EEC contracts to provide these services has the distinction of being the only medically-specialized child care program in New England that serves this particular population. The children enrolled in this specialized program are offered medical, mental health and educational services, which they can access through the program's close affiliation with a large medical center based in Boston. In many cases, children and families that are dealing with HIV/AIDS feel isolated and overwhelmed emotionally by the demands of this disease. The purpose of specialized child care services is to provide a stable, safe and nurturing resource for children and their families experiencing the daily disruption and stress of living with this illness.
- Homeless Child Care: Through ten (10) contracted programs located throughout the state, EEC purchases 85 specialized child care slots from center-based programs for the children of homeless families. The goal of this program is to provide homeless children with a stable, nurturing and stimulating environment that meets their individual developmental, behavioral and emotional needs, while at the same time offering the children's parents counseling services to inform them about community support services and public assistance benefits they may access while seeking housing and employment. EEC also embarked on a major initiative to better meet the needs of homeless families in shelters. Working collaboratively with DTA, the agencies streamlined homeless policy and utilized vouchers to expand access to child care across the state. New policy and procedure became effective December 3, 2007. For more information related to this initiative see Section 2.1.1. This contract is planned to be rebid in 2010-2011.

☐ No.

3.1.3 Are child care services provided through certificates, grants and/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:

3.1.4 The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

- ☒ Yes, and the limits and the reasons for those limits are (§§98.16(g)(2), 98.30(e)(1)(iv)):

To ensure that all children are in safe and secure child care environments, EEC requires that CORI and DCF background record checks be completed for all non-relative, in-home care providers. EEC also requires all non-relative, in-home providers to be at least 18 years old and limits the number of children such providers can care for to six or less. EEC requires all in-home relative providers to attend an orientation and training session conducted by the CCR&Rs prior to receiving any state reimbursements for providing care. These trainings cover topics such as health and safety issues, age appropriate activities and appropriate child guidance techniques. As part of the orientations, the CCR&Rs provide information on how to become a licensed child care provider and educational resources available to them in their community.

- ☐ No.

3.2 Payment Rates for the Provision of Child Care

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

3.2.1 Provide a copy of your payment rates as **Attachment 3.2.1**. The attached payment rates were or will be effective as of: July 1, 2009.

3.2.2 Are the attached payment rates provided in Attachment 3.2.1 used in all parts of the State/Territory?

- ☒ Yes.
- ☐ No, and other payment rates and their effective date(s) are provided as **Attachment 3.2.2**.

3.2.3 Provide a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- a) The month and year when the local market rate survey(s) was completed (§98.43(b)(2)): April 2009.
- b) A copy of the **Market Rate Survey instrument** and a **summary of the results** of the survey are provided as **Attachment 3.2.3**. At a minimum, this summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

3.2.4 Does the Lead Agency use its current Market Rate Survey (a survey completed no earlier than 10/1/07) to set payment rates?

☒ Yes.

☐ No.

EEC uses the results of the Market Rate Survey to set benchmarks for contracted and voucher payment rate increases. Because EEC collected market prices at the zip code level, analysis of current reimbursement regions may be reviewed with respect to the prices that occur in each region and community. This may result in changes to the existing regional structure.

3.2.5 At what percentile of the current Market Rate Survey is the State payment rate ceiling set?

After the fiscal year 2009 rate increase, EEC's rates equal between the 35th and 55th percentiles for family child care and between the 20th and 75th for center-based child care based on the 2009 Market Rate Survey. These percentiles do not include higher rates paid to family child care systems, payments made for teen parents, additional payments for special services including transportation, supportive services for children in care, and payments made to enhance program quality such as accreditation assistance.

Note: If you do not use your current Market Rate Survey to set your rate ceilings or your percentile(s) varies across categories of care (e.g., type of setting, region, or age of children), **describe** and provide the range of variation in relation to your current survey.

3.2.6 Describe the relationship between the attached payment rates and the market rates observed in the current survey, including at a minimum how payment rates are adequate to ensure equal access to the full range of providers based on the results of the above noted local market rate survey: See below. (§98.43(b))

3.2.7 Does the Lead Agency consider any additional facts to determine that its payment rates ensure equal access? (§98.43(d))

☒ Yes. If, yes, **describe**.

☐ No.

Although EEC's current reimbursement rates for all types of care are lower than the median market rates (see Attachment 3.2.1), more than 60% of all private, licensed center-based child care providers accept children who receive a subsidy. In addition, low-income families with preschool-aged children have access to early education and care programs in nearly every town in the Commonwealth. One of EEC's key goals is to develop a new rate structure that promotes continuous quality improvement, while also

ensuring equal access for children and families. Highlights of EEC's efforts to date include:

- analyzing and conducting a comprehensive review of EEC's current rate structure, including a better understanding of differences in rates among the various early education and care funding streams that EEC administers;
- developing and overseeing the implementation of the market price study (see Section 5.1.4);
- using the results of the provider cost survey completed in 2008 to help determine increased costs for the provision of enhanced quality. (see Section 5.1.4); and
- continuing to implement rate increases when feasible.

Over the past year, due to budget constraints, EEC's reimbursement rates were increased by only \$2 million or less than 1% for providers of subsidized care. In fiscal year 2010, the Rates and Payment working group will be focusing on using the results of the market price study to analyze rates in the state at a zip code level to determine if the current reimbursement rates reflect current prices. This price study and the results of the provider cost survey completed in FY 2008 will be used to develop a long term plan to analyze and reduce rate disparity among EEC's current reimbursement rates and the 75th percentile of the market price. This work will include analyzing and projecting the impact of any rate increases on access to early education and care services for families. In addition, the group will be working closely with the Quality Rating and Improvement System Advisory to develop EEC's rate structure in a way that reimburses quality at the program level.

3.2.8 Does the State have any type of tiered reimbursement or differential rates?

☒ Yes. If yes, **describe**:

☐ No.

EEC is presently developing a provider quality rating system, which may form the basis for a future tiered reimbursement system. A precursor to this effort is to eliminate the tiered reimbursement structure in place for the past 8 years. EEC has eliminated tiered reimbursement effective July 1, 2009 and restructured its reimbursement system to make reimbursements to providers more uniform and equitable.

3.2.9 Describe how the Lead Agency ensures that payment rates do not exceed the amount paid by the general public for the same service. (§98.43(a))

Massachusetts regulations provide that the Commonwealth cannot be charged a rate or authorized price for human services, which is higher than the lowest fee paid by the general public. See 808 CMR 1.03(4).

3.3 Eligibility Criteria for Child Care

3.3.1 Age Eligibility

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

☒ Yes. If yes, **define** physical and mental incapacity in Appendix 2, and **provide** the upper age limit 16

☐ No.

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

☐ Yes, and the upper age is _____

☒ No.

3.3.2 Income Eligibility

Complete columns (a) and (b) in Table 3.3.2 below based upon 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.

Table 3.3.2 Income Eligibility

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 (d) by (a), multiply by 100]
1				At initial application, 50% SMI
2	\$5,670	\$4,819	\$2,835	50%
3	\$7,004	\$5,953	\$3,502	50%
4	\$8,338	\$7,087	\$4,169	50%
5	\$9,672	\$8,221	\$4,836	50%

Note: Table 3.3.2 should reflect maximum eligibility upon initial entry into the CCDF program.

a) Does the Lead Agency have “tiered eligibility” (i.e., a separate income limit for remaining eligible for the CCDF program)?

☒ Yes. If yes, **provide** the requested information from Table 3.3.2 and **describe**.

Low-income families may initially enter the CCDF program at 50% of the SMI (column (d) in above Table 3.3.2 Income Eligibility) and remain eligible upon reassessment at up to 85% of the SMI (column (b) in above table). In accordance with §98.20(a), EEC policies and regulations allow for the limited waiver of the 85% SMI threshold by allowing families determined to consist of a parent or children with special needs to enter the CCDF program at 85% of the SMI (column (b) in above table) and to remain eligible upon reassessment at up to 100% of the SMI (column (a) in above table), if determined to be necessary. Determinations of special needs for parents and/or children, which may constitute a need for protective services, are conducted on a case by case basis and documented in the child’s eligibility file.

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

☐ No.

b) If the Lead Agency does not use the SMI from the most current year, **indicate** the year used:

EEC utilizes current year SMI in establishing its income eligibility threshold. In June 2008, the EEC Board voted to update the State Median Income (SMI) level used to determine eligibility for EEC financial assistance in fiscal year 2009. This increase represented a 5% shift in income eligibility and recognizes small increases in a cost of living. EEC is authorized by the Board to update the SMI annually at the start of the fiscal year.

c) These eligibility limits in column (c) became or will become effective on:

July 1, 2009

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

For purposes of eligibility for subsidized early education and care, income includes the following: wages/salary; self-employment income; social security benefits; interest from dividends; income from estates or trusts; rental income;

royalties; pensions and annuities; unemployment compensation; alimony or child support; and public assistance payments.

e) Is any income deducted or excluded from total family income (e.g., work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments)?

☒ Yes. If yes, **describe** what type of income is deducted or excluded from total family income.

The following sources of income are excluded from a family's income when determining whether the family meets EEC income eligibility requirements:

Government Assistance Earnings

1. Payments under the Nutrition Program for the Elderly (Title VII of the Older Americans Act of 1965);
2. Payments from the Home Energy Assistance Program;
3. TAFDC cash benefits or cash benefits received from other charitable or social service agencies;
4. Department of Children and Families (DCF) foster care support payments;
5. The value of the coupon allotment under the Food Stamp Act of 1964, as amended, in excess of the amount paid for coupons;
6. The value of U.S. Department of Agriculture (USDA) donated foods, the value of supplemental food assistance under the Child Nutrition Act of 1966, and the special food service program for children under the National School Lunch Act, as amended;
7. Subsidized adoption payments from the Commonwealth of Massachusetts;
8. Rental allowance made to any welfare recipients (TAFDC); Emergency Aid to the Elderly, the Disabled and to Children (EAEDC); or funds from the Refugee Resettlement Program (RRP); and
9. Payments credited to an escrow account under the Family Self-Sufficiency Program administered by the Department of Housing and Urban Development.

Restitution Payment Earnings

10. Payments to eligible individuals of Japanese ancestry or their survivors under the Civil Liberties Act of 1988 and payments to eligible Aleuts (who were former residents of the Aleutian and Pribilof Islands) or their survivors under the Aleutian and Pribilof Islands Restitution Act, Public Law 100-383;
11. Payments made under the Radiation Exposure Compensation Act of 1990;
12. Payments made to individuals because of their status as victims of Nazi persecution in accordance with Public Law 103-286;
13. Veterans Benefits Payments to a female Vietnam veteran made on behalf of a child with birth defects or spina bifida;

14. Agent Orange Settlement Fund payments made to Vietnam veterans or their survivors in accordance with public law 101-201, January 1, 1989;
15. Any payment received under the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and
16. Payments made pursuant to the Alaska Native Claims Settlement Act to the extent such payments are exempt from taxation under Section 21(a) of the Act.

Earnings from Legal Actions, Contracts, or Agreements

17. TAFDC cash benefits resulting from a correction of an underpayment or a fair housing decision, in the month of receipt and in the following month;
18. Any portion of a Worker's Compensation, property damage, personal injury, Compensation to Victims of Violent Crimes Act, or death settlement or award that is spent for the purpose for which it was originally earmarked and is not compensation for lost wages;
19. Per capita payments to or funds held in trust for any individual in satisfaction of a judgment of the Indian Claims Commission or the Court of Claims; and
20. Money received from the sale of property, such as stocks, bonds, a house, or a car (unless the person was engaged in the business of selling such property, in which case the net proceeds would be counted as income from self-employment).

Employment or Training Related Earnings

21. Training stipends including, but not limited to, payments from the Department of Employment and Training (DET) or the Massachusetts Rehabilitation Commission (MRC). The balance of the stipend is treated as unearned income, which is countable unless specified as non countable under another provision of these regulations;
22. Youthbuild, Volunteers in Service to America (VISTA), or Americorps allowances, earnings, or payments to individuals participating in those programs;
23. Additional income received by a member of the Armed Forces deployed to a combat or hazardous duty zone, in accordance with Public Law 108-447;
24. Any grant or loan to an undergraduate student for education purposes made or insured under any program administered by the U.S. Commission of Education;
25. Loans and grants, such as scholarships, obtained and used under conditions that preclude their use for current living costs;
26. Military Housing Allowance;
27. Employer's Benefit Dollars, unless the employee elects not to spend the dollars on benefits; and
28. Travel Reimbursement.

Exempted Personal Earnings

29. Withdrawals from bank accounts;
30. Money borrowed;
31. Tax refunds and capital gains;

- 32. Income earned by children under the age of 21;
- 33. Gifts and lump sum inheritance; and
- 34. Lump sum insurance payments.

☐ No.

f) **Describe** whose income is excluded for purposes of eligibility determination.

Permanent or temporary guardians, foster parents or other caretakers, children under 21 or other individuals (e.g. non-parents) sharing the household do not need to submit verification of income.

3.3.3 Work/Job Training or Educational Program Eligibility

a) How does the Lead Agency define “working” for the purposes of eligibility? **Describe** the specific activities that are considered “working” for purposes of eligibility determination, including minimum number of hours. (§§98.16(f)(6), 98.20(b))

EEC regulations define working in terms of a “service need” equal to the amount of time when a parent is unavailable to care for their child due to a parent(s)’ employment or incapacity. Furthermore, EEC regulations and policy establish the following activities, which qualify as “working” or service need for purposes of determining eligibility for subsidized child care:

- existing employment;
- seeking employment;
- maternity/paternity leave from paid employment;
- actively deployed military service;
- parent with a documented special need; or
- retirement, if grandparent/guardian age 65 or older.

Thirty hours or more of paid employment or participation in an EEC approved activity qualifies as a full-time service need. Between twenty to twenty-nine hours of paid employment or participation in an EEC approved activity qualifies as working part-time.

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program?

☒ Yes. If yes, how does the Lead Agency define “attending job training or educational program” for the purposes of eligibility? **Describe**, the specific activities that are considered “job training and/or educational program”, including minimum number of hours. (§§98.16(f)(3), 98.20(b))

EEC regulations define attending job training or educational program in terms of a “service need” equal to the amount of time when a parent is unavailable to care for their child due to a parent(s)’ education or training. Furthermore, EEC regulations and policy establishes the following activities, which qualify as training or education for purposes of determining eligibility for subsidized child care:

- full-time high school program;
- full-time high school equivalency program;
- teen parent participating in Young Parents Program;
- vocational training program, not including graduate, medical or law;
- English as a Second Language (ESL) program;
- accredited college or university leading to an associate’s or bachelor’s degree; or
- homeless, living in a shelter, which requires any combination of the following:
 - participation in required housing search;
 - participation in required counseling sessions; and/or
 - participation in required parenting workshops or trainings.

Parents must participate in such activities at least 20 hours/week, but less than 30 for part-time care, and 30 or more for full-time care. Parents participating in 12 credit hours or more of college courses are considered to have a full-time service need.

☐ No.

Except when requesting a child care subsidy for a child with special needs, both parents living in the household must document either a full-time or part-time service need, as defined above in Section 3.3.3 (a) and (b).

3.3.4 Eligibility Based Upon Receiving or Needing to Receive Protective Services

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

- ☒ Yes. If yes, **provide** . 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.

☐ No.

b) Does the Lead Agency 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? (§§98.20(a)(3)(ii), 98.16(f)(7))

☐ Yes. (**NOTE:** This means that for CCDF purposes the Lead Agency considers these children to be in protective services.)

☒ No.

3.3.5 Additional Conditions for Determining CCDF Eligibility

Has the Lead Agency established any additional eligibility conditions for determining CCDF eligibility? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

☐ Yes, and the additional eligibility conditions are:
(Terms must be defined in Appendix 2)

☒ No.

3.4 Priorities for Serving Children and Families

3.4.1 At a minimum, CCDF requires Lead Agencies to give priority for child care services to children with special needs, or in families with very low incomes. **Complete** Table 3.4.1 below regarding eligibility priority rules. For columns (a) through (c), **check** only one box if reply is “Yes”. Leave blank if “No”. **Complete** column (e) only if you check column (d).

Table 3.4.1 Priorities for Serving Children

	How does the Lead Agency prioritize the eligibility categories in Column 1?			CHECK ONLY IF APPLICABLE	
	CHECK ONLY ONE			(d)	(e)
Eligibility Categories	(a) Priority over other CCDF-eligible families	(b) Same priority as other CCDF-eligible families	(c) Guaranteed subsidy eligibility	Is there a time limit on the priority or guarantee?	How long is time limit?
Children with special needs*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Eligibility Categories	How does the Lead Agency prioritize the eligibility categories in Column 1?			CHECK ONLY IF APPLICABLE	
	(a)	(b)	(c)	(d)	(e)
	Priority over other CCDF-eligible families	Same priority as other CCDF-eligible families	Guaranteed subsidy eligibility	Is there a time limit on the priority or guarantee?	How long is time limit?
Children in families with very low incomes*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Families receiving Temporary Assistance for Needy Families (TANF)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Families transitioning from TANF	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Families at risk of becoming dependent on TANF	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

* **Required**

3.4.2 Describe how the Lead Agency prioritizes service for the following CCDF-eligible children: (a) children with special needs, (b) children in families with very low incomes, and (c) other. Terms must be defined in Appendix 2. (658E(c)(3)(B))

(a) Children with Special Needs: EEC prioritizes services for families with a child who has a documented disability/special need. These families are prioritized in three ways. As stated in Section 3.3.2, on a case-by case basis, families may be determined to include children with special needs. Once verified, these families are eligible for child care financial assistance at higher income thresholds (e.g., gross income at or below 85% of the SMI at entry and 100% of the SMI upon reassessment). *See* 606 CMR 10.04(1)(a)(1). Second, children who have been determined, on a documented case by case basis, to have special needs may qualify for full time child care under the in need of protective services category. *See* 606 CMR 10.04(6). Third, they are prioritized for services on EEC's centralized waiting list.

(b) Children in Families with Very Low Incomes: When families with very low incomes first access EEC financial assistance, their gross income must be at or below 50% of the 2012 SMI. Families with incomes below the 2001 Federal Poverty Level do not have a co-payment for care. Once families are already receiving financial assistance, families remain financially eligible until their income exceeds 85% of the state median income. Currently, these families are served on a first come, first served basis from EEC's centralized waiting list.

Please see Section 3.4.4 below for a description of EEC's current work to create more clearly defined priority categories and ensure that the most vulnerable families and children at-risk of school failure, including those with special needs and very low incomes, are prioritized for service.

3.4.3 Describe how CCDF funds will be used to meet the needs of: (a) families receiving Temporary Assistance for Needy Families (TANF), (b) those attempting to transition off TANF through work activities, and (c) 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))

- a) TANF families participating in an Employment Services Program (ESP) currently receive immediate access to child care services with an authorization from DTA.
- b) Upon closure of a family's DTA case, DTA may issue a twelve month authorization for child care services as they are transitioning off TANF through work activities. Post-transitional TANF families continue receiving EEC child care provided they meet EEC income and activity eligibility requirements. This serves to support families' success in achieving self-sufficiency.
- c) EEC prioritizes experiencing risk factors that can lead to TANF dependency, including homeless and teen parenting.

3.4.4 Has the Lead Agency established additional priority rules that are not reflected in the table completed for Section 3.4.1? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

- ☒ Yes, and the additional priority rules are: (Terms must be listed and defined in Appendix 2)

Children and Families Who Receive Priority for Services

Pursuant to 606 CMR 10.03(3), EEC aims to serve the most vulnerable citizens and to ensure continuity of early education and care services in the Commonwealth by authorizing families for child care subsidies according to specific priorities populations identified by the Department. Subject to the availability of funding, the following children and families are prioritized for access to early education and care programs through EEC financial assistance:

- DTA referred families;

- Post-Transitional DTA families;
- Children of homeless families, referred by DTA;
- Child whose family is residing in homeless shelter not referred by DTA;
- DCF referred families;
- Child in foster care;
- Child of parents in Active Military Service;
- Child of Teen parent;
- Continuity of Care - children and families already receiving EEC financial assistance who have a change in status, for example:
 - case closes with DCF
 - new sibling is born
 - family moves
 - child “ages out” of current program
- Grandparent/Guardian Family;
- Parent with disability/special need; and
- Child with disability/special need.

During FY 2010-2011, EEC will continue to review prioritization policies and their impact on access for working families and the diversity of children enrolling in our early education and care programs. EEC ensures that any changes related to prioritization, due to fiscal constraints or otherwise, are communicated to all stakeholders, including families, providers and voucher managers, and ensures that all updated information related to subsidy priorities are posted on its website at:

http://www.eec.state.ma.us/kr_subsidy.aspx.

☐ No.

3.4.5 Does the Lead Agency serve all eligible families that apply?

☐ Yes.

☒ No.

3.4.6 Does the Lead Agency have a waiting list of eligible families that they are unable to serve?

☒ Yes. If yes, **describe**. At a minimum, the description should indicate:

a) Whether the waiting list is maintained for all eligible families or for certain populations? [See below](#)

b) Whether the waiting list is maintained for the entire State/Territory or for individual localities? [See below](#)

c) What methods are employed to keep the list current? [See below](#)

☐ No.

In order to ensure that families have fair and equal access to the early education and care financial assistance system, EEC developed and now maintains a web-based, real-time statewide centralized waiting list to track information regarding low-income families waiting for EEC financial assistance. The centralized waiting list is the only waiting list used for families applying for, eligible for, or receiving EEC financial assistance, and it is the first step in the process for families seeking to access EEC financial assistance. Families can access the waiting list from any CCR&R, contracted provider, CPC, or Head Start program.

Once a family's waiting list record has been created, CCR&Rs are responsible for sending waiting list confirmation letters to all of the families on the list and tracking their continued interest in receiving financial assistance, removing families who are no longer interested, and keeping the waiting list information current. CCR&Rs or contracted providers send families "funding availability" letters downloaded from the system when funding becomes available at their program.

3.5 Sliding Fee Scale for Child Care Services

3.5.1 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 (co-payment) to the cost of child care (§98.42).

a) **Attach** the sliding fee scale as **Attachment 3.5.1**.

b) **Describe** how the sliding fee scale is administered, including how the family's contribution is determined and how the co-payment is assessed and collected:

The sliding fee scale is based on a family's size and gross income. Fees are determined at the initial assessment and at each reassessment. During their eligibility period, families are required to report changes that affect their co-pay. Fees are collected by the family's provider on a weekly basis. EEC reimburses providers for the cost of child care services less the parent's co-payment.

c) The attached sliding fee scale was or will be effective as of [July 1, 2009](#)

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

☒ Yes, and **describe** those additional factors:

The amount of a family's contribution toward the cost of child care services depends on the number of children in subsidized care within one family. Families with more than one child receiving subsidized child care pay a discounted fee for each additional child beyond the first in need of subsidized child care.

☐ No.

3.5.2 Is the sliding fee scale provided as Attachment 3.5.1 used in all parts of the State? (658E(c)(3)(B))

☒ Yes.

☐ No, and other scale(s) and their effective date(s) are provided as **Attachment 3.5.2.**

3.5.3 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)), and the poverty level used by the Lead Agency for a family of 3 is: \$1,180

The Lead Agency must **select ONE** of these options:

- ☒ ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.
- ☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- ☐ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. **Describe** these families:

3.5.4 Does the Lead Agency allow providers to charge parents the difference between the maximum reimbursement rate and their private pay rate?

☐ Yes.

☒ No.

The state pricing regulations that apply to all child care providers who contract with EEC require that contractors accept the payments made by EEC as full payment. Contractors are prohibited from supplementing their payments by charging families any additional fee for those services paid for by EEC. During FY 2010- 2011, EEC may explore whether families can be given the option to pay fees beyond the maximum reimbursement rate.

3.5.5 Describe how the co-payments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

Access to federally subsidized child care is prioritized for families who earn below 50% of the 2012 SMI. Families with a parent or child with a special need may access care if

their income is below 85% of the 2012 SMI at the time of the families' initial assessment. EEC estimates that 92% of families receiving federally subsidized child care services earn below 50% of the SMI. For these families, the fees are based on a gradually increasing sliding fee scale ranging from 1% to 15% of their gross income. Since July 2001, there has been no co-payment for families with incomes below the federal poverty line as established in fiscal year 2001.

Families whose income increases above 50% of the SMI, but does not exceed 85% of the SMI at the time of the families' reassessment may continue to receive federally subsidized child care services. (Families with a parent or child with a special need may continue to receive care so long as their income does not exceed 100% of the SMI.) EEC estimates that 7% of the families receiving federally subsidized child care services earn between 50% and 85% of the SMI. The fee scale for these families ranges between 10.5% and 16% of their gross median income. Families with an income under 50% of the 2001 SMI pay no more than 10% of their income. Families whose income is below the 2001 federal poverty level pay no fee.

PART 4

PARENTAL RIGHTS AND RESPONSIBILITIES

4.1 Application Process / Parental Choice

4.1.1 Describe the process for a family to apply for and receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §98.16(k), 98.30(a) through (e)). At minimum, describe:

a) How parents are informed of the availability of child care services under CCDF (i.e., parental choice of child care services through a certificate or grant of contract)

EEC contracts with multiple entities to provide resource and referral information to residents of the Commonwealth seeking early education and care programs and/or child care financial assistance, including 15 regionally-based Child Care Resource and Referral Agencies (CCR&Rs) and 140 locally-based Community Partnerships for Children programs (CPCs). EEC, along with the CCR&Rs and CPCs, maintain information in multiple languages about EEC financial assistance, including who can apply, how to apply and various technical assistance documents. This information is available at all regional and local office locations, as well as on the website of each entity providing resource and referral information to the citizens of the Commonwealth. Local providers, including Head Start providers, also conduct their own outreach through a variety of mechanisms.

Examples of Technical Assistance documents provided to families include:

- Overview of EEC Child Care Financial Assistance Programs [also available in Spanish and Portuguese]:

<http://www.eec.state.ma.us/docs/FinancialAssistanceTADoc072208.pdf>

- Technical Assistance Paper: Child Care Assistance for Families Living in Shelters [also available in Spanish, Portuguese, and Vietnamese]:

http://www.eec.state.ma.us/docs/TA%20Paper_CCA_for%20Families%20Living%20in%20SheltersFINAL.pdf

- “Child Care Fact Sheet” for parents written in cooperation by EEC and DTA
- “Choosing Child Care” for parents

b) How parents can apply for CCDF services

Families may access the early education and care system at multiple points, including their local CCR&R or CPC, Head Start program, or a contracted early education and care provider. Most families seeking financial assistance options for child care are placed on the EEC Centralized Waiting List as described in Part 3 of this plan. Through its Centralized Waiting List, EEC also ensures that all families, regardless of their point of entry, are provided with the same information about their eligibility for EEC financial assistance.

Additionally, the local Department of Transitional Assistance (DTA) area offices process the applications and determine eligibility for all TANF families. If a family is eligible, DTA will issue the family an authorization for subsidized early education and care services and refer the family to the local CCR&R for assistance in finding a program that meets the family's needs. In some cases, the CCR&Rs have staff stationed in or near local DTA offices, so families can more easily obtain assistance. DTA workers can also fax authorizations to the CCR&R in order to streamline the process for families.

For a family with an active abuse or neglect case with the Department of Children and Families (DCF), DCF case managers can include supportive early education and care as one component of the family's service plan. For these families, DCF determines the family's eligibility for subsidized child care and provides the family with information about their early education and care options. Specifically, DCF clinical staff will refer a child to the DCF area office where an EEC-trained DCF Coordinator makes the eligibility determination, offers appropriate referrals, explains what to expect from supportive early education and care, and how to locate an early education and care program in their community.

c) What documentation parents provide as part of their application to determine eligibility

At initial assessment, Income Eligible families must provide documentation of the following:

- identity;
- family composition and size;
- household income¹;
- service need;
- relationship between parent and child;
- Massachusetts residency; and
- United States Citizenship;

At each reassessment, a family's documentation of income, service need, family size and composition, and residence must be updated.

¹ Permanent or temporary guardians, foster parents or other caretakers, children under age 21 or other non-family members (e.g. unrelated by blood or marriage) sharing the household do not need to submit income verification.

Families authorized for child care financial assistance by either DTA or DCF, based on their receipt of TAFDC cash benefits or need for protective services, need only provide a copy of their authorization from DTA or DCF along with proof of identity in order to access care initially. At reassessment, the families must submit a new authorization to continue receiving care. However, if a family's DTA or DCF authorization for care has ended, the family may continue receiving child care financial assistance by providing the documentation detailed above, in accordance with EEC's income eligible policies and regulations.

For complete details on EEC documentation requirements, please see Chapter 3 and Appendix F of the *EEC Financial Assistance Policy Guide* available at:

<http://www.eec.state.ma.us/docs/FinancialAssistancePolicyGuide031209.pdf>

d) How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4

Each DTA recipient is assigned a DTA worker. The DTA worker meets with the recipient to explain the DTA work and training requirements, what work and training programs are available, and how to access an early education and care program if the recipient has young children using the "Child Care Fact Sheet" jointly developed by DTA and EEC. The DTA worker details the child care program for TANF recipients and explains the exception to the work requirement, for any family that consists of a single parent seeking child care for their children under 6 years of age.

e) What steps the Lead Agency has taken to reduce barriers to initial and continuing eligibility for child care subsidies

EEC has made numerous changes to policy and procedures that streamline the access to early education and care through EEC financial assistance and provide continuity for families already receiving it. EEC made the following changes in the years 2007 and 2008 that help families access and maintain child care financial assistance:

- extending maternity leave from eight weeks to twelve;
- accepting DTA authorization as proof of eligibility for families receiving TAFDC benefits;
- accepting twelve college credits as a full time service need;
- expanding the reassessment period from six months to twelve months;
- simplifying the referral process between DTA, homeless shelters, and CCR&Rs.

- allowing homeless families living in shelters to complete the voucher process by phone, fax and mail when for their initial assessment; and
- increasing the time allowed prior to the start of a service need to enroll a child in an early education and care program from one week to two weeks.

f) **Attach** a copy of your parent application for the child care subsidy program as **Attachment 4.1.1**.

In addition to providing a copy of the parent application as Attachment 4.1.1, this document is available on the EEC website at:

www.eec.state.ma.us/docs/IESubsidyApplicationFeeAgreement.pdf

4.1.2 Is the application process different for families receiving TANF?

☒ Yes, and **describe** how the process is different:

See Part 4.1.1(c) above.

☐ No.

4.1.3 What is the length of eligibility period upon initial authorization of CCDF services?

EEC regulations provide that “eligibility is determined for periods not to exceed 12 months.” See 606 CMR 10.03(b). Most families receiving early education and care financial assistance are currently reassessed on an annual basis, with the exception of those receiving services through a DTA authorization or DCF referral.

a) Is the initial authorization for eligibility the same for all CCDF eligible families?

☐ Yes.

☒ No and **describe** any variations that relate to the services provided (e.g., through collaborations with Head Start or pre-kindergarten programs or differences for TANF families):

Both DTA and DCF issue child care authorizations on a case-by-case basis. For TANF families, the reassessment period varies and is based upon the length of the early education and care authorization issued by DTA. Families receiving a protective services authorization for supportive early education and care services are also reassessed based on the length of the initial authorization period as determined by DCF. Other “Income Eligible” families that may have a shorter reassessment period are as follows:

- **Job Search:** generally, eight weeks of job search, but may authorize up to twelve weeks within any twelve month period for job search;

Note: EEC is currently considering, subject to available funding and in accordance with EEC policy, using federal stimulus funding authorized under ARRA to expand the authorized job search period to up to twenty-six weeks within any twelve month period for parents actively seeking employment.

- **Maternity (parental leave):** A parent or guardian who has been receiving EEC financial assistance may take up to 12 weeks leave from paid employment;
- **Newly Employed (less than 4 weeks):** Initial reassessment at 8 weeks; each additional reassessment should occur within 12 months;
- **Existing Self-Employment and Newly Self-Employed, not reflected in most recent tax returns:** Every April 30 or within six months of previous reassessment, whichever comes first;
- **Newly Self-Employed (less than three months):** Initial reassessment is 12 weeks; each additional reassessment should occur within 12 months;
- **High School:** Teens in high school at the end of the school year;
- **Training program:** end of program;
- **Higher Education:** end of semester;
- **Temporary disability or special need:** end of disability;
- **Extraordinary Circumstance:** 3 months.

4.1.4 Describe how the Lead Agency ensures that parents are informed about their ability to choose from among family child care and group home child care, center-based care and in-home care, including faith-based providers in each of these categories.

CCR&Rs, CPCs and contracted providers are required by the terms of their contracts and/or grants with EEC to deliver parent information and referral services, including providing families with information on the care options and how to choose a program which meets their needs. In addition to the “Child Care Search” function on its website, as described in Section 5.1.6 below, EEC created a “Choosing Child Care” brochure available on EEC’s website, which is included in the Wait List letters families receive. Available in English, Spanish, and Portuguese, this brochure provides families with important information on the following topics:

- what to look for in an early education and care and out-of-school time program;
- tips by age group;
- information on licensing;
- questions to ask prospective providers;
- types of child care options; and
- other resources for choosing child care.

EEC funded programs also provide individual counseling and materials to better equip parents for choosing child care. Through EEC's website, families can search for a list of all the licensed early education and care providers in their area by the type of care and get information about the different types of early education and care programming. The website also contains a list of suggested questions that families might want to ask prospective providers and offers other helpful information to assist families in choosing the program that best meets their needs. Families can also find EEC's regulations, policies, procedures, and forms along with information about special programs and technical assistance papers on EEC's website.

4.1.5 Describe how the Lead Agency reaches out and provides services to eligible families with limited English proficiency, including how the Lead Agency overcomes language barriers with families and providers.

An integral part of creating a high quality system of early education and care is the ability to communicate with parents and providers in their primary language(s). EEC and EEC funded programs do this in the following ways:

Availability of Bilingual and Multicultural Staff: EEC employs bilingual staff in all offices to provide outreach and technical assistance to both providers and families. The Child Care Resource and Referral agencies (CCR&R), contracted providers and Community Partnerships for Children (CPC) programs also employ bilingual or multilingual employees that are available to conduct community outreach and provide information, referral and intake services to families with limited English proficiency.

Written Translation: In FY2008, EEC began a translation initiative to increase access to information for families and early education and care providers as well as to reduce duplicative efforts associated with translating materials. Approximately 60 documents were prioritized for translation into up to 6 languages (Spanish, Portuguese, Haitian Creole, Khmer, Traditional Chinese, and Vietnamese). These languages were chosen based on a compilation of census data, EEC data regarding the languages of the families we are serving, a CCR&R survey, feedback from our staff in the field as well as our collaboration with the Massachusetts Office for Refugees and Immigrants (ORI).

With funding constraints, the first phase in EEC's translation efforts prioritized forms that families need to understand and that require their signature. Additionally, EEC focused on documentation provided to Family Child Care programs based on a high need for translated materials for this population. The documents translated through this first phase include:

- family child care forms - needed for that subset of providers to do business with EEC; and
- financial assistance documents - which included "fact sheets" for families about EEC child care financial assistance for low-income households and homeless families; EEC child care waiting list letters sent to families while they are waiting

for available funding; all documents that must be signed by parents, such as the financial assistance agreement and application, parent request for EEC review and hearing; and other important letters that affect their child care financial assistance.

FY2009 translation efforts include:

- Family Child Care Forms: EEC posted all applicable forms on the EEC website and these forms have been used by EEC Licensors that provide direct technical assistance to existing and new providers. A majority of the financial assistance documents that were translated in the end of FY2008 were made available in FY2009 on the EEC website, as well as on other IT systems used by EEC providers and CCR&Rs.
- Spanish Website Content: EEC has worked to streamline the navigation of our website and will debut a more user-friendly site in late FY2009 or early FY2010. Currently, EEC offers some information in multiple languages, but the new site will offer a parallel “Español” site which will be more comprehensive and will increase access to information in Spanish regarding: finding child care; tips for Choosing Child Care; Help Paying for Child Care; About Family Support Programs (and Early Intervention); Keeping Sleep Time Safe - Infant Safety Campaign (for providers and parents); Opening a Child Care Program; and Working in Child Care.
- Find Child Care Search Available in Spanish: EEC launched an enhanced on-line tool to help users find child care and other resources in their community and offers all information in Spanish. For the first time on the web, this tool offers important licensing information about early education and care programs in Spanish.
- Domestic Violence Initiative: EEC is working collaboratively with the Department of Children and Families (DCF) Domestic Violence Unit (DVU) on a joint Domestic Violence Initiative addressing the impact of domestic violence on children and families in early childhood programs and creating safe and supportive environments for those children and families. Participants will be given a CD with the slide show and supporting materials (PowerPoint presentation, resource materials and DCF materials on their “Promising Approaches: Working with Families, Child Welfare and Domestic Violence”), translated into Spanish and Portuguese, to train their respective constituencies in their catchment areas.
- New Regulations: EEC’s anticipates that its new child care regulations will take effect on January 1, 2010. EEC is committed to continually identifying, developing, and translating resources to help licensees comply with new requirements in the regulations. The regulations will also be translated into Spanish and Portuguese in FY2009 and EEC will work to understand the need for additional languages.
- Market Price Survey for FCC Providers: EEC is required to conduct a Market Price Study, every two years to give the state information about how much parents have to pay for child care. EEC translated both a notification letter and

the survey into Spanish for Family Child Care providers that were selected to participate in the survey.

- Translation Policy Development: EEC is in the process of developing an agency Translation Policy for FY 2010 that outlines procedures for translation of services offered to limited English Proficiency (LEP) populations at EEC. EEC is in the initial stages of developing this policy in partnership with the Massachusetts Office of Refugees and Immigrants (MORI). In addition to our current partnership with MORI, meetings have also been scheduled with the Greater Boston Legal Services to support EEC in the development of EEC's Translation Policy. Currently, the department is conducting a research of other state's work related to activities to promote access to Child Care Subsidies for Families with Limited English Proficiency.

EEC will continue to seek opportunities to understand the need regarding translated materials and will prioritize funds available to provide access to translated materials for families and providers that speak/read languages other than English. EEC expects that FY 2010 translation efforts will include, but are not limited to:

- Launching New Website with Comprehensive Spanish Content: As mentioned above, EEC plans to incorporate comprehensive Spanish content into the new website; and
- Implementing New Translation Policy: As mentioned above, EEC will aim to implement a consistent Translation Policy.

Phone Translation: In 2008, EEC piloted a call-in translation service (from telecommunications company Qwest) to the Child Care Resource and Referral agencies (CCR&Rs) that work directly with families and providers in the field. This service was expanded to the EEC Staff in FY2009 and allows CCR&Rs and EEC staff to immediately connect to a translator with the ability to facilitate conversations in 150 languages and various dialects. EEC employees, who speak multiple languages, may also assist the CCR&Rs in facilitating licensing orientations in other languages. In FY2010, EEC plans to work toward gaining a better understanding of how to better connect families and providers through the use of this service.

MA New Americans Initiative (MassNAI): In July 2008, Governor Deval L. Patrick signed the New Americans Agenda Executive Order that launched MassNAI, an intensive statewide project focused on how to better integrate Massachusetts immigrant and refugee populations into the civic and economic life of the Commonwealth. EEC is a member of the Governor's Advisory Council on Refugees and Immigrants, which is the working group for MassNAI. MassNAI will identify the interconnected policy measures that integrate immigrants and refugees and create the opportunities that lead to economic success, greater civic engagement and promoting citizenship. Two of the policy solutions the project will work toward include assisting adult newcomers to quickly become fully contributing and integrated members of society by addressing barriers of language, skill transfer, citizenship status, and skill acquisition; and ensuring that immigrants and

refugees can access the appropriate services and opportunities offered by the Commonwealth.

4.2 Records of Parental Complaints

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))

EEC maintains a record of all information received about child care providers and investigates all complaints to ensure that children are free from harm and that child care providers are in compliance with EEC's rules and regulations. Through its statewide computerized tracking system, EEC logs and tracks complaints, incidents and other information that it receives about child care providers from a variety of sources, such as parents, concerned individuals, other state agencies and providers themselves. This system allows appropriate EEC staff access to information about child care programs, including all open and completed complaints and investigations, required self-reports of serious injuries and incidents occurring at a program and/or other information alleging a concern that may affect the health, safety or well-being of children in care.

EEC Resolution System (EECRS): EEC recently revised its procedures for collecting, tracking and responding to information about providers. The goals of the EEC Resolution System (EECRS) include:

- Creating an environment of continuous quality improvement for providers;
- Providing EEC staff with greater flexibility in responding to concerns about providers so that interventions tailored to address the identified issues; and
- Gathering more accurate and useful data about providers in order to more precisely assess the quality of child care delivered by each provider.

EEC's tracking system allows licensors and investigators to have access to a complete complaint history on any of EEC's licensed child care providers, including a provider's history of regulatory violations, identified by regulation number and date of violation. As discussed below, parents and other members of the public can receive all public information, such as substantiated regulatory violations. Because the tracking system contains some information that is not public, such as anonymous complaints about providers, EEC does not release this information directly.

In addition to the statewide tracking system, EEC's regional offices maintain licensing files for each licensed facility within that region. Each licensing file contains all documents about the licensed provider, including the initial and any subsequent applications, monitoring visits, investigation activities, compliance history, legal actions taken by EEC against the licensee, and all records documenting complaint intakes, complaint investigation activities and investigation findings are maintained in each licensing file.

In order for parents to make informed child care choices, families need access to information about their current and/or potential child care providers. Massachusetts law mandates that each person has the right to access any public information held by EEC, including any substantiated complaint or investigatory materials, subject to EEC's responsibility to redact confidential information protected under privacy laws (e.g. personal identifying information of victims of abuse, CORI information, etc.).

Licensing history on EEC website: In order to assist families in making informed decisions when choosing a child care program for their children, EEC has commenced work on the development of an online database containing licensing information for all licensed providers, including, but not limited to license number, licensed capacity, and regulatory compliance history. EEC has also convened an internal working group to make recommendations to the Commissioner regarding the specific information about licensed providers that should be made available on EEC's website. In furtherance of these efforts, a new online child care search, which is discussed in detail in Part 5.1.6 below, has been rolled out. Future development plans for the child care search function include increasing transparency by improving public access to licensing compliance history, including express notice of license status (e.g. active, suspended, revoked, etc.) and providing direct access to regulatory violation documentation, such as court orders.

4.3 Unlimited Access to Children in Child Care Settings

Provide a detailed description of the Lead Agency 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))

EEC's regulations require that all licensed child care programs provide parents with access to their children whenever children are in care. See 102 CMR 7.04(4) and 102 CMR 8.14(7). Specifically, licensed programs must permit and encourage unannounced visits by parents to the program and to their child's room while their child is present. To ensure that parents are aware of this requirement, EEC requires that providers have a written policy regarding parents' unlimited access to their children and that providers communicate this policy to parents at enrollment through the parent handbook.

4.4 Criteria or Definitions Applied by TANF Agency to Determine Inability to Obtain Child Care

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.

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 Child Care 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. The TANF agency that established these criteria or definitions is: [The Department of Transitional Assistance \(DTA\)](#)

- "appropriate child care": [see below](#)
- "reasonable distance": [see below](#)
- "unsuitability of informal child care": [see below](#)
- "affordable child care arrangements": [see below](#)

[DTA does not have specific definitions for the terms listed above. However, DTA Field Operations Memo 2005-1A states the following:](#)

“Each child-care provider, licensed by OCCS [which is the predecessor agency to EEC], is **generally** considered an appropriate resource for recipients who need child care. The CCR&R counselors assist recipients in making informed decisions regarding the child-care search by assessing the families’ needs and reviewing available child-care options. The CCR&R makes referrals only to appropriate, licensed child-care providers and discusses licensed-exempt options, such as in-home and relative care. If the recipient refuses **all** referrals made by the **CCR&R**, the recipient shall be deemed to have been offered appropriate and available child care, **unless the recipient can provide a reasonable explanation to OCCS [EEC] why the child care should be considered unavailable to or inappropriate for the particular family.**”

PART 5

ACTIVITIES & SERVICES TO IMPROVE THE QUALITY AND AVAILABILITY OF CHILD CARE

5.1 Quality Targeted Funds and Set-Asides

Federal appropriations law has targeted portions of the CCDF for quality improvement and for services for infants and toddlers, child care resource and referral (CCR&R) and school-age child care. For each targeted fund, provide the following information.

5.1.1 Infants and Toddlers:

Note: For the infant and toddler targeted funds, the Lead Agency must **provide** the maximum age of a child who may be served with such targeted funds (not to exceed 36 months).

- a) **Describe** the activities provided with these targeted funds
- b) **Identify** the entities providing the activities
- c) **Describe** the expected results of the activities.

In accordance with federal appropriations law, Massachusetts allocates targeted portions of the CCDF block grant for services related to infants and toddlers under thirty-six months of age. Pursuant to Massachusetts regulations, an “infant” is defined as any child under fifteen (15) months old. See 102 CMR §§ 7.02 and 8.02. Additionally, Massachusetts group and school aged child care regulations define a “toddler” to include any child between the ages of fifteen (15) months and thirty-three (33) months, whereas family child care regulations assert that a “toddler” constitutes any child between fifteen (15) months and two (2) years, who is able to walk without assistance. See Id. Therefore, any programs or services utilizing CCDF targeted funds for infants and/or toddlers in the Commonwealth only serve children under thirty-six (36) months of age, as required by federal appropriations law. Each activity funded by targeted quality funds, along with the entity that provides the program and/or service and the expected results of the program and/or service, is described in detail below:

- Massachusetts Family Networks: EEC provides grant funding to local communities to provide a variety of services for parents with children from birth to age three, which are designed to support parents in their role as their child’s first teacher, to reduce family stress, and to promote the healthy growth and development of children. These services and supports are provided by the Massachusetts Family Networks (MFN). In total, there are forty-two (42) MFN programs in the Commonwealth serving 164 local communities. In 2008, MFNs served 28,245 families through activities and services and conducted outreach to 39,000 families. Activities included 5,585 parent-child

play to learn groups, of which 912 were in collaboration with Early Intervention. In addition, more than 1,000 parenting workshops and nearly 900 literacy activities were held across the Commonwealth. Moreover, MFN programs offered a wide array of referrals and connections to supportive community services, such as child care providers, public schools, early intervention, food pantries and clothing exchanges. MFN helped families with young children meet and network with other families to establish roots in their community. Family Networks can be a key referral resource for families, who are isolated or those wishing to expand their parenting skills. MFN activities promote healthy child development, reduce isolation and focus on the parent-child relationship to support school readiness. MFN programming can help families connect with others in their community. MFNs extend the opportunity for Family, Friend and Neighbor (informal) caregivers to have access to the same supports available to families. Surveys and focus groups indicate that these caregivers want to learn more about caring for children, how to keep them safe and healthy, and activities to engage them.²

- Parent Child Home Program: EEC provides a home-based literacy, parenting and school readiness program, through the Parent Child Home Program (PCHP). In total, EEC funds thirty (30) individual PCHP programs, which serve sixty-two (62) communities in the Commonwealth. PCHP programs support families challenged by poverty, limited education, language barriers and other obstacles to educational success. The program emphasizes the kind of parent-child verbal interaction that is critical to early brain development. PCHP is a national model, which provides family literacy activities and coaching to at-risk families with toddlers twice per week. PCHP home visitors use curriculum materials that encourage language development and offer many opportunities for a parent or provider to engage children. The goal is to provide approaches and skills, which parents and family child care providers can use to continue reading, playing and conversational activities between visits, reinforcing early learning and creating a language-rich environment. PCHP provides a unique and collaborative professional development opportunity for family child care providers. In 2005, PCHP extended its services to families with toddlers living in homeless shelters and to family child care providers. In 2007, PCHP expanded programming through the Joint Family Support Program (JFSP). This is a hybrid model of PCHP combined with Massachusetts Family Network (MFN) programming. Through this model, EEC funded family support programs provide a coordinated approach to family outreach, education, and support that is responsive to the needs of PCHP eligible families. In FY '08, the PCHP/JFSP program served 1,318 children. Of those children, 639 lived in single parent homes, 68 were children of teen parents and 150 were experiencing homelessness, living in shelter. Also, in FY '08, 32 family child care providers were served through the PCHP program. A 2007 study released by New York University shows that completion of The Parent Child Home Program produces measurable improvement in the following areas: early literacy skills, social

² Anderson, Ramsburg, & Scott, 2005; Brandon, Maher, Joesch, & Doyle, 2002; Chase, Schauben, & Shadlow, 2005; Porter, 1998; Porter & Kearns, 2005b; Todd & Robinson, 2005

competence skills, and parental involvement - all areas that are highly touted by the No Child Left Behind legislation and recognized by leading educators as necessary for school success.

- Back to Sleep Campaign: In coordination with the Massachusetts Center for Sudden Infant Death Syndrome (SIDS) and in response to several SIDS deaths in child care, EEC designed training for family child care providers and center-based child care educators on “Reducing the Risk of SIDS.” CCR&Rs and Family Child Care Systems facilitated these trainings. In addition, EEC disseminated a brochure printed in four languages entitled “Back to Sleep.” The brochure offers information to family and center-based child care programs and parents about reducing the risk of SIDS. EEC also revised relevant policies to require the dissemination of safe sleep materials to the parents of infants in care.
- Teen Parent Child Care Services Program: EEC purchases approximately 536 child care slots through 40 contracts for the children of teen parents. The Teen Parent Child Care Services Program emphasizes quality child care for infants and toddlers. Through this program, teen parents access educational and developmentally appropriate child care services for their children (e.g. their infants and toddlers), while the teen parents are allowed to attend school and develop their career and parenting skills. The program also provides teen parents with vital social supports designed to encourage them to stay in school, decrease the likelihood of repeat teen pregnancies, and lower the risk that they or their children will be abused or neglected. In addition to child care, the teen parents receive additional services, such as transportation, mentoring, parenting skills classes, counseling, and support to help teens finish high school or get their GED.
- Birth to School-Age Task Force: In his 10-year action plan for education in Massachusetts, Governor Deval Patrick recommended the creation of a Birth to School-Age Task Force to establish a statewide strategy to ensure the healthy development of children, particularly those from low-income families. This strategy should include various service agencies, link multiple funding streams, and align preschool and school-age care. The Task Force was launched in December 2008 and is being facilitated and staffed by EEC, in partnership with the United Way of Massachusetts Bay. Membership is broad-based and includes relevant stakeholders from the private and public sectors. The charge of the Task Force is to put forth recommendations for strengthening supports and services that effectively meet the needs of children birth to school-age, their families, and their caregivers. In its initial phase, the Task Force is focusing on the pre-birth to 3 age span (Infants and Toddlers) since we know this is where there is the greatest need for attention and comprehensive strategies. Specifically, the Task Force will articulate a pre-birth to 3 year old vision for the Commonwealth, and will develop achievable, actionable strategies and meaningful next steps for short term and long term implementation. The Task Force is working diligently this spring and throughout the summer to submit recommendations by November, 2009, in order to inform the 2011 budget process. After recommendations are submitted, the Task Force may continue to serve

an in advisory capacity to EEC and EOE, and Phase 2 of the Task Force will build upon the work of Phase 1 and focus on the linkages between pre-birth to age three, preschool, and school-age services.

In addition to the programs funded by targeted CCDF funds listed above, EEC always seeks to increase the quality of infant and toddler programs and services through several collaborations, as described in detail in Part 2.1.1 of the CCDF State Plan, including:

- Early Childhood Mental Health: As described below in section 5.1.5, EEC funds the Comprehensive Mental Health in Child Care and the Mental Health Consultation Services programs which aim to improve quality through interventions that support the child care program's ability to foster children's social-emotional development and address challenging behaviors. About 10% of these services are provided on-site for infants/toddlers and their families.

5.1.2 Resource and Referral Services:

- a) **Describe** the activities provided with these targeted funds
- b) **Identify** the entities providing the activities
- c) **Describe** the expected results of the activities.

In accordance with federal appropriations law, Massachusetts allocates targeted portions of the CCDF block grant for services towards providing and improving the quality of resource and referral services to families within the Commonwealth. EEC contracts with Child Care Resource and Referral Agencies (CCR&R) and Community Partnership for Children Programs (CPC) to provide information and referral services to families. Information regarding resource and referral services through the CCR&R and CPC programs is found on the EEC website at:

<http://www.eec.state.ma.us/ChildCareSearch/ResouceandReferral.aspx>

In addition, parents can use the new Child Care Search function on the EEC website, as discussed in greater detail in the Comprehensive Consumer Education section of Part 5.1.6 below, to locate any type of early education and care program or service offered in the Commonwealth. Each activity funded by targeted quality funds, along with the entity that provides the program and/or service and the expected results of the program and/or service, is described in detail below:

- Child Care Resource and Referral Agencies (CCR&Rs): EEC contracts with 15 local CCR&Rs to serve the needs of families and children seeking early education and care programs and/or services in the Commonwealth. CCR&Rs provide information, data management and linkages to local resources for families seeking early education and care, in addition to individuals and organizations that provide early education and care services, EEC staff and local communities. Specifically,

CCR&Rs provide information through phone consultation, face to face meetings and parenting seminars. The CCR&Rs' primary responsibilities include providing resource and referral services to families, managing and issuing vouchers for low income families through an intake and eligibility determination process and providing technical assistance and training to early education and care providers and organizations. In 2008, 29,444 families, with 37,021 children, received child care resource and referral services from their regional child care resource and referral agency, according to the 2008 Data Report submitted by the Massachusetts Child Care Resource & Referral Network, Inc.

Other CCR&R responsibilities include, but are not limited to, the following:

- **Collaboration:** Collaborating with EEC and the child care and business communities is also a large part of CCR&Rs' responsibilities. CCR&Rs work with EEC on both a central and regional level to improve communication between EEC and the CCR&Rs, to support efforts to expand collaboration and linkages in the early education and care community; and to identify early education and care issues that are unique to the needs of children and families. CCR&Rs also establish and enhance local provider networks, as well as develop linkages with local businesses, state agencies and early education and care providers. In addition, CCR&Rs assist EEC and other state agencies that provide services to children and families with regional planning efforts;
- **In-home/relative providers:** CCR&Rs also serve as a resource for in-home/relative providers. While in-home/relative care is not a licensed form of care, EEC and the CCR&Rs have collaborated to increase the quality of informal care by training the caregivers through an orientation program; connecting them to local educational resource; and providing training and support; and
- **Outreach and data collection:** Through their outreach and data collection responsibilities, CCR&Rs help assess and increase the availability of early education and care. They collect information on local supply and demand for early education and care, thereby providing the necessary data to inform and support early education and care initiatives and policies. CCR&Rs also educate and make information available to the business community, increasing the awareness of providing child care benefits to employees.
- **Community Partnership for Children Programs:** In FY 2009, EEC awarded Local Planning and Coordination grants to approximately 140 Community Partnership for Children (CPC) programs. The purpose of this grant is to provide information on high quality early education and care options to families with preschool aged children; facilitate access to resources for providers to increase program quality; identify workforce development needs and resources to facilitate access, support family education and activities at the local level; and coordinate and collaborate with local, regional, and state resources to help build a system of early education and care. CPCs help families find local quality licensed child care, information on child care financial assistance, family activities, support programs and additional resources their local area through their local planning and coordination grants. The local CPCs

coordinate closely with their local elementary and secondary education programs to assure connections for children and families accessing early education and care programming with their elementary and second education programs are in place.

- **NACCRRA Accreditation:** In 2008, EEC provided funds to thirteen Massachusetts Child Care Resource and Referral agencies for a variety of activities to support the delivery of consistent, high quality consumer education and referral services. These activities included: providing funding for play/informational materials in waiting rooms; sending all CCR&R staff to a family strengths training; translating written materials and making a phone translation service available for all CCR&R voucher or I&R staff (QUEST); and requiring CCR&Rs to seek accreditation/quality assurance status through NACCRRA. As a result of this investment, five CCR&Rs received quality assured status in the first year of funding. Since the process was initiated by EEC, NACCRRA has changed their Quality Assurance process, which will require CCR&Rs that did not achieve quality assurance in the first year to start over. The funding for continuing this effort this year was eliminated during the second 9c budget reduction.

5.1.3 School-Age Child Care:

- a) **Describe** the activities provided with these targeted funds
- b) **Identify** the entities providing the activities
- c) **Describe** the expected results of the activities.

In accordance with federal appropriations law, Massachusetts allocates targeted portions of the CCDF block grant for services towards improving the quality of school-aged child care programs and services within the Commonwealth. As discussed in other sections of the plan, EEC collaborates with multiple agencies and outside entities to improve the quality of school-aged child care in the Commonwealth. Each activity funded by targeted quality funds, along with the entity that provides the program and/or service and the expected results of the program and/or service, is described below:

- **Expanded Learning Time (ELT):** In fiscal year 2009, Massachusetts has increased funding for ELT grant program that supports districts in redesigning the day or year in their schools. EEC and ESE have worked together to encourage linkages and partnerships between school officials and community based after school providers. The agencies have also worked to coordinate policies that meet the needs of families and their children due to the increase in school hours.
- **After school program licensure:** EEC regulates and licenses after school programs in Massachusetts that are not operated by a public school district. Under Massachusetts law, early education and care programs operated by public school districts are exempt from EEC licensing regulations. However, EEC and ESE

have worked together to develop a survey that ESE sent to all school systems in May 2007 to identify public school operated programs.

- After School and Out-of-School Time Quality Grant Program: EEC jointly developed criteria for and assisted ESE with its review of applications for the After School and Out-of-School Time Quality Grant Program, which funds comprehensive programming that supports children's and youth's academic, social and emotional development outside of the regular school day, including in EEC-licensed school age child care programs.
- Commission on After School and Out-of-School Time: EEC participated in the Massachusetts Special Commission on After School and Out-of-School Time, which was created by the Legislature to study and make recommendations on how to define and better coordinate, expand, finance and improve accessibility, affordability and quality out-of-school time programming for school age children in all settings in Massachusetts. In addition to EEC and ESE, the Commission included 34 members representing community-based and faith-based organizations, public and private schools, child care organizations, advocacy, and parent-teacher organizations. It convened three working groups that developed recommendations to the full Commission: 1) Information and Access; 2) Quality, Workforce and Professional Development; and 3) Sustainability. The Commission also held public hearings throughout the state to solicit comments and suggestions from the public. The Commission recommended the formation of a Statewide Afterschool and Out-of-School Time Public/Private Coordinating Council.
- Early Childhood Educators Scholarship Program: For the past three years, the Legislature has appropriated funding for an Early Childhood Educators Scholarship Program that funds college courses for early education and care staff, who are pursuing either an associates' degree or a bachelors' degrees. This scholarship program is jointly managed by EEC and the Office of Student Financial Assistance (OSFA) at the Massachusetts Department of Higher Education. Staff must have been working in the field for at least a year to be eligible for the scholarships and must commit to continuing to work in the field after receiving their degree. In developing the criteria for awarding these scholarships, EEC ensured that staff working in school age child care programs could also access this resource. For fiscal year 2009, funding for the Early Childhood Educators Scholarship Program was maintained at \$4 million, despite the necessity of severe budget cuts to other state funding for professional development.
- Flexible Funding Pool: In addition, EEC permits school age providers to apply for funds through EEC's flexible funding pool (1) to enable them to transport school age children from school to their after-school program, provided that other transportation is unavailable; and (2) to provide for the additional supports required by special needs children in their program to ensure a successful child

care experience. This flexible funding can be used for hiring an additional staff person, training, consultation and special equipment supports. Some of the comprehensive mental health services provided on-site at supportive school age programs are specifically designated for supporting school age children.

- Science, Technology, Engineering, and Mathematics (STEM): In 2008 EEC entered into a partnership with the Department of Higher Education (DHE) to provide STEM educational opportunities in after school programs. The goal of this initiative is threefold: 1) to strengthen teaching strategies in science, technology, engineering and math disciplines, 2) to support efforts to ensure that students receive sufficient instruction that leads to mastery of essential 21st century content, skills, and competencies, and 3) to generate and cultivate students' passion for science, technology, engineering, and mathematics that leads them to pursue careers in the STEM fields. EEC and DHE are implementing STEM educational opportunities in select EEC-licensed programs that serve school age children and youth. Using high-quality, research-based STEM curricula designed by the Museum of Science and WGBH, EEC is facilitating the implementation of a train-the-trainer model for providing professional development opportunities to afterschool program staff. The STEM pilot will lay the foundation for a long- term comprehensive workforce development strategy that benefits all aspects of the public education sector in Massachusetts.
- EEC Child Care Licensing Regulation Reform: As mentioned above, EEC has developed and proposed a new set of regulations that include specific guidance on school age care, which is based on the developmental needs of the children in care. A key element of these proposed standards is distinguishing between the needs of younger (up to age nine) and older school age children. The Board voted to have the new regulations take effect in January 2010.

5.1.4 The law requires that not less than 4% of the CCDF be set aside for quality activities. (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51) The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including targeted funds) during the 1-year period: October 1, 2009 through September 30, 2010:

\$14,706,294 (6.52 %)

5.1.5 Check each activity in Table 5.1.5 that the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the targeted funds for quality activities). (658D(b)(1)(D), 658E(c)(3)(B), §§98.13(a), 98.16(h)). **CHECK ALL THAT APPLY.**

Table 5.1.5 Activities to Improve the Availability and Quality of Child Care

PLAN FOR CCDF SERVICES IN: Massachusetts
FOR THE PERIOD 10/1/09 – 9/30/11

Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
Comprehensive consumer education	<input checked="" type="checkbox"/>	EEC CCR&Rs CPCs Early Childhood Resource Centers	<input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
Grants or loans to providers to assist in meeting State and local standards	<input checked="" type="checkbox"/>	EEC	<input type="checkbox"/>
Monitoring compliance with licensing and regulatory requirements	<input checked="" type="checkbox"/>	EEC	<input type="checkbox"/>
Professional development, including training, education, and technical assistance	<input checked="" type="checkbox"/>	EEC CCR&Rs CPCs	<input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
Improving salaries and other compensation for child care providers	<input checked="" type="checkbox"/>	EEC	<input type="checkbox"/>
Activities to support a Quality Rating System	<input checked="" type="checkbox"/>	EEC	<input type="checkbox"/>
Activities in support of early language, literacy, pre-reading, and early math concepts development	<input checked="" type="checkbox"/>	CCR&Rs CPCs MFNs PCHPs	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
Activities to promote inclusive child care	<input checked="" type="checkbox"/>	EEC ESE DPH MassHealth CPCs CCR&Rs RCPs	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
		MBHP	<input checked="" type="checkbox"/>
Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children	<input checked="" type="checkbox"/>	EEC DPH MECCS	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>
Other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1) and (2))	<input checked="" type="checkbox"/>	EEC DPH MassHealth CPCs RCPs MBHPs	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

5.1.6 For each activity checked in Table 5.1.5, a) **describe** the expected results of the activity. b) If you have conducted an evaluation of this activity, **describe the results**. If you have not conducted an evaluation, **describe** how you will evaluate the activities.

Comprehensive Consumer Education

New Child Care Search: In an effort to improve access and information regarding licensed early education and care programs, EEC launched a new and significantly improved Child Care Search function on our website in January 2009. This new search functionality, which is available in English and Spanish, provides detailed information on early education and care programs in the Commonwealth and also makes available for the first time on the web important licensing information, including the date of the last licensing visit and an indication if a program is the subject of EEC legal action. The Child Care Search function is the first phase of several planned enhancements to EEC's website. Additional features under development include the ability to search by age and type of care, connections to data about public school preschool and after school programs, resources regarding summer camps and more detailed information on programs' licensing history. This launch offers a great opportunity for providers to review the data collected for their program to ensure the most accurate information is displayed for families searching for early education and care programs.

Translation: For more information, please refer to section 4.1.5 above.

Early Childhood Resource Centers: EEC provides contracts to establish and sustain five Early Childhood Resource Centers in public libraries across the state. In FY'09, EEC engaged the public library system in the coordination and dissemination of early education and care reference materials, educational and training videos, curriculum kits and guides. In addition to making resources available to educators and parents, the centers offer training on a variety of topics that promote the healthy development of young children.

The EEC Newsletter: EEC publishes an email newsletter that is distributed to more than 15,000 licensed providers, members of the early education and care community, legislators and the public on a monthly basis. The newsletter is also posted on EEC's website. The newsletter provides updates on EEC's work, relevant information about early education and care issues and notices of events that are of interest to the early education and care community.

Parent Information Brochures: EEC distributes informational child care brochures to parents and other interested parties. One brochure, entitled "What to Look For in Child Care," was revised and distributed by the CCR&Rs to parents and others requesting information on child care. A second brochure was produced for families who receive TANF assistance and also need child care. DTA workers and area office staff distribute the "Important Information Concerning Child Care" brochure to all eligible families at DTA area offices. The brochure provides TANF families with a step-by-step explanation of how to obtain subsidized early education and care services and informs them of available options for services. The brochure also describes a family's eligibility to receive child care services after TANF assistance ends. Additionally, EEC produced the "Families Learn and Grow Together" guide for parents of children ages birth to 14 years. The guide is available on the EEC website and in limited hard copy. EEC's Parent Advisory Committee, which meets on a quarterly basis, has provided valuable feedback on all drafts of EEC's parent resource materials.

NACCRRA Accreditation: For more information, please refer to section 5.1.2 above.

Grants or Loans to Providers

Child Development Associates Scholarship Fund: EEC provides scholarship funding to qualified applicants, who are pursuing their Child Development Associates (CDA) credentials to enhance their skills and professionalism in the early education and care. Through this scholarship, EEC supports the costs associated with applying for the CDA credential including the assessment (\$325), second setting (\$225) and renewal (\$50) fees. This scholarship is available to both center-based and family child care educators in Massachusetts. In fiscal year 2008, EEC awarded a total of \$30,475 in scholarships to 100 educators. In fiscal year 2009, EEC has allocated approximately \$48,000 for CDA scholarships.

Early Childhood Educators Scholarship Program: During fiscal year 2008, EEC, in collaboration with the Department of Higher Education, distributed four million dollars in

scholarships to early childhood and out of school time educators who were employed in the field for at least a year and are enrolled in either an associate's or bachelor's degree program in early childhood education or a related field. The scholarship program is open to individuals working with children from birth through school age, in EEC licensed or authorized programs. Scholarship funds can pay for up to three courses per semester. Applicants must also be willing to sign an agreement to continue employment as an early educator in Massachusetts upon graduation. The 980 educators who received scholarships in fiscal year 2008 represented 595 programs across the state, or 36% of which serve children receiving EEC financial assistance through contracts and vouchers. Approximately 49% of the scholarship recipients were pursuing an associate's degree, while the remaining 51% were pursuing a bachelor's degree.

Building Careers: The Building Careers grant program funds college courses for early education and care providers who are seeking a degree in early childhood education or a related field. In 2007-2008, EEC awarded a total of \$1,016,947 in grants to 21 two and four year colleges to provide courses through a cohort model and to purchase seats in general education courses to a cohort of 20-30 early education and care educators enrolled in an early childhood or related degree program. Additional funding was provided to each of the Building Careers grantees to offer coursework related to children with special needs to the early childhood and out-of-school time field during the summer 2008 semester. One of the goals of this grant program is to promote the inclusion of children with special needs into early education and care programs. The coursework emphasizes understanding, assessing, and instructing children with disabilities who are enrolled in a typical early education and care setting. This program supports tuition assistance, academic advising, career counseling, and on-site supervisory visits.

Child Care Quality Fund (CCQF): The Commonwealth established the CCQF in 1997 to hold the revenues received from sales of "Invest in Children" license plates. The money from the CCQF is generally awarded biannually in the form of grants to non-profit organizations for the purpose of improving the delivery of early education and out-of-school time services within the Commonwealth. The first grants were awarded in fiscal year 1999, and EEC has since awarded over \$1,000,000 in grant funds for professional development training, accreditation supports, educational materials, educational equipment and other quality improvement activities. Over time, the focus of the Quality Improvement Grant has been assessed and refined to ensure that funds are being used to improve the quality of early education programs and subsequently the outcomes of the children served by these programs.

Monitoring Compliance with Licensing and Regulatory Requirements

On-Site Monitoring of Licensed Child Care Programs: EEC routinely conducts both announced and unannounced monitoring visits to all licensed early education and care programs. During these visits, EEC observes the program and reviews the program's compliance with current licensing standards. In addition to routine monitoring visits, an on-site review of EEC's regulatory requirements is completed during license renewal process every three years for family child care homes and every two years for group child

care and school age programs. EEC's licensing and regulatory requirements, which go beyond health and safety to address each child's growth and development, currently set some of the highest standards in the country. EEC continually strives to improve its programs and services, as evidenced by the fact that EEC is currently in the process of reviewing and revising its regulations for family child care, group child care and school age child care. In developing these new regulations, EEC considered the National Association for the Education of Young Children (NAEYC) accreditation standards, the Massachusetts Early Childhood Program Standards, the Head Start standards and the National Association for Family Child Care (NAFCC) Accreditation standards. The proposed regulations will include foundational changes that support initial components of EEC's new statewide workforce development plan. Areas to be enhanced include curriculum instruction and assessment of children, health and safety, parent involvement, professional development and program administration. EEC anticipates that the new regulations will be promulgated in January 2010. In addition, EEC is developing a Quality Rating System, as discussed below, to supplement its licensing standards in order to encourage continuous program improvement and to acknowledge quality elements in child care settings.

Complaint and Licensing Tracking System: EEC has a computerized system to track all complaints, incidents and other information that it receives about child care providers. The system is used to maintain a record of complaints and incidents and to monitor the progress of investigations and interventions, such as monitoring visits, technical assistance visits and meetings with providers conducted by EEC in response to information alleging a concern that may affect the health, safety or well-being of children in care. The system is also used to monitor required self-reports of injuries and other serious incidents made by providers and to maintain other licensing information. Through this system, licensors and investigators have access to a complete complaint history on any of EEC's 16,000 licensed providers.

EEC Resolution System: In an effort to encourage and support providers to critically evaluate, self-correct and proactively improve all aspects of their child care programs and to enhance EEC's ability to protect children from child care providers that may place them at risk of harm, EEC established the EEC Resolution System (EECRS), which is a database developed for the purpose for collecting, tracking and responding to information about providers (please Part 4.2 for more information). When a complaint or other information about a provider is received by EEC, the information is entered into the system. Once the information is logged into the system, it is assigned an appropriate investigation category (High Risk, Regulatory Compliance Issues, and Issue Appropriately Resolved by the Licensee), in order to assist EEC in selecting the most appropriate response to the complaint or concern. In cases where the information received does not concern a regulatory issue or cannot be investigated at the present time (e.g., insufficient information to be able to identify a specific program/provider), it will be recorded in a "contact note" and maintained in the tracking system so that it can be retrieved in the future if additional information becomes available.

After EEC has completed its investigation into the complaint/concern, an investigation report and/or letter is sent to the provider detailing EEC's findings and outlining any necessary corrective action. In cases where there are regulatory issues that have not been appropriately corrected at the time of the investigation and still need to be resolved, EEC will include a separate "Statement of Outstanding Compliance Issues" with the investigation report and/or letter that is sent to the provider. All reports, letters, and Statements of Outstanding Compliance Issues are recorded in the system and included in the provider's licensing file.

Training and Technical Assistance: In preparation for promulgation of new child care regulations in January 2010, EEC is developing resources and technical assistance for both licensees and agency staff. Resource development is focused on new and revised requirements contained in the new regulations (for example: staff-child interactions, progress reports, curriculum, oral health, medication administration). EEC anticipates using a variety of formats to deliver these resources such as face-to-face meetings, templates and fact sheets that can be downloaded, PowerPoint presentations and on-line training. Although much of this work is to prepare for the regulations going into effect, EEC anticipates continuing these efforts well past their promulgation date so all licensees can access these resources and because many of these topics relate to broader professional development for the workforce beyond the specific requirements in the regulations. Several resources developed by EEC to support its new regulations can be viewed at: <http://www.eec.state.ma.us/licensingRegulations.aspx>.

Professional Development, including training, education, and technical assistance

Workforce Development Plan: Since its creation, the Board and Department of Early Education and Care have been charged to develop, implement and annually report on progress towards a Workforce Development System for the early education and out of school time field. Through this System, the goals of the Board and Department are to produce positive outcomes for children by supporting those who work with them directly or indirectly in a variety of roles and settings every day.

In 2007, EEC, the United Way of Massachusetts Bay and Merrimack Valley and the Schott Fellowship in Early Care and Education collaborated to convene the Massachusetts Early Education and Care and Out-of-School Time Workforce Development Task Force. The recommendations of the Workforce Development Task Force have been incorporated into EEC's updated Workforce Development Plan for 2008-2009 and can be accessed at:

<http://www.eec.state.ma.us/docs/EEC%20OST%20WDTaskForceFINAL.pdf>

Professional Development Data Management System: Monitoring the effectiveness of EEC's workforce development plan requires data that is not available at present. EEC's 2008-2009 updated workforce development plan outlines the EEC Professional Development Data Management System that is under development.

Professional Development Calendar: One component, the on-line Professional Development Calendar, is already functional. This calendar serves as a centralized source of information on courses/training for educators and licensees. It collects data on the skills, credentials, competencies and professional development of the workforce, as well as age-specific, setting-specific and role-specific data of educators. Information is also collected on professional development offerings, including core competency, type of setting, position level, and credit offered for training. An assessment component will allow EEC to collect additional data on effectiveness of each training and trainer. EEC will be able to use this information to collect, analyze and assess data on current professional development needs statewide for strategic planning, as well as to identify and address gaps in those professional development needs in “real-time” status.

Data from the registry and calendar components of the Professional Development Data Management System will enable EEC to track the professional development across the early education and out of school time workforce, measure recruitment and retention and gather salary and benefit data to help EEC evaluate its workforce development initiatives. Ultimately, EEC’s goal is to be able to measure the effectiveness of its workforce development plan, through evaluation of child outcomes and provider assessment by monitoring children’s progress over time and correlating the provision of professional development with child outcomes, particularly school readiness indicators. This approach also requires the capacity to evaluate the competency of providers, in addition to their education and experience when issuing credentials.

Building Careers- For more information on this quality activity, please refer to the section on Grants or Loans to Providers above.

Improving Salaries and Other Compensation for Child Care Providers

One of the greatest challenges facing child care providers is the ability to recruit and to retain high quality teachers and staff. Providers who care for children of families who receive EEC financial assistance find it increasingly difficult to offer competitive wages and benefits.

Rate Increases: For the last several years, the Legislature has included a rate reserve line item in the state budget in order to increase reimbursement rates paid to subsidized early education and care providers. The chart below summarizes the level of funding provided for rate increases for fiscal years 1997 through 2009.

**Subsidized Provider Rate Increases
FY 1997-2008**

Fiscal Year	Amount
1997	\$25 million
1998	\$2.685 million
2000	\$5.2 million
2001	\$25 million

2005	\$5 million
2006	\$12.5 million
2007	\$12.5 million
2008	\$7 million
2009	\$2 million
Total	\$96.885 million

For fiscal year 2009, the Legislature appropriated \$5 million for increases to rates paid to subsidized early education and care providers. However, due to the fiscal decline the Commonwealth is experiencing, the Governor utilized his emergency spending reduction powers and reduced the rate reserve to \$2 million for fiscal year 2009.

Activities to support a Quality Rating System

Provider Quality Rating System: Massachusetts is in the process of creating a Quality Rating and Improvement System. The QRIS will enable Massachusetts' efforts to build an early care and education system in this state, as QRIS act as a framework for organizing all of the functions of an early care and education system. Massachusetts QRIS will have each of the 5 traditional components of a QRIS:

- 1) Standards
- 2) Monitoring and Accountability
- 3) Program and Practitioner Supports
- 4) Fiscal Incentives
- 5) Parent Outreach and Education

The work plan for Massachusetts' QRIS lays out that each of these five components will go through three phases: Design, Public Input, and Implementation. Massachusetts began formally developing its QRIS in February 2008. However, Massachusetts' work to develop Standards and Guidelines, and even the coming together of the two agencies into EEC, were all early efforts at building the QRIS. While each phase will be quick and intense it will still take several years before QRIS will be fully implemented.

Work has also begun on designing the Monitoring and Accountability component of the QRIS and the Program and Practitioner Supports component. With the current fiscal environment, EEC is working hard to align its current efforts and to ensure that the way that it provides quality support to programs is happening efficiently and effectively.

Massachusetts anticipates that the QRIS will be ready to pilot by SFY10. This will include the going out and trying the forms, seeing if the process works, and if the proposed standards do differentiate between levels of quality. After this part of the pilot, EEC hopes to be able to conduct a validation study of its QRIS, before full implementation is scheduled scale.

Activities In Support of Early Language, Literacy, Pre-reading, and Numeracy Development

Universal Pre-Kindergarten (UPK) Program: The purpose of the UPK program is to promote school readiness and positive outcomes for children so that they can succeed in school. UPK grantees are required to use the state *Guidelines for Preschool Learning Experiences* that are based on the *Massachusetts K-12 Curriculum Frameworks*. These guidelines include but are not limited to early literacy and numeracy learning experiences. Since FY08, a requirement for new UPK funding is that center-based and public school programs be accredited by NAEYC, which includes early literacy and mathematics standards. UPK grantees are also required to use one of four multi-domain child assessment systems to inform their practice. Many UPK grantees are using their funding to support enhanced professional development in these areas, implement enriched curricula, and bolster implementation of their child assessment systems which include the domains of language/literacy and numeracy development.

School Readiness Indicators and Child Assessment: Last fall Massachusetts was selected to participate in a national project to design and implement early childhood accountability systems, along with Connecticut, Pennsylvania, and Louisiana. Massachusetts' application was submitted by the Executive Office of Education (EOE) in collaboration with EEC and the Department of Elementary and Secondary Education (ESE). This strong interagency relationship and EEC's innovative approach to UPK were identified as key factors leading to the selection of Massachusetts. Broadly, the technical assistance grant has four priority areas: Child Assessment, Data Systems, Pre-K Program Evaluation, and Strategic Planning. Technical assistance will consist of both individual assistance from Drs. Kagan and Schultz as well as a series of multi-state meetings with the other grantees. The work will focus on:

- Child Assessment:
 - Supporting local programs in the use of child assessment information to improve instruction through the collaborative design of a professional development module.
 - Plan, with staff and departmental designees, additional new child assessment initiatives, with multiple points of measurement in PK including a potential Kindergarten readiness assessment instrument and strategy, and other possible partnership efforts within the ESE to assess children's progress and status across the birth to grade 3 continuum.
- Pre-K Program Evaluation:
 - Work with a Department team to support the next phase of activities under the proposed Abt Associates evaluation study, including reviewing and commenting on (a) plan to collect baseline data on the quality of UPK and other programs serving at-risk children, and (B) results of focus groups to solicit input on a future longitudinal study of child and program outcomes in UPK program and other settings.
 - Review and recommend options/enhancements for the current policy of mandating the use of four observational child assessment tools within UPK programs, and approaches to reporting and using data from these assessments.

Guidelines for Preschool Learning Experiences: EEC continues to support and offer training statewide on the Guidelines for Preschool Learning Experiences, the Commonwealth's learning standards for children three to five years old. Training is offered locally through the CPC local councils. CPCs provide funding for local communities to enhance the quality of curriculum and assessment practices in child care, family child care, private, non profit and public preschools. In addition to supporting training for staff and parents on research-based "best practices" that promote children's school readiness, EEC provides funding for Early Childhood Resource Centers that incorporate literacy, numeracy, and language activities as well as curricular materials, equipment, and family literacy activities to support the development of these skills in young children. The Resource Centers house reference materials, educational and training videos, curriculum kits, and guides. In addition to making resources available to parents, providers and public school teachers, the Resource Centers offer training on a variety of topics that relate to promoting young children's healthy development. This document can be found at:

<http://www.eec.state.ma.us/docs/TAGuidelinesForPreschoolLearningExperiences.pdf>

Early Childhood Educators Scholarship and Building Careers Programs: Through the Early Childhood Educators Scholarship jointly administered with the Department of Higher Education and the Building Careers Programs, EEC provides financial assistance to enable providers to enroll in college courses that enhance their skills and increase their ability to provide a high quality curriculum that supports: the development of children's language, literacy, pre-reading, and numeracy skills; designing, implementing, and assessing curriculum; promoting the language, literacy, and cognitive development of all children; and assessing children for school readiness and differentiating instruction for at-risk learners.

Core Competency Areas: EEC is in the process of finalizing Core Competency areas and indicators for staff working with infants through school age children within the early education and care and out-of-school time field. The Core Competencies for staff reflect the knowledge, skills, and dispositions needed to work effectively with children, youth, and families. The common themes among all of the core competencies include:

- Understanding of the growth and development of children and youth;
- Guiding and interacting with children and youth;
- Partnering with families and communities;
- Health, safety, and nutrition;
- Learning environments and implementing curriculum;
- Observation, assessment, and planning for individual needs;
- Program planning and development; and
- Professionalism and leadership.

Massachusetts Family Networks: Massachusetts Family Networks (MFN) provides a variety of supports and services, such as trainings and play groups, to help parents foster their children's overall growth and development, including cognitive and language/literacy skills. MFN also sponsors training for providers on strategies to promote school readiness skills in young children. Similarly, the Parent Child Home Program (PCHP) provides literacy activities and coaching to parents and family child care providers two times per week, in order to help them support children's development of language and pre-reading skills. In 2005, EEC focused on bringing PCHP to family child care homes to expand the program's reach and to serve additional children.

Activities to Promote Inclusive Child Care

Early Childhood Education is one of EEC's key responsibilities. EEC licensing regulations require that programs accept children with special needs and develop individual plans to meet their needs. Similarly, EEC's preschool program standards and curriculum guidelines require and encourage programs to meet the individual needs of all children.

Early Childhood Special Education Allocation Grant: EEC administers the federal Individuals with Disabilities Education Act (IDEA) 619 funds for preschool special education. Working with the Department of Elementary and Secondary Education (ESE), EEC disseminates, collects, reviews and approves 306 allocation grants totaling \$7.5 million to public school districts and charter schools for their preschool and kindergarten programs serving young children with disabilities. EEC also collaborates with ESE on three of the 20 Indicators in the State Performance Plan. The three indicators are for early childhood environments, measuring child outcomes and transition from Early Intervention and served by age three. EEC also monitors the quality in public school preschool, participates with ESE on Program Quality Assurance/Comprehensive Program Reviews, represents EEC on the special education steering committee, provides professional development to the early childhood field, reviews all waiver requests for early childhood special education, and provides technical assistance to any public school regarding serving children with disabilities.

During FY2010-2011 EEC will also be responsible for administering the American Recovery and Reinvestment (ARRA) funds for IDEA, Part B 619.

Regional Consultation Programs (RCPs): EEC and DPH's Early Intervention Services collaborated to establish Regional Consultation Programs (RCPs) across Massachusetts in order to support the individual care required by infants and toddlers with disabilities and to provide on-site expertise at early education and care programs that will make children's experiences in early education and care successful. RCPs also conduct trainings at CCR&Rs. RCPs are staffed by knowledgeable early intervention specialists who use their expertise to ensure that children are referred to appropriate early education and care settings and help them succeed once they are enrolled.

Expanding Opportunities: For more information on this initiative, please refer to Section 2.1 above.

Coordinated Local Community and Family Engagement: CPCs provide a range of comprehensive services to children with special needs to promote their continuity of care in early education and care settings. These services include the hiring of additional staff, training and consultation for providers, and the purchase of supplies, furniture, and equipment. EEC's administration of CPC state funding for comprehensive services ensures better coordination with CCDF-funded services.

Building Careers in Early Education and Care: In fiscal year 2008, 14 of the 21 Building Careers colleges provided coursework on the topic of children with disabilities and special needs to educators in the early education and care and out-of-school time field. Priority was given to individuals who work directly with preschool children with disabilities or special needs in EEC-funded programs, Massachusetts Family Networks (MFN), and the Parent Child Home Programs (PCHP) or to individuals who work at CPCs, CCR&Rs, or family child care systems and who are responsible for the professional development of individuals who work with these children and their families. Nearly 500 educators responded to the course offering, while 259 ultimately were able to participate in the coursework.

Healthy Child Care America and Other Health Activities Including Those Designed to Promote the Social and Emotional Development of Children

Comprehensive Mental Health in Child Care and Mental Health Consultation Services: EEC funds two models of mental health services and supports, which promote the inclusion of children experiencing behavioral challenges: (1) The Comprehensive Mental Health in Child Care Project (CMHCC); and (2) Mental Health Consultation Grants:

- CMHCC makes comprehensive mental health services available for children and their families on-site at their child care program. Currently, EEC funds sixteen (16) Supportive Child Care programs across the Commonwealth, who partner with a mental health clinic. EEC funds two-thirds of a clinician's salary to provide a broad range of training and support to children, their families and the child care staff. The remaining one-third is funded by billing families' insurance directly for clinical services. The goals of the CMHCC program include reducing expulsions or suspensions due to behavioral issues; preventing repeat psychiatric hospitalizations of children; improving the quality of child, parent and family relationships; and reducing the risk factors that impact children's emotional development and their acquisition of knowledge and skills necessary for success in school.
- Mental Health Consultation Grants are currently provided to ten (10) grantees serving early education and care programs in over seventy (70) cities and towns. Grantees provide on-site consultation to program staff and to parents; on-site observation and assessment; and support in developing and implementing individualized behavior plans. The purpose of these grants is to eliminate and/or reduce the number of

suspensions and expulsions of children from EEC funded programs; enhance staff competencies to work with behaviorally challenged children, thereby benefitting all children enrolled in the program; strengthen parenting skills and parent involvement; and promote collaboration for better access to services for children and families.

Healthy Child Care America: EEC and DPH are lead partners in an Interagency Steering Committee comprised of the leaders of key agencies across state government serving young children and their families including: the Departments of Education, Mental Health, Mental Retardation, Children and Families, and Transitional Assistance; the EOHHS Children, Youth and Family Cluster; MassHealth; the Head Start State Collaboration Office and the Children's Trust Fund. These leaders are focusing their efforts on meeting the social and emotional needs of young children, particularly the Commonwealth's most vulnerable children, and their agencies are working together to provide affordable, accessible, quality services and supports that cross traditional lines among Departments and disciplines. The Interagency Steering Committee has developed a strategic plan to guide its work and has presented this plan to the Commissioners of EOHHS and EEC. The primary focus of the strategic plan is acting as the early childhood workgroup of the Children's Behavioral Health Initiative (CBHI), which was developed in response to the "Rosie D." lawsuit of the Commonwealth.

Other Quality Activities That Increase Parental Choice, and Improve the Quality and Availability of Child Care

Child Care Licensing Regulation Reform: For the past three years, EEC has been engaged in reviewing and revising its regulations for home-based and center based child care. The goal of this work is to improve quality by developing new licensing regulations that are more user-friendly and consistent across program settings. EEC also reviewed current research and best practices to update its regulations to reflect current knowledge in areas such as brain research and the importance of positive staff/child interactions. The proposed regulations include common core regulations that will apply to all types of care (including family child care, group child care, and school age child care) and all age groups from birth to age 14 (16 with special needs). There are also more detailed sections that address requirements unique to children's developmental stages (e.g., infants, toddlers, preschoolers, and school age children) or to the size and the type of child care setting they attend. The proposed regulations give guidance on how providers will do the following, with specific references to children's developmental stages and, as appropriate, the type of child care setting:

- ensure children's physical safety (e.g., infant and toddler safety);
- promote children's emotional well-being throughout each developmental stage, including distinguishing between the needs of younger (up to age 9) and older school age children;
- provide opportunities for young children to develop stable and supportive relationships with their caregivers that promote healthy attachment;

- develop partnerships with parents that reflect respectful appreciation of parents' culture, values, expectations, and goals for their children;
- offer stimulating and developmentally appropriate learning activities that strengthen young children's language skills and global development; and
- monitor and document children's developmental milestones, share information with parents and help in identifying children who may have special needs.

EEC conducted extensive public outreach on the proposed regulations, including numerous informational meetings across the state as well as the mandated public hearings. A review of each and every comment from these meetings resulted in several changes in the proposed requirements. EEC is currently developing a variety of resources to help providers comply with the new requirements which are available on the EEC website at <http://www.eec.state.ma.us/licensingRegulations.aspx>. the proposed regulations will go into effect January 1, 2010.

Streamlining the local role: As discussed in section 2.1, EEC is in the process of streamlining and better-coordinating services at the local level so that the system is more responsive to families, in addition to promoting high quality and accessible services.

5.2 Early Learning Guidelines and Professional Development Plans

5.2.1 Status of Voluntary Early Learning Guidelines. Indicate which of the following best describes the current status of the State's efforts to develop, implement, or revise research-based early learning guidelines (content standards) for three-to-five year-olds.

NOTE: Check only one box that best describes the status of your State/Territory's three-to-five-year-old guidelines.

- ☐ **Planning.** The State is planning for the development of early learning guidelines. Expected date of plan completion: _____ If possible, respond to questions 5.2.2 through 5.2.4.
- ☐ **Developing.** The State is in the process of developing early learning guidelines. Expected date of completion: _____ If possible, respond to questions 5.2.2 through 5.2.4.
- ☐ **Developed.** The State has approved the early learning guidelines, but has not yet developed or initiated an implementation plan. The early learning guidelines are included as **Attachment 5.2.1, if available**.
- ☒ **Implementing.** In addition to having developed early learning guidelines, the State has embarked on implementation efforts which may include dissemination, training or embedding guidelines in the professional development system. The guidelines are included as **Attachment 5.2.1**.
- ☐ **Revising.** The State has previously developed early learning guidelines and is now revising those guidelines. The guidelines are included as **Attachment 5.2.1**.
- ☐ **Other. Describe:**

a) **Describe** the progress made by the State/Territory in developing, implementing, or revising early learning guidelines for early learning since the date of submission of the 2008-2009 State Plan. Efforts to develop early learning guidelines for children birth to three or older than five may be described here.

The Commonwealth's Board of Education approved the Early Childhood Program Standards for Three and Four Year Olds and the Guidelines for Preschool Learning Experiences (Standards and Guidelines) in April of 2003. The Guidelines for Preschool Learning Experiences, which are based on the Massachusetts Curriculum Frameworks, are currently used to guide ongoing curriculum development, instruction, and assessment in all public preschools, many community center-based preschool programs, are a requirement for UPK Programs including for Family Child Care, and are being incorporated into EEC's Quality Rating and Improvement System (QRIS).

b) If developed, are the guidelines aligned with K-12 content standards or other standards (e.g., Head Start Child Outcomes, State Performance Standards)?

☒ Yes. If yes, **identify standards:**

☐ No.

The Guidelines for Preschool Learning Experiences, are based on the standards for Pre-Kindergarten through Kindergarten (or Pre-Kindergarten through Grades 1-4) in the approved revisions of the Massachusetts Curriculum Frameworks.

c) If developed, are the guidelines aligned with early childhood curricula?

☒ Yes. If yes, **describe:** Please see above.

☐ No.

d) Have guidelines been developed for children in the following age groups:

☐ Birth to three. Guidelines are included as **Attachment 5.2.1**

☒ Three to five. Guidelines are included as **Attachment 5.2.1**

☐ Five years or older. Guidelines are included as **Attachment 5.2.1**

If any of your guidelines are available on the web, provide the appropriate Web site address (guidelines must still be attached to Plan):

www.eec.state.ma.us/docs/TAGuidelinesForPreschoolLearningExperiences.pdf
www.eec.state.ma.us/docs/TAEarlyChildhoodProgramStandards.pdf

5.2.2 Domains of Voluntary Early Learning Guidelines. Do the guidelines for three-to-five-year-olds address language, literacy, pre-reading, and early math concepts?

☒ Yes.

☐ No.

a) Do the guidelines for children three-to-five-year-olds address other domains such as social/emotional, cognitive, physical, health, or creative arts?

☒ Yes. If yes, **describe**.

The Early Childhood Program Standards address best practices for programs in the following areas:

- Interactions Between Staff and Children and Among Children;
- Curriculum and Assessment;
- Physical Environment;
- Family Involvement;
- Staff Qualifications and Staff Development;
- Group Ratio and Size;
- Health and Safety;
- Nutrition and Food Service;
- Transportation;
- Administration; and
- Accreditation and Evaluation.

In addition, the Guidelines for Preschool Learning Experiences provide ideas for learning experiences that preschool staff can use to design a curriculum that is aligned with that of the public schools to ensure that there is continuity from preschool into kindergarten. The *Guidelines for Preschool Learning Experiences* focus on the skills and knowledge that staff should help young children develop, rather than on what preschool aged children are expected to know or do at specific ages.

☐ No.

5.2.3 Implementation of Voluntary Early Learning Guidelines.

The Guidelines for Preschool Learning Experiences have been disseminated to providers by EEC and through our local community partners. A core function of our local Community Partnership Councils is to offer training on the Guidelines. Additionally, they are required for UPK programs and are being incorporated into the development of EEC's Quality Rating and Improvement System. The Guidelines continue to be widely distributed and are currently used by many preschool programs and providers in the Commonwealth.

a) **Indicate** which strategies the State used, or expects to use, in implementing its early learning guidelines.

Check all that apply:

- ☒ Disseminating materials to practitioners and families
- ☒ Developing training curricula
- ☒ Partnering with other training entities to deliver training
- ☒ Aligning early learning guidelines with licensing, core competencies, and/or quality rating systems
- ☐ Other. **Describe:**

b) **Indicate** which stakeholders are, or are expected to, actively support(ing) the implementation of early learning guidelines:

Check all that apply:

- ☒ Publicly funded (or subsidized) child care
- ☒ Head Start
- ☒ Education/Public pre-k
- ☒ Early Intervention
- ☒ Child Care Resource and Referral
- ☒ Higher Education
- ☐ Parent Associations
- ☐ Other. **Describe:**

d) **Indicate** the programs that mandate or require the use of early learning guidelines

- ☒ Some Publicly funded (or subsidized) child care
- ☐ Head Start
- ☐ Education/Public pre-k
- ☐ Early Intervention
- ☐ Child Care Resource and Referral
- ☐ Higher Education
- ☐ Parent Associations
- ☐ Other. **Describe:**

d) **Describe** how cultural, linguistic and individual variations are (or will be) acknowledged in implementation.

The Guidelines for Preschool Learning Experiences are used by early childhood educators to determine children's individual interests and strengths and to assist them in finding ways to engage and expand upon these interests and strengths. The Guidelines are inclusive of children with special needs as well as children and families with a variety of cultural and linguistic backgrounds.

e) Describe how the diversity of child care settings is (or will be) acknowledged in implementation.

Through UPK and the eventual QRIS, the Guidelines for Preschool Learning Experiences are and will continue to be implemented across the full spectrum of early education and care settings including public schools, private center-based programs, Head Start, and licensed family child care providers.

Materials developed to support implementation of the guidelines are included as **Attachment 5.2.3**. If these are available on the web, provide the appropriate Web site address (guidelines must still be attached to Plan):

The Guidelines themselves provide guidance on implementation. No additional materials have been developed.

5.2.4 Assessment of Voluntary Early Learning Guidelines. As applicable, **describe** the State's plan for:

- a) Validating the content of the early learning guidelines
- b) Assessing the effectiveness and/or implementation of the guidelines
- c) Assessing the progress of children using measures aligned with the guidelines
- d) Aligning the guidelines with accountability initiatives

Use of the Guidelines is required for participation in EEC's UPK Pilot Program. UPK Pilot programs are required to be using the Guidelines to plan curriculum and to conduct on-going child assessments using one of four EEC approved assessment tools aligned with the Guidelines. As part of the UPK Pilot Program, EEC will be regularly monitoring participating programs to ensure effective use of the Guidelines. In addition, EEC will be collecting and analyzing child assessment data provided by participating programs. The assessment data gathered from the UPK Pilot Program may ultimately be used to measure the effectiveness of the Guidelines in promoting children's school readiness and to inform the development of a statewide school readiness assessment system. A critical part of this system development will be the establishment of accountability standards and monitoring tools. EEC was also recently awarded a grant from the Council for Chief State School Officers (CCSSO) to receive technical assistance with development of its program and child accountability system, including the early learning guidelines and statewide child assessment initiative.

Written reports of these efforts are included as **Attachment 5.2.4**. If these are available on the web, **provide** the appropriate Web site address (reports must still be attached to Plan): No such materials currently exist.

5.2.5 Plans for Professional Development. **Indicate** which of the following best describes the current status of the Lead Agency's efforts to develop a professional development plan for early childhood providers that includes all the primary sectors: child care, Head Start, and public education. **NOTE: Check ONLY ONE box that best describes the status of your State's professional development plan.**

- ☐ **Planning.** Are steps underway to develop a plan?
- ☐ Yes, and **describe** the entities involved in the planning process, the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.
- ☐ No.
- ☐ **Developing.** A plan is being drafted. The draft or planning documents are included as **Attachment 5.2.5**, if applicable.
- ☐ **Developed.** A plan has been written but has not yet been implemented. The plan is included as **Attachment 5.2.5**, if applicable.
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented, or has been implemented. The plan is included as **Attachment 5.2.5**.
- ☒ **Revising.** The State previously developed a professional development plan and is now revising that plan, or has revised it since submitting the 08-09 State Plan. The revisions or the revised plan are included as **Attachment 5.2.5**.
- ☐ **Other. Describe:**

a) Describe the progress made by the State in planning, developing, implementing, or revising the professional development plan since the date of submission of the 2008-2009 State Plan.

In March 2009, EEC completed its third annual Workforce Development Report (<http://www.eec.state.ma.us/docs/WorkforceDevelopmentReport0309.pdf>). The updated plan included the following Key Elements of EEC's Professional Development System:

1. Statewide infrastructure building, leadership, and strategic planning;
2. Core competencies and orientation;
3. Professional development data management system;
4. Credentialing and career lattice (career pathways); and

5. Professional development opportunities and resources aligned with requirements and workforce needs

During 2007, EEC in partnership with the United Way of Massachusetts Bay and Merrimack Valley and the CAYL Institute (formerly the Schott Fellowship in Early Care and Education) collaborated to convene the Massachusetts Early Education and Care and Out-of-School Time Workforce Development Task Force. This task force of experts in workforce development, early care and education, and out-of-school time focused on four critical areas articulated in the 2007 report: (1) core competencies; (2) orientation; (3) credentialing and career lattice; and (4) transfer, articulation, and credit for prior learning. The recommendations of the Workforce Development Task Force (<http://www.eec.state.ma.us/docs/EEC%20OST%20WDTTaskForceFINAL.pdf>) have been incorporated into EEC's updated Workforce Development Plan.

EEC has made significant progress in creating a system of workforce development including the creation of a new unit dedicated to workforce development and the hiring of additional employees to support the unit's tasks.

b) If developed, does the plan include (**Check EITHER yes or no for each item**):

	Yes	No
Specific goals or desired outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A link to Early Learning Guidelines	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Continuum of training and education to form a career path	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Articulation from one type of training to the next	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance through approval of trainers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance through approval of training content	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A system to track practitioners' training	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assessment or evaluation of training effectiveness	<input checked="" type="checkbox"/>	<input type="checkbox"/>
State Credentials – Please state for which roles (e.g. infant and toddler credential, directors' credential, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Specialized strategies to reach family, friend and neighbor caregivers	<input type="checkbox"/>	<input checked="" type="checkbox"/>

c) For each **Yes** response, **reference** the page(s) in the plan and briefly **describe**.

The following elements listed above can be found in EEC's 2008 Workforce Development Report:

<http://www.eec.state.ma.us/docs/EEC%20OST%20WDTTaskForceFINAL.pdf>

The specific goals or desired outcomes of the Workforce Development Report are imbedded throughout the report; specific references can be found on pages 4-15.

A continuum of training and education to form a career path is available on pages 5-6, 12-13, and 15 of the report.

Articulation from one type of training to the next is evident is Key Next Step 4, pages 8-9, and 14-15 of the Workforce Development Report.

Quality assurance through approval of trainers, quality assurance through approval of training content, a system to track practitioners' training, and assessment of evaluation of training effectiveness are included on pages 8, 10-12, and 15 of the 2008 Workforce Development Report.

State credentials are referenced on pages 5-7, and 12 of the report.

d) For each **No** response, **indicate** any plans the Lead Agency has to incorporate these components.

One of EEC's priorities in implementing its workforce development plan is the expansion of training and technical assistance opportunities for providers who enter the field with limited training and experience, including family, friend, and neighbor caregivers. Local and regional training on core knowledge topics, including child growth and development, developmentally appropriate activities for all age groups, effective child guidance practices and basic management skills will be accessible to both licensed and license-exempt providers.

As part of EEC's efforts to better align family, friend, and neighbor care with larger mission of the agency, EEC is looking to provide greater support to informal caregivers. As a first step in this process, the Massachusetts Family Networks (MFN) programs are required to include family, friend and neighbor caregivers in their outreach. Specifically, EEC requires MFN programs to include informal caregivers in their outreach efforts and to provide them with information about MFN services and resources. Additionally, EEC requires MFN programs to provide this information to the Family, Friend and Neighbor care providers, who receive financial assistance through the CCR&R's, as well as providers identified through their local networks.

e) Are the professional development opportunities described in the plan available:

Note: Check either yes or no for each item):

	Yes	No
Statewide	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Center-based Child Care Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Group Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Family Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To In-Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other (describe):	<input type="checkbox"/>	<input type="checkbox"/>

f) **Describe** how the plan addresses early language, literacy, pre-reading, and early math concepts development.

EEC's core competencies for early education and care and out-of-school time educators reflect the knowledge and skills needed to work effectively with children and youth from birth to age 14. Early language, literacy, pre-reading, and early math concepts development are an integral part of the knowledge and skills necessary to provide quality early education and care services, and these concepts are reflected in the Guidelines for Preschool Learning Experiences. EEC will ensure that the core competencies are aligned with the Guidelines for Preschool Learning Experiences and incorporate the knowledge and skills to help children and youth develop language, literacy, and numeracy skills necessary for school success.

Again, more detailed information can be found in the Workforce Development Plan at:

<http://www.eec.state.ma.us/docs/EEC%20OST%20WDTaskForceFINAL.pdf>

g) Are program or provider-level incentives offered to encourage provider training and education?

- ☒ Yes. **Describe**, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts.

Through the Early Childhood Educators Scholarship, CDA Scholarship and Building Careers Programs, EEC provides financial assistance to enable providers to enroll in college courses that enhance their skills and increase their ability to provide a high quality curriculum that supports the development of children's language, literacy, pre-reading and numeracy skills.

Through the Universal Pre-Kindergarten (UPK) program, EEC provides funds to grantees for participation in professional development activities as well as teacher/provider educational advancement. Based on unique program needs,

grantees may use a portion of funds for professional development related to EEC's core competencies or to enroll staff in college courses related to early childhood education. As stated previously in this report, a requirement for new UPK funding is that center-based and public school programs be accredited by NAEYC, which includes early literacy and mathematics standards. UPK grantees are also required to use one of four multi-domain child assessment systems to inform their practice. Many UPK grantees are using their funding to support enhanced professional development in these areas, implement enriched curricula, and bolster implementation of their child assessment systems which include the domains of language/literacy and numeracy development.

- ☐ No. **Describe** any plans to offer incentives to encourage provider training and education, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts?

h) As applicable, does the State assess the effectiveness of its professional development plan, including the achievement of any specified goals or desired outcomes?

- ☐ Yes. **Describe** how the professional development plan's effectiveness/goal is assessed.
- ☒ No. **Describe** any plans to include assessments of the professional development plan's effectiveness/goal achievement.

EEC has developed a workforce development plan that when implemented will result in quality, systemic improvement in the services provided to children by early education and care providers. Fundamentally, the plan will ensure that all providers receive core knowledge training on child growth and development, developmentally appropriate practices, observing and recording children's behavior, and working with families. The plan will also provide opportunities for all providers to participate in a new credentialing system and career lattice that will clearly identify their level of mastery with regard to the core competencies. The credentialing system will promote high standards, ensure that providers demonstrate the requisite knowledge and skills for their roles and responsibilities, include multiple pathways to document competency that credits prior training and experience, and award a portable credential that facilitates employment in multiple early care and education settings. In addition, the workforce development plan will assess providers' competencies through evaluation, require enrollment in a statewide professional registry, and administer scholarship, subsidy, training, and support services to current providers in order to ensure that they participate in ongoing professional development activities.

However, monitoring the effectiveness of EEC's workforce development plan requires data that is not available at present. EEC's 2008-2009 updated

workforce development plan outlines the EEC Professional Development Data Management System that is under development. This data management system will also include a statewide registry of early childhood education and out-of-school time professionals that will contain provider, qualifications, and background record check information. Because annual registration will be mandated by EEC's proposed regulations, a basic registry to identify those currently working in the field and gather some baseline data is being developed for FY2010 when these regulations take effect. Later versions of the registry will allow individuals to apply for certification and renewals on-line, track their participation in training and workforce development opportunities, monitor their progress toward a credential and help them navigate the career lattice. The registry will collect information on those individuals working in administrative and managerial roles as well as those working directly with children from birth to age 14, in all types of EEC licensed and authorized program settings, including family child care, group child care, school age care, and programs operated by or within public schools.

Data from the registry and calendar components of the Professional Development Data Management System will enable EEC to track the professional development across the early education and out of school time workforce, measure recruitment and retention, and gather salary and benefit data to help EEC evaluate its workforce development initiatives. Ultimately, EEC's goal is to be able to measure the effectiveness of its workforce development plan through evaluation of child outcomes and provider assessment by monitoring children's progress over time and correlating the provision of professional development with child outcomes, particularly school readiness indicators. This approach also requires the capacity to evaluate the competency of providers in addition to their education and experience when issuing credentials.

i) Does the State assess the effectiveness of specific professional development initiatives or components?



Yes. **Describe** how specific professional development initiatives or components' effectiveness is assessed.

On-site monitoring: EEC assesses the effectiveness of on-going trainings offered through the Child Care Resource and Referral Agencies (CCR&Rs) and Community Partnerships for Children (CPCs) through several methods. All CCR&Rs throughout the state receive on-site monitoring visits that include ensuring that professional development opportunities are aligned the Massachusetts Workforce Development Plan and with EEC's vision of a coordinated statewide system, reviewing professional development budgets, and assisting each agency with identifying local and regional partnerships to help with broad-based collaborative planning efforts that leverage and maximize resources.

Professional Development Calendar: EEC's web-based Professional Development Calendar collects data on the skills, credentials, competencies and professional development of the workforce, as well as age-specific, setting-specific and role-specific data of educators. Information is also collected on professional development offerings, including core competency, type of setting, position level, and credit offered for training. After each professional development offering, EEC's evaluation form must be completed by attendees. The aggregated results are automatically entered into a database via the web-based Professional Development Calendar, which allows EEC to collect additional data on each training and trainer. EEC will be able to use this information to collect, analyze and assess data on current professional development needs statewide for strategic planning, as well as to identify and address gaps in those professional development needs in "real-time" status and to evaluate the effectiveness of professional development offerings and instructors.

Date reporting template: Where the data cannot be obtained through the calendar, EEC solicits the information directly from the CPCs and CCR&Rs via a data reporting template. The data collected through the calendar and direct solicitation includes, but is not limited to, the professional development courses and classes offered, early education and school age care conferences both sponsored and attended, and the mentoring, academic advising, and career counseling provided, by funding source. The data is for FY 2009 and is disaggregated by funding source.

Building Careers: The Building Careers in Early Education and Care grant program is evaluated based on the individual college's adherence to grant requirements and effectiveness, participant/student satisfaction, the number of students served, the number of courses and support services offered, and the number of individuals that graduate from the program. Components of the program are assessed through annual grant applications, end of year reports, and student surveys. The grant application and end of year report collects information on the number of students and courses supported through the grant as well as the support services such as academic advising and mentoring that are also offered through the program. Coordinators are also required to report on characteristics of the degree program and graduation rates for students. The student survey is completed by those receiving funding from the grant and addresses individual experiences with the grant program including courses taken and support services offered.

ECE Scholarship: The Early Childhood Educators (ECE) Scholarship program currently does not have an assessment component. The success of the program is currently measured on the number of individual early care and education and out of school time professionals that receive support from the scholarship program. It would be fundamental to know educators that participate in the ECE Scholarship program and the Building Careers grant program are providing a higher quality of education and care as a result of their college coursework and degree attainment.

EEC is working with the DHE Office of Student Financial Assistance to follow up with individuals who have earned their associate's or bachelor's degree through the ECE Scholarship program to ensure that they are honoring their commitment to stay in the field as stated in the terms of the ECE Scholarship.

☐ No. **Describe** any plans to include assessments of specific professional development initiatives or components' effectiveness.

j) As applicable, does (or will) the State use assessment to help shape or revise its professional development plan?

☒ Yes. **Describe** how assessment informs the professional development plan. EEC's enabling legislation requires the agency to develop and annually update a plan for the professional development of the early education and out of school time workforce. EEC uses this requirement as an opportunity to both assess the effectiveness of existing workforce initiatives and plan the next steps towards a systemic approach to professional development. Please see the response above regarding assessment of EEC's workforce development plan.

☐ No. **Describe** any plans to include assessment to inform the professional development plan.

PART 6

HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS

(Only the 50 States and the District of Columbia complete Part 6.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. **Note: This database typically contains information on licensing requirements for meeting State or local law to operate (§98.40). This database does not contain registration or certification requirements specific only to participation in the CCDF program.**

In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements.

The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>.

CCDF regulations (§98.2) define the following categories of care:

- **Center-based child care provider:** 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.
- **Group home child care provider:** 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.
- **Family child care provider:** 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.
- **In-home child care provider:** Individual who provides child care services in the child's own home.

6.1 Health and Safety Requirements for Center-Based Providers (658E(c)(2)(F), §98.41, §98.16(j))

- 6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law per the NRCHSCC's compilation? **Note:** Some States use the term

certification or registration to refer to their licensing regulatory process. Do not check “Yes” if center-based providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

- ☐ Yes. Answer 6.1.2, skip 6.1.3, and go to 6.2.
- ☒ No. **Describe** which center-based providers are exempt from licensing under State law and answer 6.1.2 and 6.1.3.

Pursuant to Massachusetts regulations, group and school age child care programs meeting one or more of the following are exempt from licensure requirements: any part of a public school system; any part of a private organized educational system, unless the services of such a system are primarily limited to kindergarten, nursery or related pre-school services; a Sunday school conducted by a religious institution; or a facility operated by a religious organization where children are cared for during short periods of time while persons responsible for such children are attending religious services.

In 2009, EEC conducted competitive procurement to re-bid its income-eligible child care contracts. This procurement included a limited demonstration project allowing public school systems in specified districts, which operate pre-school programs, after-school programs and/or before-school programs, to submit bids to obtain child care contracts for the first time. Additionally, EEC allows families to utilize CCDF-funded child care vouchers at pre-school programs operated by public school systems provided that the public schools agree to accept EEC vouchers and enter into a provider agreement with their local Child Care Resource and Referral Agency.

- 6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan?
(§98.41(a)(2)&(3))

- ☐ Yes, and the changes are as follows:
- ☒ No.

- 6.1.3 For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

a) The prevention and control of infectious disease (including age-appropriate immunizations)

b) Building and physical premises safety

c) Health and safety training

d) Other requirements for center-based child care services provided under the CCDF

As part of the 2009 income-eligible demonstration project discussed in 6.1.1 above, EEC limited eligibility to public school systems accredited by either the National Association for the Education of Young Children (NAEYC) or the New England Association of Schools and Colleges (NEASC). Additionally, all public schools that agreed to participate in this income-eligible procurement were required to meet all EEC child care licensing standards by the express terms of the request for response contract.

EEC has also provides CCDF-funded child care subsidies to public school systems in the Commonwealth through both vouchers and grants. In 2003, the Massachusetts Department of Education (now the Department of Elementary and Secondary Education) promulgated Early Childhood Program Standards for Three and Four Year Olds. These Standards, which include multiple sections related to the health and safety of children, are imposed on early education and care programs that receive child care subsidies funded by CCDF, but are exempt from licensing by EEC. Furthermore, these Standards also require all such programs to seek accreditation through NAEYC. In addition to these Standards, any public school system that accepts an EEC voucher is required to enter into a Provider Agreement with their local CCR&R. The agreement establishes a contractual relationship between the public school system and the CCR&R, which expressly requires the public school system to comply with EEC licensing standards at all times.

6.2 Health and Safety Requirements for Group Home Child Care Providers

(658E(c)(2)(F), §§98.41, 98.16(j))

6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check “Yes” if group home child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

☒ Yes. Answer 6.2.2, skip 6.2.3, and go to 6.3.

☐ No. **Describe** which group home providers are exempt from licensing under State law and answer 6.2.2 and 6.2.3.

☐ N/A. Group home child care is not a category of care in this State. Skip to Question 6.3.1

6.2.2 Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ Yes, and the changes are as follows:

☒ No.

6.2.3 For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

a) The prevention and control of infectious disease (including age-appropriate immunizations)

b) Building and physical premises safety

c) Health and safety training

d) Other requirements for center-based child care services provided under the CCDF

6.3 Health and Safety Requirements for Family Child Care Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check “Yes” if family child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

☒ Yes. Answer 6.3.2, skip 6.3.3, and go to 6.4.

- ☐ No. **Describe** which family child care providers are exempt from licensing under State law and answer 6.3.2 and 6.3.3.

6.3.2 Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ Yes, and the changes are as follows:

☒ No.

6.3.3 For family care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

a) The prevention and control of infectious disease (including age-appropriate immunizations)

b) Building and physical premises safety

c) Health and safety training

d) Other requirements for center-based child care services provided under the CCDF

6.4 Health and Safety Requirements for In-Home Child Care Providers (658E(c)(2)(F), §§98.41, 98.16(j))

Note: Before responding to Question 6.4.1, **check** the NRCHSCC's compilation of licensing requirements to verify if **in-home child care** as defined by CCDF and your State is covered. If not, **check** no for 6.4.1. Do not check "Yes" if in-home child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC's compilation?

☐ Yes. Answer 6.4.2, skip 6.4.3, and go to 6.5.

☒ No. **Describe** which in-home child care providers are exempt from licensing under State law and answer 6.4.2 and 6.4.3.

All in-home child care providers are exempt from licensure, but they are subject to certain requirements, as outlined in section 6.4.3 below.

6.4.2 Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ Yes, and the changes are as follows:

☒ No.

6.4.3 For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

a) The prevention and control of infectious disease (including age-appropriate immunizations)

Before in-home child care providers can receive payment for their services, EEC requires that they attend an orientation and training session conducted by the CCR&Rs. The topics at the orientation include: health and safety issues, age appropriate activities and appropriate behavior management. At the orientation, in-home providers are given training in preventing and controlling disease. This includes DPH immunization guidelines and information about universal precautions and sanitizing procedures. During the registration process, an in-home provider must complete a check list certifying that they have received and reviewed information on prevention and control of infectious diseases, including immunizations. Additionally, the in-home provider is required to immediately notify a parent if a communicable disease is introduced to the child care home.

b) Building and physical premises safety

In-home providers are also trained in home safety, injury prevention, poison prevention and fire safety. The CCR&R gives all providers a resource packet. In-home providers must have a plan for evacuating the children from the child care site, including escape routes from each floor level and a method of contacting the Fire Department or other authorities after the child care site is evacuated. In-home providers are required to have smoke detectors in operative condition located throughout the home, including each floor level, including the basement, and must have a working telephone at the child care site at all times with emergency telephone numbers posted near the telephone. After the orientation,

providers must complete a checklist certifying that they have received and reviewed information on building and physical premises safety.

c) Health and safety training

Providers are given training on EEC's Back to Sleep Campaign, a SIDS informational brochure, safety training, first aid training and information on how to find CPR classes. During the registration process, an in-home provider must complete a check list certifying that they have received and reviewed information on health and safety training, including first aid and CPR. In-home providers must also have a plan for dealing with medical emergencies that includes a method to notify parents immediately of any injuring requiring emergency treatment. Also, these providers are required to obtain written parental authorization to administer medication to a child and parental authorization for treating a child in a hospital. They are also trained in the reporting of alleged issues of abuse and neglect to the Department of Children and Families (DCF).

EEC distinguishes between in-home care that is provided by a relative of the child and care that is provided by a non-relative for one aspect of its health and safety requirements. For those in-home child care providers, who are not related to the children for whom they care, EEC requires that a criminal offender record information (CORI) check and a DCF background record check be completed. Only those providers who are approved through the CORI and DCF background check processes will be eligible to receive payment for child care services. Background checks, however, are not completed for in-home providers who care for children to whom they are related, as discussed below in Section 6.5.

d) Other requirements for child care services provided under the CCDF

N/A

6.5 Exemptions to Health and Safety Requirements

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements. (658P(4)(B), §98.41(a)(1)(ii)(A))

Indicate the Lead Agency's policy regarding these relative providers:

- ☐ **All** relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☐ **All** relative providers are **exempt** from all health and safety requirements.
- ☒ **Some or all** relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following a) describes those requirements and b) identifies the relatives they apply to:

EEC does not conduct background checks on in-home relative providers. Otherwise, relative providers are subject to the same requirements as in-home, non-relative providers, as described in Section 6.4.

6.6 Enforcement of Health and Safety Requirements

6.6.1 Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d))

Describe how health and safety requirements are effectively enforced, including at a minimum:

a) Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

☒ Yes, and **indicate** the provider categories subject to routine unannounced visits and the frequency of those visits:

EEC licensors make an announced visit to all licensees before a license is issued and again within the first six months to one year after the initial license. All licensees are subject to unannounced visits at any time. The licensing unit's goal is to make at least one unannounced visit per year or per licensing cycle, whichever period is shorter. Licensors also make more frequent unannounced visits if the licensee has difficulty maintaining compliance with EEC's health and safety regulations. In those instances, the licensor may make unannounced visits on a regular basis. The most common unannounced follow-up visit schedule is once per quarter, but depending on the seriousness of the licensee's health and safety problems, the licensor may visit the provider monthly or on another schedule, as appropriate. Supervisors and managers review the licensor's monitoring schedules on a monthly basis. In addition to routine unannounced visits, staff from EEC's investigation unit, the licensor or a supervisor makes at least one unannounced visit when EEC receives a complaint about a program.

☐ No.

b) Are child care providers subject to background checks?

☒ Yes, and **indicate** the types of providers subject to background checks and when such checks are conducted:

EEC requires Criminal Offender Record Information (CORI) checks and DCF background record checks for any person that provides child care in a residential program, a family child care home or at a center-based child care program, as well as any in-home, non-relative child care providers. Additionally, in family child

care homes, any household member or person regularly on the premises who is 15 years of age or older is subject to background records checks. These individuals must be cleared as a result of the CORI and DCF background check investigations before they have the potential for unsupervised contact with children.

EEC recently amended its background check regulations, 606 CMR 14.00, to improve the screening of applicants for EEC licensure and applicants for employment or volunteer positions in EEC-licensed programs. The new background check regulations require background screenings for supported findings of child abuse and neglect by DCF, require that CORI and DCF background checks be conducted at least every three years, and lower the minimum age at which certain relevant persons are required to submit to a background check to 15.

☐ No.

c) Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

☒ Yes, and **describe** the State's reporting requirements and how such injuries are tracked (if applicable):

EEC regulations require that child care providers must immediately report to EEC the occurrence of any serious injury or illness that occurs to a child while the child is participating in a child care program. EEC tracks injury reports on the its statewide computerized tracking system. This system gives all EEC staff access to all open and completed injury reports and investigations. When an EEC staff member receives an injury report, the staff member enters the information into the tracking system, including the name of the provider and the nature of the injury. Once the report is logged into the tracking system, it is assessed using the EEC Evaluation Tool and then assigned to staff for determination of the appropriate intervention, such as a site visit or investigation.

When the intervention is completed, staff will document their findings and the nature of the intervention in the system. Depending on the circumstances of the case, a letter and/or report is completed and entered into the tracking system. In addition, any outstanding regulatory issues identified by EEC during the course of its review of the injury report will be documented in a separate "Statement of Outstanding Compliance Issues," while any non-compliances that EEC determines have been appropriately corrected are noted in the letter to the provider. A printed copy of the letter and/or report and Statement of Outstanding Compliance Issues, if applicable, is sent to the child care provider. All reports, letters and Statements of Outstanding Compliance Issues are recorded in the system and included in the provider's licensing file. Depending on the outcome

of EEC's review, EEC may decide to make more frequent monitoring visits to the provider after receiving an injury report.

☐ No.

d) Describe any other methods used to ensure that health and safety requirements are effectively enforced:

EEC licensing staff works closely with providers to ensure that EEC's health and safety requirements are met in all child care settings. EEC provides regular training and technical assistance to licensees to reinforce their knowledge and familiarity with the regulatory requirements. Among the training opportunities offered by EEC are the following:

- New provider meetings;
- License renewal meetings for group child care directors;
- Director group forums;
- Regional Advisory meetings;
- Training on specific health or safety requirements;
- "Working Together" meetings including providers, staff from EEC, and staff from Child care resource and referral agencies;
- EEC staff presentations at workshops and conferences sponsored by provider organizations; and
- Individual technical assistance with a program.

In addition to these proactive steps to ensure that programs remain safe for children, the licensing unit has many options for enforcement if a licensee fails to comply with EEC's health and safety. These include:

- Regular unannounced visits and monitoring;
- Enforcement letters sent to programs by a supervisor or director;
- Regional enforcement meetings with an EEC supervisor or director;
- Freeze on a program's enrollment;
- Sanctions on a program, such as requiring an outside consultant, or formal training for staff and administrators; and
- Legal action against a provider's license, including suspension or revocation of the license, if warranted.

6.7 Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

- ☒ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☒ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

PART 7

HEALTH AND SAFETY REQUIREMENTS IN THE TERRITORIES

(Only the Territories complete Part 7)

CCDF regulations (§98.2) define the following categories of care:

- **Center-based care:** 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.
- **Group home child care provider:** 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.
- **Family child care provider:** 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.
- **In-home child care provider:** Individual who provides child care services in the child's own home.

7.1 Health and Safety Requirements for Center-Based Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

7.1.1 For all center-based care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.2 Health and Safety Requirements for Group Home Child Care Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

7.2.1 For all group home child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.3 Health and Safety Requirements for Family Child Care Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

7.3.1 For all family child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.4 Health and Safety Requirements for In-Home Child Care Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

7.4.1 For all in-home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.5 Exemptions to Territorial Health and Safety Requirements

At Lead Agency option, the following relatives may be exempted from health and safety requirements: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care). (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- ☐ **All** relative providers are subject to the same requirements as described in sections 7.1 - 7.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☐ **All** relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to **different** health and safety requirements from those described in sections 7.1 - 7.4 and the following describes those different requirements and the relatives they apply to:

7.6 Enforcement of Territorial Health and Safety Requirements

7.6.1 Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) **Describe** how health and safety requirements are effectively enforced, including at a minimum:

a) Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

- ☐ Yes, and **indicate** the provider categories subject to routine unannounced visits and the frequency of those visits:
- ☐ No.

b) Are child care providers subject to background checks?

- ☐ Yes, and **indicate** the types of providers subject to background checks and when such checks are conducted:
- ☐ No.

c) Does the Territory require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

☐ Yes, and **describe** the Territory's reporting requirements and how such injuries are tracked (if applicable):

☐ No.

d) Describe any other methods used to ensure that health and safety requirements are effectively enforced:

7.7 Exemptions from Territorial Immunization Requirements

The Territory assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the Territorial public health agency. (§98.41(a)(1))

The Territory exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☐ Children whose parents object to immunization on religious grounds.
- ☐ Children whose medical condition contraindicates immunization.

APPENDIX 1

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

APPENDIX 2

ELIGIBILITY AND PRIORITY TERMINOLOGY

For purposes of determining eligibility and/or priority for CCDF-funded child care services, Lead Agencies must **define** the following *italicized* terms. (658P, 658E(c)(3)(B))

- *in loco parentis* – Massachusetts allows those caring for a child on a full-time basis and acting as a foster parent, legal guardian, or temporary legal guardian to be deemed a parent, for the purpose of CCDF-funded services.
- *physical or mental incapacity* (if the Lead Agency provides such services to children age 13 and older) – In order to establish the physical, emotional, or mental disability of a child, the applicant family must submit a completed “Verification of Special Need” form. The form must be signed by a physician or certified physician’s assistant for a physical disability; a psychiatrist, psychiatric nurse, doctoral level psychologist, independent licensed clinical, Early Intervention Director, special education representative or licensed social worker for an emotional or mental disability; or an early intervention program director, primary service coordinator, or special education staff member stating that the child is eligible for their special education services. The responses must state the nature and the expected duration of the disability as well as include an explanation of why the disability necessitates child care.
- *protective services* – Families are eligible for supportive child care services when they have active protective needs documented in a supported report of abuse or neglect within the previous 12 months or when there is a determination of need to begin or continue supportive child care at a Department of Children and Families Progress Supervisory Review.
- *residing with* - For purposes of determining eligibility for subsidized child care, a family is defined as one of the following: A parent and his/her dependent child(ren) and any dependent grandparents who reside in the same household; or a teen parent and his or her children who reside in the same household.
- *special needs child* – A child age birth through sixteen who has documented physical, mental, or behavioral disabilities.
- *very low income* – Income below 50% of the State Median Income.
- **List and define** any additional terminology related to conditions of eligibility and/or priority established by the Lead Agency:

During FY 2010-2011, EEC will continue to review prioritization policies and their impact on access for working families and the diversity of children enrolling in our early education and care programs. EEC ensures that any changes related to prioritization, due to fiscal constraints or otherwise, are communicated to all stakeholders, including families, providers and voucher managers, and ensures that all updated information related to subsidy priorities are posted on its website at:

http://www.eec.state.ma.us/kr_subsidy.aspx.

As of November 2008, please see Attachment App 2, which contains a matrix of the priority populations currently identified in EEC policy, including definitions of each priority group.

APPENDIX 3: ADDITIONAL CERTIFICATIONS

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

- 1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:**
<http://www.hhs.gov/ocr/ps690.pdf>
- 2. Certification regarding debarment:**
<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>
- 3. Definitions for use with certification of debarment:**
<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>
- 4. HHS certification regarding drug-free workplace requirements:**
<http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm>
- 5. Certification of Compliance with the Pro-Children Act of 1994:**
<http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm>
- 6. Certification regarding lobbying:**
<http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.

REQUIRED ATTACHMENTS

List all attachments included with this Plan.

Attachment 2.2	Summary of Public Comments
Attachment 3.2.1	EEC Payment Rates
Attachment 3.2.3	Summary of Facts Relied on to Ensure Equal Access, including Market Rate Survey Instruments and Market Rate Study Results Summary
Attachment 3.5.1	EEC Sliding Fee Scale
Attachment 4.1.1	EEC Parent Application and Fee Agreement
Attachment 5.2.1	Guideline for Pre-School Learning Experiences
Attachment 5.2.5	Workforce Development Plan
Attachment App 2	EEC Priority Populations

Attachment 3.2.1 – Payment Rates, effective July 1, 2009

Table 1
Massachusetts—2009 Market Price Study

GROUP CHILD CARE CENTERS
Full Time Group Centers - Current Rates, Median and 75%ile of Prices

Region	Type	Current Rate	Median	75%ile
Western (Region 1)	INF	\$47.90	\$51.00	\$58.00
	TOD	\$43.20	\$46.00	\$53.00
	PS	\$33.40	\$36.00	\$44.39
Central (Region 2)	INF	\$49.20	\$54.00	\$64.90
	TOD	\$44.20	\$50.00	\$56.00
	PS	\$33.40	\$41.00	\$46.88
Northeast (Region 3)	INF	\$54.95	\$67.00	\$76.60
	TOD	\$49.55	\$60.00	\$69.60
	PS	\$35.65	\$46.20	\$55.80
Greater Boston (Region 4)	INF	\$59.50	\$73.40	\$82.60
	TOD	\$52.85	\$67.80	\$74.80
	PS	\$36.70	\$49.70	\$61.40
Southeast (Region 5)	INF	\$47.90	\$50.00	\$59.00
	TOD	\$44.20	\$47.00	\$53.80
	PS	\$33.40	\$40.00	\$45.40
Boston (Region 6)	INF	\$54.55	\$62.00	\$92.40
	TOD	\$48.40	\$55.00	\$68.28
	PS	\$36.70	\$40.00	\$50.00

Attachment 3.2.1 – Payment Rates, effective July 1, 2009 (continued)

**Table 2
Massachusetts—2009 Market Price Study**

School Age Centers

After School Care - Current Rates, Median and 75%ile of Prices

Region	Current Rate	Median	75%ile
Western (Region1)	\$15.25	\$14.00	\$16.50
Central (Region 2)	\$15.25	\$18.60	\$22.00
Northeast (Region 3)	\$17.05	\$20.00	\$23.00
Greater Boston (Region 4)	\$17.50	\$18.71	\$22.00
Southeast (Region 5)	\$15.25	\$18.00	\$19.75
Boston (Region 6)	\$17.50	\$21.00	\$22.50

Attachment 3.2.1 – Payment Rates, effective July 1, 2009 (continued)

**Table 3
Massachusetts—2009 Market Price Study**

FAMILY CHILD CARE

**Full Time Family Child Care (< 2 Years)
Current Rates, Median and 75%ile of Prices**

Region	Current Rate	Median	75%ile
Western (Region 1) Infant	\$30.10	\$32.00	\$38.25
Western (Region 1) Toddler	\$30.10	\$32.00	\$36.00
Central (Region 2) Infant	\$31.80	\$37.00	\$40.50
Central (Region 2) Toddler	\$31.80	\$36.00	\$40.00
Northeast (Region 3) Infant	\$31.50	\$40.00	\$50.00
Northeast (Region 3)	\$31.50	\$38.00	\$50.00
Greater Boston (Region 4) Infant	\$34.35	\$54.00	\$60.00
Greater Boston (Region 4) Toddler	\$34.35	\$50.00	\$60.00
Southeast (Region 5) Infant	\$31.80	\$40.00	\$47.00
Southeast (Region 5) Toddler	\$31.80	\$40.00	\$45.00
Boston (Region 6) Infant	\$31.50	\$33.00	\$40.00
Boston (Region 6)	\$31.50	\$30.00	\$36.00

**Full Time Family Child Care (\geq 2 Years)
Current Rates, Median and 75%ile of Prices**

Region	Current Rate	Median	75%ile
Western (Region 1)	\$26.40	\$31.00	\$35.00
Central (Region 2)	\$26.40	\$35.00	\$40.00
Northeast (Region 3)	\$27.85	\$37.00	\$50.00
Greater Boston (Region 4)	\$27.85	\$50.00	\$60.00
Southeast (Region 5)	\$26.40	\$40.00	\$45.00
Boston (Region 6)	\$27.85	\$30.00	\$35.00

Attachment 3.2.1 – Payment Rates, effective July 1, 2009 (continued)

Table 4
Massachusetts—2009

INFORMAL CHILD CARE

Type of Informal Care	Part-Time Rate ¹	Full-Time Rate ²
In-Home/Relative	\$8.00/day	\$15.00/day
In-Home/Non-Relative	\$8.00/day	\$15.00/day

¹ Informal child care for less than 6 hours per day is considered part-time child care.

² Informal child care for 6 hours or more per day is considered full-time child care.

Attachment 3.2.3 – Summary of Results

2009 Child Care Market Price Study Summary of Rates

Introduction

In December 2008, EEC contracted with Mills Consulting Group and Goodman Research Group to conduct a study of the current market prices being charged by licensed child care providers across the Commonwealth. The market price study completed data collection in April 2009, and the final results were reported to EEC in June 2009.

This summary presents the findings from the study in each of six local market areas in the state by type of care and age group. EEC defines daily published rates as the rates for private paying parents or parents who pay for child care without any state subsidies. The six local market areas are the six EEC Administrative Regions in the state:

1. Western;
2. Central;
3. Northeast;
4. Greater Boston;
5. Southeast; and
6. Boston.

The three major types of care and their age/time of year subsets include:

1. Family child care (from 1 month through 12 years of age, and up to 16 if the child has special needs):
 - a. Children under the age of 15 months
 - b. Children between 15 months and 24 months
 - c. Children over the age of two years
2. Center-based care:
 - a. Infants (0-15 months)
 - b. Toddlers (16 months to 33 months)
 - c. Preschooler children (34 months to the age the child is eligible to enter first grade)
3. School age care (a child who is either enrolled in kindergarten or is eligible to enroll in the first grade the next school year, through the age of 12, or under the age of 16 if the child has special needs):
 - a. Before school
 - b. After school
 - c. Vacation/holiday care
 - d. Summer care

Sample

The universe for the study included all active licensed providers that were providing full time child care for a minimum of 4 days per week. This included the following numbers by type of care:

- ____ Family providers;
- ____ Group providers; and
- ____ School age providers.

Data Collection and Response Rate

Data were collected through telephone interviews and an online questionnaire with the providers. The research team used three interview protocols – one each for family child care providers, group child care providers, and school-aged child care providers.

Interviews were conducted by the Massachusetts CCR&R Network between January and late March 2009 using both a web-based survey form and direct telephone interviews. Efforts to achieve an acceptable response rate included an advance letter and worksheet from the EEC Commissioner to alert providers to the specific information requested in the interviews, at least three calls to each provider, and the flexibility to conduct interviews in the evening. In creating the survey, EEC solicited input from the market rate advisory group, and their feedback assisted in the development of questions and strategies to increase provider response.

General Findings

- Prices for center-based care are highest for infants, then toddlers, then preschoolers.
- Prices for family child care do not vary markedly with the age of the child in care although they decrease slightly as the child grows older.
- Prices for center-based care are higher than prices for family child care.
- Prices for center-based and family child care are generally highest in the suburbs of Boston (Region 2) and lowest in the Western Massachusetts (Region 1).
- Prices for after-school care are highest in Northeastern Massachusetts (Region 3) and Boston (Region 6) and lowest in Western Massachusetts (Region 1).
- All data was collected at the zip code level which will allow EEC to analyze the existing rate reimbursement regions.

Attachment 3.2.3 – Market Rate Study Survey Instruments

**EEC Market Rate Survey
Child Care Centers**

Center Name: _____

Your Name: _____

City & Zip Code: _____

1. In the last 3 months have you enrolled any full fee paying families at your center? *(These are families who are not using voucher/subsidy rates, sliding scale rates, employee discounts, sibling discounts or any other discounted rates)*

_____ Yes _____ No

If you answered NO, you are done with the survey. Please return in the envelope provided. Thank you very much. If your answer is YES, please continue with the survey.

2. What is the earliest time children can arrive at your program each day? You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

3. What is the latest time children can leave your program each day? You can use the Daily option if your closing times are the same each day.

If your program has an evening shift, please give us the latest “day shift” pick-up time.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

4. Please check the days of the week you are open for full day care.

Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

5. What is the maximum amount your center charges for full-time care for each age group; ignore voucher/subsidy rates, sliding scale rates, employee discounts or any other discounted rates.

Please fill in the rate as you would typically charge/quote a parent.

Infants (6 weeks to 15 months)

Hourly _____
Full day _____
Weekly _____
Monthly _____

Toddlers (16 months to 33 months)

Hourly _____
Full day _____
Weekly _____
Monthly _____

Preschoolers (34 months to 5 years)

Hourly _____
Full day _____
Weekly _____
Monthly _____

6. Please share with us your desired full time capacity for each age group.

Note: Desired capacity cannot exceed licensed capacity.

_____ Infants

_____ Toddlers

_____ Preschoolers

**You are finished with the survey. Please return in the envelope provided.
Thank you very much for your time.**

Attachment 3.2.3 – Market Rate Study Survey Instruments (continued)

**EEC Market Rate Survey
Family Child Care Programs**

Your Name: _____

City & Zip Code: _____

1. In the last 3 months have you enrolled any “full fee” paying children in your family child care home? *(These are children who are not using voucher/subsidy rates, sliding scale rates, employee discounts, sibling discounts or any other discounted rates)*
____ Yes ____ No

If you answered NO, you are done with the survey. Please return in the envelope provided. Thank you very much. If your answer is YES, please continue with the survey.

2. What is the earliest time children can arrive at your program each day? You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

3. What is the latest time children can leave your program each day? You can use the Daily option if your closing times are the same each day.

If your program has an evening shift, please give us the latest “day shift” pick-up time.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

4. Please check the days of the week you are open for full day care.

Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

5. What is the maximum amount you charge for full-time care for each age group; ignore voucher/subsidy rates, sliding scale rates, employee discounts or any other discounted rates.

Please fill in the rate as you would typically charge/quote a parent.

Infants

Hourly _____
Full day _____
Weekly _____
Monthly _____

Toddlers

Hourly _____
Full day _____
Weekly _____
Monthly _____

Preschoolers

Hourly _____
Full day _____
Weekly _____
Monthly _____

6. Please share your desired full time capacity for each age group.
Note: Desired capacity cannot exceed licensed capacity.

_____ Infants

_____ Toddlers

_____ Preschoolers (ages 2+)

You are finished with the survey. Please return in the envelope provided.
Thank you very much for your time.

Attachment 3.2.3 – Market Rate Study Survey Instruments (continued)

**EEC Market Rate Survey
School-Age Programs**

Program Name: _____

Your Name: _____

City & Zip Code: _____

1. In the last 3 months have you enrolled any full fee paying families in your program? *(These are families who are not using voucher/subsidy rates, sliding scale rates, employee discounts, sibling discounts or any other discounted rates)*

_____ Yes _____ No

If you answered NO, you are done with the survey. Please return the survey in the envelope provided. Thank you very much. If your answer is YES, please continue with the survey.

2. Do you charge one rate for after school sessions, another rate for before school sessions and another rate for full day sessions?

_____ Yes _____ No

If the answer is YES, go to Question #3. If the answer is NO please go to Question #2a.

2a. Do you use a blended rate?

_____ Yes _____ No

If the answer is YES, skip to Question #11.

3. First, we want to ask about rates you charge for the school-age care only. Please do not include additional services, such as transportation.

Does your program offer an after-school session?

_____ Yes _____ No

If the answer is YES, go to Question #4. If the answer is NO please go to Question #5.

4. What is the maximum amount you charge full fee paying families for the “after school session” during the school year? Please give us the rate that is based on how you actually charge/quote parents. (Only need to fill in those rates that apply).

Hourly _____

Daily _____

Weekly _____

Monthly _____

4a. What is the earliest time children can arrive at your after-school program each day? Do not include the time children arrive for a Kindergarten wrap-around program if applicable. You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

4b. What is the latest time children can leave your after-school program each day? You can use the Daily option if your closing times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

4c. Please share with us your desired after-school capacity (should not exceed licensed capacity). _____

5. Does your program offer a before-school session?

_____ Yes _____ No

If the answer is YES, go to Question #6. If the answer is NO please go to Question #7.

6. What is the maximum amount you charge families for the “before school session” during the school year? Please give us the rate that is based on how you actually charge/quote parents. (Only need to fill in those rates that apply).

Hourly _____
Daily _____
Weekly _____
Monthly _____

6a. What is the earliest time children can arrive at your before-school program each day? You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

6b. What is the latest time children can leave your before-school program each day?
You can use the Daily option if your closing times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

6c. Please share with us your desired before school capacity (should not exceed licensed capacity). _____

7. Does your program offer full day care during holidays and/or school vacations (excluding summer)?
_____ Yes _____ No

If the answer is YES, go to Question #8. If the answer is NO please go to Question #9.

8. If you offer full day care during holidays and/or school vacations (excluding summer), what is the maximum amount you charge based on a FULL day? Please tell us the rate based on how you actually charge/quote parents. (Only need to fill in those rates that apply)

Hourly _____
Daily _____
Weekly _____

8a. What is the earliest time children can arrive at your full day program each day?
You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

8b. What is the latest time children can leave your full day program each day?
You can use the Daily option if your closing times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

8c. Please share with us your desired full-day capacity (should not exceed licensed capacity).

9. Do you offer a summer vacation program that is licensed by EEC?

_____ Yes _____ No

If you answered YES, please continue with the survey, if you answered NO, you are finished with the survey. Please return the survey in the envelope provided. Thank you very much for your time.

10. What is the maximum amount you charge for your Summer program? Please tell us the rate based on how you actually charge/quote parents. (Only need to fill in those rates that apply)

Hourly _____

Daily _____

Weekly _____

Monthly _____

10a. What is the earliest time children can arrive at your Summer program each day?

You can use the Daily option if your opening times are the same each day.

Daily _____

Monday _____

Tuesday _____

Wednesday _____

Thursday _____

Friday _____

10b. What is the latest time children can leave your Summer program each day?

You can use the Daily option if your closing times are the same each day.

Daily _____

Monday _____

Tuesday _____

Wednesday _____

Thursday _____

Friday _____

10c. Please share with us your desired Summer program capacity (should not exceed licensed capacity). _____

11. First, we want to ask about rates you charge for the school-age care only.

Please do not include additional services, such as transportation.

If you charge a blended rate (the same rate each week whether children attend before school, full day or just after school) what is the maximum amount you charge for full fee

paying families per child? *(Remember to ignore children using voucher/subsidy rates, sliding scale rates, employee discounts, sibling discounts or any other discounted rates).*

Full Year _____

Hourly _____

Daily _____

Weekly _____

Monthly _____

11a. What is the earliest time children can arrive at your after-school program each day? Do not include the time children arrive for a Kindergarten wrap-around program if applicable. You can use the Daily option if your opening times are the same each day.

Daily _____

Monday _____

Tuesday _____

Wednesday _____

Thursday _____

Friday _____

11b. What is the latest time children can leave your after-school program each day? You can use the Daily option if your closing times are the same each day.

Daily _____

Monday _____

Tuesday _____

Wednesday _____

Thursday _____

11c. Please share with us your desired after-school capacity (should not exceed licensed capacity). _____

12. Does your program offer a before-school session?

_____ Yes _____ No

If the answer is YES, go to Question #12a. If the answer is NO please go to Question #13a.

12a. What is the earliest time children can arrive at your before-school program each day?
You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

12b. What is the latest time children can leave your before-school program each day?
You can use the Daily option if your closing times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

12c. Please share with us your desired before-school capacity (should not exceed licensed capacity). _____

13a. What is the earliest time children can arrive at your full day program each day?
You can use the Daily option if your opening times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

13b. What is the latest time children can leave your full day program each day?
You can use the Daily option if your closing times are the same each day.

Daily _____
Monday _____
Tuesday _____
Wednesday _____
Thursday _____
Friday _____

13c. Please share with us your desired full-day capacity (should not exceed licensed capacity). _____

You are finished with the survey. Please return in the envelope provided.
Thank you very much for your time.



Commonwealth of Massachusetts
Department of Early Education and Care (EEC)

INCOME ELIGIBILITY TABLE

Step 1: Use This Form to Determine Family Eligibility

1. Find the column with the family's size written at the top.
2. Read down the column until you come to the correct income (either annual or monthly).
3. Then read directly across to the left to determine "Percent State Median Income."
4. Please refer to "Current Income Eligibility by Program" (below) to determine the family's eligibility.

% of State Median Income (SMI)	Family of Two		Family of Three		Family of Four		Family of Five		Family of Six		Family of Seven		Family of Eight		Family of Nine	
	Annual	Monthly*	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly
50% SMI	\$34,020	\$2,835	\$42,024	\$3,502	\$50,029	\$4,169	\$58,034	\$4,836	\$66,038	\$5,503	\$67,539	\$5,628	\$69,040	\$5,753	\$70,541	\$5,878
85% SMI	\$57,834	\$4,819	\$71,441	\$5,953	\$85,049	\$7,087	\$98,657	\$8,221	\$112,265	\$9,355	\$114,817	\$9,568	\$117,368	\$9,781	\$119,920	\$9,993
100% SMI	\$68,039	\$5,670	\$84,049	\$7,004	\$100,058	\$8,338	\$116,067	\$9,672	\$132,077	\$11,006	\$135,078	\$11,257	\$138,080	\$11,507	\$141,082	\$11,757

% of State Median Income (SMI)	Family of Ten		Family of Eleven		Family of Twelve	
	Annual	Monthly	Annual	Monthly	Annual	Monthly
50% SMI	\$72,042	\$6,003	\$73,543	\$6,129	\$75,044	\$6,254
85% SMI	\$122,471	\$10,206	\$125,022	\$10,419	\$127,574	\$10,631
100% SMI	\$144,084	\$12,007	\$147,085	\$12,257	\$150,087	\$12,507

*To calculate a monthly income from a weekly income multiply by 4.33.
*To calculate a monthly income from a bi-weekly income multiply by 2.167.

Federal ID #:

Department of Early Education and Care

Child Care Subsidy Application and Fee Agreement

Last Name	First Name
Street Address	P.O. Box
City/Town	Zip
Home Phone #	Work Phone #
Primary Parent SSN	Second Parent SSN

Parent Type ☐ One Parent ☐ Two Parent ☐ Grandparent ☐ Foster Parent
☐ Guardian ☐ Teen Parent DOB: _____

Service Need: Primary / Second Parent

- | | |
|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> Employment |
| <input type="checkbox"/> | <input type="checkbox"/> Job Search |
| <input type="checkbox"/> | <input type="checkbox"/> Training |
| <input type="checkbox"/> | <input type="checkbox"/> High School |
| <input type="checkbox"/> | <input type="checkbox"/> GED / College |
| <input type="checkbox"/> | <input type="checkbox"/> Maternity Leave |
| <input type="checkbox"/> | <input type="checkbox"/> Parent Incapacity |
| <input type="checkbox"/> | <input type="checkbox"/> Child with Special Needs |

Income Detail:
(Check all that apply)

- | | |
|---|---|
| <input type="checkbox"/> Employment | <input type="checkbox"/> Child Support |
| <input type="checkbox"/> Self-Employment | <input type="checkbox"/> Housing Assistance (cash only) |
| <input type="checkbox"/> TANF / TAFDC | <input type="checkbox"/> Alimony |
| <input type="checkbox"/> Food Stamps | <input type="checkbox"/> Other (SSI) |
| <input type="checkbox"/> Former TAFDC Recipient | |

Total Household Income (from Application Worksheet): \$ _____

Fee Level: _____ **Family Size:** _____

Eligibility: ☐ Initial ☐ Continuing: (include code) _____

Continuity Codes: C1: continuing, no change C4: return < 3 months
C2: sibling C5: transfer program, same funding
C3: SA child, summer only C6: transfer funding

Authorization Start Date: _____ **End Date:** _____ **Reassessment Date:** _____

Federal ID #:

Primary Parent SSN# _____

Children in Subsidized Care

Date of Birth: _____ Age Order _____ First Name: _____ ☐ Supportive?
Last Name: _____ Sex _____ ☐ Foster Child?
Child's SSN: _____ DSS Referral #: _____ ☐ Disability?
Slot # _____ Contract and MMARS Line # _____ Daily Fee : _____

Race / Ethnicity: Check all that apply: ☐ American Indian / Alaskan Native ☐ Hispanic / Latino
☐ Black / African American ☐ Asian ☐ Native Hawaiian / Pacific Islander ☐ White ☐ Other

Date of Birth: _____ Age Order _____ First Name: _____ ☐ Supportive?
Last Name: _____ Sex _____ ☐ Foster Child?
Child's SSN: _____ DSS Referral #: _____ ☐ Disability?
Slot # _____ Contract and MMARS Line # _____ Daily Fee : _____

Race / Ethnicity: Check all that apply: ☐ American Indian / Alaskan Native ☐ Hispanic / Latino
☐ Black / African American ☐ Asian ☐ Native Hawaiian / Pacific Islander ☐ White ☐ Other

Date of Birth: _____ Age Order _____ First Name: _____ ☐ Supportive?
Last Name: _____ Sex _____ ☐ Foster Child?
Child's SSN: _____ DSS Referral #: _____ ☐ Disability?
Slot # _____ Contract and MMARS Line # _____ Daily Fee : _____

Race / Ethnicity: Check all that apply: ☐ American Indian / Alaskan Native ☐ Hispanic / Latino
☐ Black / African American ☐ Asian ☐ Native Hawaiian / Pacific Islander ☐ White ☐ Other

Non-Subsidized Children in Family (exclude foster children)

Name	Disability Y/N	DOB	Relationship Documentation

Federal ID #:

Wage Conversion Calculation

Gross weekly x 4.33 = Gross Monthly

Gross every two weeks x 2.17 = Gross Monthly

Gross twice monthly x 2 = Gross Monthly

Gross quarterly divided by 3 = Gross Monthly

Monthly Income Calculation

Total Gross Monthly Income

Application or Reassessment (circle one)

- _____ 1. TAFDC Grant
- _____ 2. SSI
- _____ 3. Child Support / Alimony Rec'd.
- _____ 4. Parents' Gross Monthly Wages/
Income from Self-employment)
- _____ 5. Other Cash Assistance
(specify source)

_____ **Total Gross Monthly Income**

Adjusted Gross Monthly Income (if applicable)

Application or Reassessment (circle one)

- _____ 1. Gross Monthly Income
- _____ 2. Child Support / Alimony Paid
- _____ 3. TAFDC Rental Allowance (when applicable)
- _____ 4. Other Federal or State Housing Assistance (include
(Cash Only)
- _____ 5. Employer's Benefit \$ (when applicable)

_____ **Total Adjusted Monthly Income**

Circle Total Allowable Income Level From Below – Effective 7/1/06

Family Size	2	3	4	5	6	7	8	9
50% SMI	\$2,338	\$2,890	\$3,441	\$3,991	\$4,542	\$4,645	\$4,748	\$4,851
85% SMI	\$3,978	\$4,913	\$5,849	\$6,785	\$7,720	\$7,896	\$8,071	\$8,246
100% SMI	\$4,679	\$5,780	\$6,881	\$7,982	\$9,084	\$9,289	\$9,495	\$9,701

Weekly Fee Computation

Application or Reassessment (Circle One)

Child Daily Fee x # Days = Weekly Fee

1st _____ x _____ = _____

2nd _____ x _____ = _____

3rd _____ x _____ = _____

Total weekly fee _____

x 2 = 1st payment _____

All information on this application and supporting documentation will be used to determine eligibility for child care and may be shared with EEC contracted or other authorized agency personnel for billing and/or other administrative purposes. Eligibility determination will include computer matches with other government agencies, and/or authorized contracted agency personnel. When waitlisted, certain information will be exchanged for needs assessment purposes as mandated by State law. ALL information will be used in confidence as required under Massachusetts statutes and regulations.

I certify under penalty of perjury that the information provided is correct and complete to the best of my knowledge. I will report to this agency within five (5) business days any change in income, family size, or service need. I agree to pay all weekly fees to the authorized child care provider. I will also pay an initial deposit equal to one week's fees. (Initial deposits will be adjusted accordingly when there are changes to the assessed weekly fee amounts.) I agree to pay the assessed fees for the provider's EEC-approved closings, and for absences and vacations of my child/ren. I have reviewed a schedule of the child care provider's holidays/closures and the snow day policy. I understand that I am not required to pay fees for unauthorized provider closings. I understand that I have the right to request an EEC Review Process should my child care services be reduced or terminated. I agree to continue to pay uncontested fees while awaiting a Review Process decision and I agree to pay any parent fee owed as a result of a Review Process decision. I certify that I am not receiving more than 50 hours of subsidized child care per week from any source. **I understand that providing false or misleading information in connection with this application and/or failure to report within two weeks any change in circumstances that might impact my eligibility or fee may result in termination of the child care subsidy, ineligibility for any future EEC subsidy, an obligation to repay the cost of child care, and / or the assessment of a civil fine.**

Signature of Parent or Guardian / date

Signature of Agency Staff / date

MASSACHUSETTS
DEPARTMENT OF EARLY EDUCATION AND CARE
WORKFORCE DEVELOPMENT SYSTEM BUILDING UPDATE

MARCH 2009

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I. INTRODUCTION

Since its creation in 2005, the Board and Department of Early Education and Care have been charged through the enabling statute (MGL Chapter 15D: Section 5) to develop, implement, and annually report on progress towards a Workforce Development System for the early education and out of school time field (see Appendix A). Through this System, the goals of the Board and Department are to produce positive outcomes for children by supporting those who work with them directly or indirectly in a variety of roles and settings every day.

EEC released its first “*Workforce Development Plan in January, 2006*”¹ which provided a framework for the work and described the current state of the field. In June, 2007² EEC released an updated plan, which included key system elements and identified next steps for FY2008-2009.

Significant progress was made by the Massachusetts Early Education and Care and Out of School Time Workforce Development Task (Workforce Task Force), which was established in July 2007 by EEC, the United Way of Massachusetts Bay and Merrimack Valley and the Schott Fellowship in Early Care and Education³, now the CAYL Institute. The Workforce Task Force was charged with conducting further research and analysis to make recommendations on four key aspects of the workforce development system. These four areas; Core Competencies; EEC Orientation; Credentialing and Career Lattice; and Articulation/Transfer Agreements and Credit for Prior Learning were derived from the key elements of an effective workforce development system as defined in EEC’s 2007 Workforce Development Plan. The work of each of the four Workforce Task Force committees is highlighted throughout this report. The complete report of the task force, “*Steps Forward: Recommendations of the 2007-2008 Massachusetts Early Education and Care and Out of School Time Workforce Development Report*,” can be found at <http://www.eec.state.ma.us/docs/EEC%20OST%20WDTTaskForceFINAL.pdf>; the summary brochure is available at <http://www.eec.state.ma.us/docs/08EECBrochure.pdf>.

THE WORK OF THE TASK FORCE HAS BEEN IMPORTANT IN HELPING MASSACHUSETTS TO TAKE THREE STEPS FORWARD: INITIATING BROAD INPUT, FURTHER DEFINING KEY ELEMENTS OF A PROFESSIONAL DEVELOPMENT SYSTEM, AND CRAFTING NEXT STEPS.

-STEPS FORWARD, 2008

II. KEY ELEMENTS OF A WORKFORCE DEVELOPMENT SYSTEM

EEC has identified the following key elements that must be in place to establish a comprehensive Workforce Development System for Massachusetts:

1. Statewide Infrastructure Building, Leadership, and Strategic Planning;
2. Core Competencies (and Orientation);
3. Professional Development Data Management System;
4. Credentialing and Career Lattice (Career Pathways); and
5. Professional Development Opportunities and Resources Aligned with Requirements and Workforce Needs

¹ EEC’s 2006 Workforce Development Plan is available at http://www.eec.state.ma.us/docs/Workforce_Development_Plan_2006.pdf

² EEC’s 2007 Workforce Development Plan Update is available at: <http://www.eec.state.ma.us/docs/2007WorkforceReport%206.6.07.pdf>.

³ The Schott Fellowship in Early Care and Education is now the Community Advocates for Young Learners (CAYL) Institute.

1. STATEWIDE INFRASTRUCTURE BUILDING, LEADERSHIP, AND STRATEGIC PLANNING

Building a statewide infrastructure, leadership, and strategic planning are at the forefront of a well developed and comprehensive system. This past year has seen two pivotal events that expand and underscore this work. The creation of the Executive Office of Education (EOE) overseeing the Departments of Early Education and Care (EEC), Elementary and Secondary Education (ESE), and Higher Education (DHE) provides greater opportunity for connecting the professional development systems of these three agencies into a teacher preparation system in the Commonwealth. The report of the Governor's Readiness Commission, "*Ready for 21st Century Success*," emphasizes the importance of life long learning, beginning at birth, and the urgency of developing a workforce that can support the readiness of our children and youth at all stages of their development.

Although workforce development requires an infrastructure all its own, it is also a key structural element in several related EEC initiatives such as Universal Pre-Kindergarten (UPK) and the Quality Rating Improvement System (QRIS) that are building blocks of the larger statewide system of early education and care. In 2008, EEC began to encourage UPK programs to allocate funds on professional development opportunities that align with EEC's Core Competencies and offer undergraduate or graduate credits or CEUs; and the future QRIS will recognize Program and Practitioner Supports as a key need of that system.

EEC's professional development initiatives have not been exempt from the pervasive economic events of these past several months. Diminishing state revenues and the resulting 9C cuts necessitated a 36% reduction in the funding EEC planned to expend on professional development in FY2009. Specifically, professional development funding to the CCR&Rs was cut by 45%; funding to the CPCs was cut by an average of 46%. A \$200,000 increase in the CDA scholarship program was eliminated and the Building Careers grant program received a minor funding cut as well.

Despite these challenges, EEC's vision of a professional development system for the early education and care and out of school time workforce remains undiminished, although it will likely take longer to achieve. What has become clear in this climate is that we can no longer afford to do "business as usual;" there is new urgency to maximize resources, reduce duplication, and foster collaborative relationships among our professional development partners in the field. If there is a silver lining in these tough economic times it is this opportunity to examine and improve the infrastructure for delivering professional development services to our workforce.

2. CORE COMPETENCIES AND ORIENTATION

EEC's WORKFORCE GUIDING PRINCIPLES

INVOLVE AND ENGAGE STAKEHOLDERS IN THE PLANNING, DEVELOPMENT, AND ASSESSMENT OF THE WORKFORCE DEVELOPMENT SYSTEM;

INCLUDE ALL STAFF ROLES AND LEVELS, WORKING IN ALL SETTINGS, WITH CHILDREN OF ALL ABILITIES, BIRTH TO AGE 14;

BUILD ON THE STRENGTHS OF CURRENT WORKFORCE;

PROVIDE A FULL CONTINUUM OF OPPORTUNITIES FOR ALL STAFF ROLES AND LEVELS;

ASSURE EQUITY THROUGH INTEGRATION AND ALIGNMENT OF STANDARDS ACROSS PUBLIC AND PRIVATE SYSTEMS;

ENSURE AND PROMOTE DIVERSITY AMONG ALL ROLES AND LEVELS OF THE WORKFORCE, THROUGHOUT REGIONS AND LOCAL COMMUNITIES THROUGH ACCESSIBLE PROFESSIONAL DEVELOPMENT OPPORTUNITIES AND CLEAR CAREER PATHWAYS;

SET HIGH STANDARDS AND PROVIDE THE SUPPORTS AND INCENTIVES FOR INDIVIDUALS TO MEET AND MAINTAIN THEM;

ESTABLISH BEST PRACTICES FOR WORKING WITH CHILDREN AND FAMILIES BASED ON CURRENT RESEARCH;

LINK SUCCESSFUL CAREER ADVANCEMENT TO INCREASES IN COMPENSATION; AND

MAINTAIN A BALANCE AMONG ACCESS, COST, AND QUALITY ACROSS THE SYSTEM.

Core Competencies are defined as the range of knowledge and observable skills that adults working with children need to facilitate learning and development (National Child Care

One Goal of Core Competencies

"TO CAPTURE THE BREADTH AND DEPTH OF WHAT EDUCATORS, YOUTH WORKERS, AND ADMINISTRATORS IN THE FIELD SHOULD KNOW AND BE ABLE TO DEMONSTRATE."

STEPS FORWARD, 2008

Information and Technical Assistance Center, 2005); and give educators a framework for professional development -- a road map -- leading them to new credentials, or guiding on-going professional development at various career stages.

Massachusetts is among several states developing and implementing core competencies for early education and care. Massachusetts is, however, unique in creating a single core competencies document for all types of care and all ages served birth to 14 years old. The competencies are

also intended for use across early education and care, out of school time, and Early Intervention (through a collaborative process with the Department of Public Health (DPH)) to facilitate increased transferability of knowledge and skills.

In addition, EEC has proposed regulations that require that all who enter the Massachusetts early education and care and out of school time workforce undergo an orientation to their profession⁴, EEC's vision is to develop a statewide orientation system that offers those entering the field an introduction to core knowledge about child development and other competency areas.

Two committees of the Workforce Task Force worked to align this key system element; the Core Competencies Committee determined the 8 core areas of competency all staff must demonstrate and the Orientation Committee imbedded these competency areas in its recommended 40 hours of required orientation that staff would undergo during their first two years of employment in the field.

3. PROFESSIONAL DEVELOPMENT DATA MANAGEMENT SYSTEM

EEC is developing a comprehensive system that will provide current and accurate data on the early education and care and out of school time workforce. This system is being designed to support educators by recognizing and documenting their qualifications, and providing them with information about professional development opportunities across the state, qualified trainers, as well as career options and pathways. EEC anticipates that the initial phase of this data management system, a basic registry, will be in operation in fiscal year 2010. EEC's proposed regulations will require annual registration by all staff working in EEC-licensed programs.⁵

4. CREDENTIALING AND CAREER LATTICE (CAREER PATHWAYS)

The lack of a clear set of credentials and a career lattice or pathway for the early education and care and out of school time workforce continues to be an obstacle in the development of a comprehensive and equitable workforce development system. Developing a single

⁴ In its proposed regulations, EEC has included a requirement that, "All educators must attend an orientation to early education and care approved by the Department".

⁵ EEC's proposed regulations require that, "All educators must register annually with the Department of Early Education and Care in accordance with EEC policies and procedures."

career lattice for our field that aligns different program types (e.g. group, family child care, school age programs) and includes all positions (group leader, director, and family child care assistant, etc.) is very challenging.

The Credentialing and Career Lattice Committee of the Workforce Task Force was charged with outlining a set of credentials for each type of care and setting and identifying the various pathways for movement within and among these credentials and domains. The purpose of this work is to develop a flexible lattice model with multiple points of entry that illustrate the options for career growth and advancement for all educators.

5. PROFESSIONAL DEVELOPMENT OPPORTUNITIES AND RESOURCES ALIGNED WITH REQUIREMENTS AND WORKFORCE NEEDS

Since 2007 EEC has worked to align its professional development requirements and standards through agency initiatives.

EEC strives to leverage and maximize available resources by requiring entities receiving Professional Development funding (CCR&R agencies, Building Careers Colleges and CPC programs) to collaborate with each other and other entities such as family child care systems, Massachusetts Family Networks (MFNs), Parent-Child Home Programs (PCHPs), institutions of higher education, Head Start programs, local education authorities (LEAs), and educational collaboratives to address the professional development needs of the field.

EEC also supports two scholarship programs, the Early Childhood Educators (ECE) Scholarship and Child Development Associate (CDA) Scholarship. The ECE scholarship aims to increase the number of degreed staff in the field. The CDA credential requires formal education, time in the field, evaluation and observation to document the increased ability of the educator to meet specific needs of children and work with parents to nurture children's physical, social, emotional, and intellectual growth. The attainment of a CDA credential enables family child care providers to meet EEC requirements for the CPC and UPK grants and corresponds with EEC Lead Teacher Certification requirements.

During the spring of 2008 EEC formally began developing a Massachusetts Quality Rating & Improvement System (QRIS), which is a method to assess, improve, and communicate the level of quality in early care & education and after-school settings (Stair Steps to Quality, United Way Success by Six, p. 4). A key piece of this system is building on current/existing resources to put an infrastructure in place that supports programs and practitioners in meeting and maintaining quality standards (Mitchell, 2005).

EEC continues to strive to knit together current resources into a professional development system that will facilitate the identification of existing gaps and necessary resources.

III. KEY NEXT STEPS (2007-2008)

In the 2007 Workforce Development Plan, EEC identified 10 key next steps to moving forward with the establishment and advancement of the workforce system's key elements.

1. Convene the Massachusetts Early Education and Care and Out of School Time Workforce Development Task Force.

2. Build EEC's capacity by hiring additional staff to implement the workforce plan.
3. Continue to collect and analyze data on "current state" including assessing statewide professional development needs.
4. Work with the DHE to build the capacity of two and four year schools to work with the early education and care and out of school time workforce.
5. Continue linking funding increases to staff/program quality through Universal Pre-K (UPK), and other quality initiatives development.
6. Seek feedback and finalize Core Competencies.
7. Design a basic EEC Orientation program to help all educators that are entering the field learn about EEC regulations, core competencies, and resources for professional development and support.
8. Begin building an IT infrastructure for EEC Professional Development Data Management System.
9. Continue research on developing comparable credentials for those working across settings and how those can most effectively link to both core competencies and a career lattice.
10. Identify critical gaps and develop FY2009 budget priorities to begin addressing most critical needs.

IV. PROGRESS TO DATE

Listed below is the progress made in the past year per each key next step identified in the 2007 Workforce Development Plan.

KEY NEXT STEP 1:

Convene the Massachusetts Early Education and Care and Out of School Time Workforce Development Task Force.

In collaboration with the United Way of Massachusetts Bay and Merrimack Valley and the Schott Fellowship in Early Care and Education, now the CAYL Institute, EEC convened the Massachusetts Early Education and Care and Out of School Time Workforce Development Task Force (Workforce Task Force) in July 2007. The Workforce Task Force was comprised of more than 50 members representing early education and out of school time, colleges and universities, state agencies, professional organizations, training organizations, workforce development agencies, private business partners, and private funders. The purpose of the Workforce Task Force was to provide EEC with feedback, recommendations, and actionable next steps for developing a comprehensive system of professional development for the field. The Workforce Task Force focused on four of the key areas from EEC's 2007 Workforce Development Plan: core competencies, orientation, credentialing and career lattice, and transfer agreements and credit for prior learning.

KEY NEXT STEP 2:

Build EEC's capacity by hiring additional staff to implement the workforce plan.

EEC re-organized its structure and filled positions to prioritize workforce development. EEC divided the previously existing Quality and Workforce Development Unit into two distinct units to sharpen the focus on workforce development. In addition, two staff members were hired resulting in a Workforce Development unit comprised of an Associate Commissioner position and three specialists devoted entirely to workforce development policies and programmatic development. Three additional staff in the unit support the professional certification program that reviews the qualifications of staff in group child care settings.

KEY NEXT STEP 3:

Continue to collect and analyze data on “current state” including assessing statewide professional development needs.

EEC continues to collect quantitative and qualitative data on the early education and care and out of school time workforce through a variety of mechanisms including annual grant applications, mid and end of year reports, and the professional development calendar. EEC also receives feedback on the needs of the workforce anecdotally from internal and external stakeholders such as the EEC Advisory and other groups. However, there remains a critical need for robust data on the early education and out of school time workforce and its professional development needs. After developing a specifications document detailing its information and technology (IT) needs, EEC issued an RFR for the development of a Unified Information Technology System to align existing computer applications and to develop the forward-looking tools EEC needs. One of the first components to be developed will be the Professional Data Management System which will enable EEC to gather and analyze “real-time” data on the composition and professional development needs of the workforce.

KEY NEXT STEP 4:

Work with the DHE to build the capacity of two and four year schools to work with the early education and care and out of school time workforce.

The Articulation/Transfer Agreements and Credit for Prior Learning Committee of the Workforce Task Force was charged with developing recommendations to make higher education more accessible to the early education and care and out of school time field by addressing the articulation of credit across institutions and recognition of prior learning. The committee identified two goals: 1) strengthen Massachusetts’ current statewide transfer policies and practices, and 2) develop new policies and practices that support student success. To this end, the committee researched how Massachusetts’ institutions of higher education address prior learning, and studied articulation and transfer systems in other states. For the committee’s specific recommendations refer to *“Steps Forward: Recommendations of the 2007-2008 Massachusetts Early Education and Care and Out of School Time Workforce Development Report”*.

DHE has statutory authority over inter-institution student transfer. In April 2007, DHE created the Commonwealth Transfer Advisory Group (CTAG) to analyze issues that affect transfer and to recommend improvements. CTAG included members of the Joint Committee on Higher Education; faculty and staff from public institutions of higher education; members of the Joint Admissions Executive Committee; and experts on transfer issues. Over a 10-month period ending in March 2008, the group diagnosed barriers associated with transfer, examined other states’ policies and practices, identified costs associated with improvements, and recommended solutions. Specific recommendations from CTAG are available in the group’s final report *“MA Board of Higher Education Final Report from the Commonwealth Transfer Advisory Group”*.

The two committees shared a Chair and had a similar charge. As a result, the committees made several recommendations in common including the need for:

- A directory of course-to-course equivalencies;
- An electronic transcript delivery system with eventual addition of online degree audits;
- A statewide transfer website;
- An annual report to the Legislature;
- A full-time transfer coordinator at DHE;
- Statewide faculty meetings;
- Regular institutional reviews;
- Public recognition of good transfer practices; and
- An increase tuition waiver to a 100% tuition discount.

With these recommendations, easing access to higher education for the early education and care and out of school time field is being given priority at both agencies and at the Secretariat level; it is also a key recommendation of the Governor's *Readiness Report/ Education Action Agenda* (see inset below).

Ready for 21st Century Success, 2008

Action Steps and Related EEC Initiatives

Short Term (2008-2011)

Provide students with maximum flexibility and mobility to earn a college degree by guaranteeing transfer of course credit between and among the state's public higher education institutions.

- *EEC is working with DHE and institutions of higher education to improve articulation agreements and develop policies to support students.*

Mid Term (2012 – 2015)

Annually increase the investment in and availability of dual enrollment opportunities for all students. We will focus initially on first-generation college-goers, students interested in science, technology, engineering and mathematics disciplines, and concurrent enrollment programs for students with special needs.

- *The Early Childhood Educators (ECE) Scholarship and Building Careers in Early Education and Care grant provide early education and care and out of school time educators with the means and flexibility to earn a college degree.*
- *In partnership with DHE EEC is working to provide school age children with additional opportunities in science, technology, engineering, and mathematics (STEM).*

Long Term (2016 and beyond)

To capitalize on the critical role of community colleges in our education and workforce development system and to enhance the ability of Massachusetts' students and businesses to compete internationally, the public education system should include guaranteed access to free community college or the equivalent postsecondary or vocational education.

- *The Building Careers in Early Education and Care grant includes 13 of the 15 community colleges in the Commonwealth. Both the ECE Scholarship and Building Careers grant provide free community college to the early education and care and out of school time workforce.*

KEY NEXT STEP 5:

Continue linking funding increases to staff/program quality through Universal Pre-K (UPK), and other quality initiatives development.

Universal Pre-K (UPK): EEC continues to link funding increases to staff/program quality through the implementation of Universal Pre-K (UPK).

Through the UPK program, EEC seeks to ensure that all preschool children have a high-quality early learning experience and enter school ready to learn and succeed. EEC has awarded UPK pilot grants to programs to maintain and improve the quality of their preschool services by funding a system of workforce development that links program quality, staff competency, resources and supports.

EEC's UPK concept paper, *"Universal Pre-Kindergarten (UPK) Expansion and Phase-in Concept Paper, Updated May 2008"*, summarizes the current state of preschool access, quality, and affordability and key components of a comprehensive UPK system including leadership and professional development.

The UPK program grants can be used to fund increased teacher compensation and to strengthen teaching practice and professional development opportunities for staff. The recent August 2008 study by Abt Associates, Inc., *"Massachusetts Universal Pre-Kindergarten (UPK) Pilot Program: FY08 Evaluation"*⁶ confirmed the link between programs' use of UPK funds and professional development.

FY2008 UNIVERSAL PRE-K

- **218 QUALITY GRANTS AWARDED WITH 312 CLASSROOMS OR FAMILY CHILD CARE HOMES.**
- **67 AGENCIES REPRESENTING MORE THAN 285 SITES AWARDED ASSESSMENT PLANNING GRANTS.**

"THE FACT THAT, GIVEN SUFFICIENT PLANNING TIME, GRANTEEES ALLOCATED MORE OF THEIR FUNDING TO PROFESSIONAL DEVELOPMENT FOR STAFF AND FOR STAFF COMPENSATION, UNDERLINES PROGRAMS' RECOGNITION THAT (A) STAFF ARE A CRITICAL, IF NOT THE MOST IMPORTANT FEATURE IN DETERMINING THE QUALITY OF A PROGRAM, (B) INVESTMENTS IN STAFF REQUIRE SOME LONG-RANGE PLANNING, AND (C) UNLIKE MATERIALS, NEEDS IN THE AREA OF SUPPORT FOR STAFF CANNOT BE MET ON A ONE-TIME BASIS BUT ARE A CONTINUING PART OF QUALITY. IT ALSO SUGGESTS THAT, OVER TIME, PROGRAMS CAN BECOME MORE SOPHISTICATED ABOUT TARGETING THEIR FUNDING TO WHAT ARE, ARGUABLY, THE AREA OF HIGHEST PRIORITY FOR QUALITY—INVESTMENTS IN STAFF."

MASSACHUSETTS UNIVERSAL PRE-KINDERGARTEN (UPK) PILOT PROGRAM: FY08 EVALUATION, EXECUTIVE SUMMARY, 2008

Quality Rating Improvement System (QRIS): In February 2008, EEC began developing a Quality Rating and Improvement System (QRIS) to evaluate, communicate, and improve the quality of programs in Massachusetts. EEC convened a group of experts from the field to make preliminary recommendations on the goals, principles, structure, standards, and overall vision for the QRIS.

FIVE COMMON ELEMENTS OF A QUALITY RATING AND IMPROVEMENT SYSTEM

1. **STANDARDS**
2. **ACCOUNTABILITY**
3. **PROGRAM AND PRACTITIONER OUTREACH AND SUPPORT**
4. **FINANCIAL INCENTIVES**
5. **FAMILY/CONSUMER EDUCATION**

- MITCHELL, 2005

The QRIS is being designed for licensed and license-exempt programs and providers serving children birth through age 14, which includes center or public school-based programs, family child care, and after school and out of school time programs. Participation in the QRIS will initially be voluntarily and over the long term may become mandatory for programs and providers benefiting from certain funding streams. The QRIS standard areas deliberately parallel the core

⁶ The complete executive summary is available at:
<http://www.eec.state.ma.us/docs/UPK%20Evaluation%20Executive%20Summary.pdf>

competency areas identified by the Workforce Task Force. The career lattice is also a central part of the “Workforce Quality and Support” standard area.

The recommendations and foundational work of the Workforce Task Force are an important resource for the QRIS workgroup. The intentional overlap in the membership for both initiatives supported necessary communication to align and coordinate these efforts. Over the next year components of QRIS will be developed and implemented including supports for programs and practitioners.

KEY NEXT STEP 6:

Seek feedback and finalize Core Competencies.

Based on an initial draft and expert consultation with the National Child Care Information and Technical Assistance Center (NCCIC), the Workforce Task Force subcommittee established 8 core competency indicators. The committee stressed that the resulting document is a draft and recognized that this “first edition” will evolve as the field gains experience with its use.

EEC has imbedded the recommended Core Competency Areas in grant and contract applications for FY2008 and FY2009 including the Building Careers in Early Education and Care (Building Careers) and Community Partnerships for Children (CPC) Professional Development Grants, and the Child Care Resource and Referral (CCR&R) contracts for professional development. Each entity is responsible for indicating how their current trainings and coursework align with the recommended core competency areas.

In addition, EEC’s new electronic Professional Development Calendar⁷ has been designed to sort the available professional development opportunities by these core competency areas allowing educators to select professional development that best suits their needs. This will also allow EEC to determine which core competency areas need additional resources.

CORE COMPETENCY AREAS

- 1. UNDERSTANDING THE GROWTH AND DEVELOPMENT OF CHILDREN AND YOUTH***
- 2. GUIDING AND INTERACTING WITH CHILDREN AND YOUTH***
- 3. PARTNERING WITH FAMILIES AND COMMUNITIES***
- 4. HEALTH, SAFETY, AND NUTRITION***
- 5. LEARNING ENVIRONMENTS AND CURRICULUM***
- 6. OBSERVATION, PLANNING, AND ASSESSMENT***
- 7. PROGRAM PLANNING AND DEVELOPMENT***
- 8. PROFESSIONALISM AND LEADERSHIP***

KEY NEXT STEP 7:

Design a basic EEC Orientation program to help all educators entering the field learn about EEC regulations, core competencies, and resources for professional development and support.

In 2008, EEC guided the proposed child care licensing regulations, including the requirement for a standard orientation to the field, through both informal and formal public comment processes. Upon implementation (scheduled for January 2010), this Orientation would then be phased-in as a requirement.

⁷ EEC’s Professional Development Calendar can be viewed at <http://www.eec.state.ma.us/ProfessionalDevelopment/WebFindTraining.aspx>

The Orientation Committee of the Workforce Task Force conducted an extensive comparison of orientation models from other states and researched aligning orientation with a statewide workforce development system. The committee made the following recommendations:

- 40 hours of orientation required for all new staff;
- 10 hours of basic orientation to be completed within first 120 days of entering the workforce;
- 10 additional hours completed by the end of the first year of employment for a more in-depth review of the competencies;
- An additional 20 hours of professional development in the second year which addresses specific age groups, settings, and roles;
- Family child care providers must participate in an additional 5 hour pre-service orientation before working directly with children; and
- Completion of the 40 hours of content should be approved for 4 Continuing Education Units (CEUs), weighted credit at community colleges and/or credit toward EEC required in-service professional development hours.

KEY NEXT STEP 8:

Begin building an IT infrastructure for EEC Professional Development Data Management System.

In FY2009, EEC developed and launched a key component of the Professional Development Data Management System, a web-based Professional Development Calendar to serve as a centralized source of information on courses and training for all educators and licensees. In addition to empowering educators to make informed decisions about their professional development options, EEC's Professional Development Calendar will foster collaboration across training entities, reduce duplication to maximize resources, and make it easier for EEC licensors to identify resources for providers as issues arise.

In February 2009 EEC will launch development of its Unified Information Technology (IT) System which will greatly enhance the agency's capabilities to better achieve its mission of delivering services to Massachusetts families and children and the educators who serve them. One of the first projects of the Unified IT System will be the enhancement of the current Professional Qualifications registry and the Professional Development Calendar to create the EEC Professional Development Data Management System. Enhancements to the current Professional Qualifications system will include accommodating EEC's proposed regulations (to be promulgated in January 2010), adding out of school time educators and family child care educators, and tracking the proposed EEC Orientation requirements. Design for this stage of the project will begin in March 2009 with an anticipated release date of July 2009. The second tier of this project will be to tackle the Professional Development Calendar including necessary enhancements anticipated for fall 2009 with a release scheduled for winter 2010.

KEY NEXT STEP 9:

Continue research on developing comparable credentials for those working across settings and how those can most effectively link to both core competencies and a career lattice.

The Credentialing and Career Lattice Committee established a foundational set of principles to guide the development of the lattice. Their overarching goals were to define clear professional development pathways for all educators that are linked to a system of incentive-based compensation, and to enhance public recognition of early education and

care and out of school time educators as professionals. The committee envisions a credentialing and career lattice system that:

- Ties certificate and degree acquisition to ongoing professional development;
- Values/validates experience and prior learning;
- Facilitates collaboration between institutes of higher education (i.e. articulation agreements, non-traditional methods of education/training);
- Includes career mentoring/counseling;
- Is flexible and offers multiple points of entry and advancement;
- Is based on core competencies and linked to explicit standards;
- Values other bodies of knowledge and provides for reciprocity of training across other systems;
- Is evidence-based and is continually evaluated for effectiveness;
- Addresses the needs of non-traditional learners and linguistically diverse populations; and
- Is culturally sensitive and encourages diversity.

The committee examined other states' systems and developed an outline of position levels with defined roles and responsibilities, education, and experience requirements. The committee also established that, along with education and experience, evaluation is a necessary component of an effective competency-based credentialing and career lattice system.

KEY NEXT STEP 10:

Identify critical gaps and develop FY2009 budget priorities to begin addressing most critical needs.

Building Careers Grants: EEC sustained the Building Careers grant program in FY2008 through a combination of funding streams, including federal funds. In FY2009 Building Careers was funded entirely with state dollars for the first time.

Using a cohort model overseen by a coordinator at each college, the Building Careers program provides academic advising and career counseling to individuals in the field of early education and care and out of school time who are seeking a degree in early childhood education or a related field. In addition to tuition assistance, the Building Careers program responds to the needs of educators in the field by offering courses during weekends and evenings.

EEC has aligned the Early Childhood Educators (ECE) Scholarship and Building Careers programs by expanding the role of the Building Careers Coordinator to include supporting ECE Scholarship recipients at those colleges so that they too benefit from the support services such as mentoring, tutoring, and advising.

To respond to needs identified by the field, EEC amended the FY2008 grants to 15 Building Careers colleges to fund undergraduate and graduate courses focused on children with special needs. The additional

FY2008 BUILDING CAREERS IN EARLY EDUCATION AND CARE

- **21** MA INSTITUTIONS OF HIGHER EDUCATION
- **103** COURSES SUPPORTED
 - 64 EARLY CHILDHOOD EDUCATION CLASSES
 - 25 GENERAL EDUCATION CLASSES
 - 15 SPECIAL EDUCATION CLASSES
- **~137** ADDITIONAL STUDENT SUPPORTED THROUGH TUITION REMISSION
- **~500** EDUCATORS SERVED

FY2008 ECE SCHOLARSHIP

- **\$4M** IN FUNDING
- **1,300** APPLICANTS
- **900** APPROVED APPLICANTS
 - 47% ENROLLED IN ASSOCIATE DEGREE PROGRAM
 - 53% ENROLLED IN BACHELOR DEGREE PROGRAM
- **MORE THAN 4000** COURSES SUPPORTED

*ECE SCHOLARSHIP DATA PROVIDED BY OFFICE OF STUDENT FINANCIAL ASSISTANCE AS OF JULY 1, 2008.

coursework was available to Building Careers students, staff working with children with special needs, and those who are responsible for training staff. These Building Careers colleges provided at least 315 educators in the early education and care and out of school time field with this critical resource. Given the success of the amendment and demand for coursework related to children with special needs this component was continued in the FY2009 grant application.

STEM Curricula in After School/Out of School Time (ASOST) Programs: EEC is partnering with DHE to provide school age children with additional opportunities to engage in science, technology, engineering, and mathematics (STEM) education through after school/out of school time (ASOST) programming. The goal is to generate interest in students that leads them to consider careers in these fields. This initiative is an outgrowth of the STEM Pipeline Fund, an economic stimulus package the Commonwealth launched in 2003 to develop the STEM workforce by improving educational offerings, producing qualified teachers, and growing the number of students who prepare for and enter STEM careers. STEM Pipeline funds will be used to pilot STEM curricula developed by the Museum of Science and WGBH in eight EEC-licensed after school programs beginning in spring 2009. EEC will facilitate training after school program staff to coordinate the participation of the eight after school programs from three regions in Massachusetts (Western, Metro Boston, and Northeast). Pending results of this pilot and availability of funding, the initiative could be expanded to include more ASOST programs and continue collaborative efforts.

V. NEXT STEPS FOR 2009-2010

1. Work through the Executive Office of Education to align EEC's efforts in developing a workforce development system with the Action Steps in the Governors' Readiness Report.
2. Convene a Professional Development Workgroup of EEC's Advisory Team to advance the recommendations of the MA Early Education and Care and Out of School Time Workforce Development Task Force by integrating the work of the four committees and incorporating the recommendations into EEC's overall workforce development plans.
3. Solicit and share broader input from the early education and out of school time field on the recommendations of the MA Early Education and Care and Out of School Time Workforce Development Task Force.
4. Finalize the core competencies and continue to imbed them into grants, contracts, orientation, and other professional development vehicles.
5. Collaborate with Department of Higher Education, through the Executive Office of Education, to implement recommendations of CTAG and the Workforce Task Force related to transfer and articulation among state institutions of higher learning.
6. Partner with the Executive Office of Education, the Department of Higher Education and institutions of higher education in Massachusetts to develop plans that offer free access to community college to early education and care and out of school time staff.
7. Pending funding availability, connect scholarships for the Child Development Associate (CDA) credential to college credit so that candidates have a pathway and are encouraged to pursue college degrees upon achieving their CDA.

8. Expand the existing EEC family child care orientation into the 5 hour pre-orientation recommended by the Workforce Task Force; develop and pilot the first module of EEC Orientation for the entire field.
9. Develop a basic career lattice for the early education and out of school time field by convening small workgroups to address each practice domain (family child care, group child care, and school age child care).
10. Advance the EEC Professional Development Data Management System by developing and implementing a basic staff registry to identify staff that are currently active in the field and gather current workforce data.
11. Analyze data gathered by the online Professional Development Calendar on the current state of professional development opportunities; work to develop data filters within the calendar to better analyze available data; and solicit feedback from calendar users to inform the development of a second iteration.
12. Work with the Department of Higher Education to implement the STEM pilot at 6 to 8 school age programs in 2 to 3 EEC regions and evaluate the results.
13. Identify critical resource gaps and develop FY2010 budget priorities and action plan to address those needs.

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APPENDIX A: MGL, CHAPTER 15 LEGISLATIVE REQUIREMENTS

M.G.L Chapter 15D: Section 5. Workforce development system; implementation plan requires that “The board shall develop and annually update an implementation plan for a workforce development system designed to support the education, training and compensation of the early education and care workforce, including all center, family child care, infant, toddler, preschool and school-age providers. The board shall solicit input from organizations and agencies that represent a diverse spectrum of expertise, knowledge and understanding of broader workforce development issues and of the professional development needs of the early childhood and care workforce.”

To inform the plan, the board shall consider:

1. An inventory and assessment of the current resources and strategies available for workforce and professional development in the commonwealth, including but not limited to Head Start trainings, community-based trainings, higher education programs, child care resource and referral agency trainings, state and federally funded workforce development trainings/programs, public school system trainings/credentialing, and other trainings that address the needs of those who work with children and make recommendations for coordinating the use of those existing resources and strategies;
2. Analyses using current data on the status of the early education and care workforce, including work experience, certifications, education, training opportunities, salaries, benefits and workplace standards; and
3. An assessment of the workforce capacity necessary to meet the state’s early education and care needs in the future.

In development of the plan, the board shall consider:

1. Core competencies, a common and shared body of knowledge, for all those working in the early education and care fields;
2. Streamlined and coordinated state certification, credentialing, and licensing within the early education and care fields including teacher and provider certification and licensing, the child development associate, public school teacher certification, and other program standards as appropriate for director, teacher and provider credentialing requirements;
3. A mandatory and regularly updated professional development and qualification registry;
4. Agreements among higher education institutions for an articulated system of education, training, and professional development in early education and care;
5. Approval of early education and care training programs and academic coursework, incentives for associates and bachelors programs to meet best practices and to modify curricula to reflect current child development research, and certification of trainers and teachers;
6. Coordination of existing workforce resources among public agencies, including establishing regional workforce support resources in coordination with child care resource and referral agencies;
7. A range of professional development and educational opportunities that provide appropriate coursework and degree pathways for family child care as well as center-based providers at all levels of the career ladder that are available in locations, days, and times that are accessible;
8. Credit for prior learning experiences, development of equivalencies to 2 and 4 year degrees, and the inclusion of strategies for multiple pathways for entry into the field of early education and care;
9. Recruitment and retention of individuals into the early education and care workforce who reflect the ethnic, racial, linguistic, and cultural diversity of Massachusetts families based on the current census data;

10. Incentives and supports for early education and care professionals to seek additional training and education, such as scholarships, stipends, loan forgiveness connected to a term of service in the field, career counseling and mentoring, release time and substitutes;
11. Guidelines for a career ladder or career lattice representing salaries and benefits that suitably compensate professionals for increases in educational attainment and with incentives for advancement, including a salary enhancement program;
12. Public and private resources to support the Workforce Development System;
13. A data collection and evaluation system to determine whether the workforce and professional development activities established pursuant to this chapter are achieving recruitment, retention and quality of the workforce goals;
14. Ways to recognize and honor advancements in educational attainment among early education and care professionals.

APPENDIX B: LIST OF RESOURCES

1. Massachusetts Board of Higher Education Final Report from the Commonwealth Transfer Advisory Group: <http://www.mass.edu/ABOUTUS/DOCUMENTS/CTAGREPORT.PDF>
2. Massachusetts Department of Early Education and Care Proposed Licensing Regulations: <http://www.eec.state.ma.us/licensingRegulations.aspx>
3. Massachusetts Department of Early Education and Care State Plan: http://www.eec.state.ma.us/kr_StatePlan.aspx
4. Massachusetts Department of Early Education and Care Workforce Development Plan, January 2006: http://www.eec.state.ma.us/docs/Workforce_Development_Plan_2006.pdf
5. Massachusetts Department of Early Education and Care Workforce Development Plan, June 2007: <http://www.eec.state.ma.us/docs/2007WorkforceReport%206.6.07.pdf>
6. Massachusetts Universal Pre-Kindergarten Pilot Program Evaluation: www.eec.state.ma.us/docs/MA%20UPK%20Evaluation%20Final%20Report%2012-29-08_FINAL.pdf
7. Ready for 21st Century Success: The New Promise of Public Education: The Patrick Administration Education Action Agenda: <http://www.mass.gov/Agov3/docs/Readiness%20Final%20Report.pdf>
8. Steps Forward: Recommendations of the MA Early Education and Care and Out of School Time Workforce Development Task Force: <http://www.eec.state.ma.us/docs/EEC%20OST%20WDTTaskForceFINAL.pdf>
9. Steps Forward: Recommendations of the MA Early Education and Care and Out of School Time Workforce Development Task Force Summary Brochure: <http://www.eec.state.ma.us/docs/08EECBrochure.pdf>
10. United Way Success by 6: Stair Steps to Quality: A Guide for States and Communities Developing Quality Rating Systems for Early Care and Education: www.ecpolicycouncil.org/docs/StairStepstoQualityGuidebook.pdf
11. Universal Pre-Kindergarten (UPK) Expansion and Phase-in Concept Paper: www.eec.state.ma.us/docs/UPK_Concept_Paper_mostrecentMay2008.pdf