

Child Care and Development Fund (CCDF) Plan For Massachusetts FFY 2019-2021

1 Define CCDF Leadership and Coordination with Relevant Systems

This section identifies the leadership for the CCDF program in each Lead Agency and the entities and individuals who will participate in the implementation of the program. It also identifies the stakeholders that were consulted to develop the Plan and who the Lead Agency collaborates with to implement services. In this section respondents are asked to identify how match and maintenance-of-effort (MOE) funds are identified. Lead Agencies explain their coordination with child care resource and referral (CCR&R) systems, and outline the work they have done on their disaster preparedness and response plans.

1.1 CCDF Leadership

The Governor of a State or Territory shall designate an agency (which may be an appropriate collaborative agency), or establish a joint inter-agency office, 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(c)(1)). Note: An amendment to the CCDF State Plan is required if the Lead Agency changes or if the Lead Agency official changes.

1.1.1 Which Lead Agency is designated to administer the CCDF program?

Identify the Lead Agency or joint interagency office designated by the state or territory. ACF will send official grant correspondence, such as grant awards, grant adjustments, Plan approvals, and disallowance notifications, to the designated contact identified here (658D(a)).

a) Lead Agency or Joint Interagency Office Information:

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

Street Address: 51 Sleeper Street, 4th Floor

City: Boston

State: Massachusetts

ZIP Code: 02110

Web Address for Lead Agency: www.mass.gov/eec

b) Lead Agency or Joint Interagency Official Contact Information:

Lead Agency Official First Name: Thomas L.

Lead Agency Official Last Name: Weber

Title: Commissioner

Phone Number: 617-988-6600

Email Address: tom.weber@mass.gov

1.1.2 Who is the CCDF Administrator?

Identify the CCDF Administrator designated by the Lead Agency, the day-to-day contact, or the person with responsibility for administering the state's or territory's CCDF program. ACF will send programmatic communications, such as program announcements, program instructions, and data collection instructions, to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the Co-Administrator or the person with administrative responsibilities and include his or her contact information.

a) CCDF Administrator Contact Information:

CCDF Administrator First Name: Thomas L.

CCDF Administrator Last Name: Weber

Title of the CCDF Administrator: Commissioner

Phone Number: 617-988-6600

Email Address: tom.weber@mass.gov

Address for the CCDF Administrator (if different from the Lead Agency):

Street Address: 51 Sleeper Street, 4th Floor

City: Boston

State: Massachusetts

ZIP Code: 02110

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

CCDF Co-Administrator First Name: Thomas B.

CCDF Co-Administrator Last Name: Myers

Title of the CCDF Co-Administrator: Assistant General Counsel

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

Phone Number: 617-988-6620

Email Address: thomas.b.myers@mass.gov

Address for the CCDF Co-Administrator (if different from the Lead Agency):

Street Address: 51 Sleeper Street, 4th Floor

City: Boston

State: Massachusetts

ZIP Code: 02110

1.2 CCDF Policy Decision Authority

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or public or private local agencies as long as it retains overall responsibility for the administration of the program (658D(b)). Administrative and implementation responsibilities undertaken by agencies other than the Lead Agency must be governed by written agreements that specify the mutual roles and responsibilities of the Lead Agency and other agencies in meeting the program requirements.

1.2.1 Which of the following CCDF program rules and policies are administered (i.e., set or established) at the state or territory level or local level? Identify whether CCDF program rules and policies are established by the state or territory (even if operated locally) or whether the CCDF policies or rules are established by local entities, such as counties or workforce boards (98.16(i)(3)). Check one.

- All program rules and policies are set or established at the state or territory level. If checked, skip to question 1.2.2.
- Some or all program rules and policies are set or established by local entities. If checked, indicate which entities establish the following policies. Check all that apply.

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

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

2. Sliding-fee scale is set by the:

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

3. Payment rates are set by the:

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

4. Other. List and describe other program rules and policies and describe (e.g., quality rating and improvement systems [QRIS], payment practices):

1.2.2 How is the CCDF program operated? In other words, which entity(ies) implement or perform these CCDF services? Check all that apply

a) Who conducts eligibility determinations?

- CCDF Lead Agency
- Temporary Assistance for Needy Families (TANF) agency
- Other state or territory agency

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

Describe

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

- CCDF Lead Agency
- TANF agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

EEC contracts with Mass 211 to provide statewide information and referral services to families seeking early education and care programs and services in the Commonwealth.

c) Who issues payments?

- CCDF Lead Agency
- TANF agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

1.2.3 Describe the processes the Lead Agency uses to monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.2, including written agreements, monitoring and auditing procedures, and indicators or measures to assess performance of those agencies (98.16(b)). Note : The contents of the written agreement may vary based on the role the agency is asked to assume or type of project, but must include at a minimum, tasks to be performed, schedule for completing tasks, budget which itemizes categorical expenditures in accordance with CCDF requirements, and indicators or measures to assess performance (98.11(a)(3)).

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 (CCRRs) are subject to fiscal and compliance monitoring by EECs ACR Unit. The EEC monitoring process has five (5) major components as follows: 1. Identification of CCRR, Contract Provider, and Grant Awards (Sub-recipients), 2. Provider Risk Assessment Analysis Review (PRAAR), 3. Development of the On- Site Monitoring Review Schedule, 4. On-Site Monitoring Review (OSMR) and 5. Corrective Actions. The onsite 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.

1.2.4 Lead Agencies must assure that, to the extent practicable and appropriate, any code or software for child care information systems or information technology for which a Lead Agency or other agency expends CCDF funds to develop must be made available on request to other public agencies, including public agencies in other States, for their use in administering child care or related programs (98.15(a)(11)).

Assure by describing how the Lead Agency makes child care information systems available to public agencies in other states to the extent practicable and appropriate.

EEC does not currently utilize CCDF funding in the development of its child care information systems or information technology.

1.2.5 Lead Agencies must have in effect policies to govern the use and disclosure of confidential and personally identifiable information about children and families receiving CCDF assistance and child care providers receiving CCDF funds (98.15(b)(13)).

Certify by describing the Lead Agency's policies related to the use and disclosure of confidential and personally identifiable information.

EEC collects and maintains information about individuals who participate in EEC licensed and/or funded programs, including Licensees, Applicants, Registrants, program staff, program participants, and other stakeholders. The information is collected by EEC to carry out its Legislatively mandated functions of protecting the health and safety of children enrolled in EEC licensed and/or funded programs; ensuring that all children receive high quality early education and care services; preventing fraud, waste and abuse in EEC funded programs and initiatives; assisting families who need extra supports in their access to early education and care programs; and otherwise meeting EEC's legislative mandate of overseeing and regulating programs that affect the early education and care of children in the Commonwealth of Massachusetts as set forth in M.G.L. c. 15D. EEC is required by its licensing, subsidy, and Background Record Check regulations to collect certain personally identifiable information from individuals who participate in EEC licensed and/or funded programs and other EEC funded initiatives. The collection and dissemination of personally identifiable information is governed by the Public Records Law (M.G.L. c. 66, §10 and M.G.L. c. 4, §7, cl. 26), the Fair Information Practices Act (FIPA) (M.G.L. c. 66A and 801 CMR 3.00), the Security Breaches Statute (M.G.L. c. 93H), Executive Order 504, and other applicable laws and regulations, such as those dealing with Criminal Offender Record Information (CORI) (G.L., c. 6, §§172, 172a and 175) and Mandatory Reporting of Child Abuse or

Neglect (G.L. c. 119, §§51A and 51B). Some of the information provided to EEC may be provided to a member of the public in response to a public records request made pursuant to M.G.L. c 66, §10. However, certain specific information is not considered a public record and is, therefore, exempt from disclosure. These exemptions are found in M.G.L. c. 4, §7, cl. 26. These exempt pieces of information include, but are not limited to, credit card numbers, Taxpayer Identification Number (TIN), Social Security Number (SSN), Background Record Check Information, personnel information or medical information, and such information is not considered public for purposes of disclosure under a public records request. In addition, personally identifiable information submitted to EEC will be disclosed only to EEC and other Commonwealth employees, contractors, or officials with a "need to know" the information in order to fulfill their specific job responsibilities. They will only use the information to fulfill the Commonwealth's legal obligations, such as licensing and investigations, and to answer questions, and respond to any requests for assistance. Personally identifiable information will not be re-disseminated by EEC unless EEC is legally authorized to do so.

1.3 Consultation in the Development of the CCDF Plan

The Lead Agency is responsible for developing the CCDF plan, which serves as the application for a 3-year implementation period. As part of the Plan development process, Lead Agencies must consult with the following:

(1) Appropriate representatives of units of general purpose local government-(658D(b)(2); 98.10(c); 98.12(b); 98.14(b)). General purpose local governments are defined by the U.S. Census at https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf.

(2) The State Advisory Council (SAC) on Early Childhood Education and Care (pursuant to 642B(b)(I)(A)(i) of the Head Start Act) (658E(c)(2)(R); 98.15(b)(1)) or similar coordinating body pursuant to 98.14(a)(1)(vii).

(3) Indian tribe(s) or tribal organization(s) within the state. This consultation should be done in a

timely manner and at the option of the Indian tribe(s) or tribal organization(s) (658D(b)(1)(E)).

Consultation

involves meeting with or otherwise obtaining input from an appropriate agency in the development of the state or territory CCDF Plan. Describe the partners engaged to provide services under the CCDF program in question 1.4.1.

1.3.1 Describe the Lead Agency's consultation in the development of the CCDF plan.

a) Describe how the Lead Agency consulted with appropriate representatives of general purpose local governments.

EEC is overseen by an eleven member Board of Early Education and Care. In accordance with EEC's enabling act (M.G.L. c. 15D, § 3), membership of the Board shall include the Secretary of Education, the Secretary of Health and Human Services, and nine individuals appointed by the Governor. Of the members appointed by the Governor, 1 shall be a representative of the business community with a demonstrated commitment to education; 1 shall be an early education and care teacher, selected from a list of 3 nominees jointly provided by the Massachusetts Teachers Association and the Massachusetts Federation of Teachers; 1 shall be a parent or guardian of a child receiving early education and care services or a family childcare provider; 1 shall be a provider of early education and care services with practical experience in the management and administration of early education and care programs; 1 shall be a person with expertise in the evaluation and assessment of successful pre-school education programs; 1 shall be a pediatrician with a focus on child development or a person nationally recognized for research in the field of educational psychology; and 3 shall be additional members. Pursuant to the Massachusetts General Laws, the Board is required to review and approve all federal grant applications, including the CCDF Plan. The Board meets monthly to decide high-level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies, including representatives of general purpose local government. In developing the CCDF State Plan for FFY2019-2021, EEC consulted the Board on multiple occasions via presentations at Board meetings, review of materials including the previous plan, the Draft pre-print from

the federal government as well as drafts of and updates regarding the succeeding plan.

b) Describe how the Lead Agency consulted with the State Advisory Council or similar coordinating body.

The EEC Board has been designated to serve as the State Advisory Council in Massachusetts. Additionally, the Massachusetts General Laws establish an Advisory Board to provide input and guidance into many aspects of the planning and implementation of agency activities. The Advisory Board is comprised of representatives of the following groups: legislators, agencies with a vendor or contract relationship with EEC, Business/ Civic, State associations, those with Kindergarten-Grade 12 Linkages. The Advisory Board meets 4 times per year. In developing the CCDF State Plan for FFY2019-2021, EEC consulted with and elicited feedback from the Advisory Council via presentations at meetings concerning the major CCDBG changes.

c) Describe, if applicable, how the Lead Agency consulted with Indian tribes(s) or tribal organizations(s) within the state. Note: The CCDF regulations recognize the need for States to conduct formal, structured consultation with Tribal governments, including Tribal leadership. Many States and Tribes have consultation policies and procedures in place.

There are two federally recognized tribes in the Commonwealth: the Wampanoag Tribe of Gay Head, based in Martha's Vineyard; and the Mashpee Wampanoag Tribe, based in Mashpee. EEC met with representatives from the Wampanoag Tribe of Gay Head along with representatives from the Office of Child Care ("OCC") in January 2018 for an initial meet and greet. From there, EEC created an outreach plan to establish and maintain a working relationship with the Wampanoag Tribe that promotes information and resource sharing, open communication and collaborative efforts that impact the educational foundation that supports children as lifelong learners and allows for collaboration and coordination with the Wampanoag Tribe with respect to the CCDBG requirements. On June 11, 2018, EEC and the Wampanoag Tribe met for its Kick Off meeting that focused on training and information sharing in specific topic areas, including licensing, health and safety, background record checks, Child Care Resource and Referral Agencies ("CCRR"), Quality Rating Improvement System ("QRIS"), and EEC Grantees available to the tribes. EEC also reached out to the Mashpee Wampanoag Tribe but did not receive a commitment to meet.

d) Describe any other entities, agencies, or organizations consulted on the development of the CCDF plan.

N/A

1.3.2 Describe the statewide or territory-wide public hearing process held to provide the public with an opportunity to comment on the provision of child care services under this Plan (658D(b)(1)(C); 98.16(f)).

Reminder:

Lead Agencies are required to hold at least one public hearing in the state or territory, with sufficient statewide or territory-wide distribution of notice prior to such a hearing to enable the public to comment on the provision of child care services under the CCDF Plan. At a minimum, this description must include:

a) Date of the public hearing. 05/30/2018

Reminder: Must be no earlier than January 1, 2018, which is 9 months prior to the October 1, 2018, effective date of the Plan. If more than one public hearing was held, please enter one date (e.g. the date of the first hearing, the most recent hearing or any hearing date that demonstrates this requirement).

b) Date of notice of public hearing (date for the notice of public hearing identified in (a)). 05/09/2018

Reminder: Must be at least 20 calendar days prior to the date of the public hearing. If more than one public hearing was held, enter one date of notice (e.g. the date of the first notice, the most recent notice or any date of notice that demonstrates this requirement).

c) How was the public notified about the public hearing? Please include specific website links if used to provide notice.

EEC posted notice regarding the public hearings on the CCDF State Plan on the Department's website, which requires compliance the Americans with Disabilities Act ("ADA") for purposes of accessibility. In addition, the information related to the dates and times for each of the public hearings was communicated to over 18,000 individuals that have signed up for regular e-mails from the Department's Commissioner's Office. Prior to the website posting and e-mail communication, EEC staff provided the Board with information about the hearings at the May 8, 2018 meeting of the Board.

d) Hearing site or method, including how geographic regions of the state or territory were addressed. EEC's central office at 51 Sleeper Street, 4th Floor, Boston, MA 02210

e) How the content of the Plan was made available to the public in advance of the public hearing. (e.g. the Plan was made available in other languages, in multiple formats, etc.)
A copy of the draft plan will be posted on EEC's website. In addition, EEC offers the citizens of the Commonwealth several opportunities throughout the year to provide feedback and to guide the direction of the agency. For example, EEC convenes an Advisory Council (codified in Massachusetts statute at M.G.L. c. 15D, § 3A) of key stakeholders in the realm of early education and care. On April 27, 2018, the CCDF State Plan was a topic of the State Advisory Council. Lastly, EEC provides opportunities for public comment prior to each board meeting, which occur a minimum of ten (10) times per year.

f) How was the information provided by the public taken into consideration regarding the provision of child care services under this Plan? EEC reviewed the feedback provided during the public comment period and presented a summary of the comments to its Board on June 12, 2018. The presentation included responses to each comment to either clarify how EEC is addressing these issues or how the comments will inform further policy development.

1.3.3 Lead Agencies are required to make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (i.e., waivers) publicly available on a website (98.14(d)). Please note that a Lead Agency must submit Plan amendments within 60 days of a substantial change in the Lead Agency's program. (Additional information may be found here: <https://www.acf.hhs.gov/occ/resource/pi-2009-01>)

a) Provide the website link to where the Plan, any Plan amendments, and/or waivers are available. Note: A Plan amendment is required if the website address where the Plan is posted is changed.

<https://www.mass.gov/lists/child-care-and-development-fund-ccdf-state-plans>

b) Describe any other strategies that the Lead Agency uses to make the CCDF Plan and Plan amendments available to the public (98.14(d)). Check all that apply and describe the strategies below, including any relevant website links as examples.

Working with advisory committees.

Describe:

Massachusetts General Laws establish an Advisory Board to provide input and guidance into many aspects of the planning and implementation of agency activities. The Advisory Board is comprised of representatives of the following groups: legislators, agencies with a vendor or contract relationship with EEC, Business/ Civic, State associations, those with KindergartenGrade 12 Linkages. The Advisory Board meets 4 times per year. In developing the CCDF State Plan for FFY20192021, EEC consulted with and elicited feedback from the Advisory Board via presentations at meetings concerning the major CCDBG changes and the CCDF State Plan.

Working with child care resource and referral agencies.

Describe:

EEC attends monthly meetings of the Child Care Resource and Referral (CCRR) Network, in order to share information, review updates on their work, and strategize regarding the implementation of any planned policy changes to CCDF supported care that may impact their work and the children and families that they serve.

Providing translation in other languages.

Describe:

The new <https://www.mass.gov> website has a Google translator button at the top of all web pages, including EEC's web pages, whereby users can translate the page content into 12 different languages (Arabic, Chinese, French, Haitian Creole, Italian, Khmer, Korean, Polish, Portuguese, Russian, Spanish, and Vietnamese.) In addition, EEC has translated a number of important documents for parents, programs/providers, and the public who may speak languages other than English.

Sharing through social media (e.g., Twitter, Facebook, Instagram, email).

Describe:

The final plan will be published on EEC's website at <https://www.mass.gov/lists/child-care-and-development-fund-state-plans>. EEC will post a news items on its website to announce the posting of the plan, and will also tweet a link to it from our Twitter account, @MassEarlyEdCare

- Providing notification to stakeholders (e.g., provider groups, parent groups).

Describe:

EEC will distribute the link to the copy of the final state plan on EEC's website, to EEC's Commissioner's Office email listserv of nearly 12,000 licensed programs, educators, and other stakeholders.

- Other.

Describe:

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

Lead Agencies are required to describe how the state or territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the federal, state/territory, and local levels for children in the programs listed below. This includes programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care (98.14(a)(1)).

1.4.1 Describe how the Lead Agency coordinates the provision of child care services with the following programs to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services that meet the needs of working families (658E(c)(2)(O); 98.12(a); 98.14(a)).

This list includes agencies or programs required by law or rule, along with a list of optional partners that Lead Agencies potentially would coordinate with over the next 3 years to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services.

Include in the descriptions the goals of this coordination, such as:

- extending the day or year of services for families;
- smoothing transitions for children between programs or as they age into school;
- enhancing and aligning the quality of services for infants and toddlers through school-age children;

- linking comprehensive services to children in child care or school age settings; or
- developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings

Check the agencies or programs the Lead Agency will coordinate with and describe all that apply.

(REQUIRED) Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships/towns.

Describe the coordination goals and process:

EEC is overseen by an eleven member Board of Early Education and Care. In accordance with EEC's enabling act (M.G.L. c. 15D, § 3), membership of the Board shall include the Secretary of Education, the Secretary of Health and Human Services, and nine individuals appointed by the Governor. Of the members appointed by the Governor, 1 shall be a representative of the business community with a demonstrated commitment to education; 1 shall be an early education and care teacher, selected from a list of 3 nominees jointly provided by the Massachusetts Teachers Association and the Massachusetts Federation of Teachers; 1 shall be a parent or guardian of a child receiving early education and care services or a family childcare provider; 1 shall be a provider of early education and care services with practical experience in the management and administration of early education and care programs; 1 shall be a person with expertise in the evaluation and assessment of successful pre-school education programs; 1 shall be a pediatrician with a focus on child development or a person nationally recognized for research in the field of educational psychology; and 3 shall be additional members. Pursuant to the Massachusetts General Laws, the Board is required to review and approve all federal grant applications, including the CCDF Plan. The Board meets monthly to decide high-level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies, including representatives of general purpose local government. In developing the CCDF State Plan for FFY2019-2021, EEC consulted the Board on multiple occasions via presentations at Board meetings, review of materials including including proposed changes in the succeeding plan.

- ☑ (REQUIRED) State Advisory Council on Early Childhood Education and Care (or similar coordinating body) (pursuant to 642B(b)(1)(A)(i) of the Head Start Act).

Describe the coordination goals and process:

The EEC Board has been designated to serve as the State Advisory Council in Massachusetts. Additionally, EEC has established an advisory council on early education and care pursuant to M.G.L. c. 15D, § 3A, that consists of members of which shall represent a reasonable geographic balance and shall reflect the diversity of the commonwealth in race, ethnicity, gender and sexual orientation. Members of the advisory council shall, at minimum, include 1 person from each of the following organizations, or their successor organizations, if applicable: Child Development and Education, Inc., the Massachusetts Head Start Association; the Massachusetts Association for the Education of Young Children; the Massachusetts Association of Early Childhood Teacher Educators; the Massachusetts Association of School Committees; the Massachusetts Association of School Superintendents; the Massachusetts Elementary School Principals Association; the Massachusetts Association of Regional Schools; the Massachusetts Teachers Association; the American Federation of Teachers Massachusetts; the Massachusetts Business Alliance for Education; the Massachusetts Association of Community Partnerships for Children, Inc.; Strategies for Children/Early Education for All; the Child Care Resource and Referral Network; the Massachusetts Association of Day Care Agencies; the Massachusetts Independent Child Care Organization; Associated Early Care and Education; BostNET; the YMCAs of Massachusetts; the United Way of Massachusetts Bay; the Massachusetts After-School Partnership; Parents Alliance for Catholic Education; Together for Kids Coalition; Horizons for Homeless Children; the Massachusetts Chapter of the American Academy of Pediatrics; the Federation of Children With Special Needs; the Bureau of Jewish Education; the Boston Institute for the Development of Infants and Parents; the Massachusetts Early Intervention Consortium; and a family child care provider chosen by the commissioner. The council shall be further composed of 8 members, 3 of whom shall be appointed by the speaker of the house, 1 of whom shall be appointed by the minority leader of the house of representatives, 3 of whom shall be appointed by the president of the senate, and 1 of whom shall be appointed by the minority leader of the senate. Additional advisory members may also be recommended by the commissioner and appointed by the board. All appointees shall have a special expertise or interest in high quality early childhood education and care and shall represent a mix of representatives of the early

childhood community, the civic, labor, and business communities, academics, parents, teachers, social service providers, and health care providers. The advisory council meets 4 times per year and may review and offer comments on any rules or regulations before promulgation by the board, and may, from time to time, make recommendations to the board that it considers appropriate for changes and improvements in early education and care programs and services. In developing the CCDF State Plan for FFY2019-2021, EEC consulted the Advisory on one occasion via a presentation at the April 27, 2018 Advisory Council Meeting, which consisted of a review of materials including proposed changes in the succeeding plan.

Check here if the Lead Agency has official representation and a decision-making role in the State Advisory Council or similar coordinating body.

(REQUIRED) Indian tribe(s) and/or tribal organization(s), at the option of individual tribes.

Describe the coordination goals and process, including which tribe(s) was consulted:

EEC has engaged the two tribal organizations in Massachusetts, the Wampanoag Tribe of Gay Head in Martha's Vineyard and the Mashpee Wampanoag of Mashpee. EEC met with the Gay Head Tribe in February 2018 in a successful first meeting that allowed both EEC and the Wampanoag Tribe to gain a better understanding of how each other's programs operate. From there, EEC and the Wampanoag Tribe agreed that additional meetings would be beneficial to further explore this relationship and how each organization can work together to meet our needs. EEC prepared a proposal that includes bi-annual meetings between EEC and the Tribe that will focus on training and information sharing with the goal of maintaining a working relationship that open communication and collaborative efforts that impact the educational foundation that supports children as lifelong learners. On June 11, 2018, EEC and the Wampanoag Tribe met for its Kick Off meeting that focused on training and information sharing in specific topic areas, including licensing, health and safety, background record checks, Child Care Resource and Referral Agencies ("CCRR"), Quality Rating Improvement System ("QRIS"), and EEC Grantees available to the tribes. EEC also reached out to the Mashpee Tribe on several occasions, but did not receive a commitment to meet.

N/A-There are no Indian tribes and/or tribal organizations in the State.

- ☑ (REQUIRED) State/territory agency(ies) responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and and Part B, Section 619 for preschool).

Describe the coordination goals and process:

The Department of Public Health (DPH), which sits within the Executive Office of Health and Human Services (EOHHS), is the Lead Agency responsible for administering Part C of the IDEA, whereas Part B of the IDEA is administered by ESE, which sits within EOE. The Secretaries of both EOHHS and EOE serve as ex officio members of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. In addition, ESE and EEC have continued an interagency service agreement (ISA) that supports joint professional development for the early education workforce on issues related to inclusion and supporting children with special needs. EEC has also partnered with DPH's Early Intervention Services program to establish and support Regional Consultation Programs (RCPs) to assist children with disabilities by providing expertise on inclusion and effective transition practices to early education and care programs. EEC is also a participating member of DPH's Interagency Collaborating Council (ICC), which is a federally mandated statewide inter-agency group that advises and assists DPH on issues related to Early Intervention services.

- ☑ (REQUIRED) State/territory office/director for Head Start state collaboration.

Describe the coordination goals and process:

EEC is the agency that receives and administers the Head Start State Collaboration Grant in MA. The HSSCO is funded by the Administration of Children and Families (ACF) through the Office of Head Start (OHS). The Collaboration Office provides a structure and a process for OHS to work with State agencies and local entities to leverage their common interests around young children and their families to formulate, implement, and improve state and local policy and practice.

- ☑ (REQUIRED) State agency responsible for public health, including the agency responsible for immunizations.

[Describe the coordination goals and process:](#)

DPH, which sits within EOHHS, is the lead agency responsible for public health in the Commonwealth. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

[\(REQUIRED\) State/territory agency responsible for employment services/workforce development.](#)

[Describe the coordination goals and process:](#)

EEC has entered into a memorandum of understanding (MOU) with the Labor & Workforce Development Secretariat along with several other agencies, including the Executive of Education (EOE) and the Department of Elementary and Secondary Education (ESE) for the purpose of implementing new research and reporting tools designed to enhance evidence-based policymaking for the Commonwealth's education and career development pipeline. Under this MOU, relevant state Secretariats and Agencies are partnering to match individual student and wage records over time in order to analyze and better understand the relationship between the public education and training systems and the economy. The MOU serves as an overarching guide to allow the education departments to enter into specific data-sharing agreements with agencies more expeditiously and with greater consistency as the document establishes definitions, privacy and security expectations, and other common terms. For grants in fiscal year 2019 to support implementation activities in cities, towns, regional school districts or educational collaboratives to expand pre-kindergarten or preschool opportunities on a voluntary basis to children who will be eligible for kindergarten by September 2020; provided, that implementation grants shall be awarded through a competitive process established by the department of early education and care utilizing the Massachusetts Preschool Expansion Grant public-private partnership model; provided further, that preference shall be given in awarding implementation grants to districts serving high percentages of high-needs students; provided further, that additional preference shall be given in awarding implementation grants to districts that have completed strategic planning efforts that support expanding access to high-quality preschool through the Commonwealth

Preschool Partnership Initiative; provided further, that the department shall submit a report to the joint committee on education and the house and senate committees on ways and means not later than March 15, 2019 on the status of implementation activities including, but not be limited to, the following: (a) the recipients of grant funding; (b) the number of children served by recipients; (c) the size of awarded grants by recipient; and (d) recipients' workforce development efforts; and provided further, that notwithstanding any general or special law to the contrary, funds distributed from this item shall be deposited with the treasurer of the city, town, regional school district or educational collaborative and held in a separate account and shall be expended by the school committee of the city, town, regional school district or educational collaborative without further appropriation. For professional development and higher education opportunities and supports for early educators to be coordinated through the department in conjunction with the Massachusetts community colleges; provided, that programming shall focus on the statewide recruitment and training needs specific to the early education and care workforce, encourage opportunities for career advancement and retention, and incorporate early education and care stakeholder, employer and industry collaboration; and provided further, that professional development opportunities shall be consistent with the core competencies and career pathways established by the department, and in accordance with the recommendations of the Early Education and Care Workforce Council established in section 32 of this act.

(REQUIRED) State/territory agency responsible for public education, including prekindergarten (preK).

Describe the coordination goals and process:

In Massachusetts, the Executive Office of Education's (EOE) primary function is to advance public education in the Commonwealth by analyzing and implementing statewide education policy and developing a seamless education system from birth through higher education, which includes the Commonwealth's three education agencies: EEC, Elementary and Secondary Education (ESE), and Higher Education (DHE). The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high-level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner

agencies, especially in regards to the development of the CCDF State Plan. In Massachusetts, the Executive Office of Education's (EOE) primary function is to advance public education in the Commonwealth by analyzing and implementing statewide education policy and developing a seamless education system from birth through higher education, which includes the Commonwealth's three education agencies: EEC, Elementary and Secondary Education (ESE), and Higher Education (DHE). The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high-level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies, especially in regards to the development of the CCDF State Plan EEC will conduct a FY19 competitive process to award \$5 million in grants of up to \$1 million each to cities, towns, regional school districts or educational collaboratives to expand pre-kindergarten or preschool opportunities on a voluntary basis to children who will be eligible for kindergarten by September 2020 through the Massachusetts Preschool Expansion Grant public-private partnership model. Preference shall be given to applicants that serve high percentages of high-needs students and have completed strategic planning efforts through the Commonwealth Preschool Partnership Initiative. Grantees will be expected to develop a leadership structure including membership from the public school district and local EEC-licensed early education providers, begin implementation in the winter of a program model that meets the quality criteria that follow, detail how access to early education will be expanded to three and four year old children in the community, with information about local eligibility priorities and requirements, and identify other funding sources (i.e. subsidies, Chapter 70, Head Start) that would be used in future years to expand funded programming to a full school year. The following quality components will be expected; 1) Programming will be provided to children for at least 6 hours/ day, following a public school calendar; 2) Plans will be in place to conduct outreach and referrals to enroll three and four year old children in early education programs that meet family needs and ensure expansion of access to children without consistent prior early education experience, including children with special needs; 3) Structures to support data collection and engage all partners in a continuous quality improvement process will be developed; 4) All classrooms will be staffed with at least one educator holding a BA in early childhood or related field or equivalent level of competency; 5) Educators will receive salaries

commensurate with public school teachers; 6) Coordination and alignment of supports for educators and high quality learning environments will be planned, including attention to a strong curriculum, job embedded supports and well targeted professional learning opportunities; and 7) Strong family engagement efforts will be implemented with a plan for comprehensive service provision.

(REQUIRED) State/territory agency responsible for child care licensing.

Describe the coordination goals and process:

EEC is the state agency responsible for licensing in Massachusetts. EEC's licensing and subsidy units work closely to meet the agency's goals of protecting the health and safety of child care children and promoting continuity of care. For example, if EEC's licensing unit identifies a child care program with significant health and safety concerns, it will work closely with EEC's subsidy unit to ensure any CCDF children are transferred to another CCDF program with a little disruption to the family as possible.

(REQUIRED) State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs.

Describe the coordination goals and process:

ESE, which sits within EOE, is the lead agency responsible for administering the CACFP in Massachusetts. The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

(REQUIRED) McKinney-Vento state coordinators for homeless education and other agencies providing services for children experiencing homelessness and, to the extent practicable, local McKinney-Vento liaisons.

Describe the coordination goals and process:

ESE, which sits within EOE, is the lead agency responsible for administering the McKinney-Vento Homeless Education Assistance Act in Massachusetts. The Secretary of EOE serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and

regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. In addition, EEC met with representatives from ESE on multiple occasions to discuss data sharing and inform policies on how EEC can utilize homelessness liaisons to assist in identifying families that meet the McKinney-Vento definition of homelessness.

(REQUIRED) State/territory agency responsible for the Temporary Assistance for Needy Families program.

Describe the coordination goals and process:

The Department of Transitional Assistance (DTA), which sits within EOHHS, is the lead agency responsible for TANF in the Commonwealth. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. In addition, EEC and DTA meet on a monthly basis to discuss ongoing policy issues, including reforms necessary to meet the challenges and opportunities set forth in the CCDBG Reauthorization Act of 2014.

(REQUIRED) Agency responsible for Medicaid and the state Children's Health Insurance Program.

Describe the coordination goals and process:

EEC is a partner in the MassHealth Children's Behavioral Health Initiative (CBHI), to ensure that children with MassHealth coverage, who have significant behavioral, emotional and mental health needs and their families get the services they need for success in home, school, community, and throughout life.

(REQUIRED) State/territory agency responsible for mental health

Describe the coordination goals and process:

The Department of Mental Health (DMH), which sits within EOHHS, is the lead agency responsible for mental health in the Commonwealth. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule

of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies.

- (REQUIRED) Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development.

Describe the coordination goals and process:

EEC attends monthly meetings of the Child Care Resource and Referral (CCRR) Network, in order to share information, review updates on their work, and strategize regarding the implementation of any planned policy changes to CCDF supported care that may impact their work and the children and families that they serve.

- (REQUIRED) Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable).

Describe the coordination goals and process:

EEC attends monthly meetings of the Providers Working Together (PWT) group which is made up of a representative group of contracted child care providers, including out-of-school time programs. These meetings allow EEC to share information, review updates on their work, and strategize regarding the implementation of any planned policy changes to CCDF supported care that may impact their work and the children and families that they serve.

- (REQUIRED) Agency responsible for emergency management and response.

Describe the coordination goals and process:

On August 14, 2018, EEC engaged in discussion with a representative from the Massachusetts Emergency Management Agency (MEMA) to discuss EEC's emergency preparedness and response plan. During this discussion, EEC shared its draft plan with MEMA and gained valuable feedback and guidance. MEMA recommended that EEC focus on an All Hazards Approach to emergency preparedness that will focus on three components, including; Natural Disasters, unintentional or manmade disasters, and cyber security. Further, MEMA provided guidance and feedback to EEC on updating its Continuity Of Operations Plan (COOP). EEC intends to further engage MEMA to develop future collaborative sessions with a focus on maintaining an up to date emergency preparedness plan participate in training opportunities.

The following are examples of optional partners a state might coordinate with to provide services. Check all that apply.

- State/territory/local agencies with Early Head Start - Child Care Partnership grants.

Describe

The Head Start State Collaboration Office Director coordinates the partnership between EEC and the state's Early Head Start Partnerships. The Director is directly involved in the drafting of the Department's CCDF Plan.

- State/territory institutions for higher education, including community colleges

Describe

The Department of Higher Education (DHE), which sits within the Executive office of Education (EOE), is the lead agency in charge of oversight of state and community colleges. EEC works with this DHE in a number of ways including educational offerings and requirements for educators as well campuses that have early education and care facilities on site.

- Other federal, state, local, and/or private agencies providing early childhood and school-age/youth-serving developmental services.

Describe

- State/territory agency responsible for implementing the Maternal and Child Home Visitation programs grant.

Describe

The Department of Higher Education (DHE), which sits within the Executive office of Education (EOE), is the lead agency in charge of oversight of state and community colleges. EEC works with this DHE in a number of ways including educational offerings and requirements for educators as well campuses that have early education and care facilities on site.

- Agency responsible for Early and Periodic Screening, Diagnostic, and Treatment.

[Describe](#)

MassHealth governs the Early and Periodic Screening, Diagnosis and Treatment (EPSDT) Services and Preventive Pediatric Health Care Screening and Diagnosis (PPHSD) in Massachusetts. EEC is a partner in the MassHealth Children's Behavioral Health Initiative (CBHI), to ensure that children with MassHealth coverage, who have significant behavioral, emotional and mental health needs and their families get the services they need for success in home, school, community, and throughout life.

[State/territory agency responsible for child welfare.](#)

[Describe](#)

The Department of Children and Families (DCF) within EOHHS is the lead agency responsible for child welfare in the Commonwealth. The Secretary of EOHHS is an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. In addition, EEC and DCF meet on a monthly basis to discuss challenges and opportunities related to child care subsidies/services provided to children and families with open DCF protective service cases.

[State/territory liaison for military child care programs.](#)

[Describe](#)

EEC has reached out to the United States Air Force (USAF) at Hanscom Air force Base (AFB) here in the Commonwealth. Together EEC and USAF are exploring partnerships for professional development, trainings for educators at the AFB, and the possibility of entering into an MOU regarding the licensure of family child care.

[Provider groups or associations.](#)

[Describe](#)

EEC attends monthly meetings of the Providers Working Together (PWT) group which is made up of a representative group of contracted child care providers, including out-of-school time programs. These meetings allow EEC to share information, review updates on their work, and strategize regarding the implementation of any planned policy changes to CCDF supported care that may impact their work and the children

and families that they serve.

Parent groups or organizations.

Describe

Other.

Describe

1.5 Optional Use of Combined Funds, CCDF Matching and Maintenance-of-Effort Funds

Optional Use of Combined Funds:

States and territories have the option to combine CCDF funds with any program identified as required in 1.4.1. These programs include those operating at the federal, state, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care (658E(c)(2)(O)(ii)). Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams to expand and/or enhance services for infants, toddlers, preschoolers and school-age children and families to allow for the delivery of comprehensive quality care that meets the needs of children and families. For example, state/territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a state/territory may allow a county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start Program Performance Standards or state/territory prekindergarten requirements in addition to state/territory child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and CCDF is strongly encouraged by sections 640(g)(1)(D) and (E); 640(h); 641(d)(2)(H)(v); and 642(e)(3) of the Head Start Act in the provision of full working day, full calendar year comprehensive services. To implement such collaborative programs, which share, for example, space, equipment, or materials, grantees may layer several funding streams so that seamless services are provided (Policy and Program Guidance for the Early Head Start ' Child Care Partnerships:

https://www.acf.hhs.gov/sites/default/files/occ/acf_im_ohs_15_03.pdf
).

1.5.1 Does the Lead Agency choose to combine funding for CCDF services for any required early childhood program (98.14(a)(3))?

No (If no, skip to question 1.5.2)

Yes. If yes, describe at a minimum:

a) How you define "combine"

EEC pools together federal and state funds that support the services provided by EEC. Through the child care subsidy program, EEC provides for "wrap-around" services, which enable full day/full year services for children participating in other federal or state funded educational opportunities (i.e., Head Start, public pre-school, and school age children attending public or private school within the K-12 education system).

b) Which funds you will combine

Child Care and Development Funds (CCDF), Temporary Aid to Need Families (TANF), Title IV-E of the Social Security Act, Social Services Block Grant (SSBG), and state appropriated funds.

c) Your purpose and expected outcomes for combining funds, such as extending the day or year of services available (i.e., full-day, full-year programming for working families), smoothing transitions for children, enhancing and aligning quality of services, linking comprehensive services to children in child care or developing the supply of child care for vulnerable populations

EEC pools funds to maximize federal revenue for the Commonwealth and to support full day/full year child care opportunities for children in the child care subsidy program.

d) How you will be combining multiple sets of funding, such as at the State/Territory level, local level, program level?

Massachusetts pools funds at the State level.

e) How are the funds tracked and method of oversight

Funds are tracked by the finance unit of EEC and are allocated through the federal draw process. Both the method of allocation and the draw process are subject to internal and external audit.

1.5.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements described in 98.55(e) and 98.55(h)?

Note:

The Lead Agency must check at least public and/or private funds as matching, even if preK funds also will be used.

Use of PreK for Maintenance of Effort: The CCDF final rule clarifies that public preK funds may also serve as maintenance-of-effort funds as long as the state/territory can describe how it will coordinate preK and child care services to expand the availability of child care while using public preK funds as no more than 20 percent of the state's or territory's maintenance of effort or 30 percent of its matching funds in a single fiscal year (FY) (98.55(h)). If expenditures for preK services are used to meet the maintenance-of-effort requirement, the state/territory must certify that it has not reduced its level of effort in full-day/full-year child care services (98.55(h)(1); 98.15(a)(6)).

Use of Private Funds for Match or Maintenance of Effort: Donated funds do not need to be under the administrative control of the Lead Agency to qualify as an expenditure for federal match. However, Lead Agencies do need to identify and designate in the state/territory Plan the donated funds given to public or private entities to implement the CCDF child care program (98.55(f)).

- N/A - The territory is not required to meet CCDF matching and MOE requirements
- Public funds are used to meet the CCDF matching fund requirement. Public funds may include any general revenue funds, county or other local public funds, state/territory-specific funds (tobacco tax, lottery), or any other public funds.
-- If checked, identify the source of funds:
General Revenue Funds

-- If known, identify the estimated amount of public funds that the Lead Agency will receive: \$ The exact amount is unknown but there will be a sufficient amount to meet the MOE and Matching Requirements.

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

-- If checked, are those funds:

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

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

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

- State expenditures for preK programs are used to meet the CCDF matching funds requirement.

If checked, provide the estimated percentage of the matching fund requirement that will be met with preK expenditures (not to exceed 30 percent):

-- If the percentage is more than 10 percent of the matching fund requirement, describe how the State will coordinate its preK and child care services:

-- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the matching funds requirement: \$

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

- State expenditures for preK programs are used to meet the CCDF maintenance-of-effort requirements. If checked,
-- The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.55(h)(1) and 98.15(6).

- No
 Yes

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

-- Estimated percentage of the MOE Fund requirement that will be met with preK expenditures (not to exceed 20 percent):

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

-- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the MOE Fund requirement: \$

1.6 Public-Private Partnerships

Lead Agencies are required to describe how they encourage public-private partnerships among other public agencies, tribal organizations, private entities, faith-based organizations, businesses or organizations that promote business involvement, and/or community-based organizations to leverage existing service delivery (i.e., cooperative agreement among providers to pool resources to pay for shared fixed costs and operation) (658E(c)(2)(P)). ACF expects these types of partnerships to leverage public and private resources to further the goals of the CCDBG Act. Lead Agencies are required to demonstrate how they encourage public-private partnerships to leverage existing child care and early education service-delivery systems and to increase the supply and quality of child care services for children younger than age 13, for example, by implementing voluntary shared service alliance models (98.14(a)(4)).

1.6.1 Identify and describe the entities with which and the levels at which the state/territory is partnering (level-state/territory, county/local, and/or programs), the goals of the partnerships, the ways that partnerships are expected to leverage existing service-delivery systems, the method of partnering, and examples of activities that have resulted from these partnerships (98.16(d)(2)).

EEC's Head Start Collaboration Director has partnered with the United Way DRIVE program for two years. The DRIVE initiative is a collaboration between United Way and Action for Boston Community Development (ABCD). By partnering with the United Way DRIVE initiative, ABCD has enhanced its use of the Ages and Stages Questionnaire (ASQ), which is

the screening tool that is completed for all children within 45 days of enrollment. By joining United Way's DRIVE project with other Boston partner agencies, ABCD has free access to ASQ and ASQ-SE online and reporting tools, so that ABCD can track how children are doing in all of their programs, what the individual program needs are, and how programs can better meet the needs of families and children. To ensure that this partnership would benefit ABCD without creating additional work and maintaining the confidentiality of all children, the United Way staff have met with the Massachusetts Head Start Collaboration Director, ABCD's Vice President of Head Start & Children Services, and ABCD's Disability/Mental Health Coordinator to discuss how ABCD will be engaged and supported with this exciting data project. United Way produces reports of ABCD's ASQ and ASQ-SE data in the aggregate (with no child or family names attached), and ABCD is able to use the data/graphs and charts when seeking out additional grant-funding opportunities. ABCD programs can use the ASQ and ASQ-SE data to identify specific areas of program improvements and plan training/professional development for early educators and families. ABCD's partnership with the United Way DRIVE project is helping to reach a larger number of children in Boston that receive screenings, since ABCD Head Start program serves over 2,400 low-income children. This Public-Private DRIVE initiative has accomplished the following: Collected developmental screening data from over 6,000 children ages 0-5; Among children rescreened after one year, over 72% progressed from showing strong or potential concern to developing on track; Trained and supported 20 parent screeners and partnered with 25 Early Education and community-based programs across 60 sites in Greater Boston to build the infrastructure for collecting screening data; Developed a technology platform to aggregate data and generate program, neighborhood, and community-level data reports; and influenced the activities and opportunities that community-based organizations are providing for families with young children.

[1.7 Coordination With Local or Regional Child Care Resource and Referral Systems](#)

[Lead Agencies may use CCDF funds to establish or support a system of local or regional child care resource and referral \(CCR&R\) organizations that is coordinated, to the extent determined by the state/territory, by a statewide public or private non-profit, community-based or regionally](#)

based, lead child care resource and referral organization (such as a statewide CCR&R network) (658E(c)(3)(B)(iii); 98.52).

- If Lead Agencies use CCDF funds for local CCR&R organizations, the local or regional CCR&R organizations supported by those funds must, at the direction of the Lead Agency, provide parents in the State with consumer education information concerning the full range of child care options (including faith-based and community-based child care providers), analyzed by provider, including child care provided during non-traditional hours and through emergency child care centers, in their area.
- To the extent practicable, work directly with families who receive assistance to offer the families support and assistance to make an informed decision about which child care providers they will use to ensure that the families are enrolling their children in the most appropriate child care setting that suits their needs and one that is of high quality (as determined by the Lead Agency).
- Collect data and provide information on the coordination of services and supports, including services under Section 619 and Part C of the Individuals with Disabilities Education Act;
- Collect data and provide information on the supply of and demand for child care services in areas of the state and submit the information to the State;
- Work to establish partnerships with public agencies and private entities, including faith-based and community-based child care providers, to increase the supply and quality of child care services in the state and, as appropriate, coordinate their activities with the activities of the state Lead Agency and local agencies that administer funds made available through CCDF (98.52(b)).

Nothing in the statute or rule prohibits States from using CCR&R agencies to conduct or provide additional services beyond those required by statute or rule.

Note: Use 1.7.1 to address if a state/territory funds a CCR&R organization, what services are provided and how it is structured and use section 7.6.1 to address the indicators of progress met by CCR&R organizations if they are funded by quality set-aside funds.

1.7.1 Does the Lead Agency fund a system of local or regional CCR&R organizations?

No. The state/territory does not fund a CCR&R organization(s) and has no plans to establish one.

Yes. The state/territory funds a CCR&R system. If yes, describe the following:

a) What services are provided through the CCR&R organization?

The current CCRR contract focuses its resources on the following areas: (1) ensuring families have access to high quality consumer information about their child care options and providing resources, and referrals that meet their specific needs and access to high quality management of EEC subsidized care; (2) provide services including recruitment and contract management, training and technical assistance, and monitoring; (3) coordination with other agencies and programs, including EEC Regional Operations/Licensing, the Department of Transitional Assistance (DTA), the Department of Children and Families (DCF), Mass211, Coordinated Family Community Engagement (CFCE) grantees, Educator and Provider Support (EPS) grantees, and service area communities and the early education field; and (4) general CCRR administration and management. CCRRs are responsible for collecting and reporting data to EEC, which includes data, including data on services under Section 619 and Part C of the Individuals with Disabilities Education Act and data on the supply of and demand for child care services in the state.

b) How are CCR&R services organized, include how many agencies, if there is a statewide network and if the system is coordinated?

There are seven CCRRs contracted by EEC who also operate as a statewide network. EEC holds brief calls every week with the Network to coordinate urgent priorities. The Network also holds longer monthly meetings with each other and EEC to coordinate efforts across the Commonwealth.

1.8 Disaster Preparedness and Response Plan

Lead Agencies are required to establish a Statewide Child Care Disaster Plan (658E(c)(2)(U)). They must demonstrate how they will address the needs of children'including the need for safe child care, before, during, and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122)'through a Statewide Disaster Plan that, for a State, is developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(l)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body (98.16(aa)).

1.8.1 Describe how the Statewide Child Care Disaster Plan was developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care or similar coordinating body:

EEC has developed a Statewide Child Care Disaster Plan. In developing this plan, EEC met with a representative from the Massachusetts Emergency Management Agency (MEMA) to present its plan and elicit feedback. Additionally, EEC is the state agency responsible for licensing in Massachusetts and representatives from the licensing unit participated in the development of the plan. Furthermore, EEC shared its plan with a member of the EEC Board, which is the designated State Advisory Council, for review and feedback. DPH, which sits within EOHHS, is the lead agency responsible for public health in the Commonwealth and is a collaborative partner in EEC's Emergency Response Activation Process. The Secretary of EOHHS serves as an ex officio member of the Board of EEC, which meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services. The broad membership and regular meeting schedule of the EEC Board allows for substantial and ongoing consultation and coordination with EEC's stakeholders and key partner agencies. Finally, EEC will continue to collaborate with Child Care Resource and Referral agencies throughout the Commonwealth as partners in EEC's Emergency Response functions.

1.8.2 Describe how the Statewide Disaster Plan includes the Lead Agency's guidelines for the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster and temporary operating standards for child care after a disaster:

EEC's Statewide Disaster Plan describes the processes and procedures needed to support continuation of essential EEC functions. These functions include: establishing a communication plan with the Federal Government (Administration for Children and Families), the Governor's Office, the Executive Office of Education, and other Massachusetts state agencies as appropriate, as well as direct communication to providers and outside stakeholders, including families; ensuring that the agency's legislative mandates, regulations, procedures, policies, contracts, grants and interagency agreements are operating and executed lawfully; managing the IT infrastructure, operations, and support functions required to enable effective service delivery; and maintaining a system of controls to manage EEC's budget, including contract payments and federal grants. Furthermore, the Statewide Disaster Plan describes the processes and procedures for ensuring that families have safe and healthy childcare placements for their children in programs and homes that maintain operation.

1.8.3 Describe Lead Agency procedures for the coordination of post-disaster recovery of child care services:

EEC's Statewide Disaster Plan included a Continuity of Operations Plan (COOP) outlining a communication plan that will allow for coordination with the Federal Government (Administration for Children and Families), the Governor's Office, the Executive Office of Education, and other Massachusetts state agencies as appropriate, as well as direct communication to providers and outside stakeholders, including families. The COOP focuses on several elements, including: essential functions, critical systems, alternative facilities, orders of succession, delegations of authority, and vital records. The purpose of the COOP is to ensure uninterrupted delivery of EEC's essential functions.

1.8.4 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place-evacuation; relocation; shelter-in-place; lockdown; communications with and reunification of families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions:

EEC requires that any provider who receives CCDF funding sign a Voucher Services Agreement. The Voucher Services Agreement gives EEC the authority to require that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include, but are not limited to, those outlined in M.G.L. c. 15D, EEC's Financial Assistance Policy Guide, EEC's Management Bulletins, EEC Subsidy Communications, 606 CMR 10.00 et. seq. (EEC's subsidy regulations), and 606 CMR 7.00 (EEC licensing regulations). The Commonwealth has licensing regulations and policies related to disasters and other emergency situations that address such matters as evacuations, sheltering in place and missing children. The policy is located on EEC's website at: <http://www.mass.gov/edu/docs/eec/licensing/policies/emergency-contingency-plan.pdf>. The regulations further require programs to have a written plan detailing procedures for meeting potential emergencies which must be kept current, meet the needs of all children in care including infants and toddlers, and any children with disabilities and/or chronic medical conditions.

While license-exempt providers are not currently required to follow EEC's emergency preparedness policies, EEC is in the process of developing policies that will require all CCDF funded programs to implement an emergency preparedness plan as set forth in EEC's licensing regulations.

1.8.5 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place for child care staff and volunteers-emergency preparedness training and practice drills as required in 98.41(a)(1)(vii):

The Commonwealth has licensing regulations and policies related to disasters and other

emergency situations that address such matters. The regulations require educators or child care programs to hold practice evacuation drills with all groups of children and all educators from each floor level of the approved space at least monthly. Drills must be held during different times of the program day, and must use alternative exits. The educator must document the date, time, exit route used, number of children evacuated and effectiveness of each drill. The policy is located 606 CMR 7.11(7).

In addition, EEC requires that any provider who receives CCDF funding sign a Voucher Services Agreement. The Voucher Services Agreement gives EEC the authority to require that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include, but are not limited to, those outlined in M.G.L. c. 15D, EEC's Financial Assistance Policy Guide, EEC's Management Bulletins, EEC Subsidy Communications, 606 CMR 10.00 et. seq. (EEC's subsidy regulations), and 606 CMR 7.00 (EEC licensing regulations). While license-exempt providers are not currently required to follow EEC's emergency preparedness policies, EEC is in the process of developing policies that will require all CCDF funded programs to implement an emergency preparedness plan as set forth in EEC's licensing regulations.

1.8.6 Provide the link to the website where the statewide child care disaster plan is available:

<https://www.mass.gov/lists/child-care-and-development-fund-ccdf-state-plans>

2 Promote Family Engagement through Outreach and Consumer Education

Lead Agencies are required to support the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A key purpose of the CCDBG Act is to 'promote involvement by parents and family members in the development of their children in child care settings' (658A(b)). Lead Agencies have the

opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care consumer education websites.

The target audience for the consumer education information includes three groups: parents receiving CCDF assistance, the general public, and when appropriate, child care providers. In this section, Lead Agencies will address how information is made available to families to assist them in accessing high-quality child care and how information is shared on other financial assistance programs or supports for which a family might be eligible. In addition, Lead Agencies will certify that information on developmental screenings is provided and will describe how research and best practices concerning children's development, including their social-emotional development, is shared.

In this section, Lead Agencies will delineate the consumer and provider education information related to child care, as well as other services, including developmental screenings, that is made available to parents, providers, and the general public and the ways that it is made available. This section also covers the parental complaint process and the consumer education website that has been developed by the Lead Agency and the manner in which it links to the national website and hotline. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

2.1 Outreach to Families With Limited English Proficiency and Persons With Disabilities

The Lead Agency is required to describe how it provides outreach and services to eligible families with limited English proficiency and persons with disabilities and to facilitate the participation of child care providers with limited English proficiency and disabilities in the CCDF program (98.16(dd)). Lead Agencies are required to develop policies and procedures to clearly communicate program information, such as requirements, consumer education information, and eligibility information, to families and child care providers of all backgrounds (81 FR 67456).

2.1.1 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families for whom English is not their first language. Check all that apply.

- Application in other languages (application document, brochures, provider notices)

- Informational materials in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Bilingual outreach workers
- Partnerships with community-based organizations
- Other.

Describe:

EEC has partnered with WIDA to offer online training modules for early educators who work with children who are English language learners, ages 2.5 to 5.5 years old. WIDA is a national organization that advances academic language development and achievement for children and youth who are culturally and linguistically diverse through high quality standards, assessments, research, and professional learning for educators. The English language learner training modules provide opportunities for early educators to learn new instructional content and apply it to practice . As part of the WIDA model, resources like "ABCs of Family Engagement: Key Considerations for Building Relationships with Families and Strengthening Family Engagement Practices," are available for early childhood educators to build on their overall effectiveness with families. Also, many subsidy administrators working directly with families have bilingual staff in the primary language of their clients to provide services in the family's native language. When there is no bilingual staff present, EEC staff and subsidy administrators have access to telephonic translation services to better serve families whose first language is not English. EEC has worked with the Massachusetts Office of Refugees and Immigrants to create the list of most common spoken languages for our subsidy families and, subject to available funding, EEC has dedicated resources for the translation of documents into these primary languages.

2.1.2 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with a person(s) with a disability. Check all that apply.

- Applications and public informational materials available in Braille and other communication formats for access by individuals with disabilities

- Websites that are accessible (e.g. Section 508 of the Rehabilitation Act)
- Caseworkers with specialized training/experience in working with individuals with disabilities
- Ensuring accessibility of environments and activities for all children
- Partnerships with state and local programs and associations focused on disability-related topics and issues
- Partnerships with parent associations, support groups, and parent-to-parent support groups, including the Individuals with Disabilities Education Act (IDEA) federally funded Parent Training and Information Centers
- Partnerships with state and local IDEA Part B, Section 619 and Part C providers and agencies
- Availability and/or access to specialized services (e.g. mental health, behavioral specialists, therapists) to address the needs of all children
- Other.

Describe:

EEC provides families with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. In addition to providing all of the information about child care options, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, DESE, DPH, the DMH, DTA, DCF, and the Massachusetts Commission for the Deaf and Hard of Hearing. Information may be provided in-person, via telephone, through online resources, or in printed materials. Parents with disabilities are also included with the Commonwealth's definition of "protective services", as a result, parents with disabilities may qualify for CCDF child care subsidies without participating in an approved activity for up to two years upon approval by EEC. Early Childhood Mental Health (ECMH) consultation programs provide consultation and coaching services to address and support the social-emotional development and behavioral health of children in early education and care and out-of-school time settings. The early childhood mental health consultation services funded by the Department of Early Education and Care's (EEC) Mental Health Consultation Grant are available state-wide and may be accessed by the entire

mixed delivery system, including children receiving CCDF. ECMH consultants also provide support and guidance to programs, educators, and families to address the developmental, emotional, and behavioral challenges of infants and young children to ensure healthy social-emotional development, reduce the suspension and expulsion rate in early education and care settings, and promote school success. EEC established a dedicated webpage for families, providers and the general public to obtain information on ECMH: www.mass.gov/eec/ecmh. This website describes the scope of ECMH services available, as well as a listing of the current ECMH grantees and resources. The consultation services offered through the FY2018 Mental Health Consultation Grant include mental health supports, strategies, and services that address the developmental, emotional, and behavioral challenges of infants and young children and their families to promote school success, ensure healthy social-emotional development, and reduce the suspension and expulsion rate in early education and care settings. Furthermore, the child care licensing regulations establish requirements related to requests for reasonable accommodations for any child enrolled in an early education program subject to EEC licensure. For children receiving CCDF with special needs/disabilities, EEC has limited flexible funding available on a first come, first served, case-by-case basis to provide temporary financial support to programs to successfully transition and include a subsidized child with disabilities/special needs. Appropriate fund use may include: consultation to identify necessary supports for the child, training for program staff, specialized equipment, or a temporary aide position to enhance staffing. EEC considers this funding as a temporary and preparatory step and expects a program to integrate any funded accommodations into its regular practice, in order to enhance the program's ability to better meet the child's needs. Through funding from DESE and an Interagency Service Agreement from EEC to DPH's Regional Consultation Program (RCPs,) resources are available to families to facilitate transitions from Early Intervention to Early Education and Care Programs and to support children eligible for Special Education Services. In addition, the RCPs support children with disabilities and their families who participate in Early Education and Care programs in an ongoing way.

2.2 Parental Complaint Process

The Lead Agency must certify that the state/territory maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request (658E(c)(2)(C); 98.15(b)(3)). Lead Agencies must also provide a detailed description of the hotline or similar reporting process for parents to submit complaints about child care providers; the process for substantiating complaints; the manner in which the Lead Agency maintains a record of substantiated parental complaints; and ways that the Lead Agency makes information on such parental complaints available to the public on request (98.16; 98.32).

2.2.1 Describe the Lead Agency's hotline or similar reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process:

EEC does not have a dedicated hotline. However, parents or the general public who have a complaint are encouraged to call EEC's regional offices, EEC's Central Office, or email the Commissioner's office with their concerns.

2.2.2 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints regarding CCDF providers, including whether the process includes monitoring:

EEC requires that any provider who receives CCDF funding sign a Voucher Services Agreement. The Voucher Services Agreement requires that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include, but are not limited to, those outlined in M.G.L. c. 15D, EEC's Financial Assistance Policy Guide, EEC's Management Bulletins, EEC Subsidy Communications, 606 CMR 10.00 et. seq. (EEC's subsidy regulations), and 606 CMR 7.00 (EEC licensing regulations). EEC's process for complaints is to review all matters that are reported to determine whether they will be screened in as a complaint. EEC defines substantiated complaint as any regulatory non-compliance that is related to a complaint received by the Department. A response to a complaint may result in an unannounced monitoring visit or an investigation, depending upon

the severity of the allegations raised in the complaint. If the unannounced visit or investigation resulted in non-compliances unrelated to the initial complaint allegation, the non-compliances would not be considered a substantiated complaint. Through its statewide computerized tracking system, EEC logs and tracks all complaints, incidents and other information that it receives about licensed CCDF child care providers from a variety of sources, such as parents, concerned individuals, other state agencies and providers themselves. Substantiated parental complaints are not tracked by any separate means. From the time a complaint comes in to EEC to the time a statement of noncompliance is issued is dependent on the circumstances. However, the prescribed timeline is to complete an investigation of a complaint and issue a statement of non-compliance within 2 weeks or less. This date may be extended due to the severity of the allegations or the investigation may result in the need for additional outreach to collateral contacts.

2.2.3 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints for non-CCDF providers, including whether the process includes monitoring:

EEC reviews all matters that are reported to determine whether they will be screened in as a complaint. EEC defines substantiated complaint as any regulatory non-compliance that is related to a complaint received by the Department. A response to a complaint may result in an unannounced monitoring visit or an investigation, depending upon the severity of the allegations raised in the complaint. If the unannounced visit or investigation resulted in non-compliances unrelated to the initial complaint allegation, the non-compliances would not be considered a substantiated complaint. Through its statewide computerized tracking system, EEC logs and tracks all complaints, incidents and other information that it receives about non-CCDF child care providers from a variety of sources, such as parents, concerned individuals, other state agencies and providers themselves. Substantiated parental complaints are not tracked by any separate means. From the time a complaint comes in to EEC to the time a statement of noncompliance is issued is dependent on the circumstances. However, the prescribed timeline is to complete an investigation of a complaint and issue a statement of non-compliance within 2 weeks or less. This date may be extended due to the severity of the allegations or the investigation may result in the need for additional outreach to collateral contacts.

2.2.4 Certify by describing how the Lead Agency maintains a record of substantiated parental complaints:

Records related to substantiated parental complaints are maintained electronically for an indefinite period of time. All electronic records may be reproduced in hard copy, as needed. Hard copies of records are generally kept in a provider file, at EEC for a minimum of 5 years, then archived for 21 years.

2.2.5 Certify by describing how the Lead Agency makes information about substantiated parental complaints available to the public; this information can include the consumer education website discussed in section 2.3:

Upon request, EEC may release reports from complaint investigations and monitoring visits, as such records are considered public records. See M.G.L. c. 66, §10. Prior to releasing any reports to the public, EEC staff review the records to ensure any personally identifiable, confidential or statutorily protected information/data is redacted (i.e., identity of complainants, references to supported abuse or neglect allegations, social security numbers, etc.). See M.G.L. c. 4, §7, cl. 26 (c), (e) and (f), M.G.L. c. 66A and M.G.L. c. 93H.

2.2.6 Provide the citation to the Lead Agency's policy and process related to parental complaints:

<https://www.mass.gov/media/1749726/download> **and**

https://eecweb.eec.state.ma.us/docs1/NewsUpdates/20110630_voucher_agreement.pdf

2.3 Consumer Education Website

States and Territories are required to provide information to parents, the general public, and when applicable, child care providers through a State website, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III)). The website must include information to assist families in understanding the policies and procedures for licensing child care providers. The website information must also include provider-specific information, monitoring and inspection reports for the provider, the quality of each provider (if such information is available for the provider), and the availability of the provider (658E(c)(2)(D); 98.33(a)). The website should also provide access to a yearly statewide report on deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings. To assist families with any additional questions, the website should provide contact information for local child care resource and referral organizations and any other agencies that can assist families in better understanding the information on the website.

To certify, respond to questions 2.3.1 through 2.3.10 by describing how the Lead Agency meets these requirements and provide the link in 2.3.11. If the Lead Agency has not fully implemented the Consumer Education website elements identified in Section 2.3, then respond to question 2.3.12. Please note that any changes made to the web links provided below in this section after the CCDF Plan is approved will require a CCDF Plan amendment.

2.3.1 Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible:

In October 2017, Governor Charlie Baker's administration launched a new website for state agencies under the Mass.gov domain. EEC elected to participate in the pilot of the new website. The new mass.gov platform was designed to better serve constituent needs in the digital age. The framework and page layout design was developed through pilot tests, user research and public feedback. The new mass.gov website works well with both high-speed connections and pay-as-you go wireless data plans, and has better functionality on more devices than the previous version. New standards on the site make search results richer, including information like addresses, phone numbers and hours of operation. When the new website was in the development stage, it was tested by users from urban, suburban, and rural areas from every part of Massachusetts, and hundreds of users provided feedback to user experience researchers through over a dozen tests. The new Mass.gov is continually

being improved through dashboards that give the Executive Office of Technology Services and Security continuous feedback from constituents on how web content performs. The URL for EEC's new website is: <https://www.mass.gov/orgs/department-of-early-education-and-care>, and the URL for the Commonwealth of Massachusetts' new website is: <https://www.mass.gov>.

2.3.2 Describe how the website ensures the widest possible access to services for families that speak languages other than English (98.33(a)):

The new <https://www.mass.gov> website has a Google translator button at the top of all web pages, including EEC's web pages, whereby users can translate the page content into 12 different languages (Arabic, Chinese, French, Haitian Creole, Italian, Khmer, Korean, Polish, Portuguese, Russian, Spanish, and Vietnamese.) In addition, EEC has translated a number of important documents for parents, programs/providers, and the public who may speak languages other than English.

2.3.3 Describe how the website ensures the widest possible access to services for persons with disabilities:

EEC's website follows specific Commonwealth enterprise standards designed to meet the needs of persons with disabilities. The Commonwealth enterprise standards are generally based on standards used by the federal government for technology accessibility for people with disabilities, as well as web content accessibility guidelines developed by the World Wide Web Consortium (W3C). [Mass.gov](https://www.mass.gov) is regularly tested using leading web accessibility technologies and reviewed by users to verify that the website is compliant with applicable standards.

2.3.4 Lead Agency processes related to child care.

A required component of the consumer education website is a description of Lead Agency policies and procedures relating to child care (98.33(a) (1)). This information includes a description of how the state/territory licenses child care, a rationale for exempting providers from licensing requirements, the procedure for conducting monitoring and inspections of providers, and the policies and procedures related to criminal background checks.

a) Provide the link to how the Lead Agency licenses child care providers, including the rationale for exempting certain providers from licensing requirements, as described in section 5.3.6:

For licensed child care - <https://www.mass.gov/child-care-program-licensing>. For license exempt child care - <https://www.mass.gov/media/1749696/download> and <https://www.mass.gov/media/1511311/download>.

b) Provide the link to the procedure for conducting monitoring and inspections of child care providers, as described in section 5.3.2:

Not in place.

c) Provide the link to the policies and procedures related to criminal background checks for staff members of child care providers and the offenses that prevent individuals from being employed by a child care provider or receiving CCDF funds, as described in sections 5.4.1 and 5.4.11:

<https://www.mass.gov/lists/new-background-record-check-policies>

2.3.5 List of providers

The consumer education website must include a list of all licensed providers and, at the discretion of the Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt. Providers caring for children to whom they are related do not need to be included. The list of providers must be searchable by ZIP Code.

a) Provide the website link to the searchable list of child care providers:

<https://eecweb.eec.state.ma.us/childcaresearch/earlyedumap.aspx>

b) In addition to the licensed providers that are required to be included in your searchable list, which additional providers are included in the Lead Agency's searchable list of child care providers (please check all that apply):

- License-exempt center-based CCDF providers
- License-exempt family child care (FCC) CCDF providers
- License-exempt non-CCDF providers
- Relative CCDF child care providers
- Other.

Describe

c) Identify what informational elements, if any, are available in the searchable results.

Note: Quality information (if available) and monitoring results are required on the website but are not required to be a part of the search results.

Licensed Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

License-Exempt, non-CCDF Providers

- Contact Information
- Enrollment Capacity

- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

License-Exempt CCDF Center Based Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

License-Exempt CCDF Family Child Care

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

Relative CCDF Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

Other.

Describe:

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

2.3.6 Lead Agencies must also identify specific quality information on each child care provider for whom they have this information. The type of information provided is determined by the Lead Agency, and it should help families easily understand whether a provider offers services that meet Lead Agency-specific best practices and standards or a nationally recognized, research-based set of criteria. Provider-specific quality information must only be posted on the consumer website if it is available for the individual provider.

a) How does the Lead Agency determine quality ratings or other quality information to include on the website?

- Quality rating and improvement system
- National accreditation
- Enhanced licensing system
- Meeting Head Start/Early Head Start requirements
- Meeting prekindergarten quality requirements
- School-age standards, where applicable
- Other.

Describe

Not in place.

b) For what types of providers are quality ratings or other indicators of quality available?

- Licensed CCDF providers.

Describe the quality information:

Not in place.

- Licensed non-CCDF providers.

Describe the quality information:

Not in place.

- License-exempt center-based CCDF providers.

Describe the quality information:

Not in place.

- License-exempt FCC CCDF providers.

Describe the quality information:

Not in place.

- License-exempt non-CCDF providers.

Describe the quality information:

Not in place.

Relative child care providers.

Describe the quality information:

Not in place.

Other.

Describe

2.3.7 Lead Agencies are required to post monitoring and inspection reports on the consumer education website for each licensed provider and for each non-relative provider eligible to provide CCDF services on the consumer education website. These reports must include results of required annual monitoring visits and visits due to major substantiated complaints about a provider's failure to comply with health and safety requirements and child care policies. The reports must be in plain language and be timely to ensure that the results of the reports are available and easily understood by parents when they are deciding on a child care provider. Lead Agencies must post at least 3 years of reports when available, going forward (not retrospectively), beginning October 1, 2018.

Certify by responding to the questions below:

a) What is the Lead Agency's definition of plain language and describe the process for receiving feedback from parents and the public about readability of reports.

Not in place.

b) Are monitoring and inspection reports in plain language?

If yes,

include a website link to a sample monitoring report.

Not in place.

If no,

describe how plain language summaries are used to meet the regulatory requirements and include a link to a sample summary.

c) Check to certify what the monitoring and inspection reports and/or their plain language summaries include:

Date of inspection

Health and safety violations, including those violations that resulted in fatalities or serious injuries.

Describe how these health and safety violations are prominently displayed.

Not in place.

Corrective action plans taken by the State and/or child care provider.

Describe

Not in place.

d) The process for correcting inaccuracies in reports.

Not in place.

e) The process for providers to appeal the findings in reports, including the time requirements, timeframes for filing the appeal, for the investigation, and for removal of any violations from the website determined on appeal to be unfounded.

Not in place.

f) How reports are posted in a timely manner. Specifically, provide the Lead Agency's definition of 'timely' and describe how it ensures that reports are posted within its timeframe. Note: While Lead Agencies define 'timely,' we recommend Lead Agencies update results as soon as possible and no later than 90 days after an inspection or corrective action is taken

Not in place.

g) Describe the process for maintaining monitoring reports on the website. Specifically, provide the minimum number of years reports are posted and the policy for removing reports (98.33(a)(4)(iv)).

Not in place.

h) Any additional providers on which the Lead Agency chooses to include reports. Note - Licensed providers and CCDF providers must have monitoring and inspection reports posted on their consumer education website.

License-exempt non-CCDF providers

Relative child care providers

Other.

Describe

2.3.8 Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be posted on the consumer education website. This aggregate information on serious injuries and deaths must be organized by category of care (e.g., center, FCC, etc.) and licensing status for all eligible CCDF provider categories in the state. The information on instances of substantiated child abuse does not have to be organized by category of care or licensing status. The aggregate report should not list individual provider-specific information or names.

Certify by providing:

a) The designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care (98.16 (ff)) and describe how the Lead Agency obtains the aggregate data from the entity.

EEC is the designated entity to which child care providers must report serious injuries or deaths of children occurring in child care. Licensing regulations require programs to inform EEC of serious injuries, deaths and allegations of child abuse. See 606 CMR 7.04(15)(a). EEC also requires that any provider who receives CCDF funding sign a Voucher Services Agreement. The Voucher Services Agreement requires that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include, but are not limited to, those outlined in M.G.L. c. 15D, EEC's Financial Assistance Policy Guide, EEC's Management Bulletins, EEC Subsidy Communications, 606 CMR 10.00 et. seq. (EEC's subsidy regulations), and 606 CMR 7.00 (EEC licensing regulations).

b) The definition of "substantiated child abuse" used by the Lead Agency for this requirement.

"Substantiated child abuse" would be an allegation of abuse or neglect investigated and then supported by DCF pursuant to G.L. c. 119, §51B.

c) The definition of "serious injury" used by the Lead Agency for this requirement.

Any injury to any child which occurs during the hours while such child is in care and which requires hospitalization or emergency medical treatment. See 606 CMR 7.04(15)(a)2.

d) The website link to the page where the aggregate number of serious injuries, deaths, and substantiated instances of child abuse are posted.

Not in place.

2.3.9 The consumer education website should include contact information on referrals to local child care resource and referral organizations. How does the Lead Agency provide referrals to local CCR&R agencies through the consumer education website? Describe and include a website link to this information:

EEC provides referrals through the child care search function in which it provides information on the local CCR&R affiliated with a particular licensed child care program as well as a dedicated section to describe how the CCR&Rs can assist families with financial assistance and finding child care that meets their needs: <https://www.mass.gov/service-details/child-care-resource-and-referral-agencies-ccrrs>.

2.3.10 The consumer education website should include information on how parents can contact the Lead Agency, or its designee, or other programs that can help the parent understand information included on the website. Describe and include a website link to this information:

EEC's website is designed to be consumer friendly, allowing parents to contact EEC and its

regional offices with any questions. There are links to QRIS, resources for families regarding such matters as Early Intervention services, guidance on child development, Early Childhood assessment, as well as financial assistance. At any time, parents or the public who access the website have the ability to immediately contact EEC through a “pop-up” box to let us know what they think: <https://www.mass.gov/orgs/department-of-early-education-and-care>.

2.3.11 Provide the website link to the Lead Agency's consumer education website. Note: An amendment is required if this website changes.

<https://www.mass.gov/orgs/department-of-early-education-and-care>

2.3.12 Other. Identify and describe the components that are still pending per the instructions on CCDF Plan Response Options for Areas where Implementation is Still in Progress in the Introduction.

EEC has not yet included information regarding its rationale for exempting certain providers from licensing requirements. While EEC has developed the electronic means to post aggregate data and monitoring/inspection reports on its consumer education website, EEC has not yet implemented the policies and procedures related to these components, including policies concerning its definition of plain language, the process for correcting inaccuracies in reports, and any appeals procedures. EEC expects to have policies in place related to the posting of aggregate data and monitoring/inspection reports by the end of the 2018 calendar and anticipates reports will be posted within 90 days from the date of inspection.

Additionally, EEC has not included quality ratings as part of the information that is included with the program profiles on its website. EEC has retained a consulting firm that developed: (1) a comprehensive communications strategy with an easily-recognized brand identity to communicate quality/QRIS, including a new name for the MA QRIS, a new name for the MA QRIS tiers, and a consumer friendly logo for the MA QRIS; (2) a comprehensive communications strategy to communicate the importance of quality early education and care;

(3) materials related to a comprehensive marketing/communication strategy: print, digital, radio, video, social media, and any other media identified in marketing/communication strategy, which must be in accessible format; and (4) printed materials to be translated into Spanish, Brazilian Portuguese, Haitian Creole, Khmer, Simplified Chinese, and Vietnamese. EEC expects to include this information on its website when the new, revised, QRIS is launched.

2.4 Additional Consumer and Provider Education

Lead Agencies are required to certify that they will collect and disseminate information about the full diversity of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers. In addition to the consumer education website, the consumer education information can be provided through CCR&R organizations or through direct conversations with eligibility case workers and child care providers. Outreach and counseling can also be effectively provided via information sessions or intake processes for families (658E(c)(2)(E); 98.15(b)(4); 98.33(b)).

In questions 2.4.1 through 2.4.5, certify by describing:

2.4.1 How the Lead Agency shares information with eligible parents, the general public, and where applicable, child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible, such as state preK, as well as the availability of financial assistance to obtain child care services. At a minimum, describe what is provided (e.g., such methods as written materials, the website, and direct communications) and how information is tailored for these audiences.

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies (CCRRs), Mass 211, and EEC's network of Coordinated Family and Community Engagement (CFCE) grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain

information on local and/or regional comprehensive services available to families, including TANF. In addition to providing all of the information about TANF, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

2.4.2 The partnerships formed to make information about the availability of child care services available to families.

EEC partners with the Head Start State Collaboration Office (HSSCO), the Massachusetts Head Start Association, the Head Start Statewide Advisory, and Head Start and Early Head Start programs to ensure information, training and resources about other comprehensive services and school readiness across the state are shared with providers. Key partners that support the work of the Collaboration Office include, but are not limited to, the following: DCF, DHCD, DESE, the Massachusetts Community Action Programs Association, the Head Start Association, and the Office of Refugees and Immigrants.

2.4.3 How the Lead Agency provides the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers. In the description include, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners who assist in providing this information.

Temporary Assistance for Needy Families program:

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including TANF. In addition to providing all of the information about TANF, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

Head Start and Early Head Start programs:

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including Head Start (HS) and Early Head Start (EHS). In addition to providing all of the information about HS and EHS, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention,

the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

[Low Income Home Energy Assistance Program \(LIHEAP\):](#)

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including LIHEAP. In addition to providing all of the information about LIHEAP, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

[Supplemental Nutrition Assistance Programs \(SNAP\) Program:](#)

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including SNAP. In addition to providing all of the information

about SNAP, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

[Women, Infants, and Children Program \(WIC\) program:](#)

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including WIC. In addition to providing all of the information about WIC, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

[Child and Adult Care Food Program\(CACFP\):](#)

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211,

and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including CACFP. In addition to providing all of the information about CACFP, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

[Medicaid and Children's Health Insurance Program \(CHIP\):](#)

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including CHIP. In addition to providing all of the information about CHIP, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

Programs carried out under IDEA Part B, Section 619 and Part C:

EEC provides providers with information to other available human service programs in a variety of ways, through the Child Care Resource and Referral Agencies, Mass 211, and EEC's network of Coordinated Family and Community Engagement grantees across the Commonwealth. Through the express terms of the contract and through regular meetings, EEC ensures the CCRRs, Mass211 and the CFCE grantees have current information related to comprehensive services and EEC priorities. These entities maintain information on local and/or regional comprehensive services available to families, including IDEA. In addition to providing all of the information about IDEA, they may provide information on additional comprehensive supports, such as adult basic education, local and state agencies responsible for subsidized housing, shelter programs, etc. Referrals to families are provided to/from the entities within this network of agencies as well, ensuring that families are connected to the best resources to meet their needs. Partners include all of the entities listed above as well as, Early Intervention, the Department of Elementary and Secondary Education, the Department of Public Health, the Department of Mental Health, the Department of Transitional Assistance and the Department of Children and Families. Information may be provided in-person, via telephone, through online resources, or in printed materials.

2.4.4 Describe how the Lead Agency makes available to parents, providers, and the general public information on research and best practices concerning children's development, including physical health and development, particularly healthy eating and physical activity. Information about successful parent and family engagement should also be shared. At a minimum, include what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners in providing this information.

EEC shares information through direct communication via our state, regional and community-based partners, by addressing a family's specific need on an individual basis, or through general communication across communities, which may include newsletters, email blasts and/or dissemination of online resources. Through the Race to the Top Early Learning

Challenge Grant, EEC, including those developed in partnership with the WGBH Educational Foundation and Boston Children's Museum, created Resources for Early Learning, a media-rich site of educational resources to help support adults families and educators who teach, nurture, and care for children from birth to age five. These resources were developed by a team of early childhood experts, educators, and parents. WGBH's Resources for Early Learning contains activities for parents and early educators to engage with young children, parenting education videos, WGBH- themed videos and interactive games for young children that focus on language and science concepts, curricula for early educators, and professional development for early educators (For more information visit the Resources for Early Learning website: <http://www.resourcesforearlylearning.org>). Through the Race to the Top Early Learning Challenge Grant, EEC Resources developed for educators and families, in partnership with the Boston Children's Museum, created resources for educators and families around focus on four core areas, STEM, Brain Building, School Readiness and Literacy, translated in many languages (For more information, please visit:<http://www.bostonchildrensmuseum.org/learning-resources/race-to-the-top>.) Various research and best practice resources are also available on EEC's website, including: Infant Toddler and Preschool Guides: <http://www.mass.gov/edu/birth-grade-12/early-education-and-care/parent-and-family-support>/<https://www.mass.gov/service-details/massachusetts-early-learning-guidelines-for-infants-and-toddlers>; Brain Building in Progress website: <http://brainbuildinginprogress.org/the-science>; Choosing Child Care Tips: <http://www.mass.gov/edu/birth-grade-12/early-education-and-care/find-early-education-and-care-programs/types-of-early-education-and-care-programs-and-tips-for-parents-on-selecting-a-quality-program/>; Early Learning Standards, including Massachusetts Standards for Preschool and Kindergarten in the Domains of Social and Emotional Learning, and Approaches to Play and Learning (available in multiple languages): <http://www.mass.gov/edu/birth-grade-12/early-education-and-care/curriculum-and-learning/pre-school-and-kindergarten-standards.html>; Guidelines, including the Massachusetts Early Learning Guidelines for Infants and Toddlers : http://www.eec.state.ma.us/docs1/curriculum/20110519_infant_toddler_early_learning_guidelines.pdf; Child Development Guidance for Parents of Young Children: <https://www.mass.gov/service-details/child-development-guidance-for-parents-of-young-children>; Early Intervention Resources for Families: <https://www.mass.gov/service-details/resources-for-families-receiving-early-intervention-services-in-early-education>; Early Childhood Assessment Resources: <https://www.mass.gov/service-details/early-childhood-assessment>; Massachusetts Early Learning Guidelines for Infants and Toddlers; Early

Childhood Program Standards for 3 and 4 Year Olds; and Guidelines for Preschool Learning Experiences; PreK Science, Technology and Engineering Standards; and PreK and Kindergarten Standards in Social-Emotional Development and Approaches to Play and Learning: <https://www.mass.gov/eec-learning-standards-and-curriculum-guidelines>. EEC also collaborates with the DSE and the DPH to ensure information, training and resources on social and emotional behavior is provided to the entire mixed-delivery system, which includes those working in family child care homes, center-based programs, and those that are exempt from licensing. In partnership with ESE, the Commonwealth has developed the Massachusetts Standards for Preschool and Kindergarten in the Domains of Social and Emotional Learning, and Approaches to Play and Learning (available in multiple languages): <http://www.mass.gov/edu/birth-grade-12/early-education-and-care/curriculum-and-learning/pre-school-and-kindergarten-standards.html>. Training modules on the standards for both educators and families are in development and will be offered across Massachusetts in Spring 2016. EEC's partners include CCRRs, CFCE grantees, Mass 211, EPS grantees, United Way, Head Start, and contracted providers, as well as state partners like DCF, DPH, and DTA. EEC continues to integrate the content of the Massachusetts Standards for Preschool and Kindergarten in the Domains of Social and Emotional Learning and Approaches to Plan and Learning, developed in collaboration with the Department of Elementary and Secondary Education, in professional development opportunities for the field of early childhood. In addition, EEC is working with the Pyramid Model Consortium to design and deliver a statewide initiative to train and provide coaching to staff of no less than 20 early education and care programs on this model. Participants include educators, administrative team leaders, and internally-based coaches. Trained externally-based behavioral health coaches will provide support to internally-based coaches with the implementation of the Pyramid Model. The Pyramid Model for Supporting Social Emotional Competence in Infants and Young Children is a conceptual framework of evidence-based practices and is widely accepted as best practice in the field of early childhood. This initiative is intended to coordinate with efforts currently underway by the Department of Public Health (DPH) Early Intervention (EI) program and the Department of Elementary and Secondary Education (ESE) related to the implementation of the Pyramid Model in their respective sectors. The overarching goal is to build cross sector, system-wide supports for early education and care programs to support the healthy social, emotional and behavioral health of all children, and to strategically build the capacity of programs through supporting community-wide implementation, while maintaining fidelity of the Pyramid Model approach and reducing external support and coaching. The Pyramid Model Consortium will also be working with an

evaluator to evaluate the efficacy of this initiative within early education and care programs to provide data and recommendations to the state for scaling up this work and embedding it into workforce priorities and the Quality Rating and Improvement System (QRIS).

2.4.5 Describe how information on the Lead Agency's policies regarding the social-emotional and behavioral issues and early childhood mental health of young children, including positive behavioral intervention and support models based on research and best practices for those from birth to school age, are shared with families, providers, and the general public. At a minimum, include what information is provided, how the information is provided, and how information is tailored to a variety of audiences and include any partners in providing this information.

In Massachusetts, Early Childhood Mental Health (ECMH) consultation programs provide consultation and coaching services to address and support the social-emotional development and behavioral health of children in early education and care and out-of-school time settings. The early childhood mental health consultation services funded by the Department of Early Education and Care's (EEC) Mental Health Consultation Grant are available state-wide and may be accessed by the entire mixed delivery system, including children receiving CCDF. ECMH consultants also provide support and guidance to programs, educators, and families to address the developmental, emotional, and behavioral challenges of infants and young children to ensure healthy social-emotional development, reduce the suspension and expulsion rate in early education and care settings, and promote school success. EEC established a dedicated webpage for families, providers and the general public to obtain information on ECMH: www.mass.gov/eec/ecmh. This website describes the scope of ECMH services available, as well as a listing of the current ECMH grantees and resources. The consultation services offered through the FY2018 Mental Health Consultation Grant include mental health supports, strategies, and services that address the developmental, emotional, and behavioral challenges of infants and young children and their families to promote school success, ensure healthy social-emotional development, and reduce the suspension and expulsion rate in early education and care settings. As part of a broader comprehensive statewide system of mental health supports for children and families, EEC is a partner in the MassHealth Children's Behavioral Health Initiative (CBHI), to ensure that children with MassHealth coverage, who have significant behavioral, emotional and

mental health needs and their families get the services they need for success in home, school, community, and throughout life. In addition to CBHI, EEC participates in a variety of interagency working groups to leverage existing resources to support social and emotional health and to strengthen capacity and build common language across the early childhood field. In collaboration with the Department of Mental Health (DMH), EEC funds a statewide system of early childhood mental health (ECMH) consultation services. EEC has awarded grants to provide early childhood mental health consultation services that meet the needs of the programs, providers, educators, children, families, and communities throughout the Commonwealth. The consultation services offered through the FY2015 Mental Health Consultation Grant include mental health supports, strategies, and services that address the developmental, emotional, and behavioral challenges of infants and young children and their families to promote school success, ensure healthy social-emotional development, and reduce the suspension and expulsion rate in early education and care settings.

2.4.6 Describe the Lead Agency's policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds (98.16(ee)), including how those policies are shared with families, providers, and the general public.

EEC licensing regulations state that if a program chooses to suspend or terminate a child for any reason the program must provide written documentation to the parents of the specific reasons for the proposed suspension or termination of the child, and the circumstances under which the child may return, if any. See 606 CMR 7.04(3)(b) for the licensing regulations pertaining to documentation of suspension or expulsion of children in licensed early education and care settings. In addition, all licensed center-based group and school age child care programs are required to have written policies in place to avoid terminations and expulsions, which must include: (1) providing an opportunity to meet with parents to discuss options other than suspension or termination; (2) offering referrals to parents for evaluation, diagnostic or therapeutic services; (3) pursuing options for supportive services to the program, including consultation and educator training; and (4) developing a plan for behavioral intervention at home and in the program. Massachusetts is currently assessing the need to incorporate the same or similar requirements to license-exempt programs serving subsidized children. Please see 606 CMR 7.04(17)(i) for the licensing

regulations pertaining to suspensions and expulsions in center-based early education and care settings:

<https://www.mass.gov/files/documents/2017/10/17/606cmr7.pdf><http://www.mass.gov/edu/docs/eec/licensing/regulations/2010-reg-family-group-school-age-child-care-programs.pdf>. If a program chooses to suspend or terminate a child for any reason the program must provide written documentation to the parents of the specific reasons for the proposed suspension or termination of the child, and the circumstances under which the child may return, if any. In addition, all licensed center-based group and school age child care programs are required to have written policies in place to avoid terminations and expulsions, which must include: (1) providing an opportunity to meet with parents to discuss options other than suspension or termination; (2) offering referrals to parents for evaluation, diagnostic or therapeutic services; (3) pursuing options for supportive services to the program, including consultation and educator training; and (4) developing a plan for behavioral intervention at home and in the program. Massachusetts is currently assessing the need to incorporate the same or similar requirements to license-exempt programs serving subsidized children. Please see 606 CMR 7.04(17)(i) for the licensing regulations pertaining to suspensions and expulsions in center-based early education and care

settings:<http://www.mass.gov/edu/docs/eec/licensing/regulations/2010-reg-family-group-school-age-child-care-programs.pdf>. If a program chooses to suspend or terminate a child for any reason the program must provide written documentation to the parents of the specific reasons for the proposed suspension or termination of the child, and the circumstances under which the child may return, if any. Please see 606 CMR 7.04(3)(b) for the licensing regulations pertaining to documentation of suspension or expulsion of children in licensed early education and care settings. In addition, all licensed center-based group and school age child care programs are required to have written policies in place to avoid terminations and expulsions, which must include: (1) providing an opportunity to meet with parents to discuss options other than suspension or termination; (2) offering referrals to parents for evaluation, diagnostic or therapeutic services; (3) pursuing options for supportive services to the program, including consultation and educator training; and (4) developing a plan for behavioral intervention at home and in the program. Massachusetts is currently assessing the need to incorporate the same or similar requirements to license-exempt programs serving subsidized children. Please see 606 CMR 7.04(17)(i) for the licensing regulations pertaining to suspensions and expulsions in center-based early education and care settings: <https://www.mass.gov/files/documents/2017/10/17/606cmr7.pdf>.

Furthermore, EEC requires that any provider who receives CCDF funding sign a Voucher

Services Agreement. The Voucher Services Agreement requires that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include, but are not limited to, those outlined in M.G.L. c. 15D, EEC's Financial Assistance Policy Guide, EEC's Management Bulletins, EEC Subsidy Communications, 606 CMR 10.00 et. seq. (EEC's subsidy regulations), and 606 CMR 7.00 (EEC licensing regulations).

2.5 Procedures for Providing Information on Developmental Screenings

Lead Agencies are required to provide information on developmental screenings, including information on resources and services that the State can deploy, such as the use of the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under title XIX of the Social Security Act and developmental screening services available under IDEA Part B, Section 619 and Part C, in conducting those developmental screenings and in providing referrals to services for children who receive subsidies. Lead Agencies must also include a description of how a family or child care provider can use these resources and services to obtain developmental screenings for children who receive subsidies and who might be at risk of cognitive or other developmental delays, which can include social, emotional, physical, or linguistic delays (658E(c)(2)(E)(ii)). Lead Agencies are required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)).

2.5.1 Certify by describing:

a) How the Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings to CCDF parents, the general public, and where applicable, child care providers (98.15(b)(3)).

In FY2018, EEC began a new initiative: the Training and Technical Assistance on Developmental Screening Grant program provides evidence-based child developmental screening tools to early education and family child care programs. Successful grantees receive the Ages & Stages Questionnaires®, Third Edition (ASQ-3™) and Ages & Stages Questionnaires®: Social-Emotional, Second Edition (ASQ:SE-2™) child development

screeener, and training on using the ASQ in their programs. The goals of this funding are to: Support grantees with the tools, training, and technical assistance they need to successfully implement screening processes that support healthy development, family engagement, and effective instructional practice; and support grantees in achieving Levels 3 and 4 of MA QRIS. Eligible programs must be EEC-licensed center based or family child care programs or license-exempt/public school based programs in Massachusetts. All applications for licensed programs must have a license in good standing with EEC. The grant is intended for programs that are not currently using developmental screening. Programs may apply if they have a MA QRIS granted Levels 1-3.

b) [The procedures for providing information on and referring families and child care providers to the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program - carried out under Title XIX of the Social Security Act \(42 U.S.C. 1396 et seq.\) - and developmental screening services available under Section 619 and Part C of the Individuals with Disabilities Education Act \(20 U.S.C. 1419, 1431 et seq.\)](#). Pursuant to EEC child care licensing regulations, all early education and care providers are required to collect and maintain children's records which include: documentation of annual physical examinations, updated immunizations and lead screening; and documentation of the results of vision, hearing and dental screenings. For any families, including children receiving CCDF, that are unable to comply with the child records requirements due to lack of health insurance, the early education and care provider shall make a referral to Mass Health, which is the state Medicaid agency, for purposes of linking the family to the Early and Periodic Screening, Diagnosis, and Treatment program. All licensed providers are required to complete progress reports on children participating in the child care program. Progress reports for infants and children with documented special needs must be completed every three months, progress reports for toddlers and pre-school aged children are required every six months, and progress reports for school age children must be completed at least annually at the mid-point of the program year. Notwithstanding the progress report timelines, all licensed providers must document any special problems and significant developments and bring such issues to the parent's attention as soon as they arise. In such instances, the licensee must offer information regarding health and educational resources for the child and family; and obtain parental consent prior to contacting any outside social, educational or health care resource or service provider on behalf of an individual child. In addition to

EEC's Licensing Regulations, the Massachusetts Special Education laws articulate the responsibilities of the Local Education Agencies regarding the provision of Preschool Screenings as follows: Each school district shall conduct screening for three and four-year-old and for all children who are of age to enter kindergarten. Such screening shall be designed to review a child's development and to assist in identification of those children who should be referred for an evaluation to determine eligibility for special education services. The Massachusetts Quality and Improvement Rating System (QRIS) requires all Level 3 or higher participants, which includes all recipients of the Massachusetts Universal Pre- Kindergarten (UPK) grant, to use screening tools, progress reports, formative assessments and information gathered through observation to set goals for individual children across all developmental domains. Any early education and care provider may make a referral to the state's Department of Public Health's Early Intervention Programs to obtain an evaluation with the child and family to determine eligibility. If such direct contacts are made by the program, the licensee must maintain a written record of such contacts and the results of such contacts. Further, the child care licensing regulations require all licensed group and school age programs to develop and implement written plans for referring parents to appropriate social, mental health, educational and medical services (i.e., EPSDT or IDEA), including but not limited to dental check-up, vision or hearing screening for their child, should the program staff feel that an assessment for such additional services would benefit the child. The written plan shall include, but not be limited to the following: 1. staff responsibilities for informing the licensee of their concern; 2. procedures for observing and recording the child's behavior and reviewing the child's record prior to making a referral; 3. procedures for meeting with parents to notify them of the program's concern; 4. a current list of referral resources in the community for children in need of social, mental health, educational or medical services. This list shall include the contact person for St. 1972 c.766 and Early Intervention Program referral; 5. written notice to the appropriate administrator of special education that the licensee is serving a child with a disability, if the child is 2 years and 9 months old or older; and 6. written notice to the administrator of the DPH Early Intervention program if the licensee is serving a child with a disability who is younger than two years and nine months old. Infants and toddlers in EEC licensed programs are expected to be referred to Early Intervention if they are: 1. not reaching age-appropriate milestones in one or more areas; 2. diagnosed with a physical, emotional, or cognitive condition that may result in a developmental delay; or 3. at risk for developmental delay(s) due to various biological and/or environmental factors.

c) How the Lead Agency gives information on developmental screenings to parents receiving a subsidy as part of the intake process. Include the information provided, ways it is provided, and any partners in this work.

Subsidy administrators are required to provide the state policies and available information to families on the following topics: Children's social emotional behavioral health, including any positive behavioral health intervention and support models; Policies to prevent suspension and expulsion of children from early education and care programs; developmental screening information, including existing resources and services available to provide screenings, including those available under the federal IDEA and the Early and Periodic Screening, Diagnosis, and Treatment program; and how a family or provider may use developmental screening resources and services to obtain developmental screenings for children at risk of cognitive or developmental delays.

d) How CCDF families or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays.

Families or child care providers may utilize the preschool screenings as offered through the school districts to obtain developmental screenings for children who may be at risk for cognitive or other developmental delays, which may include social, emotional, physical, or linguistic delays. In addition to the aforementioned referrals and screenings, the state's Coordinated Family and Community Engagement (CFCE) grantees work directly with interested parents and families in community-based settings to offer developmental screenings for young children. CFCE programs offer the Ages and Stages Questionnaire (ASQ) and Ages and Stages Questionnaire Social Emotional (ASQ-SE) developmental screening tools to parents who consent to have their child screened. Depending on the outcome of the screening, CFCE programs can make referrals to Early Intervention, the special education department in the local school district, or to other appropriate services. In addition to accessing information about ASQ screening locally, parents and families who are interested having their child screened with the ASQ/ASQ-SE are able to be connected to their local CFCE program via the Mass 211 hotline. The 90 CFCE programs across the Commonwealth embed specific information about ASQ in their communications and programming for families to encourage them to access this opportunity to strengthen their knowledge about their child's growth and their capacity to support optimal child development.

e) [How child care providers receive this information through training and professional development.](#)

The Training and Technical Assistance on Developmental Screening Grant program allows eligible grantees to receive CEU training in developmental screening using ASQ-3™ and ASQ:SE-2™ for each grantee's program administrator or designee, up to five hours of technical assistance in supporting all program staff implementing the screening process, and 10 hours of individualized technical assistance for all program staff implementing the screening process in the following competencies: using the screening process to document children's development across developmental domains; using aggregate program-wide data to identify and address trends across each Grantee's program; identifying supports and action steps needed to address those trends; addressing the trends; and documenting and reflecting on the impact of this screening process using continuous quality improvement (CQI) planning. EEC plans to expand the grant program over the next 2-3 years. The goals for this expansion are supporting effective professional development and implementation of developmental screening across early education program types and increasing overall program quality as measured by the State's QRIS.

Furthermore, EEC contracts with Family Child Care Systems to administer financial assistance for child care to income eligible families in the Commonwealth and a centralized administrative function to a network of family child care providers. Family Child Care Systems support providers while increasing access to affordable, quality early education and care for all families. The Family Child Care System contracts with family child care providers who wish to take advantage of resources and supports such as training, technical assistance and consultation, monitoring, and referrals to health and social services for children in their care.

f) [Provide the citation for this policy and procedure related to providing information on developmental screenings.](#)

606 CMR 7.06(5) - Documenting and Reporting Special Problems or Significant Developments; and 603 CMR 28.03(1)(d) - Pre-School Screening Requirements.

2.6 Consumer Statement for Parents Receiving CCDF Funds

Lead Agencies must provide CCDF parents with a consumer statement in hard copy or electronically (such as referral to a consumer education website) that contains specific information about the child care provider they select. This information about the child care provider selected by the parent includes health and safety requirements met by the provider, any licensing or regulatory requirements met by the provider, the date the provider was last inspected, any history of violations of these requirements, and any voluntary quality standards met by the provider. It must also describe how CCDF subsidies are designed to promote equal access, how to submit a complaint through a hotline, and how to contact local resource and referral agencies or other community-based supports that assist parents in finding and enrolling in quality child care (98.33(d)). Please note that if the consumer statement is provided electronically, Lead Agencies should consider how to ensure that the statement is accessible to parents and that parents have a way to contact someone to address questions they have.

2.6.1 Certify by describing:

a) How the Lead Agency provides parents receiving CCDF funds with a consumer statement.

For families that are undecided on their childcare provider, the CCRR will provide parents with a Choosing Child Care pamphlet that provides an overview of both licensed and licensed-exempt childcare options. For families that have already chosen a provider, the CCRR will issue the parent a Child Care Application and Fee Agreement. Effective October 1, 2018, the Child Care Application and Fee Agreement contains a link to EEC's web site where the parent can obtain additional information on their chosen provider as described in 2.6.1(b).

b) What is included in the statement, including when the consumer statement is provided to families.

The Choosing Child Care pamphlet is given to new families during their initial assessment at the CCRR and provides an overview of the EEC's child care options. The pamphlet also provides a link to EEC's web site whereby the parent can search providers by zip code and obtain additional information, including contact information, enrollment

capacity, rates, schedule, years in operation, education and training of provider/staff, the affiliated CCRR, types of financial assistance accepted, special needs, available public transportation, and languages spoken. Effective October 1, 2018, the Child Care Application and Fee Agreement also contains a link to EEC's web site where the parent can obtain additional information on their chosen provider. The Child Care Application and Fee Agreement is provided to parents who have already chosen a provider following the completion of their authorization at the CCRR. EEC is in the process of ensuring that its web site contains links to each provider's monitoring and inspection reports that will include health and safety requirements met by the provider, any licensing or regulatory requirements met by the provider, the date the provider was last inspected, and any history of violations of these requirements. EEC's website also includes an abundance of resources including EEC's complaint process, partner agencies, including CCRR contact information, and links to its Market Rate Survey, which describe how CCDF subsidies are designed to promote equal access.

c) [Provide a link to a sample consumer statement or a description if a link is not available.](#)

<https://www.mass.gov/guides/find-a-licensed-family-group-or-school-age-child-care-program>

3 Provide Stable Child Care Financial Assistance to Families

In providing child care assistance to families, Lead Agencies are required to implement these policies and procedures: a minimum 12-month eligibility and redetermination periods, a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for a job search of not fewer than 3 months if the Lead Agency exercises the option to discontinue assistance, and policies for the graduated phase-out of assistance. Also, procedures for the enrollment of homeless children and children in foster care, if served, pending the completion of documentation, are required.

Note: Lead Agencies are not prohibited from establishing policies that extend eligibility beyond 12 months to align program requirements. For example, Lead Agencies can allow children enrolled in Head Start, Early Head Start, state or local prekindergarten, and other collaborative

programs to finish the program year. This type of policy promotes continuity for families receiving services through multiple benefit programs.

In this section, Lead Agencies will identify how they define eligible children and families and how the Lead Agency improves access for vulnerable children and families. This section also addresses the policies that protect working families and determine a family's contribution to the child care payment.

3.1 Eligible Children and Families

At the time when eligibility is determined or redetermined, children must (1) be younger than age 13; (2) reside with a family whose income does not exceed 85 percent of the State's median income for a family of the same size and whose family assets do not exceed \$1,000,000 (as certified by a member of said family); and (3)(a) reside with a parent or parents who are working or attending a job training or educational program or (b) receives, or needs to receive, protective services and resides with a parent or parents not described in (3)(a.) (658P(4)).

3.1.1 Eligibility criteria based on a child's age

a) The CCDF program serves children

from 0

(weeks/months/years)

through 12

years (under age 13). . Note: Do not include children incapable of self-care or under court supervision, who are reported below in (b) and (c).

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

No

Yes,

and the upper age is 16

(may not equal or exceed age 19).

If yes, Provide the Lead Agency definition of physical and/or mental incapacity: A child who, because of temporary or permanent disabilities arising from intellectual, sensory, emotional, physical, or environmental factors, or other specific learning disabilities, is or would be unable to progress effectively in a regular school program.

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

No.

Yes

and the upper age is

(may not equal or exceed age 19)

d) How does the Lead Agency define the following eligibility terms?

"residing with":

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

"in loco parentis":

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

3.1.2 Eligibility criteria based on reason for care

a) How does the Lead Agency define "working or attending a job training and educational program" for the purposes of CCDF eligibility at the time of determination? Provide the definitions below for:

"Working":

EEC regulations define working in terms of a "service need" equal to the amount of time child care is required due to the parent's participation in an approved employment related activity. Furthermore, EEC regulations and policy establish the following approved employment related activities, which qualify as "working" for purposes of determining eligibility for subsidized child care: employment, self-employment, including paid in cash; actively deployed military service; or retirement, if applicant is age 65 or older.

"Job training":

EEC regulations define attending job training in terms of a "service need" equal to the amount of time child care is required due to the parent's participation in a training activity. Furthermore, EEC regulations and policy establish the following activities, which qualify as training for purposes of determining eligibility for subsidized child care: vocational training program; or English language training program for people whose primary language is not English (i.e., ESOL). EEC's is proposing regulatory changes that will define job training as participation in an "approved" training activity.

"Education":

EEC regulations define attending education in terms of a "service need" equal to the amount of time child care is required due to the parent's participation in an educational activity. Furthermore, EEC regulations and policy establish the following activities, which qualify as education for purposes of determining eligibility for subsidized child care: fulltime high school program; high school equivalency program; or accredited college/university leading to an associate's or bachelor's degree, not including graduate, medical or law degrees.

"Attending job training or education" (e.g. number of hours, travel time):

The service need for parents participating in education or training programs other than college or high school including high school equivalency programs (i.e., GED program), is 2.5 hours of service need for each hour spent in the education or training program per week. The service need for parents participating in a full time high school program will be considered full time, regardless of the program's schedule. The service need for parents participating in college coursework with 12 credit hours or more will be considered full time. For parents participating in less than 12 credit hours,

the actual credit hours shall be multiplied by 2.5 to establish a child care need. EEC is proposing regulatory changes that parents participating in high school equivalency programs or ESOL programs as their sole service need are limited to one 12-month authorization period. EEC is also proposing regulatory changes to allow for a different calculation for service need for parents enrolled in education programs that run on an accelerated schedule.

3.1.2 Eligibility criteria based on reason for care

b) Does the Lead Agency allow parents to qualify for CCDF assistance on the basis of education and training participation alone (without additional minimum work requirements)?

No.

If no, describe the additional work requirements:

Yes.

If yes, describe the policy or procedure:

EEC recognizes participation in education or training programs as qualified service needs. EEC is proposing regulatory changes that allow families who are eligible at the initial determination for CCDF assistance on the basis of an approved education or training participation alone will remain eligible for the entirety of the 12 month authorization period, unless the parent experiences a non-temporary cessation of the qualifying activity, and has exhausted their 12 week job search period.

3.1.2 Eligibility criteria based on reason for care

c) Does the Lead Agency consider seeking employment (engaging in a job search) an eligible activity at initial eligibility determination (at application) and at the 12-month eligibility redetermination? (Note: If yes, Lead Agencies must provide a minimum of three months of job search)

No.

Yes.

If yes, describe the policy or procedure. (including any differences in eligibility at initial eligibility determination vs. redetermination of eligibility):

Effective October 1, 2018, EEC implemented interim policies that allow families

engaging in a job search or seeking employment as an eligible activity at initial eligibility determination. Parents who do not have an approved activity at time of initial assessment would be granted a period of 12 weeks to seek and certify an approved activity. This applies to parents on maternity or paternity leave at initial assessment, parents enrolled in a nonapproved training program, or parents unable to certify employment at time of the initial eligibility assessment. Parents who are able to provide full documentation of an approved activity before the end of the 12 week period will be issued a 12 month authorization. Parents who are able to provide preliminary proof of an approved activity (i.e. an employment verification form) but are unable to provide full documentation at the end of the 12 week period will be granted an extended period of 8 weeks to provide full documentation required to qualify for a 12 month authorization. EEC intends to codify these changes following the regulatory process, which EEC anticipates will be completed in early 2019.

3.1.2 Eligibility criteria based on reason for care

d) Does the Lead Agency provide child care to children in protective services?

No.

Yes. If yes:

i. Please provide the Lead Agency's definition of "protective services":

Families authorized for a child care subsidy based on a clinical decision by DCF will be deemed to be in need of protective services, including foster care. Additionally, children may be deemed at risk of needing protective services in special circumstances, wherein families are unable to provide child care for any portion of a 24 hour day due to a situation of domestic violence or homelessness; a physical, mental, emotional or medical condition; or participation in a drug treatment or drug rehabilitation program.

Note: Federal requirements allow other vulnerable children identified by the Lead Agency not formally in child protection to be included in the Lead Agency's definition of protective services for CCDF purposes. A Lead Agency may elect to provide CCDF-funded child care to children in foster care when foster care parents are not working or are not in education/training activities, but this provision should be included in the protective services definition above.

ii. Are children in foster care considered to be in protective services for the purposes of eligibility at determination?

No

Yes

iii. Does the Lead Agency waive the income eligibility requirements for cases in which children receive, or need to receive, protective services on a case-by-case basis (658E(c)(5))?

No

Yes

iv. Does the Lead Agency provide respite care to custodial parents of children in protective services?

No

Yes

3.1.3 Eligibility criteria based on family income. Note: The question in 3.1.3 relates to initial determination. Redetermination is addressed in 3.1.7.

a) How does the Lead Agency define "income" for the purposes of eligibility at the point of determination?

When determining financial eligibility, EEC considers relevant income as wages or salary (including overtime), social security benefits, alimony, child support, and public assistance. For earned income, EEC requires applicants to submit 4 out of the most recent 6 weekly pay stubs. If self-employed or an independent contractor, applicants must submit employment verification forms, including report of self-employment earnings, and copies of most recent federal tax returns. For unearned income, copies of award letters (i.e., social security benefits, unemployment compensation, worker's compensation, retirement benefits, etc.) or copies of court orders, child support enforcement records or other agreements (i.e., alimony or child support). For in-kind earnings, self-declaration or other informal agreement may be submitted.

b) Provide the CCDF income eligibility limits in the table below at the time of initial determination. Complete columns (a) and (b) based on maximum eligibility at initial entry into CCDF. Complete columns (c) and (d) *only if* the Lead Agency is using income

eligibility limits lower than 85 percent of the current state median income (SMI) at the initial eligibility determination point. Fill in the chart based on the most populous area of the state (the area serving the highest number of CCDF children). If the income eligibility limits are not statewide, please respond to c) below the table.

	(a)	(b)	(c)	(d)
Family Size	100% of SMI(\$/Month)	85% of SMI (\$/Month) [Multiply (a) by 0.85]	(IF APPLICABLE) (\$/Month) Maximum Initial or First Tier Income Limit (or Threshold) if Lower Than 85% of Current SMI	IF APPLICABLE) (% of SMI) [Divide (c) by (a), multiply by 100] Income Level if Lower Than 85% of Current SMI
1	N/A	N/A	N/A	N/A
2	\$6,450	\$5,482	\$3,225	50%
3	\$7,967	\$6,772	\$3,984	50%
4	\$9,485	\$8,062	\$4,742	50%
5	\$11,002	\$9,352	\$5,501	50%

c) If the income eligibility limits are not statewide, describe how many jurisdictions set their own income eligibility limits and provide the income limit ranges across the jurisdictions (e.g. range from [lowest limit] to [highest limit])(98.16(i)(3)).

N/A

Reminder: Income limits must be established and reported in terms of current SMI based on the most recent data published by the Bureau of the Census (98.20(a)(2)(i)) even if the federal poverty level is used in implementing the program. SMI guidelines are available at: <https://www.acf.hhs.gov/ocs/resource/liheap-im2017-03>.

d) SMI source and year. Low Income Home Energy Assistance Program (LIHEAP), 2019

e) Identify the most populous area of the State used to complete the chart above.

Not applicable as income limits are statewide.

f) What was the date (mm/dd/yyyy) that these eligibility limits in column (c) became effective? 10/01/2018

g) Provide the citation or link, if available, for the income eligibility limits.

<https://www.mass.gov/guides/early-education-and-care-financial-assistance-for-families>

3.1.4 Lead Agencies are required to ensure that children receiving CCDF funds do not have family assets that exceed \$1,000,000, as certified by a family member (98.20(a)(2)(ii)).

a) Describe how the family member certifies that family assets do not exceed \$1,000,000 (e.g., a checkoff on the CCDF application).

EEC requires families to complete a Household Income Statement as part of the eligibility process and certify their household does not have assets with a combined value of more than \$1 million. EEC defines assets as, all houses or other buildings, real property, vehicles, cash, bank accounts, cash value of life insurance policies, trusts, stocks, bonds, and overall business value, including equipment, jewelry, livestock, or other goods.

b) Does the Lead Agency waive the asset limit on a case-by-case basis for families defined as receiving, or in need of, protective services?

No.

Yes.

If yes, describe the policy or procedure and provide citation:

EEC will waive the asset limit for homeless families, active TAFDC recipients, and for families with active protective services cases with DCF. See the EEC Interim Policy Guide 2018 (<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>)

3.1.5 Describe any additional eligibility conditions or priority rules applied by the Lead Agency during eligibility determination or redetermination (98.20(b)).

EEC is proposing regulatory changes that will apply additional rules to the redetermination process. EEC is anticipating that the regulatory process will be completed in early 2019. Under proposed regulations, parents will be notified at least 45 days prior to end date of authorization and must supply all documentation within a reasonable time frame before authorization ends so that assessment may be completed in full. A parent that is unable to provide all of the required documentation prior to the end date of the authorization will have 30 days to provide all documentation and return to care, but care will not be extended during

those 30 days.

3.1.6 Lead Agencies are required to take into consideration children's development and promote continuity of care when authorizing child care services (98.21(f); 98.16(h)(6)). Check the approaches, if applicable, that the Lead Agency uses when considering children's development and promoting continuity of care when authorizing child care services.

- Coordinating with Head Start, prekindergarten, or other early learning programs to create a package of arrangements that accommodates parents' work schedules
- Inquiring about whether the child has an Individualized Education Program (IEP) or Individual Family Services Plan (IFSP)
- Establishing minimum eligibility periods greater than 12 months
- Using cross-enrollment or referrals to other public benefits
- Working with IDEA Part B, Section 619 and Part C staff to explore how services included in a child's IEP or IFSP can be supported and/or provided onsite and in collaboration with child care services
- Providing more intensive case management for families with children with multiple risk factors;
- Implementing policies and procedures that promote universal design to ensure that activities and environments are accessible to all children, including children with sensory, physical, or other disabilities
- Other.

Describe:

3.1.7 Policies and processes for graduated phase-out of assistance at redetermination.

Lead Agencies are required to provide for a graduated phase-out of assistance for families whose income has increased above the state's initial income threshold at the time of redetermination but remains below the federal threshold of 85 percent of the state median income. Providing a graduated phase-out promotes continuity by allowing for wage growth, allows for a tapered transition out of the child care subsidy program as income increases, and supports long-term self-sufficiency for families.

- i. 85 percent of SMI for a family of the same size
- ii. An amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold that:
 - (A) Takes into account the typical household budget of a low-income family
 - (B) Provides justification that the second eligibility threshold is:
 - (1) Sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability
 - (2) Reasonably allows a family to continue accessing child care services without unnecessary disruption.

At redetermination, a child shall be considered eligible if his or her parents are working or attending a job training or educational program even if their income exceeds the Lead Agency's income limit to initially qualify for assistance as long as their income does not exceed the second tier of eligibility (98.21(a); 98.21(b)(1)). Note that once deemed eligible, the family shall be considered eligible for a full minimum 12-month eligibility period, even if their income exceeds the second tier of eligibility during the eligibility period, as long as it does not exceed 85 percent of SMI.

A family eligible for services via the graduated phase-out of assistance is considered eligible under the same conditions as other eligible families with the exception of the copayment restrictions, which do not apply to a graduated phase-out. To help families transition off of child care assistance, Lead Agencies may gradually adjust copay amounts for families whose children are determined eligible under a graduated phase-out and may require additional reporting on changes in family income. However, Lead Agencies must still ensure that any additional reporting requirements do not constitute an undue burden on families.

- a) Check and describe the option that best identifies the Lead Agency's policies and procedures regarding the graduated phase-out of assistance.

- N/A - The Lead Agency sets its initial eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.
- N/A - The Lead Agency sets its exit eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.
- The Lead Agency sets the second tier of eligibility at 85 percent of SMI.

Describe the policies and procedures.

EEC child care subsidy regulations and policies require families to enter the system at or below 50% of the SMI and allow families whose income has increased at the time of reassessment to remain financially eligible provided that the total household income does not exceed 85% of the SMI

Provide the citation for this policy or procedure.

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

- The Lead Agency sets the second tier of eligibility at an amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold.

Provide the second tier of eligibility for a family of three.

Describe how the second eligibility threshold:

- i. Takes into account the typical household budget of a low-income family:
- ii. Is sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability:
- iii. Reasonably allows a family to continue accessing child care services without unnecessary disruption:
- iv. Provide the citation for this policy or procedure:

- Other.

Identify and describe the components that are still pending per the instructions on *CCDF Plan Response Options for Areas where Implementation is Still in Progress*

in the Introduction.

3.1.7 b) To help families transition from assistance, does the Lead Agency gradually adjust copays for families eligible under the graduated phase-out period?

No

Yes

i. If yes, describe how the Lead Agency gradually adjusts copays for families under a graduated phase-out.

ii. If yes, does the Lead Agency require additional reporting requirements during the graduated phase-out period? *(Note: Additional reporting requirements are also discussed in section 3.3.3 of the plan.)*

No.

Yes.

Describe:

3.1.8 Fluctuation in earnings.

Lead Agencies are required to demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings (658E(c)(2)(N)(i)(II)). The Lead Agency must put in place policies that ensure that temporary increases in income, including temporary increases that can result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) from seasonal employment or other temporary work schedules, do not affect eligibility or family copayments (98.21(c)). Check the processes, if applicable, that the Lead Agency uses to take into account irregular fluctuations in earnings and describe, at a minimum, how temporary increases that result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) do not affect eligibility or family copayments.

Average the family's earnings over a period of time (i.e. 12 months).

Describe:

For applicants with fluctuations in earning (i.e., "irregular earners") such as self-employed, independent contractors, cash-only earners or those with seasonal work schedules, EEC currently and will continue to require submission of annual earnings through tax returns and tax transcripts to determine income eligibility.

- Request earning statements that are most representative of the family's monthly income.

Describe:

For individuals that claim irregular earnings resulting from bonuses, over-time, or seasonal earnings. EEC regulations and policies currently allow for the submission of a minimum of 4 of the most recent 6 pay stubs. If the family chooses to submit earnings covering a longer period of time, they may choose to do so to demonstrate "regular" earnings.

- Deduct temporary or irregular increases in wages from the family's standard income level.

Describe:

- Other.

Describe:

3.1.9 Lead Agencies are required to have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination (98.68(c)). Check the information that the Lead Agency documents and verifies and describe, at a minimum, what information is required and how often. Check all that apply.

- Applicant identity.

Describe:

EEC requires applicants to submit an original, valid and unexpired photo identification, such as driver's license, passport or school identification card.

- Applicant's relationship to the child.

Describe:

EEC requires applicants to submit documentation of each dependent child, under 18, or under 24 if child is a full-time student to verify relationship. Documentation includes birth certificates, hospital birth records, court records or other relevant documents, as

defined in policy.

- [Child's information for determining eligibility \(e.g., identity, age, citizen/immigration status\).](#)

[Describe:](#)

EEC requires applicants to submit documentation of citizenship or immigration status of each child seeking financial assistance, including birth certificates, passports, or report of birth abroad. In addition, applicants must verify relationship and age of child, as discussed above.

- [Work.](#)

[Describe:](#)

For employed applicants, EEC requires applicants to submit documentation verifying employment, which may consist of recent pay stubs or completed self-employment packets and tax returns for self-employed or independent contractors.

- [Job training or educational program.](#)

[Describe:](#)

For applicants participating in training or educational programs, EEC requires applicants to submit documentation verifying the program's schedule (hours, days/week and/or credits), including a transcript or written statement from the program.

- [Family income.](#)

[Describe:](#)

For earned income, EEC requires applicants to submit 4 out of the most recent 6 weekly pay stubs. If self-employed or an independent contractor, applicants must submit employment verification forms, including a report of self-employment earnings, and copies of most recent federal tax returns. For unearned income, copies of award letters (i.e., social security benefits, unemployment compensation, worker's compensation, retirement benefits, etc.) or copies of court orders, child support enforcement records or other agreements (i.e., alimony or child support). For in-kind earnings, a self-declaration or other informal agreement may be submitted.

Household composition.

Describe:

EEC requires applicants to report all household members and attest to report veracity, under the pains and penalties of perjury. If subsidy manager has reason to believe applicants have provided incomplete, false, and/or misleading information, additional documentation may be requested to document the residence of non-reported family members, such as copies of any bills, preferably utility bills, dated within 45 days of the eligibility assessment. Concerns of fraud are reported to the Bureau of Special Investigations within the State Auditor's Office for further investigation.

Applicant residence.

Describe:

EEC requires applicants to submit documentation of residency at each reassessment. Acceptable proofs of residency must show that the applicant's current primary address is located within the Commonwealth. Post Office Box addresses and 911 emergency residence verifications will not be accepted as proof of residency. Examples of acceptable documentation to verify Massachusetts residency include: (a) utility bills issued within the most recent 45 days; (b) property tax bills; (c) individual income tax returns for the most recent year; (d) mortgage documents or homeowner insurance documents; (e) vehicle registration cards; (f) residential rental or lease agreements; or (g) letters from shelter programs confirming residence in a Massachusetts shelter program.

Other.

Describe:

For DCF-related child care, applicants must obtain a referral from DCF, which verifies open protective services cases based on supported allegations of abuse or neglect. For TAFDC, applicants must obtain a referral from DTA verifying an open cash claim for TAFDC benefits. For homeless contracts, in addition to the requirements above, applicants must obtain a referral from DHCD or DCF confirming residence in a shelter program. For teen parent contracts, in addition to the requirements above, applicants must verify participation in high school or GED program or receipt of high school diploma or GED and participation in any approved work, education or training program.

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

Time limit for making eligibility determinations

Describe length of time:

Track and monitor the eligibility determination process

Other.

Describe:

None

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

Lead Agencies are required 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 younger than age 6 (98.16(v); 98.33(f)).

Lead Agencies must coordinate with TANF programs to ensure that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the state/territory TANF agency in accordance with Section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

Note: The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

a) Identify the TANF agency that established these criteria or definitions: Department of Transitional Assistance (DTA)

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

"Appropriate child care":

DTA does not have specific definitions for the terms listed in section 3.1.11. 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 Child Care Resource and Referral (CCRR) agency staff will assist TANF recipients in making informed decisions regarding the child-care search by assessing each family's needs and reviewing available child-care options, which include the entire mixed delivery system (center-based, family child care, and license exempt options that are willing to enter into a voucher agreement at the state maximum rate for services). The CCRR 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 CCRR, the recipient shall be deemed to have been offered appropriate and available child care, unless the recipient can provide a reasonable explanation to EEC why the child care should be considered unavailable to or inappropriate for the particular family.

"Reasonable distance":

DTA does not have specific definitions for the terms listed in section 3.1.11. 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 Child Care Resource and Referral (CCRR) agency staff will assist TANF recipients in making informed decisions regarding the child-care search by assessing each family's needs and reviewing available child-care options, which include the entire mixed delivery system (center-based, family child care, and license exempt options that are willing to enter into a voucher agreement at the state maximum rate for services). The CCRR 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 CCRR, the recipient shall be deemed to have been offered appropriate and available child care, unless the recipient can provide a reasonable explanation to EEC why the child care should be considered unavailable to or inappropriate for the particular family.

"Unsuitability of informal child care":

DTA does not have specific definitions for the terms listed in section 3.1.11. 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 Child Care Resource and Referral (CCRR) agency staff will assist TANF recipients in making informed decisions regarding the child-care search by assessing each family's needs and reviewing available child-care options, which include the entire mixed delivery system (center-based, family child care, and license exempt options that are willing to enter into a voucher agreement at the state maximum rate for services). The CCRR 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 CCRR, the recipient shall be deemed to have been offered appropriate and available child care, unless the recipient can provide a reasonable explanation to EEC why the child care should be considered unavailable to or inappropriate for the particular family.

"Affordable child care arrangements":

DTA does not have specific definitions for the terms listed in section 3.1.11. 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 Child Care Resource and Referral (CCRR) agency staff will assist TANF recipients in making informed decisions regarding the child-care search by assessing each family's needs and reviewing available child-care options, which include the entire mixed delivery system (center-based, family child care, and license exempt options that are willing to enter into a voucher agreement at the state maximum rate for services). The CCRR 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 CCRR, the recipient shall be deemed to have been offered appropriate and available child care, unless the recipient can provide a reasonable explanation to EEC why the child care should be considered unavailable to or inappropriate for the particular family.

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

In writing

Verbally

Other.

Describe:

d) Provide the citation for the TANF policy or procedure:

<https://www.mass.gov/service-details/dtas-online-guide>

3.2 Increasing Access for Vulnerable Children and Families

Lead Agencies are required to give priority for child care assistance to children with special needs, which can include vulnerable populations, in families with very low incomes and to children experiencing homelessness (658E(c)(3)(B); 98.46(a)). The prioritization of CCDF assistance services is not limited to eligibility determination (i.e., the establishment of a waiting list or the ranking of eligible families in priority order to be served).

Note:

CCDF defines "child experiencing homelessness" as a child who is homeless, as defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act (42 U.S.C. 11434a) (98.2).

3.2.1 Describe how the Lead Agency defines:

a) "Children with special needs":

Section 1A of Chapter 15D of the Massachusetts General Laws defines child with special needs as a child who, because of temporary or permanent disabilities arising from intellectual, sensory, emotional, physical, or environmental factors, or other specific learning disabilities, is or would be unable to progress effectively in a regular school program.

b) "Families with very low incomes":

EEC defines families with very low incomes as those families who are at or below 50% of the State Median Income (SMI).

3.2.2 Describe how the Lead Agency will prioritize or target child care services for the following children and families.

a) Identify how services are prioritized for children with special needs. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

EEC provides funding upon request for assistance to children with special needs, including the funding of one-on-one aides. EEC also allows children with special needs to remain in care up to the age of 16.

b) Identify how services are prioritized for families with very low incomes. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

To ensure child care subsidies are prioritized for families with very low incomes, EEC has implemented a tiered eligibility system that limits entry to the subsidy

system for families at or below 50% of the SMI. In addition, EEC prioritizes access to child care financial assistance for specific vulnerable low income populations through its system of statewide contracts, which aim to increase access for children of teen parents and children of families receiving protective services through the DCF. In addition parent fees may be waived for families with open protective services cases from DCF and families with open TAFDC cash benefit cases through DTA and families with low incomes.

c) Identify how services are prioritized for children experiencing homelessness, as defined by the CCDF. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

Effective October 1, 2018, EEC implemented interim policies establishing the McKinney-Vento definition of homelessness. EEC will continue to allow homeless families to access care in accordance with its homeless contracts that allows households who are in DHCD or DCF shelters immediate access to care. Under EEC's proposed regulatory changes, EEC will expand access for homeless families by allowing all families who meet the McKinney-Vento definition to use homelessness as a service need in lieu of employment, education, or training. EEC will also waive the asset limit for homeless families. EEC will only allow the use homelessness as a service need for two years and any extensions beyond the two years would be evaluated by EEC on a case by case basis. These changes would not guarantee all homeless families immediate access to care but some enrollment prioritization would continue through the existing homeless contracts. EEC anticipates that the regulatory changes will take effect in early 2019.

d) Identify how services are prioritized, if applicable, for families receiving TANF program funds, those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF (98.16(i)(4)). Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

Massachusetts law, through the state budget, requires that subsidized early education and care shall be available to (a) recipients of transitional aid to families with dependent children benefits; (b) former participants who are working for up to 1 year after termination of their benefits; (c) participants who are working for up to 1 year after the transitional period; and (d) parents who are under 18 years of age who are currently enrolled in a job training program and who would qualify for benefits under chapter 118 of the General Laws but for the consideration of the grandparents' income. EEC is required to serve all children referred by DTA under category (a) above. Under EEC regulations, families transitioning off of TANF benefits, categories (b) and (c) listed above, are required to meet service need requirements and be below 85% of the SMI.

3.2.3 List and define any other priority groups established by the Lead Agency.

Massachusetts law, through the state budget, requires that subsidized early education and care shall be available to children with active protective services cases at the Department of Children and Families (DCF) and requires EEC to serve all children referred by DCF.

3.2.4 Describe how the Lead Agency prioritizes services for the additional priority groups identified in 3.2.3.

EEC prioritizes access to child care financial assistance for families receiving protective services through DCF by allowing immediate access through statewide contracts. In addition parent fees may be waived for families with open protective services cases from DCF.

3.2.5 Lead Agencies are required to expend CCDF funds to (1) permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained, (2) provide training and TA to child care providers and the appropriate Lead Agency (or designated entity) staff on identifying and serving homeless children and families (addressed in section 6), and (3) conduct specific outreach to homeless families (658E(c)(3); 98.51).

a) Describe the procedures to permit the enrollment of children experiencing homelessness while required documentation is obtained.

EEC allows families experiencing homelessness to access child care if the parent(s) is unable to submit complete income verification at the time of initial assessment. Effective October 1, 2018, EEC implemented interim policies that will allow families twelve weeks to submit full income documentation. EEC expects to codify this policy following the regulatory process, which EEC anticipates will be completed in early 2019.

b) Check, where applicable, the procedures used to conduct outreach for children experiencing homelessness (as defined by CCDF Rule) and their families.

- Lead Agency accepts applications at local community-based locations
- Partnerships with community-based organizations
- Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care
- Other

EEC has contracts for priority access through the Department of Housing and Community Development (who run state funded family shelters) to assist homeless families access child care. DHCD and community partners, including the CCRRs and Mass211, ensure that parents are informed of different child care access points. EEC is in the process of planning coordination with the Department of Elementary and Secondary Education (DESE), who oversees McKinney-Vento certifications by public schools, to coordinate services for homeless families.

Note: The Lead Agency shall pay any amount owed to a child care provider for services provided as a result of the initial eligibility determination, and any CCDF payment made prior to the final eligibility determination shall not be considered an error or improper payment (98.51(a)(1)(ii)).

3.2.6 Lead Agencies must establish a grace period that allows homeless children and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements (as described in section 5). The length of such a grace period shall be established in consultation with the state, territorial, or tribal health agency (658E(c)(2)(I)(i)(I); 98.41(a)(1)(i)(C)).

Note:

Any payment for such a child during the grace period shall not be considered an error or improper payment (98.41(a)(1)(i)(C)(2)).

a) Describe procedures to provide a grace period to comply with immunization and other health and safety requirements, including how the length of the grace period was established in consultation with the state, territorial, or tribal health agency for:

Children experiencing homelessness (as defined by Lead Agency's CCDF)

EEC child care licensing policy recognizes the fact that homeless children may have difficulty obtaining medical records at the time of admission into a child care program because of the stresses caused by issues affecting these priority populations.

Accordingly, homeless families may be granted up to six (6) months from the date of their child's admission into a child care program to obtain the child's medical records.

EEC collaborated with the Department of Public Health (DPH), which sits in the Executive Office of Health and Human Services (EOHHS) and is the lead agency responsible for public health in the Commonwealth. The Secretary of EOHHS serves as an ex officio member EEC's Board, which is the designated State Advisory Council and meets a minimum of ten times annually to decide high level policy issues, including issues impacting all CCDF funded programs and services.

Provide the citation for this policy and procedure.

<https://www.mass.gov/files/documents/2017/12/06/Childrens%20Records%20for%20Priority%20Populations.docx>

[Children who are in foster care.](#)

EEC child care licensing policy recognizes the fact that children involved with DCF, including foster children, may have difficulty obtaining medical records at the time of admission into a child care program because of the stresses caused by issues affecting this priority population. Accordingly, DCF involved families may be granted up to six (6) months from the date of their child's admission into a child care program to obtain the child's medical records.

[Provide the citation for this policy and procedure.](#)

<https://www.mass.gov/files/documents/2017/12/06/Childrens%20Records%20for%20Priority%20Populations.docx>

[b\) Describe how the Lead Agency coordinates with licensing agencies and other relevant state, territorial, tribal, and local agencies to provide referrals and support to help families with children receiving services during a grace period comply with immunization and other health and safety requirements \(98.41\(a\)\(1\)\(i\)\(C\)\(4\)\).](#)

EEC is also the agency responsible for licensing. EEC's licensing and subsidy units work closely to ensure program requirements and licensing standards are met, which may include consultation and coordination between units.

[c\) Does the Lead Agency establish grace periods for other children who are not experiencing homelessness or in foster care?](#)

No.

Yes.

[Describe:](#)

EEC allows children from a teen parent and children of families receiving protective services through the DCF up to six (6) months from the date of their child's admission into a child care program to obtain the child's medical records.

3.3 Protection for Working Families

3.3.1 12-Month eligibility.

The Lead Agency is required to establish a minimum 12-month eligibility and redetermination period, regardless of changes in income (as long as the income does not exceed the federal threshold of 85 percent of the state median income) or temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

This change means that a Lead Agency may not terminate CCDF assistance during the 12-month period if a family has an increase in income that exceeds the state's income eligibility threshold, but not the federal threshold of 85 percent of SMI. The Lead Agency may not terminate assistance prior to the end of the 12-month period if a family experiences a temporary job loss or a temporary change in participation in a training or educational activity. A temporary change in eligible activity includes, at a minimum, any time-limited absence from work for an employed parent due to such reasons as the need to care for a family member or an illness; any interruption in work for a seasonal worker who is not working; any student holiday or break for a parent participating in a training or educational program; any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program; any other cessation of work or attendance at a training or educational program that does not exceed 3 months or a longer period of time established by the Lead Agency; a child turning 13 years old during the 12-month eligibility period (except as described in 3.1.1); and any changes in residency within the state, territory, or tribal service area.

a) Describe the Lead Agency's policies and procedures in implementing the minimum 12-month eligibility and redetermination requirements, including when a family experiences a temporary change in activity.

Effective October 1, 2018, EEC implemented interim policies that allow for authorization periods not to exceed 12 months for all programs. EEC collaborated with DCF and DTA, who were each previously authorized to issue shorter authorization periods, to ensure each agency now issues authorization periods for no less than 12 month intervals.

During the interim period, EEC implemented policies that parents who experience a temporary change in circumstances during the 12 month authorization period will remain eligible. Parents are be required to report any cessation of a parent's work, training, or education participation. If a parent reports a cessation of their work, training, or education participation, then the subsidy administrator would determine whether the change

qualifies as a temporary change, or a non-temporary change, as detailed in EEC's policy guidance. If it is determined to be a temporary change, the parent will remain eligible and no changes to the authorization will be made, unless it benefits the parent. If it is determined to be a non-temporary change, the parent will be given twelve weeks to seek and certify a new activity. The reason EEC requires the reporting of temporary changes is because the information is required for another program related to EEC's TANF claiming. EEC maximizes the dollars it claims against the TANF Grant, which requires that parents meet both CCDF and TANF eligibility rules. TANF requires that parents be engaged in work, or an approved work-related activity. Therefore, EEC requires that parents report temporary changes to their approved activity strictly for compliance with TANF claiming practices, and it will not impact their CCDF eligibility.

Additionally, during the interim period, EEC requires that parents report increases in total household income exceeding 85% SMI; changes in family contact information; changes in household composition for more than 30 total days in a 12 month authorization; changes in child custody arrangements; any out of state change in address. During the interim period, a family will not be terminated during the 12 month authorization period following the reporting of a temporary change. The family will not be terminated following the reporting of a non-temporary change, unless the change is due to a families' out of state change of address, going over 85% SMI, or experiences a service need loss expected to last more than twelve weeks and following a twelve week seeking approved activity period. A family could also be terminated within the 12 month authorization period if the family engages in fraud and may be subject to recoupment. EEC is expecting to codify these polices following the regulatory process, which EEC anticipates will be completed in early 2019.

EEC is also proposing the following regulatory changes that it anticipates will take effect in early 2019: EEC is proposing to define substantiated fraud as providing false or misleading information or documentation to EEC or a subsidy administrator for the purpose of establishing or maintaining eligibility or increasing the level of child care assistance that has been verified as false or misleading by EEC or a subsidy administrator; or the concealing or withholding of information for the purpose of establishing or maintaining eligibility or increasing the level of child care assistance as determined by the Bureau of Special Investigations (BSI), or successor agency. EEC is proposing to define an IPV as a parent's failure to adhere to EEC's subsidy requirements,

including: failing to report a non-temporary change, within 30 days from the date the change occurred; failing to accurately report income at eligibility authorization; failing to respond to an EEC request for more information; and non-payment of fees, including fees associated with excessive absences.

b) How does the Lead Agency define "temporary change?"

EEC defines a temporary change as a change to a parent's circumstances, including: any time-limited absence from a parent's approved activity due to an illness or need to care for a family member; any interruption in work for a seasonal worker who is not working between regular industry work seasons; any semester or holiday break for a parent participating in education or training; any reduction in work, training or education hours, as long as the parent is still working or attending training or education; any other cessation of a parent's approved activity that does not exceed 12 weeks; and any change in residency within the Commonwealth.

c) Provide the citation for this policy and/or procedure.

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

3.3.2 Option to discontinue assistance during the 12-month eligibility period.

Lead Agencies have the option, but are not required, to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program, otherwise known as a parent's eligible activity (i.e., if the parent experiences a temporary change in his or her status as working or participating in a training or educational program, as described in section 3.3.1 of the plan).

If the Lead Agency chooses the option to discontinue assistance due to a parent's non-temporary loss or cessation of eligible activity, it must continue assistance at least at the same level for a period of not fewer than 3 months after each such loss or cessation for the parent to engage in a job search and to resume work or resume attendance in a job training or

educational program. At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of SMI, assistance cannot be terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Lead Agency option, for an additional minimum 12-month eligibility period.

a) Does the Lead Agency choose to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss or cessation of eligible activity and offer a minimum 3-month period to allow parents to engage in a job search and to resume participation in an eligible activity?

No, the state/territory does not allow this option to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program.

Yes, the Lead Agency discontinues assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of eligible activity and provides a minimum 3-month period of job search. If yes:

i. Provide a summary describing the Lead Agency's policies and procedures for discontinuing assistance due to a parent's non-temporary change:

If the parent experiences a cessation of their approved activity, the parent is required to report this information to their subsidy administrator. The subsidy administrator will then determine whether the cessation is a temporary change or a non-temporary change, as defined by EEC policy guidance. If the cessation is determined to be a temporary change, there will be no changes (unless it benefits the parent) and the parent's assistance will continue. If the cessation is determined to be a non-temporary change (i.e.. expected to last longer than 12 weeks), the parent will be placed on a twelve week seeking approved activity period from the date the change is reported. If the parent is able to certify a new approved activity by the end of the twelve weeks, the parent's assistance will continue. If the parent is unable to provide a new, approved activity by the end of the 12 weeks, the parent's assistance will be terminated. If the parent is able to provide preliminary proof of an approved activity (i.e.. employment verification form, but not pay stubs), then the parent may be granted an additional eight weeks to certify the approved activity.

ii. Describe what specific actions/changes trigger the job-search period.

The seeking approved activity period will be triggered if/when the parent reports a cessation of their approved activity that is determined by a subsidy administrator to

be a non-temporary change because it is expected to last more than 12 weeks.

iii. How long is the job-search period (must be at least 3 months)?

Twelve weeks from the date the change is reported.

iv. Provide the citation for this policy or procedure.

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

b) The Lead Agency may discontinue assistance prior to the next 12-month redetermination in the following limited circumstances. Check and describe any circumstances in which the Lead Agency chooses to discontinue assistance prior to the next 12-month redetermination. Check all that apply.

Not applicable.

Excessive unexplained absences despite multiple attempts by the Lead Agency or designated entity to contact the family and provider, including the prior notification of a possible discontinuation of assistance.

i. Define the number of unexplained absences identified as excessive:

EEC currently defines excessive unexplained absences as a failure to attend a subsidized child care program for more than three consecutive days without contacting the provider. EEC is proposing regulatory and policy changes that the first occurrence of excessive unexplained absences would result in a warning to the parent. After the second occurrence of excessive absences, EEC would no longer pay for the child's absences and the provider would have the option to terminate.

ii. Provide the citation for this policy or procedure:

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

A change in residency outside of the state, territory, or tribal service area.

Provide the citation for this policy or procedure:

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility.

Describe the violations that lead to discontinued assistance and provide the citation for this policy or procedure.

EEC defines Intentional Program Violation (IPV) as a parent's failure to adhere to EEC's subsidy requirements, including: failing to report a Non-Temporary Change, within 30 days from the date the change occurred; failing to accurately report income at eligibility authorization; failing to respond to an EEC request for more information; and non-payment of fees, including fees associated with excessive absences. EEC defines Substantiated Fraud as providing false or misleading information or documentation to EEC or a subsidy administrator for the purpose of establishing or maintaining eligibility or increasing the level of child care assistance that has been verified as false or misleading by EEC or a subsidy administrator; or the concealing or withholding of information for the purpose of establishing or maintaining eligibility or increasing the level of child care assistance as determined by the Bureau of Special Investigations (BSI), or successor agency.

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

3.3.3 Change reporting during the 12-month eligibility period.

The Lead Agency must describe the requirements for parents to report changes in circumstances during the 12-month eligibility period and describe efforts to ensure that such requirements do not place an undue burden on eligible families, which could impact the continuity of care for children and stability for families receiving CCDF services (98.16(h)(1)).

Note: Responses should exclude reporting requirements for a graduated phase-out, which were described in question 3.1.7(b).

Families are required to report a change to the Lead Agency at any time during the 12-month eligibility period if the family's income exceeds 85 percent of the state median income, taking into account irregular fluctuations in income (98.21(e)(1)). If the Lead Agency chooses the option to terminate assistance, as described in section 3.3.2 of the plan, they may require families to report a non-temporary change (as described in section 3.3.3 of the plan) in work, training or educational activities (otherwise known as a parent's eligible activity).

a) Does the Lead Agency require families to report a non-temporary change in a parent's eligible activity?

No

Yes

b) Any additional reporting requirements during the 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of SMI or that impact the Lead Agency's ability to contact the family or pay the child care providers (e.g., a family's change of address, a change in the parent's choice of child care provider).

Check and describe any additional reporting requirements required by the Lead Agency during the 12-month eligibility period. Check all that apply.

Additional changes that may impact a family's eligibility during the 12-month period.

Describe:

Effective October 1, 2018, EEC implemented interim policies that require families to report any changes in household composition; however EEC will not take any action, unless it positively impacts the family. For example, if the change in household composition will reduce the family's parent fee, then EEC will take action. Household composition will be defined in regulations as anyone who resides in the home for thirty days or more. EEC expects to codify this policy following the regulatory process, which EEC anticipates will take effect in early 2019. Under proposed regulations, EEC will still not change the 12 month authorization when parents report a change in household composition, unless it results in a reduced parent fee, but instead, parents will be reassessed at next reassessment period. The CCRR will consult with the parent and advise the parent about the possible impact that they may see at the next reassessment period. However, if parent fails to report then it will result in an IPV. Under EEC's Interim Policies and proposed regulations, EEC will also require families to report any change in child custody arrangements. EEC will change who the subsidy is under but not change the level of care for the child. EEC will reduce parent fee, if applicable

Changes that impact the Lead Agency's ability to contact the family.

Describe:

Effective October 1, 2018, EEC implemented interim policies that require parents to

report changes in family contact information.

Changes that impact the Lead Agency's ability to pay child care providers.

Describe:

Any additional reporting requirements that the Lead Agency chooses, as its option to require from parents during the 12-month eligibility period, shall not require an office visit. In addition, the Lead Agency must offer a range of notification options to accommodate families.

c) How does the Lead Agency allow for families to report changes to ensure that reporting requirements are not burdensome and to avoid an impact on continued eligibility between redeterminations? Check all that apply.

- Phone
- Email
- Online forms
- Extended submission hours
- Postal Mail
- FAX
- In-person submission
- Other.

Describe:

d) Families must have the option to voluntarily report changes on an ongoing basis during the 12-month eligibility period. Lead Agencies are required to act on information reported by the family if it will reduce the family's co-payment or increase the family's subsidy. Lead Agencies are prohibited from acting on information reported by the family that would reduce the family's subsidy unless the information reported indicates that the family's income exceeds 85 percent of SMI after considering irregular fluctuations in income or, at the option of the Lead Agency, the family has experienced a non-temporary change in eligible activity.

i. Describe any other changes that the Lead Agency allows families to report.

Effective October 1, 2018, EEC implemented interim policies that allow families to report any changes during the 12 month authorization period that would benefit the family, including, but not limited to, a reduction in income that may lead to a reduced parent fee; or an increase in qualifying activity that may increase the family from part-

time to full-time care. EEC expects to codify this policy following the regulatory process, which it anticipates will be completed in early 2019.

ii. Provide the citation for this policy or procedure.

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

3.3.4 Prevent the disruption of employment, education, or job training activities

Lead Agencies are required to have procedures and policies in place to ensure that parents (especially parents receiving assistance under the TANF program) are not required to unduly disrupt their employment, education, or job training activities to comply with the Lead Agency's or designated local entity's requirements for the redetermination of eligibility for assistance (658E(c)(2)(N)(ii); 98.21(d)).

Examples include developing strategies to inform families and their providers of an upcoming redetermination and the information that will be required of the family, pre-populating subsidy renewal forms, having parents confirm that the information is accurate, and/or asking only for the information necessary to make an eligibility redetermination. In addition, states and territories can offer a variety of family-friendly methods for submitting documentation for eligibility redetermination that considers the range of needs for families in accessing support (e.g. use of languages other than English, access to transportation, accommodation of parents working non-traditional hours, etc.).

a) Identify, where applicable, the Lead Agency's procedures and policies to ensure that parents (especially parents receiving TANF program funds) do not have their employment, education, or job training unduly disrupted to comply with the state/territory's or designated local entity's requirements for the redetermination of eligibility.

- Advance notice to parents of pending redetermination
- Advance notice to providers of pending redetermination
- Pre-populated subsidy renewal form
- Online documentation submission
- Cross-program redeterminations
- Extended office hours (evenings and/or weekends)

Other.

Describe:

Documentation of a family's income, service need, family size, and residence must be updated for each reassessment. Annual reassessment should occur in person but all other communications may occur by phone, mail, e-mail, or fax, if possible, to facilitate access for families. This requirement is also expressly included in the terms of the CCRR contract, as a method for reducing the burden on families receiving subsidy through the voucher system. For families funded through the contract system, eligibility assessments are completed, generally, by the early education and care program (or umbrella agency) who is providing the direct services to the children in the household, which is intended to reduce the burden on families.

b) How are families allowed to submit documentation, described in 3.1.9, for redetermination? Check all that apply.

Postal Mail

Email

Online forms

FAX

In-person submission

Extended submission hours

Other.

Describe:

3.4 Family Contribution to Payments

Lead Agencies are required to establish and periodically revise a sliding-fee scale for CCDF families that varies based on income and the size of the family to determine each family's contribution (i.e., co-payment) that is not a barrier to families receiving CCDF funds (658E(c)(5)). In addition to income and the size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. Lead Agencies, however, may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

Note: To help families transition off of child care assistance, Lead Agencies may gradually adjust co-pay amounts for families determined to be eligible under a graduated phase-out. However, section 3.4 applies only to families in their initial/entry eligibility period. See section 3.1.7 Graduated Phase-Out regarding co-pays during the graduated phase-out period.

3.4.1 Provide the CCDF co-payments in the chart below according to family size for one child in care.

a) Fill in the chart based on the most populous area of the State (area serving highest number of CCDF children).

	(a)	(b)	(c)	(d)	(e)	(f)
Family Size	Lowest Initial or First Tier Income Level Where Family Is First Charged Co-Pay (Greater Than \$0)	What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (a)?	The Co-Payment in Column (b) is What Percentage of the Income in Column (a)?	Highest Initial or First Tier Income Level Before a Family Is No Longer Eligible	What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (d)?	The Co-Payment in Column (e) is What Percentage of the Income in Column (d)?
1	N/A	N/A	N/A	N/A	N/A	N/A
2	\$972	43.30	4.4%	\$5651	\$887.65	15%
3	\$1181	43.30	3.6%	\$6925	\$887.65	13%
4	\$1422	43.30	3.0%	\$8251	\$887.65	11%
5	\$1664	43.30	2.6%	\$9551	\$887.65	9%

b) What is the effective date of the sliding-fee scale(s)? 10/01/2014

c) Identify the most populous area of the state used to complete the chart above.

Not applicable as parent co-payments are the same statewide

d) Provide the link to the sliding-fee scale: <https://www.mass.gov/guides/early-education-and-care-financial-assistance-for-families>

e) If the sliding-fee scale is not statewide, describe how many jurisdictions set their own sliding-fee scale (98.16(i)(3)).

N/A

3.4.2 How will the family's contribution be calculated, and to whom will it be applied?

Check all that apply.

- The fee is a dollar amount and:
 - The fee is per child, with the same fee for each child.
 - The fee is per child and is discounted for two or more children.
 - The fee is per child up to a maximum per family.
 - No additional fee is charged after certain number of children.
 - The fee is per family.
 - The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

- Other.

Describe:

- The fee is a percent of income and:
 - The fee is per child, with the same percentage applied for each child.
 - The fee is per child, and a discounted percentage is applied for two or more children.
 - The fee is per child up to a maximum per family.
 - No additional percentage is charged after certain number of children.
 - The fee is per family.
 - The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

- Other.

Describe:

3.4.3 Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment (658E(c)(3)(B))? Reminder ' Lead Agencies may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

No.

Yes, check and describe those additional factors below.

Number of hours the child is in care.

Describe:

Fee levels above are based on full time care. Parents receiving part time care, including after school care are charged a 50% fee.

Lower co-payments for a higher quality of care, as defined by the state/territory.

Describe:

Other.

Describe:

3.4.4 The Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size (98.45(k)) or for families who are receiving or needing to receive protective services, as determined for purposes of CCDF eligibility, or who meet other criteria established by the Lead Agency (98.45(k)(4)). Does the Lead Agency waive family contributions/co-payments for any of the following? Check all that apply.

No, the Lead Agency does not waive family contributions/co-payments.

Yes, the Lead Agency waives family contributions/co-payments for families with an income at or below the poverty level for families of the same size.

- Yes, the Lead Agency waives family contributions/co-payments for families who are receiving or needing to receive protective services, as determined by the Lead Agency for purposes of CCDF eligibility.

Describe the policy and provide the policy citation.

- Yes, the Lead Agency waives family contributions/co-payments for other criteria established by the Lead Agency.

Describe the policy and provide the policy citation.

The following categories are exempt from co-payments: 1. DTA authorized families with open TAFDC cases; 2. Foster parents, guardians, or caretakers; 3. DCF authorized families with open cases (only at the discretion of DCF); and 4. families at the lowest income levels, currently at or below \$1,180 per month for a family of three.

<https://www.mass.gov/guides/child-care-subsidy-management-and-ccfa>

4 Ensure Equal Access to Child Care for Low-Income Children

A core purpose of CCDF is to promote parental choice and to empower working parents to make their own decisions regarding the child care services that best suit their family's needs. Parents have the option to choose from center-based care, family child care or care provided in the child's own home. In supporting parental choice, the Lead Agencies must ensure that families receiving CCDF funding have the opportunity to choose from the full range of eligible child care settings and must provide families with equal access to child care that is comparable to that of non-CCDF families. Lead Agencies must employ strategies to increase the supply and to improve the quality of child care services, especially in underserved areas. This section addresses strategies that the Lead Agency uses to promote parental choice, ensure equal access, and increase the supply of child care. Note: In responding to questions in this section, the Office of Child Care (OCC) recognizes that each State/Territory identifies and defines its own categories and types of care. The OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories and types of care. For these questions, provide responses that closely match the CCDF categories of care.

4.1 Parental Choice in Relation to Certificates, Grants, or Contracts

The parent(s) of each eligible child who receive(s) or is offered financial assistance for child care services has the option of either receiving a child care certificate or, if available, enrolling his or her child with a provider that has a grant or contract for providing child care services (658E(c)(2)(A); 98.30(a)). Even if a parent chooses to enroll his or her child with a provider who has a grant or contract, the parent will select the provider, to the extent practicable. If a parent chooses to use a certificate, the Lead Agency shall provide information to the parent on the range of provider options, including care by sectarian providers and relatives. Lead Agencies must require providers chosen by families to meet health and safety standards and has the option to require higher standards of quality. Lead agencies are reminded that any policies and procedures should not restrict parental access to any type of care or provider (e.g. center care, home care, in-home care, for-profit provider, non-profit provider or faith-based provider, etc.) (98.15 (a)(5)).

4.1.1 Describe the child care certificate, including when it is issued to parents (before or after the parent has selected a provider) and what information is included on the certificate (98.16 (q)).

Parents are offered a certificate (called voucher) off of the statewide waitlist when funding is available. Funding availability letter includes what documentation is needed to prove eligibility. Parent is expected to identify a provider prior to the issuance of a voucher but assistance in finding a provider is given by the CCRR when needed. Once issued, voucher details parent information, provider information, placement details (including child schedule), and parent co-payment information.

4.1.2 Describe how the parent is informed that the child certificate allows the option to choose from a variety of child care categories, such as private, not-for-profit, faith-based providers; centers; FCC homes; or in-home providers (658E(c)(2)(A)(i); 658P(2); 658Q). Check all that apply.

- Certificate that provides information about the choice of providers
- Certificate that provides information about the quality of providers
- Certificate not linked to a specific provider, so parents can choose any provider
- Consumer education materials on choosing child care
- Referral to child care resource and referral agencies
- Co-located resource and referral in eligibility offices
- Verbal communication at the time of the application
- Community outreach, workshops, or other in-person activities
- Other.

Describe:

4.1.3 Child care services available through grants or contracts.

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

- No. If no, skip to 4.1.4.
- Yes, in some jurisdictions but not statewide.

If yes, describe how many jurisdictions use grants or contracts for child care slots.

- Yes, statewide. If yes, describe:

i. How the Lead Agency ensures that parents who enroll with a provider who has a grant or contract have choices when selecting a provider:

If a parent is offered a subsidy through a contract, the parent may refuse the slot without losing the household's place on the waitlist. Also, the parent choice regulations and policies of EEC's child care subsidy program allow a parent enrolled in a contract slot to transfer his/her child to another program provided that the parent gives the existing provider at least two weeks' notice of the change. It is the responsibility of the subsidy administrators, the Child Care Resource and Referral agencies or Contract Providers, to advise a parent of his/her right to change providers.

ii. [The type\(s\) of child care services available through grants or contracts:](#)

EEC administers multiple contracts to serve low-income families (Income Eligible Child Care), children with active protective services cases (Supportive or DCF Related Child Care), Teen Parents, and Homeless Families. All contracts allow for care for all age groups.

iii. [The entities that receive contracts \(e.g., shared services alliances, CCR&R agencies, FCC networks, community-based agencies, child care providers\):](#)

EEC contracts with center-based child care programs, including school age programs, and with family child care systems for family child care services at affiliated licensed family child care homes.

iv. [The process for accessing grants or contracts:](#)

Contracts for direct child care services are awarded through a competitive procurement process. The next competitive procurement will occur in early 2019.

v. [How rates for contracted slots are set through grants and contracts:](#)

The base rates for child care subsidies (for both vouchers and contracts) are set based on geographic region taking into account the age of children (i.e., infant, toddler, pre-school, and school age) and child care settings (i.e., center-based versus family child care). In addition to the base rate, Family Child Care Systems are provided an additional administrative fee to provide supports to affiliated family child care providers. Family Child Care Systems must reimburse the affiliated family child care providers the base child care rate, but may pay providers a higher rate. Through EEC's Priority Population contracts for supportive child care, teen parent child care, and homeless child care, contracted providers receive an additional \$17.22 per day for support services. "Support services" include required case management/social services as well as transportation costs, if needed.

vi. [How the Lead Agency determines which entities to contract with for increasing supply and/or improving quality:](#)

Contracts for direct child care services are awarded through a competitive procurement process. The development of the procurement includes decisions on the allocations of slots by geographic region and age group to ensure supply

statewide. In addition, programs holding contracts are required to participate in the Massachusetts Quality Rating and Improvement System.

vii. If contracts are offered statewide and/or locally:

Contract slots are offered statewide and are allocated by geographic region.

4.1.3 Child care services available through grants or contracts.

b) Will the Lead Agency use grants or contracts for child care services to increase the supply and/or quality of specific types of care? Check all that apply.

- Programs to serve children with disabilities
- Programs to serve infants and toddlers
- Programs to serve school-age children
- Programs to serve children needing non-traditional hour care
- Programs to serve children experiencing homelessness
- Programs to serve children in underserved areas
- Programs that serve children with diverse linguistic or cultural backgrounds
- Programs that serve specific geographic areas
 - Urban
 - Rural
- Other
Describe

4.1.3 Child care services available through grants or contracts.

c) Will the Lead Agency use grants or contracts for child care services to increase the quality of specific types of care? Check all that apply.

- Programs to serve children with disabilities
- Programs to serve infants and toddlers
- Programs to serve school-age children
- Programs to serve children needing non-traditional hour care
- Programs to serve homeless children

- Programs to serve children in underserved areas
 - Programs that serve children with diverse linguistic or cultural backgrounds
 - Programs that serve specific geographic areas
 - Urban
 - Rural
 - Other
- Describe

4.1.4 Certify by describing the Lead Agency's procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds (658E(c)(2)(B); 98.16(t)).

EEC licensing regulations require that all licensed child care programs provide parents with access to their children whenever children are in care. 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.

(https://eecweb.eec.state.ma.us/docs1/NewsUpdates/20110630_voucher_agreement.pdf).

Further, EEC requires that any provider who receives CCDF funding sign a Voucher Services Agreement. The Voucher Services Agreement requires that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include, but are not limited to, those outlined in M.G.L. c. 15D, EEC's Financial Assistance Policy Guide, EEC's Management Bulletins, EEC Subsidy Communications, 606 CMR 10.00 et. seq. (EEC's subsidy regulations), and 606 CMR 7.00 (EEC licensing regulations).

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

No.

Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all that apply.

Restricted based on minimum the number of children in the care of the provider to meet the Fair Labor Standards Act (minimum wage) requirements.

Describe:

Restricted based on the provider meeting a minimum age requirement. (A relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2).

Describe:

In-home care providers must be at least 18 years of age.

Restricted based on the hours of care (i.e., certain number of hours, non-traditional work hours).

Describe:

In-home care providers may not be reimbursed for more than 50 hours of child care services per week.

Restricted to care by relatives.

Describe:

Restricted to care for children with special needs or a medical condition.

Describe:

Restricted to in-home providers that meet additional health and safety requirements beyond those required by CCDF.

Describe:

Other.

Describe:

The total number of the children under the age of 13 present when care is being given cannot exceed six. In-home care cannot be used if child receiving care has been identified as having a special need or while a parent is using a service need

of maternity leave. Caregiver cannot be the child's parent, stepparent, foster parent, or guardian.

4.2 Assessing Market Rates and Child Care Costs

Lead Agencies have the option to conduct a statistically valid and reliable (1) market rate survey (MRS) reflecting variations in the price to parents of child care services by geographic area, type of provider, and age of child and/or (2) an alternative methodology, such as a cost estimation model (658E(c)(4)(B)). A cost estimation model estimates the cost of care by incorporating both data and assumptions to model what expected costs would be incurred by child care providers and parents under different cost scenarios. Another approach would be a cost study that collects cost data at the facility or program level to measure the costs (or inputs used) to deliver child care services. The MRS or alternative methodology must be developed and conducted no earlier than 2 years before the date of submission of the Plan.

Note - Any Lead Agency considering using an alternative methodology, instead of a market rate survey, is required to submit a description of its proposed approach to its ACF Regional Child Care Program Office for pre-approval in advance of the Plan submittal (see <https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-08>). Advance approval is not required if the Lead Agency plans to implement both a market rate survey and an alternative methodology. In its request for ACF pre-approval, a Lead Agency must:

- Provide an overview of the Lead Agency's proposed approach (e.g., cost estimation model, cost study/survey, etc.), including a description of data sources.
- Describe how the Lead Agency will consult with the State's Early Childhood Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, organizations representing child care caregivers, teachers and directors, and other appropriate entities prior to conducting the identified alternative methodology.
- Describe how the alternative methodology will use methods that are statistically valid and reliable and will yield accurate results. For example, if using a survey, describe how the Lead Agency will ensure a representative sample and promote an adequate response rate. If using a cost estimation model, describe how the Lead Agency will validate the assumptions in the model.
- If the proposed alternative methodology includes an analysis of costs (e.g., cost estimation

model or cost study/survey), describe how the alternative methodology will account for key factors that impact the cost of providing care'such as: staff salaries and benefits, training and professional development, curricula and supplies, group size and ratios, enrollment levels, licensing requirements, quality level, facility size, and other factors.

- Describe how the alternative methodology will provide complete information that captures the universe of providers in the child care market.

- Describe how the alternative methodology will reflect variations by provider type, age of children, geographic location and quality.

- Describe how the alternative methodology will use current, up to date data.

- Describe the estimated reporting burden and cost to conduct the approach.

4.2.1 Please identify the methodology(ies) used below to assess child care prices and/or costs.

MRS

Alternative methodology.

Describe:

Both.

Describe:

4.2.2 Prior to developing and conducting the MRS or alternative methodology, the Lead Agency is required to consult with the (1) State Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, and other appropriate entities and (2) organizations representing caregivers, teachers, and directors (98.45 (e)).

Describe how the Lead Agency consulted with the:

a) State Advisory Council or similar coordinating body:

As part of this year's MRS, Massachusetts and its consultant formed a special MRS Advisory Council made up of representatives of the Child Care Resource and Referral Agencies, Center Based providers, Family Child Care Systems, Family Child Care providers, Head Start providers, and the Service Employees International Union (SEIU) Local 509. This Advisory group was instrumental in preparing the survey questions, design, providing survey testing, and outreach support.

b) Local child care program administrators:

As part of this year's MRS, Massachusetts and its consultant formed a special MRS Advisory Council made up of representatives of the Child Care Resource and Referral Agencies, Center Based providers, Family Child Care Systems, Family Child Care providers, Head Start providers, and the Service Employees International Union (SEIU) Local 509. This Advisory group was instrumental in preparing the survey questions, design, providing survey testing, and outreach support.

c) Local child care resource and referral agencies:

As part of this year's MRS, Massachusetts and its consultant formed a special MRS Advisory Council made up of representatives of the Child Care Resource and Referral Agencies, Center Based providers, Family Child Care Systems, Family Child Care providers, Head Start providers, and the Service Employees International Union (SEIU) Local 509. This Advisory group was instrumental in preparing the survey questions, design, providing survey testing, and outreach support.

d) Organizations representing caregivers, teachers, and directors:

As part of this year's MRS, Massachusetts and its consultant formed a special MRS Advisory Council made up of representatives of the Child Care Resource and Referral Agencies, Center Based providers, Family Child Care Systems, Family Child Care providers, Head Start providers, and the Service Employees International Union (SEIU) Local 509. This Advisory group was instrumental in preparing the survey questions, design, providing survey testing, and outreach support.

e) Other. Describe:

n/a

4.2.3 Describe how the market rate survey is statistically valid and reliable. To be considered valid and reliable, the MRS must represent the child care market, provide complete and current data, use rigorous data collection procedures, reflect geographic variations, and analyze data in a manner that captures other relevant differences. For example, market rate surveys can use administrative data, such as child care resource and referral data, if they are representative of the market. If an alternative methodology, such as cost modeling, is used, demonstrate that the methodology used reliable methods.

Using a census survey approach, PCG calculated the target sample size needed to achieve statistical significance for each region of the state for each provider type (FCC providers and Center-Based providers) using a 95 percent confidence level and a margin of error of +/- 5.0 percentage points. EEC provided PCG with information on each of the state's licensed child care programs, including program name, address, telephone number, email address, program identification number, program type (FCC providers vs. Center-Based providers), license status, and EEC subsidy reimbursement rate region assignment. To gather a statistically representative sample, PCG utilized targeted follow-up outreach reminders based on provider type and region. In addition, PCG monitored level of representation of the sample collected on the following subgroup characteristics: participation in EEC subsidy (vs. private pay only), and program structure i.e. FCC System or Center-Based multi-site affiliation (vs. independent). The goal was to collect sample data (responses) from the same or similar proportion of providers in these subgroups as is in the full licensed population (e.g. if in region 1, 50% of FCC providers accept state subsidy, the sample of responses should also include about half of providers that accept state subsidy). The survey yielded high response rates and a statistically significant and representative sample by provider type, EEC subsidy reimbursement rate region, and ages of children served. More than a third (37%) of all licensed providers responded to the survey (1,849 FCC providers and 1,389 Center-Based providers) and the survey had a margin of error of 3.7 to 5.2 percentage points for Family Child Care and 3.5 to 5.7 percentage points for Center Based providers.

4.2.4 Describe how the market rate survey or alternative methodology reflects variations in the price or cost of child care services by:

a) Geographic area (e.g., statewide or local markets). Describe:

EEC's consultant used administrative data to assign and track responses by EEC's geographic subsidy rate regions. The MRS achieved a statistically significant and representative sample for all subsidy rate regions.

b) Type of provider. Describe:

EEC's consultant used administrative data to assign and track responses by provider type to ensure that there was a statistically significant and representative sample of Family Child Care, Center Based, and Out of School Time programs.

c) Age of child. Describe:

EEC's MRS collected rate information by each age group, including infants, toddlers, pre-school age children, and school age children.

d) Describe any other key variations examined by the market rate survey or alternative methodology, such as quality level.

The Market Rate Survey collected information around quality including accreditation types, participation in QRIS, and barriers to achieving higher quality programs, as well as barriers to participating in the child care subsidy program. The Market Rate Survey also included a basic cost of care section to begin evaluation of the cost of quality. An optional detailed cost section could also be completed by providers.

4.2.5 After conducting the market rate survey or alternative methodology, the Lead Agency must prepare a detailed report containing the results of the MRS or alternative methodology. The detailed report must also include the estimated cost of care (including any relevant variation by geographic location, category of provider, or age of child) necessary to support (1) child care providers' implementation of the health, safety, quality, and staffing requirements and (2) higher quality care, as defined by the Lead

Agency using a quality rating and improvement system or other system of quality indicators, at each level of quality. For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, pre-K standards, Head Start performance standards, or State defined quality measures.)

Describe how the Lead Agency made the results of the market rate survey or alternative methodology report widely available to the public (98.45(f)(1)). by responding to the questions below.

a) Date of completion of the market rate survey or alternative methodology (must be no earlier than July 1, 2016, and no later than July 1, 2018). 06/30/2018

b) Date the report containing results was made widely available - no later than 30 days after the completion of the report. The initial results of the MRS were presented at the EEC Board meeting on June 12, 2018 and the full report was released via email and published on EEC's website on July 30, 2018.

c) Describe how the Lead Agency made the detailed report containing results widely available and provide the link where the report is posted.

The results of the MRS were presented and discussed publicly at the EEC Board meeting on June 12, 2018. EEC also released the full report via email to all contracted providers and CCRRs. Finally, the report was posted on EEC's website at:
<https://www.mass.gov/lists/departments-of-early-education-and-care-general-reports#market-rate-survey-reports->.

d) Describe how the Lead Agency considered stakeholder views and comments in the detailed report.

The Market Rate Survey Advisory Group described in 4.2.2 met on May 31, 2018 to discuss the preliminary findings and report draft. Comments made at that meeting were incorporated into the final report.

4.3 Setting Payment Rates

The Lead Agency must set CCDF subsidy payment rates, in accordance with the results of the current MRS or alternative methodology, at a level to ensure equal access for eligible families to child care services that are comparable with those provided to families not receiving CCDF funds. The Lead Agency must re-evaluate its payment rates at least every 3 years.

4.3.1 Provide the base payment rates and percentiles (based on the most recent MRS) for the following categories below. Percentiles are not required if the Lead Agency conducted an alternative methodology only (with pre-approval from ACF), but must be reported if the Lead Agency conducted an MRS alone or in combination with an alternative methodology. The ages and types of care listed below are meant to provide a snapshot of the categories on which rates can be based and are not intended to be comprehensive of all categories that might exist or to reflect the terms used by the Lead Agency for particular ages. Please use the most populous geographic region (area serving highest number of CCDF children) to report base payment rates below, if they are not statewide. Note: If the Lead Agency obtained approval to conduct an alternative methodology, then reporting of percentiles is not required.

a) Infant (6 months), full-time licensed center care in the most populous geographic region

Rate \$ 65 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 5.3

b) Infant (6 months), full-time licensed FCC home in the most populous geographic region

Rate \$ 44.07 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 56.1

c) Toddler (18 months), full-time licensed center care in the most populous geographic region

Rate \$ 59.47 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 9.1

d) Toddler (18 months), full-time licensed FCC care in the most populous geographic region

Rate \$ 44.07 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 65.9

e) Preschooler (4 years), full-time licensed center care in the most populous geographic region

Rate \$ 42.18 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 14.8

f) Preschooler (4 years), full-time licensed FCC care in the most populous geographic region

Rate \$ 35.07 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 47.9

g) School-age child (6 years), full-time licensed center care in most populous geographic region

Rate \$ 37.56 per daily unit of time (e.g., daily, weekly, monthly, etc.)

Percentile of most recent MRS: 22.8

h) School-age child (6 years), full-time licensed FCC care in the most populous geographic region

Rate \$ 35.07 per daily unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 51

i) Describe how part-time and full-time care were defined and calculated.

"Full-time care" is defined as services for not less than 30 hours nor more than 50 hours per week at any one placement.

j) Provide the effective date of the current payment rates (i.e., date of last update based on most recent MRS). 07/01/2018

k) Identify the most populous area of the state used to complete the responses above.

Region 3 - Northeast Massachusetts

l) Provide the citation or link, if available, to the payment rates. www.mass.gov/service-details/daily-reimbursement-rate-for-early-education-and-care-programs

m) If the payment rates are not set by the Lead Agency for the entire state/territory, describe how many jurisdictions set their own payment rates (98.16(i)(3)).

N/A

4.3.2 Lead Agencies can choose to establish tiered rates, differential rates, or add-ons on top of their base rates as a way to increase payment rates for targeted needs (i.e., a higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children).

Check and describe the types of tiered reimbursement or differential rates, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS and/or an alternative methodology, and the amount of the rate. Check all that apply.

Differential rate for *non-traditional hours*.

Describe:

Differential rate for *children with special needs*, as defined by the state/territory.

Describe:

Differential rate for *infants and toddlers*. Note: Do not check if the Lead Agency has a different base rate for infants/toddlers with no separate bonus or add-on.

Describe:

EEC has implemented a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS. If a program is at QRIS level 2 or above, EEC's billing system, CCFA automatically pays the program the higher rate for any infant or toddler in their program.

- Differential rate for *school-age programs*. Note: Do not check if the Lead Agency has a different base rate for school-age children with no separate bonus or add-on.

Describe:

- Differential rate for higher quality, as defined by the state/territory.

Describe:

EEC has implemented a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS. If a program is at QRIS level 2 or above, EEC's billing system, CCFA automatically pays the program the higher rate for any infant or toddler in their program.

- Other differential rates or tiered rates.

Describe:

Through its Priority Populations contracts, programs awarded contracts to serve children in protective services, children of teen parents, and homeless children receive an additional \$17.22 per day.

- Tiered or differential rates are not implemented.

4.4 Summary of Facts Used To Determine That Payment Rates Are Sufficient To Ensure Equal Access

4.4.1 Lead Agencies must certify that CCDF payment rates are sufficient to ensure equal access for eligible families to child care services comparable to those provided by families not receiving CCDF assistance (98.16(a)). Certify that payment rates reported in 4.3.1 are sufficient to ensure equal access by providing the following summary of facts (98.45(b)):

a) Describe how a choice of the full range of providers eligible to receive CCDF is made available; the extent to which eligible child care providers participate in the CCDF system; and any barriers to participation, including barriers related to payment rates and practices.

Although the current rates in some geographic regions and age groups are below the 75th percentile, a review of historical data from EEC's subsidy management applications demonstrate that children have access to the entire mixed delivery system (i.e., center-based, family child care, license exempt programs and informal child care options) and that more than 50% of the licensed early education and care programs throughout the Commonwealth hold voucher agreements and/or contracts to serve children eligible to receive CCDF funded child care subsidies. As part of the Market Rate Survey, EEC asked non-subsidized providers reasons why they did not accept subsidy and 37% of those providers listed either that their overall capacity was full with private pay of that they had a long waitlist of private pay families. That being said, 22% listed reimbursement rates as a top reason they did not accept subsidies and 39% said that increased reimbursement rates would incentivize their participation. This survey confirmed EEC's assumptions about provider participation and EEC has used this for justification to help secure over \$100 million dollars to increase subsidy rates over the last three fiscal years.

b) Describe how payment rates are adequate and have been established based on the [most recent MRS or alternative methodology](#) . Note: Per the preamble (81 FR 67512), in instances where a MRS or alternative methodology indicates that prices or costs have increased, Lead Agencies must raise their rates as a result.

EEC has not traditionally used the Market Rate Survey to set payments rates but rather as a piece of information to inform rate discussions. However, in State Fiscal Year 2017, EEC used the last Market Rate Survey as the basis for bringing all Infant and Toddler rates that were below the 50th percentile up to the level listed in that year's MRS. Over the last few fiscal years, the EEC Board makes funding recommendations to the Governor and the legislature to be considered during the upcoming budget deliberations. For many years, the Board has included recommendations for rate increases specifically targeted to bring providers closer to the 50th percentile, particularly in regions that are further away from that benchmark. As mentioned above, EEC has had success in one year using the MRS to set payment rates. While EEC has received millions of dollars in funding for rate increases over the last 3 years, the legislature has mandated across the board rate increases rather than specific increases based off the MRS. EEC and the EEC Board will continue to work with the Governor and the legislature to secure future rate increases based off the MRS.

c) Describe how base payment rates enable providers to meet health, safety, quality, and staffing requirements under CCDF.

EEC's base payment rates enable providers to meet health, safety, quality, and staffing requirements under CCDF. EEC requires that any provider who receives CCDF funding sign a Voucher Services Agreement. The Voucher Services Agreement requires that all providers receiving CCDF funding must comply with all EEC's statutes, regulations, policies and procedures, which include 606 CMR 7.00 (EEC licensing regulations). EEC licensing requirements meet or exceed CCDF required levels for health, safety, quality and staffing. Since EEC only allows licensed or qualified licensed-exempt providers to accept subsidy, providers are already willing to accept EEC payment rates as one of the ways to fund the health, safety, quality, and staffing requirements. Furthermore, EEC's base rates are not the sole source of funding and a majority of providers utilize multiple funding streams, including parent fee contributions, private pay families, fundraising, and endowments.

d) Describe how the Lead Agency took the cost of higher quality into account, including how payment rates for higher-quality care, as defined by the Lead Agency using a QRIS or other system of quality indicators, relate to the estimated cost of care at each level of quality. Note: For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, Pre-K standards, Head Start performance standards, or State defined quality measures).

EEC offers a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS. Additionally, as part of EEC's 2018 MRS, information was received on the number of staff employed with various job titles, the total number of full time and part time staff at each title and the hourly wage by highest level of education. It was determined that as a worker's education level increases, so too does their average hourly salary. The goal of the analysis was to review differences in salaries based on staff education levels, a proxy for measuring the quality of care. This aligns with EEC's work to revise and finalize a Career Lattice for family, group, and school age educators that will frame the essential competencies for each category of educator and set the stage for the development of a new EEC Teacher Qualifications System.

e) How will the Lead Agency ensure that the family contribution/co-payment, based on a

sliding-fee scale, is affordable and is not a barrier to families receiving CCDF funds (98.16 (k))? Check all that apply.

Limit the maximum co-payment per family.

Describe: .

Limit the combined amount of co-payment for all children to a percentage of family income. List the percentage of the co-payment limit and

Minimize the abrupt termination of assistance before a family can afford the full cost of care ('the cliff effect') as part of the graduated phase-out of assistance discussed in 3.1.7.

EEC policy is that parents enter the subsidy at or below 50% of the SMI and can remain in care until 85% SMI. Massachusetts SMI is higher than most states, which means that families can continue receiving a subsidy longer than in most benefit programs. EEC's co-payment chart adjusts to higher levels based on household size and income so gradually increases for families as they approach the income limit.

Other.

Describe:

Massachusetts policy allows for discounts on siblings to help families with multiple children on a subsidy. The discount is 50% for the second child, and 75% for the third and consecutive children. EEC also does not allow subsidized parents to be charged most additional fees above the parent co-payment including fees such as registration fees, field trips, food, difference to private rate, etc. EEC's current fee chart averages 8% of income for the first child across all household sizes and fee levels. EEC is currently evaluating the existing fee chart, including looking at affordability.

f) To support parental choice and equal access to the full range of child care options, does the Lead Agency choose the option to allow providers to charge families additional amounts above the required co-payment in instances where the provider's price exceeds the subsidy payment (98.45(b)(5))?

No

Yes. If yes:

- i. Provide the rationale for the Lead Agency's policy to allow providers to charge families additional amounts above the required co-payment, including a demonstration of how the policy promotes affordability and access for families.
- ii. Provide data (including data on the size and frequency of such amounts) on the extent to which CCDF providers charge additional amounts to families.
- iii. Describe the Lead Agency's analysis of the interaction between the additional amounts charged to families with the required family co-payment, and the ability of current subsidy payment rates to provide access to care without additional fees.

g) Describe how Lead Agencies' payment practices described in 4.5 support equal access to a range of providers.

EEC's payment practices support equal access to a range of providers by providing stability of funding and encouraging more child care providers to serve children receiving CCDF subsidies. For instance, EEC's payment practices described in section 4.5 ensure payment is promptly made, covers longer period of times, and has prompt resolution of conflicts. Additionally, EEC is proposing new regulations that will pay for up to 45 absences in each 12 month authorizations. EEC also pays for 12 holidays and 4 professional development days, which amounts to 77% of the time that a child must attend care in order for EEC to pay for child care for full for the entire 12-month authorization. In the interim period, while regulations are pending, EEC has suspended its current absence policy, and therefore, will not terminate care for excessive absences. Furthermore, EEC is proposing regulations that will include exemptions from the 45 day limit for the following populations: children with active child protection cases may exceed 45 days as long as the child protection agency agrees; and children with chronic illnesses/conditions that require extra absences may apply for a waiver from EEC.

h) Describe how and on what factors the Lead Agency differentiates payment rates. Check all that apply.

Geographic area.

Describe:

EEC's payment rates are set separately by 6 geographic regions of the state to

account for variations in cost.

Type of provider.

Describe:

EEC's rates are set separately for center based, family child care, after school, in-home, kindergarten, and Head Start providers.

Age of child.

Describe:

EEC's rates are set separately by age of the child with higher rates for younger age groups

Quality level.

Describe:

EEC offers a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS.

Other.

Describe:

i) Describe any additional facts that the Lead Agency considered in determining its payment rates to ensure equal access. Check all that apply and describe:

Payment rates are set at the 75th percentile benchmark or higher of the most recent MRS.

Describe:

Based on the approved alternative methodology, payments rates ensure equal access.

Describe:

Feedback from parents, including parent surveys or parental complaints.

Describe:

Other.

Describe:

EEC continues to monitor level of participation by licensed providers in the subsidy system to ensure that parents have access to a broad range of providers. EEC continues to review payment rates regularly as a key support of the early education workforce and provides rate increases as allowable based on available funding.

4.5 Payment Practices and the Timeliness of Payments

Lead Agencies are required to demonstrate that they have established payment practices applicable to all CCDF child care providers that include ensuring the timeliness of payments by either (1) paying prospectively prior to the delivery of services or (2) paying within no more than 21 calendar days of the receipt of a complete invoice for services. To the extent practicable, the Lead Agency must also support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (1) paying based on a child's enrollment rather than attendance, (2) providing full payment if a child attends at least 85 percent of the authorized time, (3) providing full payment if a child is absent for 5 or fewer days in a month, or (4) using an alternative approach for which the Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(l)(2)).

Lead Agencies are required to use CCDF payment practices that reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF-funded assistance. Unless a Lead Agency is able to demonstrate that the following policies are not generally accepted in its particular state, territory, or service area or among particular categories or types of providers, Lead Agencies must (1) pay providers based on established part-time or full-time rates rather than paying for hours of service or smaller increments of time and (2) pay for reasonable, mandatory registration fees that the provider charges to private-paying parents (658E(c)(2)(S); 98.45(l)(3)).

In addition, there are certain other generally accepted payment practices that are required. Lead Agencies are required to ensure that child care providers receive payment for any services in accordance with a payment agreement or an authorization for services, ensure that child care providers receive prompt notice of changes to a family's eligibility status that could impact payment, and establish timely appeal and resolution processes for any payment inaccuracies and disputes (98.45(l)(4) through (6); 658E(c)(2)(S)(ii); 98.45(l)(4); 98.45(l)(5); 98.45(l)(6)).

4.5.1 Certify by identifying and describing the payment practices below that the Lead Agency has implemented for all CCDF child care providers.

a) Ensure the timeliness of payments by either (Lead Agency to implement at least one of the following):

Paying prospectively prior to the delivery of services.

Describe the policy or procedure.

n/a

Paying within no more than 21 calendar days of the receipt of a complete invoice for services.

Describe the policy or procedure.

Generally, EEC reviews, processes, and schedules payments within 5 to 10 days of receipt of any request for reimbursement. Once scheduled in the Commonwealth's accounting system, payments are made overnight. All payments by EEC are made by electronic fund transfer to contract providers and CCRRs. Many CCRRs also use electronic fund transfer to pay voucher providers based on provider preference.

b) To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by: (Note: The Lead Agency is to choose at least one of the following):

Paying based on a child's enrollment rather than attendance.

Describe the policy or procedure.

n/a

Providing full payment if a child attends at least 85 percent of the authorized time.

Describe the policy or procedure.

n/a

Providing full payment if a child is absent for five or fewer days in a month.

Describe the policy or procedure.

n/a

Use an alternative approach for which the Lead Agency provides a justification in its Plan.

If chosen, please describe the policy or procedure and the Lead Agency's justification for this approach.

Effective October 1, 2018, EEC will implement interim policies effectively waiving its absence policy that only allows payment for up to 30 absences in a rolling 6 month period, and allows providers to terminate care for excessive absences beyond the 30 days. The interim policy will allow providers to be paid for all absences accrued during the interim period. EEC will continue to pay for only 3 consecutive unexplained absences and unexplained absences above that level are considered excessive and may result in an immediate reassessment of the family's continued need for child care. EEC is proposing regulatory changes that it anticipates will take effect in early 2019. Under proposed regulations, EEC will pay for up to 45 absences in each 12 month authorization. After that point, the families' subsidy will not be terminated but the provider may charge the parent privately for any additional absences. EEC will continue to pay for only 3 consecutive unexplained absences and unexplained absences above that level are considered excessive and may result in an immediate reassessment of the family's continued need for child care.

As a part of this decision, EEC calculated what percentage of a family's authorization would be covered with 45 days to ensure compliance. On average, EEC has 261 billable days in a year, calculated as all weekdays since we count holidays as billable days. As a part of the 261 billing days, EEC pays for 12 holidays and 4 professional development days, leaving 245 days where a child can attend care. If you then remove 45 absences, a child could attend only 200 days (77% of the time) and EEC will pay for child care in full for the entire 12-month authorization.

Furthermore, EEC is proposing regulations that will include exemptions from the 45 day limit for the following populations: children with active child protection cases may exceed 45 days as long as the child protection agency agrees; and children with chronic illnesses/conditions that require extra absences may apply for a waiver from EEC. Additionally, EEC does not allow certain days to be counted as an absence

against a child. Such days include: days when transportation to a program is unavailable due to inclement weather, even if the child is not transported by the program; emergency closures for inclement weather or other emergency situation; and days a child is regularly scheduled to not be at the program (e.g non-custodial visits, school activities, every Friday, homework clubs, etc.).

c) The Lead Agency's payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies. These payment practices must include the following two practices unless the Lead Agency provides evidence that such practices are not generally accepted in its state (658E(c)(2)(S); 98.45(l)(3)).

i. Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time).

Describe the policy or procedure and include a definition of the time increments (e.g., part time, full-time).

EEC's rates are based on a per child, per day value based on the child's schedule and attendance. Programs serving children authorized for full time care are reimbursed up to the full day rate for any care longer than 6 hours. Programs serving children less than 6 hours due to the child's authorization, schedule, or parent choice are reimbursed 60% of full time rate. EEC's School Age rates for children in Center Based Programs function differently with designated Before School, After School, and Full Day rates rather than a calculation for less than 6 hours of care.

ii. Paying for reasonable mandatory registration fees that the provider charges to private-paying parents.

Describe the policy or procedure.

EEC collected data on registration fees as part of the most recent Market Rate Survey. Results showed that only 37.1 percent of providers charge private pay clients registration fees. EEC has determined that registration fees are not a generally accepted practice in the state and therefore will not pay for registration fees for subsidized clients. It is important to note that EEC has not historically allowed providers to charge subsidy families registration fees and EEC intends to continue that restriction.

d) The Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute-resolution process. Describe:

All payment practices are detailed in the voucher agreement signed on an annual basis by voucher providers and are detailed in the contract documents for providers holding direct contracts. Providers are notified of any increase in rates if they occur during the course of the year.

e) The Lead Agency provides prompt notice to providers regarding any changes to the family's eligibility status that could impact payments, and such a notice is sent no later than the day that the Lead Agency becomes aware that such a change will occur.

Describe:

Both parents and providers are issued 2-week notice of termination of subsidy if a family's eligibility changes during an authorization. Providers also have access to view the end dates of all authorizations through EEC's subsidy management system.

f) The Lead Agency has a timely appeal and resolution process for payment inaccuracies and disputes. Describe:

All disputes and resolutions are handled on a case by case basis in a prompt manner by the Associate Commissioner for Accounting and Contracts. All disputes are responded to within one business day and most disputes are resolved within 3-5 business days.

g) Other. Describe:

n/a

4.5.2 Do payment practices vary across regions, counties, and/or geographic areas?

No, the practices do not vary across areas.

Yes, the practices vary across areas.

Describe:

4.6 Supply-Building Strategies to Meet the Needs of Certain Populations

Lead Agencies are required to develop and implement strategies to increase the supply of and to improve the quality of child care services for children in underserved areas; infants and toddlers; children with disabilities, as defined by the Lead Agency; and children who receive care during non-traditional hours (658 E(c)(2)(M); 98.16 (x)).

4.6.1 Lead Agencies must identify shortages in the supply of high-quality child care providers. List the data sources used to identify shortages, and describe the method of tracking progress to support equal access and parental choice.

In licensed family child care.

In licensed child care centers.

Other.

Estimates of the size of the EEC workforce range from 75,000 to 100,000 and can vary according to the kinds of roles that are included. Data estimates about the EEC workforce are available through two sources: the Professional Qualifications Registry (PQR) maintained by EEC and the Integrated Public Use Microdata Series (IPUMS) USA 2011-2015 5-year data associated with the American Community Survey/Census (analyzed by the UMass Donahue Institute or UMDI). Major aspects of the EEC workforce from these sources include: Educators speak a wide variety of languages, with Spanish being the primary language for about 10% of the workforce; English-speaking ability among educators is more limited in family child care than it is in center-based care, especially among those family child care licensees who are located in linguistically isolated communities; and Educators possess a wide variety of educational backgrounds. For example, about one-third of the EEC workforce has a bachelor's degree or higher (that may or may not be in ECE-related fields), one-tenth has an associate's degree (again, that may or may not be ECE-related), and about one-quarter has some college (most likely the one to four college courses required by different licensed roles). However, another one-third of the EEC workforce has only a

high-school-level education or less. 25% (for center-based) to 37% (for family child care) of the EEC workforce report receiving public health insurance. It should be noted, however, that the percentages who are eligible are most likely higher as some educators may not be aware of their eligibility or may opt out of participating for other reasons (culture, etc.).

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

a) Children in underserved areas. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

EEC administers multiple contracts by region to ensure that each part of the state has access to subsidized child care.

Family child care networks.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care. FCC Systems may provide referrals to family child care providers. In 2017 EEC implemented a pilot where the nationally recognized Parent Child Home Program was made available to family child care educators. In 2018 this program has been continued and expanded. The role of the family child care system (network) has been strengthened as a method to deliver coaching on early literacy to infants and toddlers enrolled in family child care programs via the PCHP method.

Start-up funding.

Describe:

[Technical assistance support.](#)

[Describe:](#)

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care.

[Recruitment of providers.](#)

[Describe:](#)

There are seven CCRRs contracted by EEC who also operate as a statewide network. The current CCRR contract focuses its resources on a number of areas, including provider services, recruitment and contract management, training and technical assistance, and monitoring.

[Tiered payment rates \(as discussed in 4.3.2\).](#)

[Describe:](#)

Through its Priority Populations contracts, programs awarded contracts to serve children in protective services, children of teen parents, and homeless children receive an additional \$17.22 per day. Additionally, EEC has implemented a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS.

[Support for improving business practices, such as management training, paid sick leave, and shared services.](#)

[Describe:](#)

[Accreditation supports.](#)

[Describe:](#)

[Child Care Health Consultation.](#)

[Describe:](#)

[Mental Health Consultation.](#)

Describe:

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

b) Infants and toddlers. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

EEC administers multiple contracts to serve low-income families (Income Eligible Child Care), children with active protective services cases (Supportive or DCF Related Child Care), Teen Parents, and Homeless Families. All contracts allow for care for all age groups, including a specific number of slots for infants and toddlers.

Family child care networks.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care. FCC Systems may provide referrals to family child care providers. In 2017 EEC implemented a pilot where the nationally recognized Parent Child Home Program was made available to family child care educators. In 2018 this program has been continued and expanded. The role of the family child care system (network) has been strengthened as a method to deliver coaching on early literacy to infants and toddlers enrolled in family child care programs via the PCHP method.

Start-up funding.

Describe:

[Technical assistance support.](#)

[Describe:](#)

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care.

[Recruitment of providers.](#)

[Describe:](#)

There are seven CCRRs contracted by EEC who also operate as a statewide network. The current CCRR contract focuses its resources on a number of areas, including provider services, recruitment and contract management, training and technical assistance, and monitoring.

[Tiered payment rates \(as discussed in 4.3.2\) .](#)

[Describe:](#)

EEC has implemented a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS.

[Support for improving business practices, such as management training, paid sick leave, and shared services.](#)

[Describe:](#)

[Accreditation supports.](#)

[Describe:](#)

[Child Care Health Consultation.](#)

[Describe:](#)

[Mental Health Consultation.](#)

[Describe:](#)

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

c) Children with disabilities. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care. FCC Systems may provide referrals to family child care providers. In 2017 EEC implemented a pilot where the nationally recognized Parent Child Home Program was made available to family child care educators. In 2018 this program has been continued and expanded. The role of the family child care system (network) has been strengthened as a method to deliver coaching on early literacy to infants and toddlers enrolled in family child care programs via the PCHP method.

Start-up funding.

Describe:

Technical assistance support.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care.

Recruitment of providers.

Describe:

There are seven CCRRs contracted by EEC who also operate as a statewide network. The current CCRR contract focuses its resources on a number of areas, including provider services, recruitment and contract management, training and technical assistance, and monitoring.

Tiered payment rates (as discussed in 4.3.2).

Describe:

EEC provides funding for one on one aides for children with special needs as requested by providers.

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

For children receiving CCDF with special needs/disabilities, EEC has limited flexible funding available on a first come, first served, case-by-case basis to provide temporary financial support to programs to successfully transition and include a subsidized child with disabilities/special needs. Appropriate fund use may include: consultation to identify necessary supports for the child; training for program staff; specialized equipment; or a temporary aide position to enhance staffing.

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

d) Children who receive care during non-traditional hours. Check and describe all that apply

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care. FCC Systems may provide referrals to family child care providers. In 2017 EEC implemented a pilot where the nationally recognized Parent Child Home Program was made available to family child care educators. In 2018 this program has been continued and expanded. The role of the family child care system (network) has been strengthened as a method to deliver coaching on early literacy to infants and toddlers enrolled in family child care programs via the PCHP method.

Start-up funding.

Describe:

Technical assistance support.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care.

Recruitment of providers.

Describe:

There are seven CCRRs contracted by EEC who also operate as a statewide

network. The current CCRR contract focuses its resources on a number of areas, including provider services, recruitment and contract management, training and technical assistance, and monitoring.

Tiered payment rates (as discussed in 4.3.2) .

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

e) Other. Check and describe all that apply:

Grants and contracts (as discussed in 4.1.3).

Describe:

EEC administers multiple contracts to serve low-income families (Income Eligible Child Care), children with active protective services cases (Supportive or DCF Related Child Care), Teen Parents, and Homeless Families. All contracts allow for care for all age groups.

[Family child care networks.](#)

[Describe:](#)

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care. FCC Systems may provide referrals to family child care providers. In 2017 EEC implemented a pilot where the nationally recognized Parent Child Home Program was made available to family child care educators. In 2018 this program has been continued and expanded. The role of the family child care system (network) has been strengthened as a method to deliver coaching on early literacy to infants and toddlers enrolled in family child care programs via the PCHP method.

[Start-up funding.](#)

[Describe:](#)

[Technical assistance support.](#)

[Describe:](#)

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care.

[Recruitment of providers.](#)

[Describe:](#)

There are seven CCRRs contracted by EEC who also operate as a statewide network. The current CCRR contract focuses its resources on a number of areas, including provider services, recruitment and contract management, training and technical assistance, and monitoring.

[Tiered payment rates \(as discussed in 4.3.2\).](#)

[Describe:](#)

Through its Priority Populations contracts, programs awarded contracts to serve children in protective services, children of teen parents, and homeless children

receive an additional \$17.22 per day. Additionally, EEC has implemented a 3% rate increase for any programs serving infants and toddlers through the child care subsidy program that have achieved a Level 2 or above rating in QRIS.

- Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

- Accreditation supports.

Describe:

- Child Care Health Consultation.

Describe:

- Mental Health Consultation.

Describe:

- Other.

Describe:

4.6.3 Lead Agencies must prioritize investments for increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and do not currently have sufficient numbers of such programs.

a) How does the Lead Agency define areas with significant concentrations of poverty and unemployment?

Massachusetts does not have one standard for poverty since different benefits programs use different income metrics. For subsidized child care, we use State Median Income (SMI) since Massachusetts income as a whole is significantly higher than incomes in other states. EEC has an entry income standard of 50% of SMI to prioritize low income families living in all pockets of the Commonwealth. For example, for household size of

two, 50% SMI is equivalent to between 225-250% of the 2018 Federal Poverty Guidelines.

b) Describe how the Lead Agency prioritizes increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and that do not have high-quality programs. All early education and care providers holding contracts in Massachusetts are required to participate in the Commonwealth's QRIS. In addition, any program that is licensed or license exempt is eligible to participate in the Commonwealth's voucher program. As a condition of serving children through voucher, the early education and care programs are required to participate in the Commonwealth's QRIS.

5 Establish Standards and Monitoring Processes To Ensure the Health and Safety of Child Care Settings

Lead Agencies are required to certify that there are in effect licensing requirements applicable to all child care services in the state/territory, which supports the health and safety of all children in child care. States and territories may allow licensing exemptions. Lead Agencies must describe how such licensing exemptions do not endanger the health, safety, and development of CCDF children in license-exempt care (98.16 (u)).

Lead Agencies also must certify that there are in effect health and safety standards and training requirements applicable to providers serving CCDF children, whether they are licensed or license-exempt. These health and safety requirements must be appropriate to the provider setting and age of the children served, must include specific topics and training on those topics, and are subject to monitoring and enforcement procedures.

The organization of this section begins with a description of the licensing system for providers of child care in a state or territory and then moves to focus in on CCDF providers who may be licensed, exempt from licensing, or relative providers. The section then covers the health and safety requirements and training, and monitoring and enforcement procedures to ensure that CCDF child care providers comply with licensing and health and safety requirements (98.16(n)). Lead Agencies are also asked to describe any exemptions for relative providers (98.16(l)). This section also addresses group size limits; child-staff ratios; and required qualifications for

caregivers, teachers, and directors (98.16(m)) serving CCDF children.

Note: When responding to questions in this section, the OCC recognizes that each State/Territory identifies and defines its own categories of care. The OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care.

Criminal background check requirements are included in this section (98.16(o)). It is important to note that these requirements are in effect for all child care staff members that are licensed, regulated or registered under state/territory law and all other providers eligible to deliver CCDF services.

5.1 Licensing Requirements

Each state/territory must certify it has in effect licensing requirements applicable to all child care services provided within the state/territory (not restricted to providers receiving CCDF funds) and provide a detailed description of these requirements and how the requirements are effectively enforced (658E(c)(2)(F)). If any types of providers are exempt from licensing requirements, the state/territory must describe those exemptions and describe how these exemptions do not endanger the health, safety, or development of children. The descriptions must also include any exemptions based on provider category, type, or setting; length of day; and providers not subject to licensing because the number of children served falls below a Lead Agency-defined threshold and any other exemption to licensing requirements (658E(c)(2)(F); 98.16(u); 98.40(a)(2)(iv)).

5.1.1 To certify, describe the licensing requirements applicable to child care services provided within the state/territory by identifying the providers in your state/territory that are subject to licensing using the CCDF categories listed below? Check all that apply and provide a citation to the licensing rule.

Center-based child care.

Describe and Provide the citation:

EEC has enacted the Standards for the Licensure or Approval of Family Child Care, Small Group and School Age and Large Group and School Age Child Care Programs found at 606 CMR 7.00 *et al.* These licensing regulations address the requirements to be

met by all providers of early education and care services in the Commonwealth, whether home, school or center-based.

Family child care.

Describe and Provide the citation:

EEC has enacted the Standards for the Licensure or Approval of Family Child Care, Small Group and School Age and Large Group and School Age Child Care Programs found at 606 CMR 7.00 *et al.* These licensing regulations address the requirements to be met by all providers of early education and care services in the Commonwealth, whether home, school or center-based.

In-home care (care in the child's own home).

Describe and provide the citation (if applicable):

5.1.2 Describe if any providers are exempted from licensing requirements and how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)).

Note: Additional information about exemptions related to CCDF providers is required in 5.1.3. EEC has exempted particular groups from its licensing requirements. These groups include: 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; any part of a program operated by an organized educational system for the children enrolled in that particular system, unless the services of such system are primarily limited to a school age child care program, Sunday schools or classes for religious instruction conducted by a religious institution; 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; summer camps; an informal cooperative arrangement among neighbors or relatives; or the occasional care of children with or without compensation therefore. These particular exemptions do not endanger the health, safety and development of children as center-based child care operated by public schools is under the jurisdiction of other state and local agencies that regulate health and safety concerns related

to physical space and educator background record checks, including state and national finger print checks. Center-based child care operated as 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 or care operated by an organized educational system, unless the services are primarily limited to a school age child care program are under the jurisdiction of local agencies that regulate health and safety concerns related to physical space and educator background record checks, including state and national finger print checks. Sunday schools, religious classes, or facilities operated by a religious organization where children are care for during short periods of time are under the jurisdiction of the religious organization and local agencies that are monitoring health and safety concerns and often parents are nearby and easily accessible to their children in the event of an emergency or an injury. Summer camps, which are under the jurisdiction of the local Board of Health for each city/town in the Commonwealth and subject to health and safety requirements established by the Department of Public Health, are exempt from licensure by EEC. Informal cooperative arrangements or occasional care of children is typically for short, infrequent periods of time and often parents are nearby and easily accessible to their children in the event of an emergency or an injury.

Additionally, EEC has exempted in home and relative caregivers who receive CCDF funding, i.e., those who provide care in the child's own home or is a relative of the child. Relative caregivers, include siblings, aunts, uncles, and grandparents, must submit evidence of their age and relationship to the child receiving care and of their age. EEC conducts Sexual Offender Registry checks on any individual seeking to provide relative care funded by the Department. In Home non-relative caregivers must have a background free of conduct which, in EEC's sole judgment, bears adversely upon their ability to provide for the safety and well-being of children. Child care vouchers cannot be issued for an In-Home, Non-Related (IHNR) caregiver until EEC has conducted a background record check (BRC) and has notified the CCRR that the individual's BRC has been approved. These particular exemptions do not endanger the health, safety and development of children as center-based child care operated by public schools is under the jurisdiction of other state and local agencies that regulate health and safety concerns related to physical space and educator background record checks, including state and national finger print checks. Center-based child care operated as 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 or care operated by an organized educational system, unless the services are primarily limited

to a school age child care program are under the jurisdiction of local agencies that regulate health and safety concerns related to physical space and educator background record checks, including state and national finger print checks. Sunday schools, religious classes, or facilities operated by a religious organization where children are care for during short periods of time are under the jurisdiction of the religious organization and local agencies that are monitoring health and safety concerns and often parents are nearby and easily accessible to their children in the event of an emergency or an injury. Summer camps, which are under the jurisdiction of the local Board of Health for each city/town in the Commonwealth and subject to health and safety requirements established by the Department of Public Health, are exempt from licensure by EEC. Informal cooperative arrangements or occasional care of children is typically for short, infrequent periods of time and often parents are nearby and easily accessible to their children in the event of an emergency or an injury

5.1.3 Check and describe any CCDF providers in your state/territory who are exempt from licensing (98.40(2)(i) through (iv))? Describe exemptions based on length of day, threshold on the number of children in care, ages of children in care or any other factors applicable to the exemption

Center-based child care.

If checked, describe the exemptions.

EEC exempts the following groups from care due to their oversight by other entities and as a result does not address exemptions based on length of day, the number of children in care, or other factors: 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; any part of a program operated by an organized educational system for the children enrolled in that particular system, unless the services of such system are primarily limited to a school age child care program, Sunday schools or classes for religious instruction conducted by a religious institution; 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.

Family child care.

If checked, describe the exemptions.

Relative child care providers: Subsidized child care may be provided by a relative of the child in a private residence if the caregiver is at least 18 years old. The caregiver may not be the child's parent, stepparent, foster parent or guardian. Relative caregivers, include siblings, aunts, uncles, and grandparents, must submit evidence of their age and relationship to the child receiving care and of their age. If the relative caregiver is caring for children in her own home, the total number of her own children under the age of 13 and any other children under the age of 13 present in the home while she is providing care may not exceed six. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.

In-home care.

If checked, describe the exemptions.

Caregivers unrelated to the child who are providing subsidized care must be at least 18 years old. At the time of initial registration to provide child care and at each subsequent assessment, an applicant must complete the Consent for Background Record Check for In-Home, Non-Relative Applicants form. Non-related caregivers must provide care in the child's home and may not be residents of the child's household. If the non-related caregiver is caring for children in the child's home, the total number of the caregiver's own children under the age of 13 and all of the children under the age of 13 who reside in the child's home cannot exceed six. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.1 Standards on ratios, group sizes, and qualifications for CCDF providers.

Lead Agencies are required to establish child care standards for providers receiving CCDF funds, appropriate to the type of child care setting involved, that address appropriate ratios between the number of children and number of providers in terms of the age of the children, group size limits for specific age populations, and the required qualifications for providers

(658E(c)(2)(H); 98.41(d); 98.16(m)). For ease of responding, this section is organized by CCDF categories of care, licensing status, and age categories. Respondents should map their Lead Agency categories of care to the CCDF categories.

a) Licensed CCDF center-based care

1. Infant

-- How does the State/territory define infant (age range):

An infant is defined as child under 15 months of age.

-- Ratio:

1 educator : 3 infants; or 2 educators : 7 infants

-- Group size:

Max. group size 7

-- Teacher/caregiver qualifications:

Infant/Toddler teacher: must be at least 21 years of age or have a high school diploma or equivalent and meet one of the following sets of requirements: Have successfully completed 3 credits in category Child Growth and Development and have nine months of work experience or one practicum; or Have a Child Development Associate (CDA) Credential; or Have graduated from a two-year high school vocational program in early childhood education, approved by the Department for both the education and experience requirements and have been evaluated and recommended by the program instructor. The following education may substitute for a portion of the required work experience: An Associate's or Bachelor's degree in early childhood education or a related field of study may substitute for six months of the required experience. A Bachelor's degree in an unrelated field of study may substitute for three months of the required experience. For infant-toddler teachers, one continuing education unit (ten hours of instruction) in category Infant and Toddler Development, Care and Program Planning may substitute for three months of work experience. To be qualified as an infant/toddler teacher, three months of the required work experience must be in caregiving to infant/toddlers.

2. Toddler

-- How does the State/territory define toddler (age range):

Toddler is defined as a child who is at least 15 months of age, but under 33 months of age.

-- Ratio:

1 educator : 4 toddlers; or 2 educators : 9 toddlers.

-- Group size:

Max. group size is 9

-- Teacher/caregiver qualifications:

Infant/Toddler teacher: must be at least 21 years of age or have a high school diploma or equivalent and meet one of the following sets of requirements: Have successfully completed 3 credits in category Child Growth and Development and have nine months of work experience or one practicum; or Have a Child Development Associate (CDA) Credential; or Have graduated from a two-year high school vocational program in early childhood education, approved by the Department for both the education and experience requirements and have been evaluated and recommended by the program instructor. The following education may substitute for a portion of the required work experience: An Associate's or Bachelor's degree in early childhood education or a related field of study may substitute for six months of the required experience. A Bachelor's degree in an unrelated field of study may substitute for three months of the required experience. For infant-toddler teachers, one continuing education unit (ten hours of instruction) in category Infant and Toddler Development, Care and Program Planning may substitute for three months of work experience. To be qualified as an infant/toddler teacher, three months of the required work experience must be in caregiving to infant/toddlers.

3. Preschool

-- How does the State/territory define preschool (age range):

A preschool age child is defined as any child at least 2.9 years, but not yet

attending first grade.

-- Ratio:

1 educator : 10 preschool age children; or 2 educators : 20 preschool age children

-- Group size:

Max. group size is 20

-- Teacher/caregiver qualifications:

Preschool teacher: must be at least 21 years of age or have a high school diploma or equivalent and meet one of the following sets of requirements: Have successfully completed 3 credits in category Child Growth and Development and have nine months of work experience or one practicum; or Have a Child Development Associate (CDA) Credential; or Have graduated from a two-year high school vocational program in early childhood education, approved by the Department for both the education and experience requirements and have been evaluated and recommended by the program instructor. The following education may substitute for a portion of the required work experience: An Associate's or Bachelor's degree in early childhood education or a related field of study may substitute for six months of the required experience. A Bachelor's degree in an unrelated field of study may substitute for three months of the required experience. To be qualified as a preschool teacher, three months of the required work experience must be in caregiving to preschool age children.

4. School-age

-- How does the State/territory define school-age (age range):

A school age child is defined as a kindergarten child or a child who is attending a public or approved private elementary school.

-- Ratio:

1 educator : 13 school age children; or 2 educators : 26 school age children

-- Group size:

Max. group size is 26

-- **Teacher/caregiver qualifications:**

Group leader: Shall be at least 18 years of age and meet one of the following sets of requirements: Have a Bachelor's Degree or an Associate's Degree; and have three months of experience working with school age children; or Have a high school diploma or equivalent; and have six months of experience working with school age children including three months of supervised experience at a school age child care program; or Have nine months of experience with school age children including three months of supervised experience at a school age child care program.

5. If any of the responses above are different for exempt child care centers, describe which requirements apply to exempt centers

For DPH regulated summer camps, the following ratios are required: residential and day camps shall have at least one supervisory staff person for every ten campers over the age of six. There shall be one supervisory staff person for every five campers age six or under. Junior counselors may be included in meeting up to one half of the camper/staff ratio within each unit, living or general activity group, but only if they have received training and supervision to verify their ability to handle camper groups independently. See 105 CMR 430.101. For license exempt public school afterschool programs, schools are expected to follow local requirements; however, the recommended ratio is 1:13, which is identical to EEC's school age ratio requirement.

6. Describe, if applicable, ratios, group sizes, and qualifications for classrooms with mixed age groups.

For mixed Infant/Toddler groups, EEC child care licensing regulations set forth the following group size limitations: no more than 9 children, of which no more than 3 infants may be infants. In addition, the regulations establish the following educator to child ratios for mixed Infant/Toddler groups: 1:3 or 2:9. In a mixed Infant/Toddler group, there must be at least one Infant/Toddler teacher whose qualifications are described in 5.2.1 (a) 1, above. For mixed Toddler/Preschool groups, EEC child care licensing regulations restrict group size for the classroom to no more than 9 children with educator to child ratios of 1:5 or 2:9. In a mixed Toddler/Preschool group, there must be at least one Infant/Toddler teacher and one Preschool teacher whose qualifications are described in 5.2.1 (a) 1 and (a) 2, above. For mixed

Preschool/School Age groups, group size for the classroom is restricted to no more than 20 children with a maximum age of 8 years and educator to child ratios of 1:10 or 2:20. There must be at least one qualified Preschool teacher in a mixed Preschool/School Age group as described in 5.2.1 (a) 2, above.

7. Describe the director qualifications for licensed CCDF center-based care, including any variations based on the ages of children in care.

Must be at least 21 years of age and have met one of the following sets of requirements for education and experience. At least nine months of work experience or one practicum must be with either infants and toddlers or preschoolers (if with infants /toddlers, the total work experience is reduced by 1/3): High school diploma or equivalent; and 12 credits in at least 4 categories of study except Child Care Administration including 3 credits in Child Growth and Development and 2 credits in Planning Programs, Curriculum, or Classroom management or 3 credits in infant/toddler care; and 36 months of work experience; High school diploma or equivalent CDA credential in Center-based, home visitor or family child care setting with a preschool or infant/toddler endorsement and 27 months of work experience; Associate's degree in Early Childhood Education or related field of study and 12 credits in at least 4 categories of study except Child Care Administration including 3 credits in Child Growth and Development and 2 credits in Planning Programs, Curriculum, or Classroom management or 3 credits in infant/toddler care; and 18 months of work experience; Bachelor's degree in an unrelated field of study and 12 credits in at least 4 categories of study except Child Care Administration including 3 credits in Child Growth and Development and 2 credits in Planning Programs, Curriculum, or Classroom management or 3 credits in infant/toddler care; and 18 months of work experience; Bachelor's or advanced degree in Early Childhood Education or in a related field of study and 12 credits in at least 4 categories of study except Child Care Administration including 3 credits in Child Growth and Development and 2 credits in Planning Programs, Curriculum, or Classroom management or 3 credits in infant/toddler care; and 9 months of work experience; Alternative Early Childhood Training Program and 12 credits in at least 4 categories of study except Child Care Administration including 3 credits in Child Growth and Development and 2 credits in Planning Programs, Curriculum, or Classroom management or 3 credits in infant/toddler care; and 27 months of work experience; Certification as an Early Intervention Specialist by the MA Department of Public Health K-3 Teacher for Young

Children with Special Needs Certification from the MA Department of Elementary and Secondary Education. Have 6 months of work experience after meeting the above qualifications (Lead Teacher qualifications), have evidence of satisfactory completion of at least 2 credits or 3 CEUS in category Child Care Administration; and have evidence of completion of at least 2 additional credits or 3 CEUs in any of the following categories: Child Growth and Development, Birth - Eight Years. Planning Programs and Environments for Young Children Curriculum for Early Childhood Settings Child and Classroom Management Advanced or Specialized Early Childhood Education or Development Children with Special Needs, Birth through 16 years. Infant and Toddler Development, Care, and Program Planning Health and Safety in Early Childhood Families and Community Child Care Policy Supervision or Staff Development in Early Childhood Education Child Observation, Documentation and Assessment.

b) Licensed CCDF family child care provider

1. Infant

-- How does the State/territory define infant (age range):

An infant is defined as child under 15 months of age.

-- Ratio:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Group size:

For six or fewer children with 1 educator - No more than three children younger

than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Teacher/caregiver qualifications:

All family child care educators must be at least 18 years of age. Prior to being licensed for the first time to provide family child care an applicant must submit evidence of current certification in basic first aid and CPR that is age appropriate for all of the children in care. In addition, an applicant for a license to care for six or fewer children must have at least the following: one year of experience as a parent; or one year of full-time experience, or the equivalent, in caring for children younger than 12 years of age; or nine months of full-time experience in caring for children younger than 14 years of age and completion of 15 hours of training, approved by the Department, not including the EEC educator orientation; or six months of full-time experience in caring for children younger than 12 years of age and completion of 30 hours of training, approved by the Department, not including the EEC orientation; or qualification as a teacher or site coordinator by EEC. An applicant for a license to care for seven or eight children, at least two of whom must be school age, must have evidence of having completed within one year prior to application a pre-service training approved by the Department; and either: two years of experience as a family child care licensee or certified assistant; or one year of experience as a family child care licensee or certified assistant and one additional year caring for unrelated children in a group setting; or EEC certification as a teacher or site coordinator. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education may substitute for nine months of the required additional experience. An applicant for a license to care for nine or ten children must have evidence of having completed

within one year prior to application a five hour pre-service training approved by the Department and either: three years of experience as a family child care licensee or certified assistant, or one year of experience as a family child care licensee or certified assistant; and one of the following: two additional years caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant; EEC certification as a teacher or site coordinator and one additional year of experience caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education will substitute for nine months of the additional required experience.

2. Toddler

-- How does the State/territory define toddler (age range):

A toddler is defined as a child who is at least 15 months of age, but under 33 months of age.

-- Ratio:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Group size:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently.

Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Teacher/caregiver qualifications:

All family child care educators must be at least 18 years of age. Prior to being licensed for the first time to provide family child care an applicant must submit evidence of current certification in basic first aid and CPR that is age appropriate for all of the children in care. In addition, an applicant for a license to care for six or fewer children must have at least the following: one year of experience as a parent; or one year of full-time experience, or the equivalent, in caring for children younger than 12 years of age; or nine months of full-time experience in caring for children younger than 14 years of age and completion of 15 hours of training, approved by the Department, not including the EEC educator orientation; or six months of full-time experience in caring for children younger than 12 years of age and completion of 30 hours of training, approved by the Department, not including the EEC orientation; or qualification as a teacher or site coordinator by EEC. An applicant for a license to care for seven or eight children, at least two of whom must be school age, must have evidence of having completed within one year prior to application a pre-service training approved by the Department; and either: two years of experience as a family child care licensee or certified assistant; or one year of experience as a family child care licensee or certified assistant and one additional year caring for unrelated children in a group setting; or EEC certification as a teacher or site coordinator. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education may substitute for nine months of the required additional experience. An applicant for a license to care for nine or ten children must have evidence of having completed within one year prior to application a five hour pre-service training approved by the

Department and either: three years of experience as a family child care licensee or certified assistant, or one year of experience as a family child care licensee or certified assistant; and one of the following: two additional years caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant; EEC certification as a teacher or site coordinator and one additional year of experience caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education will substitute for nine months of the additional required experience.

3. Preschool

-- How does the State/territory define preschool (age range):

A preschool age child is defined as any child at least 2.9 years, but not yet attending first grade.

-- Ratio:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Group size:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2

educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Teacher/caregiver qualifications:

All family child care educators must be at least 18 years of age. Prior to being licensed for the first time to provide family child care an applicant must submit evidence of current certification in basic first aid and CPR that is age appropriate for all of the children in care. In addition, an applicant for a license to care for six or fewer children must have at least the following: one year of experience as a parent; or one year of full-time experience, or the equivalent, in caring for children younger than 12 years of age; or nine months of full-time experience in caring for children younger than 14 years of age and completion of 15 hours of training, approved by the Department, not including the EEC educator orientation; or six months of full-time experience in caring for children younger than 12 years of age and completion of 30 hours of training, approved by the Department, not including the EEC orientation; or qualification as a teacher or site coordinator by EEC. An applicant for a license to care for seven or eight children, at least two of whom must be school age, must have evidence of having completed within one year prior to application a pre-service training approved by the Department; and either: two years of experience as a family child care licensee or certified assistant; or one year of experience as a family child care licensee or certified assistant and one additional year caring for unrelated children in a group setting; or EEC certification as a teacher or site coordinator. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education may substitute for nine months of the required additional experience. An applicant for a license to care for nine or ten children must have evidence of having completed within one year prior to application a five hour pre-service training approved by the Department and either: three years of experience as a family child care licensee or

certified assistant, or one year of experience as a family child care licensee or certified assistant; and one of the following: two additional years caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant; EEC certification as a teacher or site coordinator and one additional year of experience caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education will substitute for nine months of the additional required experience.

4. School-age

-- How does the State/territory define school-age (age range):

A school age child is defined as a kindergarten child or a child who is attending a public or approved private elementary school.

-- Ratio:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Group size:

For six or fewer children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. For six or fewer children with 2 educators - No more than six children younger than two years old. For seven or

eight children with 1 educator - No more than three children younger than two years old, including at least one toddler who is walking independently. Additional children must be older than 24 months. All children over capacity of six must be school age. For seven to ten children with 2 educators - No more than six children younger than two years old, including no more than three infants. For seven to ten children with 3 educators - No more than six infants. Additional children must be 15 months of age or older.

-- Teacher/caregiver qualifications:

All family child care educators must be at least 18 years of age. Prior to being licensed for the first time to provide family child care an applicant must submit evidence of current certification in basic first aid and CPR that is age appropriate for all of the children in care. In addition, an applicant for a license to care for six or fewer children must have at least the following: one year of experience as a parent; or one year of full-time experience, or the equivalent, in caring for children younger than 12 years of age; or nine months of full-time experience in caring for children younger than 14 years of age and completion of 15 hours of training, approved by the Department, not including the EEC educator orientation; or six months of full-time experience in caring for children younger than 12 years of age and completion of 30 hours of training, approved by the Department, not including the EEC orientation; or qualification as a teacher or site coordinator by EEC. An applicant for a license to care for seven or eight children, at least two of whom must be school age, must have evidence of having completed within one year prior to application a pre-service training approved by the Department; and either: two years of experience as a family child care licensee or certified assistant; or one year of experience as a family child care licensee or certified assistant and one additional year caring for unrelated children in a group setting; or EEC certification as a teacher or site coordinator. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education may substitute for nine months of the required additional experience. An applicant for a license to care for nine or ten children must have evidence of having completed within one year prior to application a five hour pre-service training approved by the Department and either: three years of experience as a family child care licensee or certified assistant, or one year of experience as a family child care licensee or

certified assistant; and one of the following: two additional years caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant; EEC certification as a teacher or site coordinator and one additional year of experience caring for unrelated children in a group setting, which may include experience as a family child care licensee or certified assistant. An additional three credits in education or early childhood education may substitute for six months of the required additional experience. An additional six credits in education or early childhood education will substitute for nine months of the additional required experience.

[5. If any of the responses above are different for exempt family child care homes, please describe which requirements apply to exempt homes](#)

EEC requires licensure whenever any individual provides care to at least one unrelated child outside of the child's home. EEC does allow some exemptions to family child care for an informal cooperative arrangement or the occasional care of children. First, EEC determines if care is being provided on a regular basis. A family child care home is operating on a "regular basis" if the care is available for more than one day per week and for more than eight weeks in a twelve-month period. If the care being provided does not meet both of these criteria, it is not subject to licensure. Occasional care occurs when no child is present more than one day per week or more than a total of 8 hours in a week, or when no child is in care for more than 30 days from the initial date of placement. If the care provided does not exceed either of these limits, then it is not subject to licensure. Care taking is an informal cooperative arrangement among neighbors or relatives if any of the following circumstances apply: all children in care are related to the caretaker by blood, marriage or adoption; or parents care for each other's children on an equal, informal basis. They do so by feeding, napping, diapering or supervising the child(ren). There are no hired personnel and no-one receives monetary or non-monetary compensation for their services; or care is provided to only one child unrelated to the caretaker and is determined to be informal and cooperative because the relationship between the caretaker and parent(s) is based on friendship or common interests such as school, community, church, charitable or volunteer work or similar activities, and the relationship between the parents and the caretaker pre-dates the care taking situation. In making any determination on an application for exemption, EEC will consider whether the caretaker is currently or was formally licensed by the Department and if so, whether

EEC has taken legal action against the caretaker or accepted a voluntary surrender of a license in circumstances where enforcement would have been justified. Further, EEC will consider whether the caretaker cooperated with EEC and was truthful in providing the information necessary to evaluate the exemption request.

c) In-home CCDF providers:

1. Describe the ratios

If a relative caregiver is providing care for children in her own home, the total number of her own children under the age of 13 and any other children under the age of 13 present in the home while she is providing care may not exceed 6. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity. If a non-related caregiver is caring for children in the child's own home, the total number of the caregiver's own children under the age of 13 and all of the children under the age of 13 who reside in the child's home cannot exceed 6. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.

2. Describe the group size

If a relative caregiver is providing care for children in her own home, the total number of her own children under the age of 13 and any other children under the age of 13 present in the home while she is providing care may not exceed 6. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity. If a non-related caregiver is caring for children in the child's own home, the total number of the caregiver's own children under the age of 13 and all of the children under the age of 13 who reside in the child's home cannot exceed 6. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.

3. Describe the maximum number of children that are allowed in the home at any one time.

If a relative caregiver is providing care for children in her own home, the total number of her own children under the age of 13 and any other children under the age of 13 present in the home while she is providing care may not exceed 6. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity. If a non-related caregiver is caring for children in the child's own home, the total number of the caregiver's own children under the age of 13 and all of the children under the

age of 13 who reside in the child's home cannot exceed 6.

4. Describe if the state/territory requires related children to be included in the child-to-provider ratio or group size

Yes

5. Describe any limits on infants and toddlers or additional school-age children that are allowed for part of the day

If a relative caregiver is providing care for children in her own home, the total number of her own children under the age of 13 and any other children under the age of 13 present in the home while she is providing care may not exceed 6. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity. If a non-related caregiver is caring for children in the child's own home, the total number of the caregiver's own children under the age of 13 and all of the children under the age of 13 who reside in the child's home cannot exceed 6.

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.2 Health and safety standards for CCDF providers.

States and territories must establish health and safety standards for programs (e.g., child care centers, family child care homes, etc.) serving children receiving CCDF assistance relating to the topics listed below, as appropriate to the provider setting and age of the children served (98.41(a)). This requirement is applicable to all child care providers receiving CCDF funds regardless of licensing status (i.e., licensed or license-exempt). The only exception to this requirement is for providers who are caring for their own relatives because Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements (98.42(c)).

a) To certify, describe how the following health and safety standards for programs serving children receiving CCDF assistance are defined and established on the required topics (98.16(l)). Note: This question is different from the health and safety training requirements, which are addressed in question 5.2.3.

1. Prevention and control of infectious diseases (including immunization)

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

The Department requires that all child care programs must follow exclusion policies for serious illnesses, infectious diseases and reportable diseases in conformance with the Department of Public Health and must notify all parents when any infectious disease or condition has been introduced into the program. Additionally, all educators must be trained in infection control procedures such as hand washing for children and themselves; washing and disinfecting of surfaces and equipment, toys and personal items; and clean-up of bodily fluids and blood. EEC licensing regulations also require programs to collect and maintain immunization records for child care children.

-- List all citations for these requirements, including those for licensed and license-exempt programs

EEC licensing regulations at 606 CMR 7.06(7)(a)(13) and 606 CMR 7.11(9) and (10);

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

In large group and school age programs, smooth, surfaced, non-porous floors and mops used for cleaning must be washed and disinfected at least daily. Currently, license exempt providers are not required to demonstrate prevention and control of infectious diseases when caring for children. However, they will be trained on the same in the near future

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Programs serving infants must place infants on their backs for sleeping, unless the child's health care professional orders otherwise in writing; nap infants in individual cribs, portacribs, playpens or bassinets; ensure that cribs have firm, properly fitted mattresses with clean coverings, and do not contain any potential head entrapment areas; ensure that slats on cribs are no more than 2 3/8 inches apart and ensure that cribs, portacribs, playpens or bassinets used for sleeping infants younger than 12 months of age do not contain pillows, comforters, stuffed animals or other soft padded materials.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.11(13)(e).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to be trained on safe sleep practices when caring for infants. However, they will be trained on the same in the near future. For family child care programs, the educator must visually observe napping children at least every 15 minutes. When children are placed in a separate room for naps, the door must be ajar.

-- Describe any variations based on the age of the children in care

Children younger than 6 months of age at the time of enrollment in a program must be under direct visual supervision at all times, including while napping, during the first six weeks they are in care.

-- Describe if relatives are exempt from this requirement

Yes

3. Administration of medication, consistent with standards for parental consent

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Each program must have a written policy regarding administration of prescription and non-prescription medication and its disposal. All prescriptions must be in the

containers in which they were originally dispensed and with their original labels affixed. Emergency medications such as epinephrine auto-injectors must be immediately available for use as needed. Each time medication is administered, the educator must document in the child's record the name of the medication, the dosage, the time and the method of administration, and who administered the medication. The program must also maintain as part of a child's record, an individual health care plan for each child with a chronic medical condition, which contains the condition, its symptoms, any medical treatment that may be necessary while the child is in care, the potential side effects of that treatment, and the potential consequences to the child's health if the treatment is not administered. EEC licensing regulations requires written consent for the use of unanticipated, non-prescription and topical, non-prescription medications. Furthermore, each program must have a written policy regarding administration of prescription and nonprescription medication. The policy must provide for the administration of medications ordered by a child's health care practitioner.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.11(2) and (3).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently license exempt providers are not required to have a written policy regarding administration of prescription and non-prescription medication. However, they will be trained on medication administration in the near future. Large group and school age programs must have access to Health Care Consultant.

-- Describe any variations based on the age of the children in care

Educators may, with written parental consent and authorization of a licensed health care practitioner, develop and implement an individual health care plan that permits older school age children to carry their own inhalers and epinephrine auto-injectors and use them as needed, without the direct supervision of an educator. If an individual health care plan provides for a child to carry his or her own medication, the licensee must maintain on-site a back-up supply of the medication for use as needed.

-- Describe if relatives are exempt from this requirement

Yes

4. Prevention of and response to emergencies due to food and allergic reactions

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Each program must post in a manner that protects the privacy of each child: a list of all emergency or life saving medications, including but not limited to epinephrine auto-injectors, inhalers, and anti-seizure medications, that specifies to which children they belong; and a list of allergies and/or other emergency medical information provided by the parent for each child. Educators must follow the directions of the parents and /or the child's physician regarding any food allergies of a child. Additionally, programs must establish a plan for meeting individual children's specific health care needs, including the procedure for identifying children with allergies and protecting children from that to which they are allergic.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.04(14)(c); 606 CMR 7.12(4); 606 CMR 7.11(19)(a)6.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to post a list of allergies for children in their care. However, they will be trained on allergy and food reactions in the near future. Large group and school age programs must have a written health care policy that includes a plan for meeting individual children's specific health care needs, including the procedure for identifying children with allergies and protecting children from that to which they are allergic.

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

5. Building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Each program must ensure that the physical facilities are safe, clean, in good repair and free from hazards and clutter. Each program must monitor the environment daily to identify and remove or repair any hazards that may cause injury to children. Each program must maintain or have access to, an outdoor play area that is free from hazards including not limited to: a busy street, a parking lot, poisonous plants, water hazards, debris, broken glass, chipping, peeling or flaking paint, dangerous machinery or tools, and weather related and environmental hazards or small objects that could present a choking hazard to younger children. Any such hazards must be removed or fenced by a sturdy, permanently installed barrier which is at least 4 feet high or otherwise protected or removed, as appropriate. For programs that offer swimming, boating or other water activities, the licensee must ensure that the area is safe and children are directly supervised at all times during activities involving water, including tubs, pools, showers or standing water. All electrical outlets within the reach of children younger than school age must be made inaccessible by use of a safety device or covering that prevents access to the receptacle openings.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.07 (1), (7)(d), (9) and (10)(o).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to demonstrate to EEC the safety of their home/location from physical hazards. However, they will be trained on physical hazards in the near future.

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

The following practices are strictly prohibited in early education and care programs: spanking or other corporal punishment of children; subjecting children to cruel or severe punishment such as humiliation, verbal or physical abuse, neglect or abusive treatment including any type of physical hitting inflicted in any manner upon the body, shaken baby syndrome, abusive head trauma, child maltreatment, threats or derogatory remarks; depriving children of outdoor time, meals or snacks, force feeding children or otherwise making them eat against their will; disciplining a child for soiling, wetting or not using the toilet; confining a child to a swing, high chair, crib, playpen or other piece of equipment for an extended period of time in lieu of supervision, and excessive time-out. Time-out may not exceed one minute for each year of the child's age and must take place within an educator's view.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.05 (8).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to demonstrate to EEC that they have knowledge of the prevention of shaken baby syndrome and child maltreatment. However, they will be trained on such prevention in the near future.

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1)). Emergency preparedness and response planning (at the child care provider level) must also include procedures for evacuation; relocation; shelter-in-place and lockdown; staff and volunteer training and practice drills; communications and reunification with families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions.

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Each program must have a written plan detailing procedures for meeting potential emergencies. These may include, but are not limited to relocation, lockdown, training and practice drills, continuity of operations, the evacuation of children from the program in the event of a fire, natural disaster, loss of power, heat or hot water or other emergency situation. The plan must include a method to obtain information from local authorities to determine whether to evacuate or shelter in place in the event of a natural disaster, escape routes from each floor level approved for child care, a designated meeting place outside and away from the child care program, a method of contacting the appropriate authorities after the program has been evacuated, a method of communicating with parents in the event of an emergency evacuation; and a means to assure that no child is left in the program after evacuation. The plan must meet the needs of all children in care, including infants, toddlers and any children (including but not limited to those with disabilities) who may need additional assistance during an evacuation.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.11(7).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to submit an emergency preparedness and response plan to EEC. However, they will be trained on how to plan

for emergencies in the near future. In a family child care program, the plan for potential emergencies must include the name and telephone number of a potential emergency caregiver who will be available to arrive at the child care home within 10 minutes of being summoned to provide temporary child care in case of a medical emergency.

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Educators must ensure that all hazardous objects, including but not limited to matches, lighters, toxic materials, sharp objects, plastic bags and purses are locked or inaccessible to children. Toxic substances must be stored separately from food and medications and must be labeled as to the contents and antidote. Additionally, EEC licensing regulations address standard precautions, which include Infection control guidelines (per the Center for Disease Control) designed to protect individuals from exposure to diseases spread by blood and certain body fluids. Health precautions include, but are not limited to, the use of personal protective equipment, proper disposal containers for contaminated waste, hand washing and proper handling of bodily waste.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.07(13)(g) and 606 CMR 7.02.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to demonstrate that they are

knowledgeable of the handling and storage of hazardous materials. However, they will be trained on hazardous materials and bio-contaminants in the near future.

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

9. Precautions in transporting children (if applicable)

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

The licensee must have a written plan for the safety and supervision of all children during transport. The plan must describe how children are transported to and from the program, in an emergency and on a field trip. Whenever a licensee provides or contracts for transportation for children, the licensee must establish policies and procedures that are intended to keep children safe during transport. Additionally, the licensee must ensure that any vehicle used for transportation is registered and inspected in accordance with the law of the state, at least one person on each vehicle is currently certified in first aid and CPR and that there is a plan for attendance before and after each trip and a complete vehicle inspection after every trip to ensure that children are not left alone in a vehicle at any time.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.13.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to ensure to EEC the safety and supervision of children in their care during transport. However, they will be trained on precautions in transporting children in the near future.

-- Describe any variations based on the age of the children in care

n/a

-- Describe if relatives are exempt from this requirement

Yes

10. Pediatric first aid and cardiopulmonary resuscitation (CPR) certification

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All licensees, certified assistants, and any educator who may be alone with children must maintain current certification of training in basic first aid and age-appropriate CPR, in accordance with EEC policy. The licensee must ensure that at least one educator currently certified in first aid and age-appropriate CPR is present at any and all times when children are in care.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.09(15) and 7.11 (1).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required by EEC to maintain current certification of training in basic first aid and CPR.

-- Describe any variations based on the age of the children in care

N/a

-- Describe if relatives are exempt from this requirement

Yes

11. Recognition and reporting of child abuse and neglect

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Child educators are mandated reporters and must, by law, report suspected child abuse or neglect to the Massachusetts Department of Children and Families. Pursuant to EEC policy, licensees must have written plans for staff to file reports of abuse or neglect. In particular, these policies must comply with the requirements regarding the responsibilities of mandated reporters. The definition of mandated reporter includes administrators of licensed agencies as well as any person paid by such agencies to work with children in placement, i.e. teachers, residential care staff, vocational staff, recreational staff, medical staff, case managers, clinical staff and foster parents. All such persons must be trained by the licensee regarding their responsibility to report allegations of abuse or neglect and the method for filing these reports.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.11(4).

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required by EEC to complete a mandatory reporter training. However, they will be trained on how to recognize and report child abuse and neglect in the near future.

-- Describe any variations based on the age of the children in care

N/a

-- Describe if relatives are exempt from this requirement

Yes

b) Does the Lead Agency include any of the following optional standards?

No, if no, skip to 5.2.3.

Yes, if yes provide the information related to the optional standards addressed.

1. Nutrition

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All educators must receive basic training in the following in USDA recognized nutrition requirements for the healthy growth and development of children; and in food choking hazards.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.12.

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required by EEC to complete nutrition training. However, they will be trained on nutrition requirements for the healthy growth and development of children in the near future. In programs serving infants and toddlers, a current feeding schedule must be maintained and infants must be held while fed a bottle. In programs serving preschool and school age children, the licensee must provide regular, nutritious snacks for children in care for less than four hours. The licensee must schedule meals, in addition to snacks, for children in care four hours or longer. In small and large group and school age programs, the licensee must designate one person to be responsible for the food program.

-- Describe any variations based on the age of the children in care.

n/a

--Describe if relatives are exempt from this requirement

Yes

2. Access to physical activity

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

The licensee must have evidence of a plan describing daily indoor and outdoor time periods, weather permitting, which include both small and large muscle activities, with at least 60 minutes of physical activity in full day programs.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.06(1)(b)4-5.

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required by EEC to provide access to physical activity for children in care. However, they will be trained on the importance of physical activity in the near future.

-- Describe any variations based on the age of the children in care.

N/a

--Describe if relatives are exempt from this requirement

Yes

3. Caring for children with special needs

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

The licensee must accept applications and make reasonable accommodations to welcome or continue to serve any child with a disability or special needs. The licensee must identify at least one educator to serve as the liaison for each child with a disability and coordinate care within the program and with service providers and communicating with the child's parents, service providers and educators.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.04(13)

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Currently, license exempt providers are not required to demonstrate to EEC knowledge of how to care for children with special needs. However, they will be

trained on how to care for children with a disability or special needs in the near future.

-- Describe any variations based on the age of the children in care.

N/a

--Describe if relatives are exempt from this requirement

Yes

4. Any other areas determined necessary to promote child development or to protect children's health and safety (98.44(b)(1)(iii)).

Describe:

Toothbrushing

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Educators must assist children in brushing their teeth whenever they are in care for more than four hours or whenever they consume a meal while in care. Children must use individual, labeled toothbrushes which must be stored in a safe and sanitary manner open to the air without touching each other.

-- List all citations for these requirements, including those for licensed and license-exempt providers

606 CMR 7.11(11)(d) - (e).

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

License exempt providers are not required to ensure that children brush their teeth while in care.

-- Describe any variations based on the age of the children in care.

N/a

--Describe if relatives are exempt from this requirement

Yes

5.2.3 Health and safety training for CCDF providers on required topics.

Lead Agencies are required to have minimum pre-service or orientation training requirements (to be completed within 3 months), as appropriate to the provider setting and the age of children served, that address the health and safety topics described in 5.2.2, and child development. Lead Agencies must also have ongoing training requirements on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF funds (658E(c)(2)(I)(i); 98.44(b)(1)(iii)). The state/territory must describe its requirements for pre-service or orientation training and ongoing training. These trainings should be part of a broader systematic approach and progression of professional development (as described in section 6) within a state/territory. Lead Agencies have flexibility in determining the number of training hours to require, but they may consult with Caring for our Children Basics for best practices and the recommended time needed to address these training requirements.

Pre-Service or Orientation Training Requirements

a) Provide the minimum number of pre-service or orientation training hours on health and safety topics for caregivers, teachers, and directors required for the following:

1. Licensed child care centers:

EEC licensing regulations establish minimum qualifications for all educators, which require up to 5 hours of pre-service training based on education and experience. In addition, all educators are required to complete a program orientation. The orientation must include: review of the program's health care policy, including medication administration policies and infant sleeping positions; information contained in the children's records that is pertinent to the education and care of the children; child guidance policies and procedures for protecting children from abuse and neglect, emergency plans and procedures, and transportation plans

2. Licensed FCC homes:

All applicants for family child care must submit evidence of current certification in basic first aid and CPR. A potential licensee must also complete up to 30 pre-service training hours, as approved by the Department, depending on the number of children s/he seek to serve and the education/experience of the applicant. In addition to the pre-service qualifications, all family child care applicants must complete a program

orientation pertaining to the operation of the program, including but not limited to, emergency procedures, variances, first aid, supervision, child guidance, individual health care plans, infant safe sleep, and curriculum planning.

3. In-home care:

Prior to providing care, in-home, non-related caregivers must attend a 2.5 hour orientation provided by the Child Care Resource & Referral agency (CCRR). The orientation provides an overview of health and safety requirements, background record checks, EEC voucher polices, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

4. Variations for exempt provider settings:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher polices, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

b) Provide the length of time that providers have to complete trainings subsequent to being hired (must be 3 months or fewer)

For family child care providers, educators must submit evidence of current certification in basic first aid and CPR that is age appropriate for all of the children in care, as well as completion of 30 hours of training, approved by the Department, prior to licensure.

Furthermore, all licensees, certified assistants, and any educator who may be alone with children must maintain current certification of training in basic first aid and CPR, in accordance with EEC policy

c) Explain any differences in pre-service or orientation training requirements based on the ages of the children served

EEC does not differentiate its training modules by age. However, any individual working with infants must be trained in prevention of sudden infant death syndrome and the use of safe-sleep practices prior to working with this particular age group.

d) Describe how the training is offered, including any variations in delivery (e.g. across standards, in rural areas, etc.) Note: There is no federal requirement on how a training

must be delivered

Trainings are offered in-person at the CCRRs or EEC regional licensing offices. Trainings may also be offered online.

e) Identify below the pre-service or orientation training requirements for each topic (98.41(a)(1)(i through xi)).

1. Prevention and control of infectious diseases (including immunizations)

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(9) and (10). Additionally, EEC professional development/training polices are located at

<https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(13)(e);<https://www.mass.gov/service-details/sudden-unexpected->

infant-death-suid-training

Additionally, EEC professional development/training polices are located at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 3. Administration of medication, consistent with standards for parental consent

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(1)(b). Additionally, EEC professional development/training polices are located at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed

to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 4. Prevention and response to emergencies due to food and allergic reactions

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.12(2). Additionally, EEC professional development/training polices are located at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.07 (1), (7)(d), (9) and (10)(o).

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.05(8).

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(7).

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 8. Handling and storage of hazardous materials and the appropriate disposal of bio contaminants

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.07(13)(g).

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed

to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 9. Appropriate precautions in transporting children (if applicable)

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.13.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 10. Pediatric first aid and CPR certification

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.09(15) and 7.11 (1). Additionally, EEC professional development/training polices are located

at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 11. Recognition and reporting of child abuse and neglect

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(4). <https://www.mass.gov/service-details/reporting-alleged-child-abuse-or-neglect-filing-a-51a-report>; additionally, EEC professional development/training polices are located at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 12. Child development (98.44(b)(1)(iii))

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.09(9). <https://www.mass.gov/info-details/eec-professional-qualifications-certification-eligibility-requirements>; additionally, EEC professional development/training polices are located at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

5.2.3e 13.

Describe other training requirements, such as nutrition, physical activities, caring for children with special needs, etc..

EEC also requires training of educators in such areas as injury prevention, use of off-site facilities, care of mildly ill children, personal hygiene, diapering and toileting, sleep, rest and quiet activity, evening and overnight care, and pets.

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(5) - (6), (8), (11) - (16). Additionally, EEC professional development/training polices are located at <https://www.mass.gov/files/documents/2016/08/vu/professional-development-and-q-a.pdf>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Yes

Ongoing Training Requirements

5.2.4 Provide the minimum number of annual training hours on health and safety topics for caregivers, teachers, and directors required for the following.

a) Licensed child care centers:

Educators working in licensed center-based early education and care programs working fewer than ten hours per week shall complete a minimum of five hours of professional development activities per year; educators working at least ten but fewer than 20 hours per week shall complete a minimum of 12 hours of professional development activities

per year; and all educators working 20 or more hours per week shall complete a minimum of 20 hours of professional development activities annually. At least one-third of the professional development hours must address the needs of diverse learners. As part of these training hours, all licensees, certified assistants, and any educator who may be alone with children must maintain current certification of training in basic first aid and CPR.

b) Licensed FCC homes:

All educators in family child care working more than 25 hours per year but less than 10 hours per week must complete at least 5 hours of professional development activities per year. Educators in family child care working more than 10 hours per week must complete at least 10 hours of professional development activities annually. At least one-third of the professional development hours must address diverse learners. As part of these trainings, For family child care providers must complete certification in basic first aid and CPR that is age appropriate for all of the children in care.

c) In-home care:

Currently, there are no annual training hours for in-home, non-related caregivers per year. However, prior to providing care, in-home, non-related caregivers must attend a 2.5 hour orientation provided by the Child Care Resource & Referral agency (CCRR). The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

d) Variations for exempt provider settings:

Currently, there are no annual training hours required by EEC for exempt provider settings. However, prior to providing care, license exempt providers must attend a 2.5 hour orientation provided by the Child Care Resource & Referral agency (CCRR). The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

5.2.5 Describe the ongoing health and safety training for CCDF providers by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

1. Prevention and control of infectious diseases (including immunizations)

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(9) and (10).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(13)(e).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher polices, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

3. Administration of medication, consistent with standards for parental consent

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(2) and (3).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher polices, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

4. Prevention and response to emergencies due to food and allergic reactions

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.04(14)(c); 606 CMR 7.12(4).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher polices, payment rates, and information on EEC's Child Care

Financial Assistance System (CCFA).

5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.07 (1), (7)(d), (9) and (10)(o).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.05(8).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(7).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.07(13)(g).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record

checks, EEC voucher polices, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

9. Appropriate precautions in transporting children (if applicable)

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.13.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher polices, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

10. Pediatric first aid and CPR certification

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.09(15) and 7.11 (1).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

11. Recognition and reporting of child abuse and neglect

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

606 CMR 7.11(4).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

12. Child development (98.44(b)(1)(iii))

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Not applicable at this time.

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

Not applicable at this time.

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

13. Describe other requirements such as nutrition, physical activities, caring for children with special needs, etc..

EEC also requires training of educators in such areas as injury prevention, use of off-site facilities, care of mildly ill children, personal hygiene, diapering and toileting, sleep, rest and quiet activity, evening and overnight care, and pets.

Provide the citation for other training requirements, including citations for both licensed and license-exempt providers

606 CMR 7.11(5) - (6), (8), (11) - (16).

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

As needed

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Prior to entering into a voucher agreement, license exempt providers must participate in a 2.5 hour orientation conducted by the CCRR. The orientation provides an overview of health and safety requirements, background record checks, EEC voucher policies, payment rates, and information on EEC's Child Care Financial Assistance System (CCFA).

5.3 Monitoring and Enforcement Policies and Practices for CCDF Providers

5.3.1 Enforcement of licensing and health and safety requirements

Lead agencies must certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with all applicable State and local health and safety requirements, including those described in 98.41 (98.42(a)). This may include, but is not limited to, any systems used to ensure that providers complete health and safety trainings, any documentation required to be maintained by child care providers or any other monitoring procedures to ensure compliance. Note: Inspection requirements are described starting in 5.3.2.

To certify, describe the procedures to ensure that CCDF providers comply with all applicable State and local health and safety requirements

EEC has begun a process of differential licensing to ensure annually that all licensed and approved early childhood education programs meet all applicable State and local health and safety requirements. Additionally, all licensees are required to obtain and maintain evidence that personnel are currently certified, licensed or registered where applicable laws and regulations require certification, licensure or registration, including but not limited to, driver's licenses and EEC registration.

5.3.2 Inspections for licensed CCDF providers.

Lead agencies must require licensing inspectors to perform inspections-with no fewer than one pre-licensure inspection for compliance with health, safety, and fire standards-of each child care provider and facility in the state/territory. Licensing inspectors are required to perform no fewer than one annual, unannounced inspection of each licensed CCDF provider for compliance with all child care licensing standards; it shall include an inspection for compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards; inspectors may inspect for compliance with all three standards - health, safety, and fire - at the same time (658E(c)(2)(K)(i)(II); 98.16 (n); 98.42(b)(2)(i)). Certify by responding to the questions below to describe your state/territory's monitoring and enforcement procedures to ensure that licensed child care providers comply with licensing standards, including compliance with health

and safety (including, but not limited to, those requirements described in 98.41) and fire standards.

a) Licensed CCDF center-based child care

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed child care center providers for compliance with health, safety, and fire standards

Upon receipt of an application for licensure, licensors from EEC conduct a pre-licensure inspection of child care center providers to ensure compliance with health, safety and fire standards as well as EEC regulations.

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF child care center providers

Annually, EEC licensors will conduct an unannounced visit and inspection of all licensed and approved child care center providers at reasonable times to determine whether such program is being operated in compliance with the law and any EEC regulations governing such programs.

3. Identify the frequency of unannounced inspections:

- Once a year
- More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that child care center providers comply with the applicable licensing standards, including health, safety, and fire standards.

The Differential Licensing Visit lifecycle for small, large group and school aged program in good standing consists of two consecutive annual monitoring visits with the monitoring tool and a licensing renewal visit every second year. The key indicators in the SLGA monitoring tool consist of care of children, health, review of the physical space (both indoor and outdoor), including demonstrating compliance with fire standards, administration, and transportation. The enhanced monitoring tool includes a more thorough review of health and safety regulations which represent groupings of regulations that when in non-compliance pose the highest probability or severity of harm or death to a child, the provider's non-compliances cited in the last visit or

corrective actions described in the corrective action plan from previous visit, if any, and regulations pertaining to Human Resources (HR), personnel records, and treatment documentation.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF center providers

102 CMR 1.06; <https://www.mass.gov/service-details/differential-licensing-group-and-school-age-child-care-programs>

EEC maintains a Differential Licensing Handbook (Group and School Age Child Care Providers) that EEC Licensors are required to follow throughout the Differential Licensing process, which requires annual unannounced visits to licensed child care programs. Annual unannounced visits are automatically coordinated and scheduled for licensors through EEC's Licensing and Education Analytic Database ("LEAD"), pursuant to the Differential Licensing model and as set forth in the Handbook. The Handbook is not published online but is available upon request.

b) Licensed CCDF family child care home

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed family child care providers for compliance with health, safety, and fire standards

Upon receipt of an application for licensure, licensors from EEC conduct a pre-licensure inspection of family child care homes to ensure compliance with health, safety and fire standards as well as EEC regulations.

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF family child care providers

Annually, EEC licensors will conduct an unannounced visit and inspection of all licensed family child care homes at reasonable times to determine whether such programs are being operated in compliance with the law and any EEC regulations governing such programs.

3. Identify the frequency of unannounced inspections:

Once a year

More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that CCDF family child care providers comply with the applicable licensing standards, including health, safety, and fire standards.

The Differential Licensing visit lifecycle for a Family Child Care educator in good standing consists of two consecutive annual monitoring visits with the monitoring tool and a licensing renewal visit every third year with either the enhanced monitoring tool or the full licensing review tool. The monitoring tool addresses key indicators such as physical space, both indoor and outdoor, routine and activities, interactions with children, and the administration of the program. The enhanced monitoring tool is a more thorough review of the health and safety regulations which includes a review of the key indicators, a review of the administration section of the full licensing review tool, and a review of non-compliance issues or corrective actions described in corrective action plans from prior monitoring visits or previous visits.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF family child care providers

102 CMR 1.06,EEC maintains a Differential Licensing Handbook (Family Child Care Providers) that EEC Licensors are required to follow throughout the Differential Licensing process, which requires annual unannounced visits to licensed child care programs. Annual unannounced visits are automatically coordinated and scheduled for licensors through EEC's Licensing and Education Analytic Database ("LEAD"), pursuant to the Differential Licensing model and as set forth in the Handbook. The Handbook is not published online but is available upon request.

c) Licensed in-home CCDF child care

N/A. In-home CCDF child care (care in the child's own home) is not licensed in the State/Territory. Skip to 5.3.2 (d).

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed in-home child care providers for compliance with health, safety, and fire standards

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF in-home child providers

3. Identify the frequency of unannounced inspections:

Once a year

More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that in-home CCDF child care providers comply with the applicable licensing standards, including health, safety, and fire standards.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed in-home CCDF providers

d) List the entity(ies) in your state/territory that are responsible for conducting pre-licensure inspections and unannounced inspections of licensed CCDF providers

EEC is still in the process of developing its monitoring procedures, through its differential licensing system, to annually visit and inspect license-exempt center-based CCDF child care providers.

5.3.3 Inspections for license-exempt CCDF providers

Lead Agencies must have policies and practices that require licensing inspectors (or qualified monitors designated by the Lead Agency) to perform an annual monitoring visit of each license-exempt CCDF provider for compliance with health, safety (including, but not limited to, those requirements described in 98.41), and fire standards (658E(c)(2)(K)(i)(IV); 98.42(b)(2)(ii)). Lead Agencies have the option to exempt relative providers (as described in section (658P(6)(B)) from this requirement. To certify, respond to the questions below to describe the policies and practices for the annual monitoring of:

a) License-exempt center-based CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is

used

EEC intends to conduct unannounced visits at least once per year utilizing its differential licensing model. EEC is in the process of developing the policy and licensing tool for inspection of license exempt providers.

Provide the citation(s) for this policy or procedure

EEC is in the process of developing the policy and licensing tool for inspection of license exempt providers. EEC is also in the process of hiring additional licensing staff to handle the increased workload.

b) License-exempt family child care CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used

EEC intends to conduct unannounced visits at least once per year utilizing its differential licensing model.

Provide the citation(s) for this policy or procedure

https://eecweb.eec.state.ma.us/docs1/NewsUpdates/20110630_voucher_agreement.pdf

c) License-exempt in-home CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, if relative care is exempt from monitoring, and if differential monitoring is used

EEC is in the process of developing the policy and licensing tool for inspection of license exempt providers.

Provide the citation(s) for this policy or procedure

EEC is in the process of developing the policy and licensing tool for inspection of license exempt providers.

d) Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child's home (98.42(b)(2)(iv)(B)). Does your state use alternate monitoring procedures for monitoring in-home care?

No

Yes. If yes,

describe:

EEC is in the process of developing the policy and licensing tool for inspection of in-home providers.

e) List the entity(ies) in your state/territory that are responsible for conducting inspections of license-exempt CCDF providers

EEC's licensing staff is responsible for conducting inspections of license-exempt CCDF providers.

5.3.4 Licensing inspectors.

Lead Agencies will have policies and practices that ensure that individuals who are hired as licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care providers and facilities and have received health and safety training appropriate to the provider setting and age of the children served. Training shall include, but is not limited to, those requirements described in 98.41(a)(1) and all aspects of the State's licensure requirements (658E(c)(2)(K)(i)(I); 98.42(b)(1-2)).

a) To certify, describe how the Lead Agency ensures that licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care facilities and providers and that those inspectors have received training on health and safety requirements that are appropriate to the age of the children in care and the type of provider setting (98.42(b)(1-2)).

Licensors employed by EEC are trained in the Commonwealth's regulations and policies, spend time observing other licensors before assuming an active caseload, and are supervised continuously to ensure that they are qualified.

b) Provide the citation(s) for this policy or procedure

Licensors are trained on EEC regulations while on the job and supervised by other qualified licensors. See 606 CMR 7.00

5.3.5 The states and territories shall have policies and practices that require the ratio of licensing inspectors to child care providers and facilities in the state/territory to be maintained at a level sufficient to enable the state/territory to conduct effective inspections of child care providers and facilities on a timely basis in accordance with federal, state, and local laws (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

a) To certify, describe the state/territory policies and practices regarding the ratio of licensing inspectors to child care providers (i.e. number of inspectors per number of child care providers) and facilities in the state/territory and include how the ratio is sufficient to conduct effective inspections on a timely basis.

EEC's current ratio of licensors is the following: Family Child Care: Average: 212:1, Highest Region: 241:1, Lowest Region: 191:1; Group - Average 113:1, Highest Region: 129:1, Lowest Region: 99:1. Differential licensing helps EEC meet the annual program visit mandate by creating tools that allow staff to spend less time at each monitoring visit while assuring the health and safety of children, based on an assessment of a program's level of compliance with state regulations. The goal of differential licensing is to target resources based on a provider's compliance history and level of risk.

b) Provide the policy citation and state/territory ratio of licensing inspectors

<https://www.mass.gov/service-details/differential-licensing-group-and-school-age-child-care-programs>

5.3.6 States and territories have the option to exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)) from inspection requirements. Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from the inspection requirements listed in 5.3.3?

Yes, relatives are exempt from all inspection requirements.

If the state/territory exempts relatives from all inspection requirements, describe how the state ensures the health and safety of children in relative care.

Relatives will be required to attend some trainings prior to receiving CCDF funding to ensure that they are aware of basic health and safety requirements as they relate to children in their care.

Yes, relatives are exempt from some inspection requirements.

If the state/territory exempts relatives from the inspection requirements, describe which inspection requirements do not apply to relative providers (including which relatives may be exempt) and how the State ensures the health and safety of children in relative care.

No, relatives are not exempt from inspection requirements.

5.4 Criminal Background Checks

The CCDBG Act requires states and territories to have in effect requirements, policies and procedures to conduct criminal background checks for all child care staff members (including prospective staff members) of all child care programs that are 1) licensed, regulated, or registered under state/territory law; or, 2) all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers) (98.43(a)(1)(i)). Background check requirements apply to any staff member who is employed by a child care provider for compensation, including contract employees and self-employed individuals; whose activities involve the care or supervision of children; or who has unsupervised access to children (98.43(2)). For FCC homes, this requirement includes the caregiver and any other adults residing in the family child care home who are age 18 or older (98.43(2)(ii)(C)). This requirement does not apply to individuals who are related to all children for whom child care services are provided (98.43(2)(B)(ii)).

A criminal background check must include 8 specific components (98.43(2)(b)), which encompass 3 in-state checks, 2 national checks, and 3 inter-state checks

Components	In-State	National	Inter-State
1. Criminal registry or repository using fingerprints in the current state of residency	x		
2. Sex offender registry or repository check in the current state of	x		

residency			
3. Child abuse and neglect registry and database check in the current state of residency	x		
4. FBI fingerprint check		x	
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)		x	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional			x
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years			x
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years			x

In recognition of the significant challenges to implementing the Child Care and Development Fund (CCDF) background check requirements, all States applied for and received extensions through September 30, 2018. The Office of Child Care (OCC)/Administration for Children and Families (ACF)/U. S. Department of Health and Human Services (HHS) is committed to granting additional waivers of up to 2 years, in one year increments (i.e., potentially through September 30, 2020) if significant milestones for background check requirements are met.

In order to receive these time-limited waivers, states and territories will demonstrate that the milestones are met by responding to questions 5.4.1 through 5.4.4 and then apply for the time-limited waiver by completing the questions in Appendix A: Background Check Waiver Request Form. By September 30, 2018, states and territories must have requirements, policies and procedures for four specific background check components, and must be conducting those checks for all new (prospective) child care staff, in accordance with 98.43 and 98.16(o):

--The national FBI fingerprint check; and,	
--The three in-state background check provisions for the current state of residency:	
	--state criminal registry or repository using fingerprints;
	--state sex offender registry or repository check;
	--state-based child abuse and neglect registry and database.

All four components are required in order for the milestone to be considered met.

Components	New (Prospective) Staff	Existing Staff
1. Criminal registry or repository using fingerprints in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
2. Sex offender registry or repository check in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
3. Child abuse and neglect registry and database check in the current state of	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current

residency		(existing) staff
4. FBI fingerprint check	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	

Use the questions below to describe the status of the requirements, policies and procedures for background check requirements. These descriptions must provide sufficient information to demonstrate how the milestone prerequisites are being met and the status of the other components that are not part of the milestone. Lead Agencies have the opportunity to submit a waiver request in Appendix A: Background Check Waiver Request Form, for components not included in the milestones. Approval of these waiver requests will be subject to verification that the milestone components have been met as part of the CCDF Plan review and approval process.

In-state Background Check Requirements

5.4.1 In-State Criminal Registry or Repository Checks with Fingerprints Requirements (98.43(b)(3)(i)).

Note: A search of a general public facing judicial website does not satisfy this requirement. This check is required in addition to the national FBI criminal history check (5.4.4 below) to mitigate any gaps that may exist between the two sources.

a) Milestone #1 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state criminal registry or repository, with the use of fingerprints required in the state where the staff member resides.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

EEC completes a Massachusetts criminal record history check for applicants. This criminal record check contains only Massachusetts information and is not fully fingerprint supported. The name and date of birth-based Criminal Offender Record Information (CORI) check returns information on available Massachusetts arraignments. The information is then searched against Massachusetts court records to determine if there is a possible record. The information contained in the CORI includes all adult/youthful offender and juvenile offender convictions, non-convictions, and pending offenses as well as sealed cases. Applicants are also required to complete a fingerprint check, which is sent by IDEMIA (the authorized vendor taking fingerprints) to the Massachusetts State Police (MSP) and to the Federal Bureau of Investigation (FBI). The MSP then returns all state and Federal fingerprint results directly to EEC. Existing background record check (BRC) regulations require all candidates, including family child care licensees, household members (age 15 and over), individuals regularly on the premises of FCC (age 15 and over) of family child care homes, teachers and assistant teacher in group and school age child care programs, transportation drivers/monitors and any other individuals with the potential for unsupervised contact with children to complete a BRC. The new EEC BRC regulations, which become effective on October 1, 2018, require that all child care staff members, whether employees, volunteers, or interns, will be subject to and regardless of whether or not they have unsupervised access to children. 606 CMR 14.00 et seq.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

EEC is transitioning to apply the requirements to all the groups listed above in addition to all CCDF funded programs serving children who receive an EEC subsidy through the use of an integrated online platform. Presently, EEC completes a full BRC or CORI, DCF, SORI and fingerprint on all informal caregivers who provide child care in a child's own home through a voucher agreement with the CCRR. EEC will continue to run in-state

CORI checks on all current staff of license-exempt programs, such as in-home non-relative caregivers.

EEC through the Governor's Office drafted and proposed legislation to cover BRCs on license-exempt staff, who are not presently covered by the law, and it was approved by the legislature and signed by the Governor on July 31, 2018. Presently, we are waiting for the FBI to respond on our request for approval of the legislation to allow for fingerprinting for funded (license exempt) programs before we conduct state criminal checks through EEC for these groups. Staff working in license-exempt public pre-schools and staff working in approximately 20 programs run by religious organizations currently do not undergo CORI checks run by EEC. EEC will not be issuing any new voucher agreements to license-exempt programs that currently do not receive a background record check through EEC, therefore EEC does not expect to run this check on any of the prospective staff in the programs listed above until the online platform is available. EEC is transitioning its online system to be able to perform in-state criminal registry checks for all prospective staff of license-exempt public pre-schools, summer camps, and programs run by religious organizations by the winter of 2019. 606 CMR 14.00 et seq.

b) Has the search of the in-state criminal registry or repository, with the use of fingerprints, been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

EEC currently requires all applicants to complete a CORI - which is a name based criminal history check but it is not supported by fingerprints and contains only Massachusetts information. As part of the BRC process applicants are also required to complete a fingerprint based check. The fingerprint based check will include all arrests on file with the FBI. At this time EEC is developing a manual process for applicants working in Massachusetts but residing in any other state. This requirement is a challenge. EEC has reached out to Office Child Care (OCC)/Admin Children Families (ACF) for further guidance. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested and would align with the inter-state requirement challenges. EEC would hope to be in compliance by September 2019.

5.4.2 In-State Sex Offender Registry Requirements (98.43(b)(3)(B)(ii)).

Note: This check must be completed in addition to the national NCIC sex offender registry check (5.4.5 below) to mitigate any gaps that may exist between the two sources. Use of fingerprints is optional to conduct this check.

a) Milestone #2 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state sex offender registry.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Current BRC regulations require Massachusetts In-State Sexual Offender Registry Information (SORI) checks for individuals classified as either Level 2 or Level 3 Sex Offenders. A legislative bill has been filed to open up access to Level 1 information. For applicants residing outside of Massachusetts EEC has created a manual process which may require the candidate to obtain the information and provide it to EEC. Existing BRC regulations require all candidates, including licensees, household members (age 15 and over), individuals regularly on the premises of FCC (age 15 and over), teachers,

transportation drivers/monitors and any other individuals with the potential for unsupervised contact with children to complete a BRC which includes a SORI check. EEC will further require that if the candidate works in a child care program the requirements will apply regardless of unsupervised access. 606 CMR 14.00 et seq.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

EEC is transitioning to apply the requirements to all the groups listed above in addition to all CCDF funded programs serving children who receive an EEC subsidy through the use of an integrated online platform. Presently, EEC completes a full BRC or CORI, DCF, SORI and fingerprint on all informal caregivers who provide child care in a child's own home through a voucher agreement with the CCRR. EEC also requires a SORI check on all relative caregivers providing care in either the child or the caregiver's home. EEC will continue to run in-state sex offender registry checks on all current license-exempt programs presently subject to a BRC, such as in-home non-relative caregivers.

EEC through the Governor's Office drafted and proposed legislation to cover BRCs on license-exempt staff, who are not presently covered by the law, and it was approved by the legislature and signed by the Governor on July 31, 2018. Presently, we are waiting for the FBI to approve this legislation to allow for fingerprinting for funded (license exempt) programs before we conduct state sex offender through EEC for these groups. Staff working in license exempt public pre-schools and staff working in approximately 20 programs run by religious organizations currently do not undergo in-state sex offender registry checks run by EEC. EEC will not be issuing any new voucher agreements to license-exempt programs that currently do not receive a background record check through EEC, but EEC does not expect to run this check on any of the prospective new staff in the existing programs listed above until the online platform is available. EEC is transitioning its online system to be able to perform in-state sex offender registry checks for all prospective staff of license-exempt public pre-schools, summer camps, and programs run by religious organizations by the winter of 2019. 606 CMR 14.00 et seq. In addition, EEC will also begin running National Sex Offender Registry (NSOR) checks for all prospective staff for licensed, approved, and funded programs as of January 31, 2019.

b) Has the search of the in-state sex offender registry been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

EEC currently requires all applicants to complete a SORI - which is a name based check of Massachusetts Level 2 and Level 3 sex offender information. At this time EEC is developing a manual process for applicants working in Massachusetts but residing in another state. This requirement is a challenge. EEC has reached out to Office Child Care/Admin Children Families for further guidance. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested and would align with the inter-state requirement challenges. EEC would hope to be in compliance by September 2019.

5.4.3 In-State Child Abuse and Neglect Registry Requirements (98.43(b)(3)(B)(iii)).

Note: This is a name-based search.

a) Milestone #3 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state child abuse and neglect registry.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Current BRC regulations require a check of Massachusetts Department of Children and Families (DCF) databases including its Central Registry and Registry of Alleged Perpetrators to determine if a candidate has been identified as the person responsible for abuse or neglect of a child in a supported G.L. c.119, §51B Report or is the alleged perpetrator of a pending investigation for abuse or neglect under G.L. c.119, §51A. Existing BRC regulations require all candidates, including licensees, household members (age 15 and over), individuals regularly on the premises of FCC (age 15 and over), teachers, transportation drivers/monitors and any other individuals with the potential for unsupervised contact with children to complete a BRC which includes a DCF check. EEC will further require that if the candidate works in a child care program the requirements will apply regardless of unsupervised access. 606 CMR 14.00 et seq.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

EEC is transitioning to apply the requirements to all the groups listed above in addition to all CCDF funded programs serving children who receive an EEC subsidy through the use of an integrated online platform. Presently, EEC completes a full BRC or CORI, DCF, SORI and fingerprint on all license exempt informal caregivers who provide child care in a child's own home through a voucher agreement with the CCRR. EEC will continue to run in-state child abuse and neglect registry checks on all current in-home non-relative caregivers. Staff working in license exempt public pre-schools and staff working in approximately 20 programs run by religious organizations currently do not undergo in-state child abuse and neglect registry checks run by EEC.

EEC through the Governor's Office drafted and proposed legislation to cover BRCs on license-exempt staff, who are not presently covered by the law, and it was approved by the legislature and signed by the Governor on July 31, 2018. Presently, we are waiting

for the FBI to approve this legislation to allow for fingerprinting for funded (license exempt) programs before we conduct state child welfare checks through EEC for these groups. EEC will not be issuing any new voucher agreements to license-exempt programs that currently do not receive a background record check through EEC, but EEC does not expect to run this check on any of the prospective new staff in the existing programs listed above until the online platform is available. EEC is transitioning its online system to be able to perform in-state child abuse and neglect registry checks for all prospective staff of license-exempt public pre-schools, summer camps, and programs run by religious organizations by the winter of 2019. 606 CMR 14.00 et seq.

b) Has the search of the in-state child abuse and neglect registry been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state child abuse and neglect registry for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

EEC currently requires all applicants to complete a Massachusetts child welfare check - which is a name based check to determine if a candidate has been identified as the person responsible for abuse or neglect of a child in a supported G.L. c.119, §51B Report or is the alleged perpetrator of a pending investigation for abuse or neglect under G.L. c.119, §51A. At this time EEC is developing a manual process for applicants working in Massachusetts but residing in another state. This requirement is a challenge. EEC has reached out to OCC/ACF for further guidance. In the meantime a manual

process has been created in which the candidate will be required to provide the information to EEC directly. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested and would align with the inter-state requirement challenges. EEC would hope to be in compliance by September 2019.

National Background Check Requirements

5.4.4 National FBI Criminal Fingerprint Search Requirements (98.43(b)(1)).

Note: The in-state (5.4.1 above) and the inter-state (5.4.6 below) criminal history check must be completed in addition to the FBI fingerprint check because there could be state crimes that do not appear in the national repository. Also note, that an FBI fingerprint check satisfies the requirement to perform an interstate check of another State's criminal history records repository if the responding state (where the child care staff member has resided within the past five years) participates in the National Fingerprint File program (CCDF-ACF-PIQ-2017-01).

a) Milestone #4 Prerequisite for New (Prospective) Child Care Staff. Describe the requirements, policies and procedures for the search of the National FBI fingerprint check.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Current EEC BRC regulations include FBI State and National Fingerprint based Criminal Offender Record Information checks using Next Generation Identification. The information relayed may include but not be limited to arrests regardless of arraignment status both in Massachusetts and out-of-state, adult and juvenile convictions, non-convictions and pending offenses in both Massachusetts and out-of-state, federal and international arrests/charges, including but not limited to deportation and immigration proceedings. Existing BRC regulations require all candidates, including licensees, household members (age 15 and over), individuals regularly on the premises of FCC (age 15 and over), teachers, transportation drivers/monitors and any other individuals with the potential for unsupervised contact with children to complete a BRC which includes a fingerprint based check. EEC will further require that if the candidate works in

a child care program the requirements will apply regardless of unsupervised access. 606 CMR 14.00 et seq.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

EEC is transitioning to apply the requirements to all the groups listed above in addition to all CCDF funded programs serving children who receive an EEC subsidy through the use of an integrated online platform. Presently, EEC completes a full BRC or CORI, DCF, SORI and fingerprint on all informal caregivers who provide child care in a child's own home through a voucher agreement with the CCRR. EEC will continue to run a national FBI criminal fingerprint search on all current staff of license-exempt programs, such as in-home non-relative caregivers. Staff working in license exempt public pre-schools and staff working in approximately 20 programs run by religious organizations currently do not have a national FBI criminal fingerprint check run by EEC.

EEC through the Governor's Office drafted and proposed legislation to cover BRCs on license-exempt staff, who are not presently covered by the law, and it was approved by the legislature and signed by the Governor on July 31, 2018. Presently, we are waiting for the FBI to approve this legislation to allow for fingerprinting for funded (license exempt) programs, which was requested in April 2018. EEC will not be issuing any new voucher agreements to license-exempt programs that currently do not receive a background record check through EEC, therefore EEC does not expect to run this check on any of the prospective staff in the programs listed above until the online platform is available. However, EEC is transitioning its online system to be able to perform those checks for all prospective staff of license-exempt public pre-schools, summer camps, and programs run by religious organizations by the winter of 2019. 606 CMR 14.00 et seq.

b) For all current (existing) child care staff, has the FBI criminal fingerprint check been conducted?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

- No. (Waiver request allowed. See Appendix A). Describe the status of conducting the FBI fingerprint check for current (existing) child care staff including:
- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
 - Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
 - Key challenges to fully implementing this requirements
 - Strategies used to address these challenges

Describe:

EEC currently requires all applicants to complete a fingerprint based check. The challenge is the current system is not built to enforce the requirement. EEC is developing a new application and changing the order of checks in which the candidate will be notified to be fingerprinted at the beginning of the BRC process. This will assist with the compliance of this requirement. The application will also track those candidates that have not been fingerprinted and failure to comply will result in being ineligible to work in a child care program.

National Background Check Requirements

5.4.5 National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Search Requirements (98.43(b)(2)).

Note: This is a name-based search. Searching general public facing sex offender registries does not satisfy this requirement. This national check must be required in addition to the in-state (5.4.2 above) or inter-state (5.4.7 below) sex offender registry check requirements. This check must be performed by law enforcement.

a) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all new (prospective) child care staff

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

EEC is in the process designing the requirements of the NCIC National Sex Offender Registry check within the new BRC IT system. EEC partnered with the Department of Criminal Justice Information Services who will provide a broker to receive the information. It is expected this requirement will be met by the winter of 2019 and there are no challenges at this time.

b) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

EEC is in the process designing the requirements of the NCIC National Sex Offender Registry check within the new BRC IT system. EEC partnered with the Department of Criminal Justice Information Services who will provide a broker to receive the information. It is expected this requirement will be met by the winter of 2019 and there are no challenges at this time. EEC will be working to implement for existing staff on a rolling basis beginning in the winter of 2019.

Inter-state Background Check Requirements

Checking a potential employee's history in any state other than that in which the provider's services are provided qualifies as an inter-state check, per the definition of required criminal background checks in 98.43(b)(3). For example, an inter-state check would include situations when child care staff members work in one state and live in another state. The statute and regulations require background checks in the state where the staff member resides and each state where the staff member resided during the previous 5 years. Background checks in the state where the staff member is employed may be advisable, but are not strictly required.

5.4.6 Interstate Criminal Registry or Repository Check Requirement (including in any other state where the individual has resided in the past 5 years). (98.43 (b)(3)(i)).

Note: It is optional to use a fingerprint to conduct this check. Searching a general public facing judicial website does not satisfy this requirement. This check must be completed in addition to the national FBI history check (5.4.4 above) to mitigate any gaps that may exist between the two sources (unless the responding state participates in the National Fingerprint File program).

a) Has the interstate criminal registry or repository check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the the interstate criminal registry or repository check for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

At this time EEC is developing a manual process for search of the criminal registries or repositories in other states where the child care staff member resided during the preceding 5 years. EEC has gathered information for each state agency responsible for providing this information. This requirement is a challenge. EEC has reached out to OCC/ACF for further guidance. EEC has inquired receiving access to NLETS for the information however there has not been clear decision of when states will have access. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested. EEC would hope to be in compliance by September 2019.

b) Has the interstate criminal registry or repository check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate criminal registry or repository check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

At this time EEC is developing a manual process for search of the criminal registries or repositories in other states where the child care staff member resided during the preceding 5 years. EEC has gathered information for each state agency responsible for providing this information. This requirement is a challenge. EEC has reached out to OCC/ACF for further guidance. EEC has inquired receiving access to NLETS for the information however there has not been clear decision of when states will have access. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested. EEC would hope to be in compliance by September 2019.

5.4.7 Interstate Sex Offender Registry or Repository Check Requirements (including in any state where the individual has resided in the past 5 years). (98.43 (b)(3)(ii)).

Note: It is optional to use a fingerprint to conduct this check. This check must be completed in addition to the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) (5.4.5 above) to mitigate any gaps that may exist between the two sources.

a) Has the interstate sex offender registry or repository check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate sex offender registry or repository check for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

At this time EEC is developing a manual process for search of the state sex offender registry or repository in each state where the staff member resided during the previous 5 years. EEC has gathered information for each state agency responsible for providing this information. This requirement is a challenge. There is no centralized database that obtains each state's information. EEC has reached out to OCC/ACF for further guidance. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested. EEC would hope to be in compliance by

September 2019.

b) Has the interstate sex offender registry or repository check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate sex offender registry or repository check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

At this time EEC is developing a manual process for search of the state sex offender registry or repository in each state where the staff member resided during the previous 5 years. EEC has gathered information for each state agency responsible for providing this information. This requirement is a challenge. There is no centralized database that obtains each state's information. EEC has reached out to OCC/ACF for further guidance. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested. EEC would hope to be in compliance by September 2019.

5.4.8 Interstate Child Abuse and Neglect Check Registry Requirements (98.43 (b)(3)(iii)).

Note: This is a name-based search.

a) Has the interstate child abuse and neglect check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate child abuse and neglect check for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

At this time EEC is developing a manual process for search of the state-based child abuse and neglect registry and database in each State where the staff member resided during the previous 5 years. EEC has gathered information for each state agency responsible for providing this information. This requirement is a challenge. There is no centralized database that obtains each state's information and some states may not be willing to provide the information to EEC. EEC has reached out to OCC/ACF for further

guidance. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested. EEC would hope to be in compliance by September 2019.

b) Has the interstate child abuse and neglect check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate child abuse and neglect check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

At this time EEC is developing a manual process for search of the state-based child abuse and neglect registry and database in each State where the staff member resided during the previous 5 years. EEC has gathered information for each state agency responsible for providing this information. This requirement is a challenge. There is no centralized database that obtains each state's information and some states may not be willing to provide the information to EEC. EEC has reached out to OCC/ACF for further guidance. In the meantime a manual process has been created in which the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. EEC is still pending guidance on how to comply with this requirement. A time limited waiver is requested. EEC would hope to be in compliance by September 2019.

Provisional Employment

The CCDF final rule states a child care provider must submit a request to the appropriate state/territory agency for a criminal background check for each child care staff member, including prospective staff members, prior to the date an individual becomes a child care staff member and at least once every 5 years thereafter (98.43(d)(1) and (2)). A prospective child care staff member may not begin work until one of the following results have been returned as satisfactory: either the FBI fingerprint check or the search of the state/territory criminal registry or repository using fingerprints in the state/territory where the staff member resides. The child care staff member must be supervised at all times pending completion of all the background check components (98.43(d)(4)).

Note: In recognition of the concerns and feedback OCC received related to the provisional hire provision of the CCDF final rule, OCC will allow states and territories to request time-limited waiver extensions for the provisional hire provision. State/territories may submit a waiver request to allow additional time to meet the requirements related to provisional hires (see Appendix A). A state/territory may receive a waiver from this requirement only when:

1. the state requires the provider to submit the background check requests before the staff person begins working; and
2. the staff member, pending the results of the elements of the background check, is supervised at all times by an individual who has completed the background check.

5.4.9 Describe the state/territory requirements related to prospective child care staff members using the checkboxes below. (Waiver request allowed. See Appendix A). Check all that apply.

The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after completing and receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides.

Describe and include a citation:

The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after the request has been submitted, but before receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides. Note: A waiver request is allowed for this provision (see Appendix A).

Describe and include a citation:

Legislation that passed the amends EEC's governing statute and now allows for a provisional status after the fingerprint check and applicable sex offender checks have been approved. Under this provisional status, the candidate will be allowed to work in a supervised capacity. EEC has notified funded programs that under EEC's new background record check regulations, all prospective staff members must have their fingerprints taken first and the applicable sex offender checks must have been approved by EEC before they will be permitted to work in a supervised capacity and the EEC's timelines for completion of the BRC process will not begin until after fingerprinting is complete. As of October 1, 2018, this requirement will apply to all new staff members and any staff/applicants whose license and/or BRC requires renewal. St. 2018, Chapter 202 amending G.L. c. 15D. The statute is currently in effect, but EEC cannot fully implement it until the new IT system is in place. EEC is therefore phasing in this requirement by working on a manual process through the legacy system to implement provisional hiring in the fall of 2018 to ensure compliance with the law and will fully implement provisional hiring when the new IT system is operational in January 2019.

Other.

Describe:

5.4.10 The state/territory must conduct the background checks as quickly as possible and shall not exceed 45 days after the child care provider submitted the request. The state/territory shall provide the results of the background check in a statement that indicates whether the staff member is eligible or ineligible, without revealing specific disqualifying information. If the staff member is ineligible, the state/territory will provide information about each disqualifying crime to the staff member.

Describe the requirements, policies, and procedures in place to respond as expeditiously as possible to other states', territories', and tribes' requests for background check results to accommodate the 45-day timeframe, including any agencies/entities responsible for responding to requests from other states (98.43(a)(1)(iii)).

It is EEC's intent to turnaround the background record check process as quickly as

possible. EEC anticipates releasing BRC results before the 45 day turnaround deadline in most instances. After EEC implements the full background record check process required by CCDBG, EEC will assess its turnaround time on a continuous basis to ensure that this requirement is met.

EEC is not the agency responsible for responding to background record checks from other states. The Department of Criminal Justice Information Services (DCJIS) is responsible for providing criminal offender record information (CORI), which is a name based criminal history check. The Massachusetts In-State Sexual Offender Registry Information (SORI) is responsible for checks for individuals classified as ex offenders. Massachusetts' Department of Children and Families (DCF) is the agency responsible for information on child welfare checks that includes review of databases including its Central Registry and Registry of Alleged Perpetrators to determine if a candidate has been identified as the person responsible for abuse or neglect of a child in a supported G.L. c.119, §51B Report or is the alleged perpetrator of a pending investigation for abuse or neglect under G.L. c.119, §51A. EEC will help direct other states', territories', and tribes' requests for background check requests to ensure responses are received as expeditiously as possible.

5.4.11 Child care staff members cannot be employed by a child care provider receiving CCDF subsidy funds if they refuse a background check, make materially false statements in connection with the background check, or are registered or required to be registered on the state or National Sex Offender Registry. Potential staff members also cannot be employed by a provider receiving CCDF funds if they have been convicted of: a felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault or battery, or - subject to an individual review (at the state/territory's option)- a drug-related offense committed during the preceding 5 years; a violent misdemeanor committed as an adult against a child, including the following crimes - child abuse, child endangerment, or sexual assault; or a misdemeanor involving child pornography (98.43(c)(1)).

Note: The Lead Agency may not publicly release the results of individual background checks. It may release aggregated data by crime as long as the data do not include personally identifiable information (98.43(e)(2)(iii)).

Does the state/territory disqualify child care staff members based on their conviction for other crimes not specifically listed in 98.43(c)(i)?

No

Yes.

Describe other disqualifying crimes and provide citation:

As part of EEC's background record check screening process, EEC maintains three Tables of Disqualifying Offenses; Mandatory Disqualifications, Presumptive Disqualifications, and Discretionary Disqualifications. EEC's table of Mandatory Disqualifying Offenses aligns with the Mandatory Disqualifying Offenses contained in 45 CFR 98.43(c)(i). These tables are adopted by policy pursuant to 606 CMR 14.00 and may be found on EEC's website at <https://www.mass.gov/lists/new-background-record-check-policies>. Presumptive and Discretionary Disqualifying Offenses will be screened by EEC and follow a thorough review process outlined in the BRC regulations, in which EEC will determine the final suitability determination of the candidates. EEC has not added any crimes to the mandatory disqualifications list required by CCDBG.

5.4.12 The state/territory has a process for a child care staff member to appeal the the results of his or her background check to challenge the accuracy or completeness of the criminal background report, as detailed in 98.43(e)(3).

Describe how the Lead Agency ensures the privacy of background checks and provides opportunities for applicants to appeal the results of background checks. In addition, describe whether the state/territory has a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment (98.43(e)(2-4)).

All fingerprint results are sent directly to EEC and are not shared with anyone other than the individual applicant. EEC issues the final suitability determination for all applicants.

All sex offender registry check results are sent directly to EEC and are not shared with

anyone other than the individual applicant. EEC is working towards transitioning to the use of an integrated online platform that will send CORI and child abuse and neglect registry results directly to EEC and expects to be fully in compliance in January 2019. EEC presently allows programs to review CORI and DCF results but requires a non-disclosure statement be filed and that they be designated as a reviewer. EEC reviews all checks for family child care and informal caregiver candidates.

Moving forward, EEC's table of Mandatory Disqualifying Offenses will include those crimes and offenses required by 45 CFR 98.43(c)(i). Consistent with 45 CFR 98.43, there is no appeal process for a mandatory disqualification, other than correcting a record. EEC provides the instructions to dispute any and all records provided to the applicant from EEC for accuracy. The review process for individuals disqualified due to felony drug offenses, as well as all other non-mandatory offenses, is outlined in EEC's BRC regulations at 606 CMR 14.00 et seq. The BRC regulations designate crimes either as presumptive offenses or discretionary offenses. If an applicant has a conviction for a crime categorized as a presumptive offense, then the applicant may be asked to provide EEC with a letter from a criminal justice official or a mental health professional explaining why the person does not pose a risk of harm to children. The applicant may submit a request for discretionary approval. The discretionary approval process allows an applicant the opportunity to submit documentation and an explanation to support their claim that there is clear and convincing evidence that his/her criminal history does not pose a risk of harm to children. If EEC determines that the candidate has provided such evidence, then they may be found suitable to work in a child care setting. This process allows for a thorough review, consistent with EEOC guidelines, in the determining the suitability of a child care candidate.

5.4.13 The state/territory may not charge fees that exceed the actual costs of processing applications and administering a criminal background check (98.43(f)).

Describe how the state/territory ensures that fees charged for completing the background checks do not exceed the actual cost of processing and administration, regardless of whether they are conducted by the state/territory or a third-party vendor or contractor. Lead Agencies can report that no fees are charged if applicable (98.43(f)).

EEC does not charge applicants any fees for conducting CORI, DCF, NSOR or SORI checks. However, Massachusetts law requires that a fee be assessed for completing fingerprint checks. Specifically, the law states that the fee for processing the state and national fingerprint checks will be used to finance the costs of operating and administering the checks, and that the maximum fee is \$35. EEC plans to work with our state partners to determine whether the additional checks will require us to charge applicants for processing BRCs, and if so, how we can implement such charges in a manner that causes the least financial hardship on applicants as possible.

5.4.14 Federal requirements do not address background check requirements for relative providers who receive CCDF; therefore, states have the flexibility to decide which background check requirements relative providers must meet, as defined by CCDF in 98.2 under eligible child care provider.

Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from background checks?

- No, relatives are not exempt from background check requirements.
- Yes, relatives are exempt from all background check requirements.
- Yes, relatives are exempt from some background check requirements. If the state/territory exempts relatives from some background check requirements, describe which background check requirements do not apply to relative providers.

Currently, EEC requires that relative caregivers, or individuals who are reimbursed by the state for caring for one related subsidized child in either the child's or the caregiver's own home, receive a SORI and NSOR check. This population is exempt from CORI, DCF, and fingerprint checks. If the relative caregiver is licensed by EEC as a family child care provider, then that person is no longer exempt from any of EEC's BRC checks.

6 Recruit and Retain a Qualified and Effective Child Care Workforce

This section covers the state or territory framework for training, professional development, and post-secondary education (98.44(a)); provides a description of strategies used to strengthen the business practices of child care providers (98.16(z)); and addresses early learning and developmental guidelines.

States and territories are required to describe their framework for training, professional development, and post-secondary education for caregivers, teachers, and directors, including those working in school-age care (98.44(a)). This framework is part of a broader systematic approach building on health and safety training (as described in section 5) within a state/territory. States and territories must incorporate their knowledge and application of health and safety standards, early learning guidelines, responses to challenging behavior, and the engagement of families. States and territories are required to establish a progression of professional development opportunities to improve the knowledge and skills of CCDF providers (658E(c)(2)(G)). To the extent practicable, professional development should be appropriate to work with a population of children of different ages, English-language learners, children with disabilities, and Native Americans (98.44(b)(2)(iv)). Training and professional development is one of the options that states and territories have for investing their CCDF quality funds (658G(b)(1)).

6.1 Professional Development Framework

6.1.1 Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and directors, which is developed in consultation with the State Advisory Council on Early Childhood Education and Care or similar coordinating body. The framework should include these components: (1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing (98.44(a)(3)). Flexibility is provided on the strategies, breadth, and depth with which states and territories will develop and implement their framework.

a) Describe how the state/territory's framework for training and professional development

addresses the following required elements:

-- State/territory professional standards and competencies. Describe:

EEC takes a comprehensive view of the critical importance of developmentally appropriate experiences to children from birth. To that end, there are multiple standards and competencies designed for educators and program administrators in planning and evaluating curricula. They include the following: - Massachusetts Early Learning Guidelines for Infants and Toddlers - Guidelines for Preschool Learning Experiences - The Massachusetts Curriculum Frameworks for Pre-Kindergarten to 12 - Kindergarten Learning Experiences - Pre-School and Kindergarten Standards in the Domains of Social-Emotional Development and Approaches to Play and Learning - Pre-K Science, Technology and Engineering Standards - Early English Language Development Standards (E-ELD).

-- Career pathways. Describe:

A basic career ladder has been developed and endorsed by the Commonwealth's Board of Early Education and Care which is currently used by center-based educators. Massachusetts is in the process of designing a robust career lattice that will include educators and administrators in all program types. This career lattice will form the center of a new credentialing system in the state has also developed a career lattice for English Language Learners.

-- Advisory structure. Describe:

EEC is governed by the Board of Early Education and Care, which has ten members appointed by the Governor. and is the designated State Advisory Council. The Secretaries of the Executive Office of Health and Human Services and the Executive Office of Education are members of the Board. EEC also has an advisory council on early education and care, the members of which represent a reasonable geographic balance and reflect the diversity of the commonwealth in race, ethnicity, gender and sexual orientation. All appointees have a special expertise or interest in high quality early childhood education and care and represent a mix of representatives of the early childhood community, the civic, labor, and business communities, academics, parents, teachers, social service providers, and health care providers. The advisory council reviews and offer comments on any rules or regulations before promulgation by the board, and makes recommendations to the board that it considers appropriate for changes and improvements in early education and care programs and services, including

professional development. The advisory also has expertise groups in order to maximize focused, relevant and in depth conversations with multiple stakeholder types. The following six expertise groups meet: 1. Agencies with Vendor/Contract Relationship; 2. Legislators; 3. Business/Civic; 4. Higher Education; 5. State Associations; and 6. K-12 Linkages.

-- [Articulation. Describe:](#)

EEC worked with the MA Department of Higher Education (DHE) to revise the Early Childhood Education Transfer Compact. The Compact allows graduates of a state community college to begin a bachelor's degree in early education or Pre K-12 teacher licensure as a junior at a state university. EEC has further supported this work at a local level by convening 2- and 4-year college representatives through the MA Readiness Center network and EPS grantees in efforts to streamline academic advising and support transfer students. DHE is convening public 2-year and 4-year institutions of higher education to further build and align coursework for articulation and transfer for early education degree programs. Articulation agreements are in place to facilitate transfer of the newly developed Post-Master's certificate into a Certificate of Advanced Graduate Study (CAGS) or Doctoral program at select Massachusetts' colleges.

-- [Workforce information. Describe:](#)

Educators working in EEC-licensed programs serving children from birth through school age, regardless of setting, must create an individual educator profile in EEC's Professional Qualifications Registry (PQR) and update it annually. EEC requires educators who work in programs that are not subject to EEC licensure, including those who work in public preschools, to register if they would like to participate in trainings funded by EEC or are in programs participating in EEC's Quality Rating Improvement System (QRIS). EEC's PQR gathers important information on the size, composition, education, and experience of our current workforce. It stores information about the retention and turnover of educators working in early education and out-of-school time programs. This information that is collected from the PQR will help EEC respond to the needs of all early educators and programs in Massachusetts.

-- [Financing. Describe:](#)

The Early Childhood Educators (ECE) Scholarship Program was established in 2005 to support increases in quality early education and out of school time settings. The ECE

Scholarship program provides financial assistance to early education and care out-of-school time providers working in EEC-licensed or licensed-exempt programs who are also pursuing an associate's or bachelor's degrees in early childhood education or a related field at an approved Massachusetts college or university. The ECE Scholarship is available annually and is a joint initiative with EEC and the MA Department of Higher Education Office of Student Financial Assistance (OSFA).

b) The following are optional elements, or elements that should be implemented to the extent practicable, in the training and professional development framework.

Continuing education unit trainings and credit-bearing professional development to the extent practicable

Describe:

EEC requires that all training have either CEUs, CECs, or college credits associated with it to meet QRIS requirements. All professional development supported by EEC through initiatives, such as the Educator and Provider Support grant, must award a minimum of 0.5 CEUs or 1 college credit to ensure high quality training. In addition, CEUs may be used to substitute for some of the required coursework to meet EEC Certification for Lead Teacher or Director I or II. Therefore, EEC requires all of its grantees (EPS, the Statewide Assessment and the QRIS Measurement Tools Grantee) to adhere to these requirements.

Engagement of training and professional development providers, including higher education, in aligning training and educational opportunities with the state/territory's framework

Describe:

EEC's current educator certification system requires a series of credit-bearing or CEU coursework in order to qualify. Training and professional development providers, including higher education, align their offerings so that educators can access the needed training to meet the certification requirements.

Other

Describe:

EEC training to meet licensing and regulatory requirements are offered through several systems. EEC has established a statewide Educator and Provider Support (EPS)

network to provide state-funded professional development opportunities to the early education and out of school time workforce within each Region of the Commonwealth. The EPS grant serves educators working in EEC's mixed delivery system including those working in family child care homes, center-based programs, and those that are exempt from licensing. Training delivered through the EPS network must be for CEU or college credit.

6.1.2 Describe how the state/territory developed its professional development framework in consultation with the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body if there is no SAC that addresses the professional development, training, and education of child care providers and staff.

Aside from its Board, which is the designated State Advisory Council, EEC also has an advisory council on early education and care, the members of which represent a reasonable geographic balance and reflect the diversity of the commonwealth in race, ethnicity, gender and sexual orientation. All appointees have a special expertise or interest in high quality early childhood education and care and represent a mix of representatives of the early childhood community, the civic, labor, and business communities, academics, parents, teachers, social service providers, and health care providers. The advisory council reviews and offer comments on any rules or regulations before promulgation by the board, and makes recommendations to the board that it considers appropriate for changes and improvements in early education and care programs and services, including professional development. The advisory also has expertise groups in order to maximize focused, relevant and in depth conversations with multiple stakeholder types. The following six expertise groups meet: 1. Agencies with Vendor/Contract Relationship; 2. Legislators; 3. Business/Civic; 4. Higher Education; 5. State Associations; and 6. K-12 Linkages. The advisory council reviews and makes recommendations to the EEC Board that it considers appropriate for changes and improvements in early education and care programs and services, including professional development. All training and professional development mandated by EEC-licensing regulations requires input and approval by the Board. Any changes in the professional development system or delivery requires input from the advisory council and the Board and its Workforce Adhoc Committee. The Workforce Committee of the Board of Early Education and Care also plays a significant role in reviewing and providing guidance to EEC staff on all workforce development and QRIS-related issues.

6.1.3 Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors (98.44(a)(7)).

The Early Childhood Educators (ECE) Scholarship Program was established in 2005 to support increases in quality early education and out of school time settings. The ECE Scholarship program provides financial assistance to early education and care out-of-school time providers working in EEC-licensed or licensed-exempt programs who are also pursuing an associate's or bachelor's degrees in early childhood education or a related field at an approved Massachusetts college or university. The ECE Scholarship is available annually and is a joint initiative with EEC and the MA Department of Higher Education Office of Student Financial Assistance (OSFA). An important focus of EEC's Framework is in making progress towards increased compensation through rate increases, incentives for educator and program improvement and increasing the access of benefits associated with the Universal Pre-K grant. To that end, programs participating in the Quality Rating and Improvement System (QRIS) serving infants and toddlers receive a rate increase as a reward for moving to QRIS level 2 to acknowledge the additional educational requirements at that level. Programs participating in the state funded Universal Pre-K Program (UPK) also receive additional funds that may be used for stipends to acknowledge the additional educational requirements of moving to QRIS-level 3, which is a UPK requirement. EEC has an ongoing relationship with the high schools that maintain vocational early education and care programs. This includes ongoing visits and technical assistance to those programs. Additionally, EEC's Professional Qualifications Unit works with the state's career and technical high schools and students to assist students in achieving EEC educator certification levels upon graduation. Beginning in 2015, EEC began providing earned sick time to family child care providers who receive subsidized payments from EEC for providing child care to eligible families. Each FCC provider participating in the early education and care subsidy program is entitled to receive up to four days of earned sick time per year. Sick time may be used based on illness of the provider or a family member, or to address issues related to domestic violence. Also, at Level 3 of the Massachusetts QRIS, early education and care programs must offer staff at least one benefit program, such as annual paid leave, health care, or retirement.

6.2 Training and Professional Development Requirements

The Lead Agency must describe how its established health and safety requirements for pre-service or orientation training and ongoing professional development requirements--as described in Section 5 for caregivers, teachers, and directors in CCDF programs--align, to the extent practicable, with the state/territory professional development framework. These requirements must be designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF funds across the entire age span, from birth through age 12 (658E(c)(2)(G)). Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served (98.44(b)(2)).

6.2.1 Describe how the state/territory incorporates the knowledge and application of its early learning and developmental guidelines (where applicable); its health and safety standards (as described in section 5); and social-emotional/behavioral and early childhood mental health intervention models, which can include positive behavior intervention and support models (as described in section 2) in the training and professional development framework (98.44(b)).

Professional Development Grantees are required to provide credit-bearing (CEU or college credit) professional development on the Early Learning Guidelines. Grantees are also required to align professional development opportunities to the appropriate guidelines. Support for implementation includes coaching and technical assistance. In addition, training, coaching, and technical assistance is provided on the Center for Social-Emotional Foundation of Early Learning (CSEFEL) model, which is focused on promoting the social emotional development and school readiness of young children birth to age 5. Educator and Provider Support (EPS) coaches and grantees also provide training, coaching, and technical assistance that incorporates health and safety standards.

6.2.2 Describe how the state/territory's training and professional development are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF funds (as applicable) (98.44(b)(2)(vi)).

EEC provides training for all educators in Massachusetts through a mixed delivery system which includes group and center based programs, out of school time programs, family child care homes, public preschool programs, private preschool programs, kindergarten, and Head Start programs. This would include those educators in tribal organizations.

6.2.3 States/territories are required to facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system (98.16 (dd)). Describe how the state/territory will recruit and facilitate the participation of providers:

a) with limited English proficiency

Educator Provider Support (EPS) grantees are EEC's primary deliverer of professional development and technical assistance to the early education workforce. These grantees intentionally deliver programming in locations and approaches that support the inclusion of English language learners. EEC also contracts with a large number of family child care systems. These programs provide training, home visits, referrals and technical assistance to family child care educators across the state, nearly all of whom receive children via the subsidy system. A large number of family child care educators are English language learners and benefit from the support of a family child care system. Furthermore, EEC ensures materials are translated into multiple languages and provides training and coaching in educators' native languages.

b) who have disabilities

Massachusetts has a diverse population of families, including those with disabilities. EEC strives to recruit providers that can match families' diverse needs. This is done through providing training and coaching to educators and ensuring that Grantees such as the Community and Family Engagement (CFCE) Grantees, Child Care Resource and Referral (CCRR) Grantees and Family Child Care (FCC) Systems have staff that reflect diverse

nature of the families they serve.

6.2.4 Describe how the state/territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children); English-language learners; children with developmental delays and disabilities; and Native Americans, including Indians and Native Hawaiians (98.44(b)(2)(iii--iv)).

As part of its contracts and grants related to professional development and other workforce initiatives, EEC requires all vendors to take into account the unique needs and diversity of the children and families for the each service delivery area awarded as part of the procurement process. Grantees are required to offer professional development opportunities and support services for educators seeking EEC certifications or ECE credentials for Infants and Toddlers, Pre-School Age Children, and/or School-Age populations. Coursework and coaching must be provided to ensure educators have the knowledge and skills to work with children from diverse languages and cultures, including Native Americans, and second language acquisition. EEC also works with Early Intervention and the Department of Elementary and Secondary Education to ensure that educators have access to training and support on working with children with disabilities.

6.2.5 The Lead Agency must provide training and technical assistance to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).

a) Describe the state/territory's training and TA efforts for providers in identifying and serving homeless children and their families (relates to question 3.2.2).

The Homeless Education State Coordinator (ESE) is a member of the Head Start State Collaboration Office (HSSCO) Advisory based at EEC and its recently formed subcommittee on Homeless children and families. The Homeless Education State Coordinator is working

closely with the HSSCO Director and the Homeless Liaisons will have an expanded role this coming year with an emphasis on training and collaboration in order to identify children. The school of origin has been expanded to designate receiving schools, as well this gives more educational continuity for children and the school of origin now includes preschool.

Over the past year, there has been a concerted effort with the Homeless Education State Coordinator and the HSSCO Director with Homeless Liaisons collaborating with community providers, including Head Start and Early Head Start program directors. There will be an emphasis on providing training and opening up Homeless Liaisons' trainings to Head Start and Early Head Start program staff.

The Homeless Education State Coordinator has presented trainings to the Massachusetts Housing & Shelter Alliance (MHSA), the HSSCO Advisory Committee and the HSSCO Homeless children and families subcommittee on the McKinney-Vento definition, homeless education, and identification of homeless children and families. In October 2018, the Homeless Education State Coordinator hired 3 Regional Homeless Liaison Coordinators and the HSSCO Director will be meeting with the Homeless Education State Coordinator and the new Regional Homeless Liaison Coordinators to plan joint trainings throughout the year with Homeless Liaisons and Head Start and Early Head Start staff.

Further, EEC is exploring how it may utilize the newly released Supporting Children and Families Experiencing Homelessness Interactive Learning Series webinars to train providers on family homelessness and the McKinney-Vento definition of "homeless" as it refers to children and youths.

[b\) Describe the state/territory's training and TA efforts for Lead Agency \(or designated entity\) staff in identifying and serving children and their families experiencing homelessness \(connects to question 3.2.2\).](#)

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Further, EEC is exploring how it may utilize the newly released Supporting Children and Families Experiencing Homelessness Interactive Learning Series webinars to train EEC staff on family homelessness and the McKinney-Vento definition of "homeless" as it refers to children and youths.

6.2.6 States and territories are required to describe effective internal controls that are in place to ensure program integrity and accountability (98.68(a)). Describe how the state/territory ensures that all providers for children receiving CCDF funds are informed and trained regarding CCDF requirements and integrity (98.68(a)(3)). Check all that apply

- Issue policy change notices
- Issue new policy manual
- Staff training
- Orientations
- Onsite training
- Online training

Regular check-ins to monitor the implementation of CCDF policies

Describe the type of check-ins, including the frequency.

Regular annual licensing visits.

Other

Describe:

EEC's Educator and Provider Support (EPS) grant is the primary vehicle for providing state-funded professional development opportunities to educators working in EEC's mixed delivery system. Since the inception of the EPS grants in 2011, grantees have been required to evaluate all services provided through the grant including continuing education and college courses, as well as technical assistance (coaching and mentoring). Grantees are also required to conduct an annual needs assessment to identify professional development needs and improvements for future opportunities and services. Grantees report on the services provided through the grant on a quarterly basis. At the individual grantee level there is constant evaluation of services provided through partnership meetings, individual meetings with educators and programs, and professional learning communities. Evaluation of professional development opportunities has also evolved with follow-up coaching and mentoring or technical assistance paired with specific course offerings or through specific "program focused" models through the grant. In a "program focused" model an EPS funded coach will work with an EEC licensed or license exempt program on the programs needs and staff needs, mostly as it related to upward movement on the MA Quality Rating and Improvement System or national accreditation. Through this model there is a dedicated coach working with the program and program staff supporting theory to practice and the implementation of knowledge learned through coursework.

6.2.7 Lead Agencies must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and to improve the quality of child care services (98.16 (z)). Describe the state/territory's strategies to strengthen provider's business practices, which can include training and/or TA efforts.

a) Describe the strategies that the state/territory is developing and implementing for training and TA.

EEC's Educator and Provider Support (EPS) grant is the primary vehicle for providing state-funded professional development opportunities to educators working in EEC's mixed delivery system. Training offered includes a mix. EEC currently contracts with Child Development and Education, Inc. to provide training and technical assistance on various QRIS aligned measurement tools including the Program Administration Scale and the Business Administration Scale. These tools help educators to identify best business practices and to implement policies and procedures to improve those practices.

b) Check the topics addressed in the state/territory's strategies. Check all that apply.

- Fiscal management
- Budgeting
- Recordkeeping
- Hiring, developing, and retaining qualified staff
- Risk management
- Community relationships
- Marketing and public relations
- Parent-provider communications, including who delivers the training, education, and/or technical assistance
- Other

Describe:

6.3 Early Learning and Developmental Guidelines

6.3.1 States and territories are required to develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, birth-to-five), describing what children should know and be able to do and covering the essential domains of early childhood development. These early learning and developmental guidelines are to be used statewide and territory-wide by child care providers and in the development and implementation of training and professional development (658E(c)(2)(T)). The required essential domains for these guidelines are cognition, including language arts and

mathematics; social, emotional, and physical development; and approaches toward learning (98.15(a)(9)). At the option of the state/territory, early learning and developmental guidelines for out-of-school time may be developed. Note: States and territories may use the quality set-aside, discussed in section 7, to improve on the development or implementation of early learning and developmental guidelines.

a) Describe how the state/territory's early learning and developmental guidelines are research-based, developmentally appropriate, culturally and linguistically appropriate, and aligned with kindergarten entry

The Massachusetts Curriculum Frameworks include learning standards for preschool - grade 12. These Frameworks are based on research and effective practice, and enable teachers and administrators to strengthen curriculum, instruction, and assessment. They present an aligned progression of development from preschool to kindergarten. The companion document *Guidelines to Preschool and Kindergarten Learning Experiences* (draft document) describes developmentally appropriate and culturally and linguistically appropriate practices to implement the Frameworks.

b) Describe how the state/territory's early learning and developmental guidelines are appropriate for all children from birth to kindergarten entry.

The state's Curriculum Frameworks provide learning standards for preschool through Grade 12. The Department of Early Education and Care (EEC) has also developed infant and toddler guidelines.

c) Verify by checking the domains included in the state/territory's early learning and developmental guidelines. Responses for "other" is optional

- Cognition, including language arts and mathematics
- Social development
- Emotional development
- Physical development
- Approaches toward learning
- Other

Describe:

Social Studies, Science and Technology/Engineering, Arts

d) Describe how the state/territory's early learning and developmental guidelines are implemented in consultation with the educational agency and the State Advisory Council or similar coordinating body.

The Board of Elementary and Secondary Education approves the Curriculum Frameworks with feedback and input from the Department of Early Education. The Board for the Department of Early Education and Care approves the infant and toddler learning guidelines. Public districts and schools are required to adhere to the Curriculum Frameworks. Early childhood programs serving preschool-age children and receiving certain funding from EEC are expected to implement the Frameworks.

e) Describe how the state/territory's early learning and developmental guidelines are updated and include the date first issued and/or the frequency of updates

The Massachusetts Curriculum Frameworks were first approved in 1997 and revised in 2010. Three of the Frameworks were revised in 2017. The Frameworks are updated to incorporate improvements suggested by Massachusetts educators, including higher education faculty.

f) If applicable, discuss the state process for the adoption, implementation and continued improvement of state out-of-school time standards

EEC utilizes the Curriculum Frameworks PreK -12 which can be found at <https://www.mass.gov/service-details/the-Massachusetts-curriculum-frameworks-for-prek-12> EEC also includes ASOST programs in its QRIS system. EEC has also participated in a legislatively mandated cross agency working group on After School and Out of School Time programming. While this group will sunset in FY19, it has developed a series of recommendations for the advancement of ASOST programming.

g) Provide the Web link to the state/territory's early learning and developmental guidelines.

<http://www.doe.mass.edu/frameworks/>

6.3.2 CCDF funds cannot be used to develop or implement an assessment for children that:

-- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF,

-- Will be used as the primary or sole basis to provide a reward or sanction for an individual provider,

-- Will be used as the primary or sole method for assessing program effectiveness,

-- Will be used to deny children eligibility to participate in the CCDF (658E(c)(2)(T)(ii)(I); 98.15(a)(2)).

Describe how the state/territory's early learning and developmental guidelines are used.

The guidelines are used by higher education faculty in their training and coursework with educators. They are also used by licensors in their work with programs and educators as a reference to best practices that should occur in the classroom, home or program. Program leaders use the guidelines as part of their staff training and guidance. The guidelines are also used by EEC to inform its thinking on the development of training. When the educator core competencies are revised they will be crosswalked to the early learning and development guidelines to ensure alignment.

7 Support Continuous Quality Improvement

Lead Agencies are required to reserve and use a portion of their Child Care and Development Fund program expenditures for activities designed to improve the quality of child care services and to increase parental options for and access to high-quality child care (98.53). The quality activities should be aligned with a statewide or territory-wide assessment of the state's or territory's need to carry out such services and care. States and territories are required to report on these quality improvement investments through CCDF in three ways:

1. In the Plan, states and territories will describe the types of activities supported by quality investments over the 3-year period (658G(b); 98.16(j)).

2. ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-696). This report will be used to determine compliance with the required quality and infant and toddler spending requirements (658G(d)(1); 98.53(f)).

3. For each year of the Plan period, states and territories will submit a separate annual Quality Progress Report that will include a description of activities to be funded by quality expenditures and the measures used by the state/territory to evaluate its progress in improving the quality of child care programs and services within the state/territory (658G(d); 98.53(f)).

States and territories must fund efforts in at least one of the following 10 activities:

- Supporting the training and professional development of the child care workforce
- Improving on the development or implementation of early learning and developmental guidelines
- Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services
- Improving the supply and quality of child care programs and services for infants and toddlers
- Establishing or expanding a statewide system of child care resource and referral services
- Supporting compliance with state/territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in section 5)
- Evaluating the quality of child care programs in the state/territory, including evaluating how programs positively impact children
- Supporting providers in the voluntary pursuit of accreditation
- Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- Performing other activities to improve the quality of child care services, as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten entry are possible.

Throughout this Plan, states and territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, quality set-aside funds and will describe the measurable indicators of progress used to evaluate state/territory progress in improving the quality of child care services for each expenditure (98.53(f)) These activities can benefit infants and toddlers through school age populations.

This section covers the quality activities needs assessment and quality improvement activities

and indicators of progress for each of the activities undertaken in the state or territory.

7.1 Quality Activities Needs Assessment for Child Care Services

7.1.1 Lead Agencies must invest in quality activities based on an assessment of the state/territory's needs to carry out those activities. Lead Agencies have the flexibility to design an assessment of their quality activities that best meet their needs, including how often they do the assessment. Describe your state/territory assessment process, including the frequency of assessment (658G(a)(1); 98.53(a)).

As part of the Race the Top, Massachusetts was required to conduct a validation study of the state's QRIS. The Wellesley Centers for Women of Wellesley College and the University of Massachusetts Donahue Institute collaborated with EEC to evaluate the extent to which key components of the MA QRIS differentiate program quality; assess whether MA QRIS Levels are associated with differences in the developmental outcomes of children; and determine whether and how the system can be improved. The validation study was completed in December of 2016. Since that time, MA has been using the data analysis and recommendations from the researchers to drive the current QRIS revision process. As EEC develops and implements the revised MA QRIS 2.0, EEC is examining the role of needs assessment and evaluation. EEC's network of 90 CFCE grantees are required to conduct a community needs assessment in FY18 to ensure that programming and services offered through the CFCE grant align with family and community demographics, address specific needs/gaps identified through the needs assessment process that fall within the purview of the CFCE grant, and leverage existing community resources to strengthen families in their capacity to support optimal development of young children. The results of these needs assessments will be the foundation for community specific programming and services offered through CFCE grantees that reflect the priority of the CFCE grant, to provide families with access to locally available comprehensive services and supports that strengthen families, promote optimal child development and bolster school readiness. In addition, aggregate information from this process will be used to inform future CFCE grant and reporting requirements

7.1.2 Describe the findings of the assessment and if any overarching goals for quality improvement were identified.

In the EPS grantee network, assessment of educators' needs have resulted in the development of new coursework, collaborations with other grantees or stakeholders, and regional discussions on the best way to support the on-going needs of the early education and out of school time workforce. Assessment results have indicated educators' top barriers to participation in professional development opportunities are time, location, and money. In addition to regional needs assessments, grantees communicate with EEC's licensing offices to discuss identified professional development needs among licensed programs. Grantees also evaluate the services provided to gauge educators' satisfaction with grant services. Review of the regional needs assessments, communications with grantees, and feedback from participants and stakeholders has resulted in changes to the grant to further support overall quality through competency development of individual educators and quality supports for programs. Examples of this include the implementation of a statewide holistic approach to support the training and technical assistance needs of early education and out of school time programs, and greater consistency among grantees regarding technical assistance. Unique initiatives within each region of the state have also been implemented in response to the needs of the workforce.

7.2 Use of Quality Funds

7.2.1 Check the quality improvement activities in which the state/territory is investing

- Supporting the training and professional development of the child care workforce If checked, respond to section 7.3 and indicate which funds will be used for this activity. Check all that apply.
 - CCDF funds
 - Other funds

Describe:

Massachusetts General Funds

- Developing, maintaining, or implementing early learning and developmental guidelines. If checked, respond to section 6.3 and indicate which funds will be used for this activity. Check all that apply.

- CCDF funds

- Other funds

Describe:

Massachusetts General Funds

- Developing, implementing, or enhancing a tiered quality rating and improvement system. If checked, respond to 7.4 and indicate which funds will be used for this activity. Check all that apply.

- CCDF funds

- Other funds

Describe:

Massachusetts General Funds

- Improving the supply and quality of child care services for infants and toddlers. If checked, respond to 7.5 and indicate which funds will be used for this activity. Check all that apply

- CCDF funds

- Other funds

Describe:

Massachusetts General Funds

- Establishing or expanding a statewide system of CCR&R services, as discussed in 1.7. If checked, respond to 7.6 and indicate which funds will be used for this activity. Check all that apply.

- CCDF funds

- Other funds

Describe:

Massachusetts General Funds

- Facilitating compliance with state/territory requirements for inspection, monitoring, training, and health and safety standards (as described in section 5). If checked, respond to 7.7 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Massachusetts General Funds

- Evaluating and assessing the quality and effectiveness of child care services within the state/territory. If checked, respond to 7.8 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Massachusetts General Funds

- Supporting accreditation. If checked, respond to 7.9 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Massachusetts General Funds

- Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. If checked, respond to 7.10 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Massachusetts General Funds

- Other activities determined by the state/territory to improve the quality of child care services and which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry is possible. If

checked, respond to 7.11 and indicate which funds will be used for this activity. Check all that apply

CCDF funds

Other funds

Describe:

7.3 Supporting Training and Professional Development of the Child Care Workforce With CCDF Quality Funds

Lead Agencies can invest in the training, professional development, and post-secondary education of the child care workforce as part of a progression of professional development activities, such as those included at 98.44 in addition to the following (98.53(a)(1)).

7.3.1 Describe how the state/territory funds the training and professional development of the child care workforce

a) Check and describe which content is included in training and professional development activities and describe who or how an entity is funded to address this topic.

Check all that apply.

- Promoting the social, emotional, physical, and cognitive development of children, including those efforts related to nutrition and physical activity, using scientifically based, developmentally appropriate, and age-appropriate strategies

Describe:

The Career Pathways grantees will be required to provide training on all of these topics. EEC has recently awarded a grants to fund, training on trauma-informed practices as well as training, coaching and technical assistance on the Pyramid Model, which is focused on promoting the social emotional development and school readiness of young children birth to age 5.

- Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and early childhood mental health and that reduce challenging behaviors, including a reduction in expulsions of preschool-age children from birth to age five for such behaviors. (See also section 2.5.)

Describe:

The Career Pathways grantees will be required to provide training on all of these topics. In addition, EEC health advisors provide training and support related to nutrition and physical activity. Massachusetts has a state leadership team comprised of stakeholders from various state and local agencies. The team provides resources and training to support educators and families on promoting positive social-emotional outcomes for children.

- Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development

Describe:

Coordinated Family & Community Engagement Grantees provide training and technical assistance to families to support their children's positive development. In addition, the Grantee for the QRIS Measurement Tools Grant provides training and support on the Strengthening Families Tool and Survey to support family.

- Implementing developmentally appropriate, culturally and linguistically responsive instruction, and evidence-based curricula and designing learning environments that are aligned with state/territory early learning and developmental standards.

Describe:

The Career Pathways contract will require that all trainings are developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula, and learning environments that are aligned with the Massachusetts Early Learning and Development Standards.

- Providing onsite or accessible comprehensive services for children and developing community partnerships that promote families' access to services that support their children's learning and development

Describe:

- Using data to guide program evaluation to ensure continuous improvement

Describe:

The QRIS Measurement Tools grantee provides high quality, innovative and diverse

professional development on how to use research-based measurement tools used in the MA-QRIS to evaluate their program, as well as implement program improvement efforts. All grantees are utilizing the new Continuous Quality Improvement Plan (CQIP) to guide program's effort in ensuring programs are able to identify their strengths and areas of growth to improve program practice.

- Caring for children of families in geographic areas with significant concentrations of poverty and unemployment

Describe:

- Caring for and supporting the development of children with disabilities and developmental delays

Describe:

EEC also works with the Department of Public Health/Early Intervention and the Department of Elementary and Secondary Education to ensure that educators have access to training and support on working with children with disabilities and developmental delays.

- Supporting the positive development of school-age children

Describe:

EEC works with the Department of Elementary and Secondary Education ensuring educators in school-age programs have access to trainings on supporting positive development for school age children.

- Other

Describe:

b) Check how the state/territory connects child care providers with available federal and state/territory financial aid or other resources to pursue post-secondary education relevant for the early childhood and school-age workforce. Check all that apply

- Coaches, mentors, consultants, or other specialists available to support access to post-secondary training, including financial aid and academic counseling
- Statewide or territory-wide, coordinated, and easily accessible clearinghouse (i.e., an online calendar, a listing of opportunities) of relevant post-secondary education opportunities

- Financial awards, such as scholarships, grants, loans, or reimbursement for expenses, from the state/territory to complete post-secondary education
- Other

Describe:

EPS Grantees (and Future Career Pathways grants) require support of educators via career and college advising as well as support with accessing the State's \$3M Early Education Scholarship. This scholarship, held by the MA Department of Higher Education, supports degree attainment of individuals working in early education and care programs.

7.3.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

EEC maintains and monitors a data dashboard to identify and address trends in QRIS caseload management and to strategically prioritize technical support. The dashboard helps EEC identify programs' pathways of advancement through QRIS. Specifically, EEC examines the ways in which programs in different regions, programs in urban or rural communities, and programs across the mixed delivery system (family child care, center based, or afterschool/out-of-school time) progress at different rates through the QRIS. These variables can be analyzed by MA QRIS Level (Levels 1 through 4).

EEC can cross reference these demographic variables with two business indicators relevant to improving program quality: 1) to evaluate EEC's responsiveness to the field, tracking the length of time to begin processing applications (i.e., processing 99% of all QRIS applications within one month of submission), and 2) to evaluate the ease or difficulty to programs advancing through the MA QRIS, tracking length of time from a submitted QRIS application to a granted QRIS application.

Example of Dashboard Data: Average number of days required for center based programs to become granted at the next MA QRIS Level, 2016-2018:

Level 1: 5 days

Level 2: 171 days

Level 3: 221 days

Level 4: 101 days

In addition, EEC has contracted with a Partnering in Education Research (PIER) Fellow from Harvard University who is examining QRIS data for the purposes of identifying and removing barriers to improving program quality. For example, a recent data report from the PIER Fellow detailed patterns in current QRIS exemption requests, which has implications for the ways in which EEC designs supports and targeted technical assistance to programs.

Data reports play a key role in supporting programs now, but also help to identify supports needed for the revised QRIS (QRIS 2.0). In order to be successful with implementation of QRIS 2.0, EEC will need to provide a range of supports to programs, including coaching and technical assistance. The reports detailed above help EEC distribute these resources to the programs that need them the most in order to improve quality more efficiently.

7.4 Quality Rating and Improvement System (QRIS)

Lead Agencies may respond in this section based on other systems of quality improvement, even if not called a QRIS, as long as the other quality improvement system contains the elements of a QRIS. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

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

7.4.1 Does your state/territory have a quality rating and improvement system or other system of quality improvement?

- No, but the state/territory is in the QRIS development phase. If no, skip to 7.5.1.

No, the state/territory has no plans for QRIS development. If no, skip to 7.5.1.

Yes, the state/territory has a QRIS operating statewide or territory-wide

Describe how the QRIS is administered (e.g., statewide or locally or through CCR&R entities) and any partners and provide a link, if available.

The MA QRIS is administered statewide by EEC staff. All programs from the mixed-delivery system are encouraged to participate, including licensed and license-exempt center based, public preschool, family child care, and afterschool/out-of-school time programs. The link to the MA QRIS is: <http://www.mass.gov/edu/birth-grade-12/early-education-and-care/qris/qris.html>

Yes, the state/territory has a QRIS initiative operating as a pilot-test in a few localities or only a few levels but does not have a fully operating initiative on a statewide or territory-wide basis.

Provide a link, if available.

Yes, the state/territory has another system of quality improvement

If the response is yes to any of the above, describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.

7.4.2 QRIS participation

a) Are providers required to participate in the QRIS?

Participation is voluntary

Participation is mandatory for providers serving children receiving a subsidy. If checked, describe the relationship between QRIS participation and subsidy (e.g., minimum rating required, reimbursed at higher rates for achieving higher ratings, participation at any level).

Providers serving children who receive subsidies are required to participate in QRIS.

There is no minimum rating required for these programs. Providers that achieve Level

2 of the MA QRIS receive a 3 percent higher subsidy for the infants and toddlers they serve. Participation in MA QRIS is voluntary for providers not serving children who receive subsidies .

Participation is required for all providers.

b) Which types of settings or distinctive approaches to early childhood education and care participate in the state/territory's QRIS? Check all that apply

- Licensed child care centers
- Licensed family child care homes
- License-exempt providers
- Early Head Start programs
- Head Start programs
- State prekindergarten or preschool programs
- Local district-supported prekindergarten programs
- Programs serving infants and toddlers
- Programs serving school-age children
- Faith-based settings
- Tribally operated programs
- Other

Describe:

Military child care programs.

7.4.3 Support and assess the quality of child care providers.

The Lead Agency may invest in the development, implementation, or enhancement of a tiered quality rating and improvement system for child care providers and services. Note: If a Lead Agency decides to invest CCDF quality dollars in a QRIS, that agency can use the funding to assist in meeting consumer education requirements (98.33). If the Lead Agency has a QRIS, respond to questions 7.4.3 through 7.4.6.

Do the state/territory's quality improvement standards align with or have reciprocity with any of the following standards?

- No
- Yes. If yes, check the type of alignment, if any, between the state/territory's quality standards and other standards. Check all that apply.
- Programs that meet state/territory preK standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between preK programs and the quality improvement system) .
 - Programs that meet federal Head Start Program Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between Head Start programs and the quality improvement system).
 - Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, an alternative pathway exists to meeting the standards).
 - Programs that meet all or part of state/territory school-age quality standards.
 - Other.
- Describe:

7.4.4 Do the state/territory's quality standards build on its licensing requirements and other regulatory requirements?

- No
- Yes. If yes, check any links between the state/territory's quality standards and licensing requirements
- Requires that a provider meet basic licensing requirements to qualify for the base level of the QRIS.
 - Embeds licensing into the QRIS
 - State/territory license is a "rated" license
 - Other.
- Describe:

7.4.5 Does the state/territory provide financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services that are provided through the QRIS

- No
- Yes. If yes, check all that apply
 - One time grants, awards, or bonuses.
 - Ongoing or periodic quality stipends
 - Higher subsidy payments
 - Training or technical assistance related to QRIS.
 - Coaching/mentoring.
 - Scholarships, bonuses, or increased compensation for degrees/certificates
 - Materials and supplies
 - Priority access for other grants or programs
 - Tax credits (providers or parents)
 - Payment of fees (e.g., licensing, accreditation)
 - Other

Describe:

7.4.6 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The results of the MA QRIS validation study, which was completed in December 2016, showed encouraging outcomes at the program level and at the child-level. The study's researchers recommended that MA focus on streamlining QRIS standards, increasing the capacity of its infrastructure to support programs with the technical assistance they need, focus on the needs of independent programs that are not part of the early education systems or networks, provide more support for programs serving infants and toddlers, and address the requirements that did not distinguish quality among Levels. These recommendations are

guiding the MA QRIS revisions process, which began when the validation study was completed. In-progress draft versions of the MA QRIS 2.0 make use of these recommendations, particularly with respect to simplifying criteria, and removing those that are not linked with program quality. MA anticipates that, in the long term, these steps will result in more programs reaching the upper tiers of the MA QRIS. The current iteration of the MA QRIS is still in effect as the revised MA QRIS 2.0 is in development. MA will continue to monitor closely the progress of programs in the current MA QRIS, looking for and addressing demographic trends correlated with program ratings. These include geography, the type of early education setting, and the ages of the children served. MA QRIS also plans to make some interim changes before the next generation is implemented. These changes will involve removing some criteria that programs suggest are obstacles to their QRIS advancement and that our researchers stress are not linked with program quality.

7.5 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

Lead Agencies are encouraged to use the needs assessment to systematically review and improve the overall quality of care that infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers, the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care, including any partnerships or coordination with Early Head Start and IDEA Part C programs. Lead Agencies are required to spend 3 percent of their total CCDF expenditures on activities to improve the supply and quality of their infant and toddler care. This is in addition to the general quality set-aside requirement.

7.5.1 What activities are being implemented by the state/territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers? Check all that apply and describe

- Establishing or expanding high-quality community- or neighborhood-based family and child development centers. These centers can serve as resources to child care providers to improve the quality of early childhood services for infants and toddlers from low-income families and to improve eligible child care providers' capacity to offer

high-quality, age-appropriate care to infants and toddlers from low-income families

Describe:

EEC has implemented a statewide network of Coordinated Family and Community Engagement Programs (CFCE), which are locally based programs serving families with children birth through school age. There are five main goals of the CFCE program: Universal and Targeted Outreach Strategies - Reaching and meeting the needs of children and families, especially those with multiple risk factors who are not engaged in the mixed delivery system of early education and out-of-school time services available through public schools, center-based, Head Start, and family child care programs. Linkages to Comprehensive Services - Ensuring that families have access to services that support their well-being and their children's optimal development. Family Education - Supporting a dual-generation approach that strengthens the capacity of families as their child's first teacher through: Child development education across all domains; and Evidence-based early literacy opportunities. Transition Supports - Coordinating activities and resources that maximize families' access to supports through a broad range of transitions that may occur between a child's birth to age eight that ultimately support school readiness and/or family stability. Examples of transitions include moving into and between early education and care settings as well as life transitions related to family relocation, parent job loss, etc. * Building Community Capacity - Strengthening the capacity of communities through CFCE council membership and community collaboration to engage and support families through intentional alignment of goals, approaches, and policies between agencies that serve young children and their families .

Establishing or expanding the operation of community- or neighborhood-based family child care networks.

Describe:

EEC has contracts with 42 Family Child Care Systems statewide, which provide resources and supports to family child care providers such as training, technical assistance and consultation, monitoring, quality improvement support, and referrals to health and social services for children in their care. FCC Systems may provide referrals to family child care providers. In 2017 EEC implemented a pilot where the nationally recognized Parent Child Home Program was made available to family child care educators. In 2018 this program has been continued and expanded. The role of the family child care system (network) has been strengthened as a method to deliver

coaching on early literacy to infants and toddlers enrolled in family child care programs via the PCHP method.

- Providing training and professional development to enhance child care providers' ability to provide developmentally appropriate services for infants and toddlers

Describe:

EPS Grantees provide professional development and coursework to promote and expand child care providers' ability to understand developmentally appropriate practices for infants and toddlers.

- Providing coaching, mentoring, and/or technical assistance on this age group's unique needs from statewide or territory-wide networks of qualified infant-toddler specialists

Describe:

EPS Grantees provide coaching and technical assistance to providers of all age groups. Coaches specialize in program and age types according to their qualifications.

- Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.).

Describe:

Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.). Describe: EEC has partnered with DPH's Early Intervention Program to establish and support Regional Consultation Programs (RCPs) to assist children with disabilities by providing expertise on inclusion and effective transition practices to early education and care programs. EEC also collaborates closely with EI to ensure services and supports are in place for children with disabilities to be included in their early care and education programs as well as provide supports to educators to ensure alignment of services for children and families. 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. EEC has also developed a webinar training for Early Education and Care and Early Intervention Programs called Pathway to Collaboration in partnership with a subcommittee of the ICC .

- Developing infant and toddler components within the state/territory's QRIS, including classroom inventories and assessments

Describe:

EEC's community center based and public school based programs are assessed using the Infant and Toddler Environment Rating Scale- Revised Edition (ITERS-R). MA's family child care providers use the Family Child Care Environment Rating Scales- Revised Edition (FCCERS-R). Using evidenced-based criteria known to promote strong program quality and child outcomes, these tools encourage providers to embrace best practices while also holding them accountable for maintaining a high quality environment for the infants and toddlers they serve. Center Based/School Based programs are assessed using the Infant and Toddler Environment Rating Scale- Revised Edition (ITERS-R). Family Child Care providers use the Family Child Care Environment Rating Scales- Revised Edition (FCCERS-R). Using evidenced-based criteria known to promote strong program quality and child outcomes, these tools encourage providers to embrace best practices while also holding them accountable for maintaining a high quality environment for the infants and toddlers they serve.

- Developing infant and toddler components within the state/territory's child care licensing regulations

Describe:

EEC licensing regulations have specific components related to the health, safety and development of infants and toddlers

- Developing infant and toddler components within the early learning and developmental guidelines

Describe:

EEC has specific Early Learning Guidelines for Infants and Toddlers.

- Improving the ability of parents to access transparent and easy-to-understand consumer information about high-quality infant and toddler care that includes information on infant and toddler language, social-emotional, and both early literacy and numeracy cognitive development

Describe:

Coordinated Family and Community Engagement (CFCE) grantees provide families with

information about child development across all domains that support their knowledge and understanding of best practices in terms of caring for infants and toddlers. In addition to in-person educational opportunities, CFCEs share printed and electronic resources and information about ages and stages of development with families. EEC has developed resources for families that communicate this information that are posted on our website.

- Carrying out other activities determined by the state/territory to improve the quality of infant and toddler care provided within the state/territory and for which there is evidence that the activities will lead to improved infant and toddler health and safety, cognitive and physical development, and/or well-being

Describe:

EEC has engaged in an infant safe sleep public service campaign to improve the health and safety of infants participating in early education and care programs. In addition, EEC will be offering a home visiting grant in 2016 to support family child care providers who serve toddler age children. Lastly, the Department engaged in partnerships with the Registry of Motor Vehicles and the Massachusetts Bay Transit Authority to emphasize the importance of reading to children and effective ways to communicate with children for parents and caregivers. Embedded within in one third of the CFCE grant programs is the Parent-Child Home Program. The Parent-Child Home Program supports and strengthens parents' skills in enhancing their children's cognitive development and school readiness. Program sites serve families challenged by poverty, low levels of education, language barriers, homelessness, and other potential obstacles to academic success. Services are delivered through an evidence-based model of intensive home visits to families not engaged in the formal mixed delivery system .

- Coordinating with child care health consultants.

Describe:

- Coordinating with mental health consultants.

Describe:

Early Childhood Mental Health (ECMH) consultation programs provide consultation and coaching services to address and support the social-emotional development and behavioral health of children in early education and care and out-of-school time settings. The early childhood mental health consultation services funded by the Department of Early Education and Care's (EEC) Mental Health Consultation Grant are available state-

wide and may be accessed by the entire mixed delivery system, serving all age groups and including children receiving CCDF. ECMH consultants also provide support and guidance to programs, educators, and families to address the developmental, emotional, and behavioral challenges of infants and young children to ensure healthy social-emotional development, reduce the suspension and expulsion rate in early education and care settings, and promote school success. EEC established a dedicated webpage for families, providers and the general public to obtain information on ECMH:

www.mass.gov/eec/ecmh. This website describes the scope of ECMH services available, as well as a listing of the current ECMH grantees and resources. The consultation services offered through the FY2018 Mental Health Consultation Grant include mental health supports, strategies, and services that address the developmental, emotional, and behavioral challenges of infants and young children and their families to promote school success, ensure healthy social-emotional development, and reduce the suspension and expulsion rate in early education and care settings

Other

Describe:

7.5.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services for infants and toddlers within the state/territory and the data on the extent to which the state or territory has met these measures

EEC has two primary sources of data regarding the quality of our infant and toddler care. First, our own staff conduct observations of our programs using Infant and Toddler Environment Rating Scale- Revised Edition (ITERS-R) for center-based programs, and Family Child Care Environment Rating Scales- Revised Edition (FCCERS-R) for family child care programs. Secondly, MA has research contracts with Environment Rating Scales reliable raters. The reporting from these observations provides valuable aggregate data relating to the quality of our programs for infants and toddlers. MA plans to continue using this data for policy development, developing targeted trainings and technical assistance to address trends in the data, and offering grant funding that focuses on specific areas that have been identified to need improvement.

7.6 Child Care Resource and Referral

A Lead Agency may expend funds to establish or expand a statewide system of child care resource and referral services (98.53(a)(5)). It can be coordinated, to the extent determined appropriate by the Lead Agency, by a statewide public or private non-profit, community-based, or regionally based lead child care resource and referral organization (658E(c)(3)(B)(iii)). This effort may include activities done by local or regional child care and resource referral agencies, as discussed in section 1.7.

7.6.1 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The CCRR contract contains several reporting requirements that the Department uses to evaluate the effectiveness of the CCRR Network. In addition, EEC requires the CCRR Network to conduct satisfaction surveys with the individuals receiving services at the local level. The results of these surveys are sent to EEC on a monthly basis.

7.7 Facilitating Compliance With State Standards

7.7.1 What strategies does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory requirements for inspection, monitoring, training, and health and safety and with state/territory licensing standards? Describe:

Massachusetts uses CCDF quality funds to support the staffing of the Department of Early Education and Care's field operations unit, which includes licensors and investigators who are charged with inspecting monitoring and providing training/technical assistance to

licensed early education programs throughout the Commonwealth. Additionally,EEC has established a statewide Educator and Provider Support (EPS) network to provide state-funded professional development opportunities, technical assistance, and other resources to help programs meet and maintain a high-quality early education and care program. The EPS grant serves educators working in EEC's mixed delivery system including those working in family child care homes, center-based programs, and those that are exempt from licensing. EPS networks provide program with technical assistance and help them meet licensing requirements, quality standards, and upward movement in QRIS

7.7.2 Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?

- No
- Yes. If yes, which types of providers can access this financial assistance?
 - Licensed CCDF providers
 - Licensed non-CCDF providers
 - License-exempt CCDF providers
 - Other

Describe:

7.7.3 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The Department has been working to develop a system of differential licensing in the Field Operations Unit. This is a system of utilizing a limited number of regulatory indicators which have been proven to be statistically significant in determining compliance with the larger set of regulations. The Department is working to institute this system of regulatory compliance in all three types of licensing in Massachusetts: Family Child Care, Large Group and School Age Child Care and Residential and Placement. The goal of the differential licensing project

is to increase the number of visits to licensed programs by decreasing the amount of time spent on each visit. The caseloads of the licensing staff are significantly higher than the national average and those recommended by national accrediting bodies. By decreasing the amount of time spent on visits utilizing the differential licensing model, the Department, even with high caseloads, anticipates the ability to make annual licensing visits to programs as required by the CCDBG Reauthorization.

7.8 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

7.8.1 Describe how the state/territory measures the quality and effectiveness of child care programs and services in both child care centers and family child care homes currently being offered, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the state/territory evaluates how those tools positively impact children

The MA QRIS measurement tools that are valid and reliable, and the next generation MA QRIS will, as well. These tools include: - Environment Rating Scales (Early Childhood Environment Rating Scales [ECERS-R] - Infant/Toddler Environment Rating Scales [ITERS-R] - Family Child Care Environment Rating Scales [FCCERS-R] - School Age Childcare Environment Rating Scales [SACERS]) - Strengthening Families Protective Factors - Business Administration Scale (BAS) - Program Administration Scale (PAS) - Assessment of Program Practices Tool (APT) - Arnett Caregiver Interaction Scale, and Classroom Assessment Scoring System (CLASS) At each MA QRIS Level, programs complete self-assessments of these tools to generate action steps for improvement. These action steps are directly submitted in each provider's Continuous Quality Improvement Plan (CQIP). EEC reviews self-assessments and CQIPs at Level 2, which is titled "Commitment to Quality." Environment Rating Scales self-assessment scores are verified by MA internal staff at Level 3, and by a reliable rater at Level 4. While these tools are validated by their authors, the MA QRIS validation study provided an additional layer of data tying child outcomes with participation in upper tier programs. This list of tools is being evaluated as Massachusetts revises its QRIS system. In order to streamline the QRIS to a more user-friendly format,

some of these tools may be dropped and the CLASS tool may be introduced at higher levels of the QRIS in the future.

7.8.2 Describe the measureable indicators of progress relevant to this use of funds that the State/Territory will use to evaluate its progress in improving the quality of child care programs and services in child care centers and family child care homes within the state/territory and the data on the extent to which the state or territory has met these measures

EEC tracks the aggregate progress of its programs through regular monitoring. Monitoring is conducted with the purpose of analyzing which groups, such as geographic, linguistic, or program setting, are succeeded or struggling to advance in MA QRIS. MA uses that data to direct resources toward the groups that most need them. MA plans to set goals for participation and advancement in MA QRIS 2.0 once the revised system has been developed and and implemented.

7.9 Accreditation Support

7.9.1 Does the state/territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?

- Yes, the state/territory has supports operating statewide or territory-wide for both child care centers and family child care homes

Describe the support efforts for all types of accreditation that the state/territory provides to child care centers and family child care homes to achieve accreditation

EPS supports programs in achieving accreditation through the National Association for the Education of Young Children (NAEYC), the National Association of Family Child Care (NAFCC) or the Council on Accreditation (COA) by providing targeted professional

development and coaching geared towards accreditation and paying a portion of accreditation fees for programs.

- Yes, the state/territory has supports operating statewide or territory-wide for child care centers only. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers.

Describe:

- Yes, the state/territory has supports operating statewide or territory-wide for family child care homes only. Describe the support efforts for all types of accreditation that the state/territory provides to family child care

Describe:

- Yes, the state/territory has supports operating as a pilot-test or in a few localities but not statewide or territory-wide

- Focused on child care centers

Describe:

- Focused on family child care homes

Describe:

- No, but the state/territory is in the accreditation development phase

- Focused on child care centers

Describe:

- Focused on family child care homes

Describe:

- No, the state/territory has no plans for accreditation development

7.9.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

EEC tracks how many accredited programs are participating in the Massachusetts QRIS and

their QRIS Levels. In addition, EEC receives data from EPS grantees related to the number of programs that are accredited in the Commonwealth.

7.10 Program Standards

7.10.1 Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for infants and toddlers, preschoolers, and/or school-age children

EEC is working to update its QRIS and in several areas makes reference to alignment with State Standards. QRIS 2.0 calls for use of a developmentally appropriate, evidence-based, state standards-aligned curriculum. Program growth is tracked across Star levels by measurement of six common criteria: demonstration of a high quality learning environment and interactions that foster learning, exploration, and play; use of developmentally appropriate, evidence-based, standards-aligned curriculum and assessment data to identify individual learning goals for children; use of developmental screener (ASQ) to inform family engagement and referrals to community-based resources and supports; robust family engagement strategies that include family leadership in program development and the incorporation of home visits; establishing an infrastructure that supports educator professional development; and developing, implementing, and monitoring a Continuous Quality Improvement Plan (CQIP). EEC has conducted extensive research on other states, which has informed our approach to: curriculum selection, including criteria for approving evidence-based curricula; selecting and implementing curricula for infants/toddlers and mixed age groups; and supporting curriculum implementation through coaching/TA; and curriculum verification, including ways in which assessment data impact curriculum planning, adaption, and implementation.

7.10.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

EEC has contracted with a Partnering in Education Research (PIER) Fellow from Harvard University who is examining QRIS data for the purposes of identifying and removing barriers to improving program quality. For example, a recent data report from the PIER Fellow detailed patterns in current QRIS exemption requests, which has implications for the ways in which EEC designs supports and targeted technical assistance to programs.

Data reports play a key role in supporting programs now, but also help to identify supports needed for the revised QRIS (QRIS 2.0). In order to be successful with implementation of QRIS 2.0, EEC will need to provide a range of supports to programs, including coaching and technical assistance. The reports detailed above help EEC distribute these resources to the programs that need them the most in order to improve quality more efficiently.

7.11 Early Learning and Development Guidelines and Other Quality Improvement Activities

7.11.1 If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measureable indicators that will be used to evaluate the state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)).

EEC is working with ESE on updating guidelines for Pre-K learning experiences in order to align with new Pre-K 3 learning standards. A survey has been developed and used to gather input in order to ensure language is user-friendly across program types and that the revised guidance is clear. Final dissemination is due in FY19.

7.11.2 List and describe any other activities that the state/territory provides to improve the quality of child care services for infants and toddlers, preschool-aged, and school-aged children, which may include consumer and provider education activities, and also describe the measureable indicators of progress for each activity relevant to this use of funds that the state/territory will use to evaluate its progress in improving provider preparedness, child safety, child well-being, or kindergarten entry and the data on the extent to which the state or territory has met these measures. Describe:

MA is developing a plan to communicate the importance of program quality to stakeholders, including families, the field, policymakers, and partners. This plan includes a name for the MA QRIS, logo, tagline, and images to support program and family understanding of its value. These tools have been developed, are in a review process, and are expected to be released along with the 2.0 version of the QRIS in the fall of 2018.

8 Ensure Grantee Program Integrity and Accountability

Program integrity and accountability activities are integral to the effective administration of the CCDF program. Lead Agencies are required to describe in their Plan effective internal controls that ensure integrity and accountability while maintaining the continuity of services (98.16(cc)). These accountability measures should address reducing fraud, waste, and abuse, including program violations and administrative errors.

This section includes topics on internal controls to ensure integrity and accountability and processes in place to investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud. Respondents should consider how fiscal controls, program integrity and accountability apply to:

- Memorandums of understanding within the Lead Agency's various divisions that administer or carry out the various aspects of CCDF

- MOU's, grants, or contracts to other state agencies that administer or carry out various aspects of CCDF

-- Grants or contracts to other organizations that administer or carry out various aspects of CCDF such as professional development and family engagement activities

-- Internal processes for conducting child care provider subsidy

8.1 Internal Controls and Accountability Measures To Help Ensure Program Integrity

8.1.1 Check and describe how the Lead Agency ensures that all its staff members and any staff members in other agencies who administer the CCDF program through MOUs, grants and contracts are informed and trained regarding program requirements and integrity. Check all that apply:

Train on policy manual

Describe:

The ACR Unit receives ongoing training as policy and regulatory changes are made. These trainings take place during monthly Unit meetings as necessary.

Train on policy change notices

Describe:

The ACR Unit receives ongoing training as policy and regulatory changes are made. These trainings take place during monthly Unit meetings as necessary.

Ongoing monitoring and assessment of policy implementation

Describe:

In addition to the policy change notices and public hearings on the changes requiring regulatory change, EEC's Audit Compliance and Resolution Unit (ACR Unit) holds monthly staff meetings to discuss changes to regulations and policies, as well as common issues observed during fiscal monitoring reviews. The Associate Commissioner emails communications referencing policy changes to the ACR Unit as necessary.

Other

Describe:

8.1.2 Lead Agencies must ensure the integrity of the use of funds through sound fiscal management and must ensure that financial practices are in place (98.68 (a)(1)). Describe the processes in place for the Lead Agency to ensure sound fiscal management practices for all expenditures of CCDF funds. Check all that apply:

Verifying and processing billing records to ensure timely payments to providers

Describe:

The EEC Accounting Unit oversees the process of verifying payment vouchers and invoices submitted by Contract Providers, Child Care Resource and Referral Agencies, and Grantees. Controls are put in place to ensure segregation of duties for the review and approval of payment process.

Fiscal oversight of grants and contracts

Describe:

In accordance the ACR Unit Fiscal Monitoring Policies and Procedures (revised Spring 2017), has the responsibility are to ensure that CCRRs, Contracted Providers and Grantees (subrecipients) are in compliance with federal, state, and EEC policies and regulations. If non- compliance issues arise, it is the role of the DACR and the FMS to assure audit resolution. The responsibility includes seeking the required payments from CCRRs/Contract Providers/Grantees of any federal financial assistance because of their failure to comply with federal laws and regulations.

Tracking systems to ensure reasonable and allowable costs

Describe:

Other

Describe:

8.1.3 Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program. Check all that apply:

Conduct a risk assessment of policies and procedures

Describe:

EEC conducts yearly reviews of each Unit's Policies and Procedures as it relates to the Internal Controls. In analyzing risks, EEC has analyzed the effectiveness of its internal control system in six areas: Internal Environment; Objective Setting; Event Identification; Risk Assessment; Information and Communication; and Monitoring. Each Unit's Policies and Procedure document informs the controls put in place to ensure high risk areas are fully reviewed and addressed.

Establish checks and balances to ensure program integrity

Describe:

Use supervisory reviews to ensure accuracy in eligibility determination

Describe:

Other

Describe:

8.1.4 Lead Agencies conduct a wide variety of activities to fight fraud and ensure program integrity. Lead Agencies are required to have processes in place to identify fraud and other program violations to ensure program integrity. Program violations can include both intentional and unintentional client and/or provider violations, as defined by the Lead Agency. These violations and errors, identified through the error-rate review process may result in payment or nonpayment (administrative) errors and may or may not be the result of fraud, based on the Lead Agency definition. Check and describe any activities that the Lead Agency conducts to ensure program integrity.

a) Check and describe all activities that the Lead Agency conducts to identify and prevent fraud or intentional program violations. Include in the description how each activity assists in the identification and prevention of fraud and intentional program violations. Include a description of the results of such activity.

- Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)).

Describe

- Run system reports that flag errors (include types).

Describe:

Massachusetts's Child Care Financial Assistance (CCFA) application contains an audit log that reports all actions taken by subsidy administrators, including affected client record, the type of record, the action taken, the date the action was taken, and user id of the individual that took the action. The record types included in the report are person, placements, attendance, and eligibility. CCFA requires subsidy administrators to state the reason for making an adjustment to each record, which will help facilitates reviews conducted by the EEC Audit Unit.

- Review enrollment documents and attendance or billing records

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

- Conduct supervisory staff reviews or quality assurance reviews.

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

Audit provider records.

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

Train staff on policy and/or audits.

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

Other

Describe:

b) Check and describe all activities the Lead Agency conducts to identify unintentional program violations. Include in the description how each activity assists in the identification and prevention of unintentional program violations. Include a description of the results of such activity.

Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS).

Describe:

Run system reports that flag errors (include types).

Describe:

Massachusetts's Child Care Financial Assistance (CCFA) application contains an audit log that reports all actions taken by subsidy administrators, including affected client record, the type of record, the action taken, the date the action was taken, and user id of the individual that took the action. The record types included in the report are person, placements, attendance, and eligibility. CCFA requires subsidy administrators to state the reason for making an adjustment to each record, which will help facilitates

reviews conducted by the EEC Audit Unit.

[Review enrollment documents and attendance or billing records](#)

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

[Conduct supervisory staff reviews or quality assurance reviews.](#)

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

[Audit provider records.](#)

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

[Train staff on policy and/or audits.](#)

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

[Other](#)

Describe:

c) Check and describe all activities the Lead Agency conducts to identify and prevent agency errors. Include in the description how each activity assists in the identification and prevention of agency errors.

- Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS).

Describe:

- Run system reports that flag errors (include types).

Describe:

Massachusetts's Child Care Financial Assistance (CCFA) application contains an audit log that reports all actions taken by subsidy administrators, including affected client record, the type of record, the action taken, the date the action was taken, and user id of the individual that took the action. The record types included in the report are person, placements, attendance, and eligibility. CCFA requires subsidy administrators to state the reason for making an adjustment to each record, which will help facilitates reviews conducted by the EEC Audit Unit.

- Review enrollment documents and attendance or billing records

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

- Conduct supervisory staff reviews or quality assurance reviews.

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

- Audit provider records.

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

Train staff on policy and/or audits.

Describe:

EEC's ACR Unit engages in several activities to identify program violations and administrative error to ensure integrity of the CCDF program including risk assessment analysis, on-site monitoring, review of attendance records, review of billing, and technical assistance through corrective action plans.

Other

Describe:

8.1.5 The Lead Agency is required to identify and recover misspent funds as a result of fraud, and it has the option to recover any misspent funds as a result of errors.

a) Check and describe all activities that the Lead Agency uses to investigate and recover improper payments due to fraud. Include in the description how each activity assists in the investigation and recovery of improper payment due to fraud or intentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

EEC works closely with the Massachusetts Operational Services Division and the Attorney General's Office, Division of Public Charities, in reviewing and following up

with providers whose annual financial reports and/or filings indicate that improper payments may have occurred. When a contracted provider, voucher provider or subsidy recipient is suspected of committing fraud, the case is referred to the Office of the State Auditor/Bureau of Special Investigations (BSI), who may initiate an in-depth investigation. EEC and/or the Auditor's Office may also refer the matter to the Attorney General's Office or District Attorney's Office for further civil or criminal legal action, which could include the attachment and liquidation of assets.

[Recover through repayment plans.](#)

[Describe:](#)

EEC places outstanding debts owed by contractors, providers, and/or subsidy recipients on the Commonwealth's Billing and Accounts Receivable Subsystem (BARS) which may include prior fiscal year improper authorized payments. Through BARS, invoices are generated to debtors that include instructions on how to make payments and notifications of any rights which the debtor may have to request a hearing to challenge the debt amount.

[Reduce payments in subsequent months.](#)

[Describe:](#)

Through EEC's automated eligibility and billing system, Child Care Financial System (CCFA), 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 CCRRs through CCFA by reducing future payments for services provided within the current fiscal year.

[Recover through state/territory tax intercepts.](#)

[Describe:](#)

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.

Recover through other means.

Describe:

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

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 (CCRRs) are subject to fiscal and compliance monitoring by EECs ACR Unit. The ACR Unit consists of Three (3) fiscal monitors and one (1) Supervisor overseeing the monitoring activities. 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 collection of improper payments through payment adjustments in CCFA and through BARS is completed by the EEC Accounting and Contracts Unit. This Unit consists of two (2) Payment Specialists and one (1) Supervisor.

Other

Describe:

b) Check any activities that the Lead Agency will use to investigate and recover improper payments due to unintentional program violations. Include in the description how each activity assists in the investigation and recovery of improper payments due to unintentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

EEC works closely with the Massachusetts Operational Services Division and the Attorney General's Office, Division of Public Charities, in reviewing and following up with providers whose annual financial reports and/or filings indicate that improper payments may have occurred. When a contracted provider, voucher provider or subsidy recipient is suspected of committing fraud, the case is referred to the Office of the State Auditor/Bureau of Special Investigations (BSI), who may initiate an in-depth investigation. EEC and/or the Auditor's Office may also refer the matter to the Attorney General's Office or District Attorney's Office for further civil or criminal legal action, which could include the attachment and liquidation of assets.

Recover through repayment plans.

Describe:

EEC places outstanding debts owed by contractors, providers, and/or subsidy recipients on the Commonwealth's Billing and Accounts Receivable Subsystem (BARS) which may include prior fiscal year improper authorized payments. Through BARS, invoices are generated to debtors that include instructions on how to make payments and notifications of any rights which the debtor may have to request a hearing to challenge the debt amount.

Reduce payments in subsequent months.

Describe:

Through EEC's automated eligibility and billing system, Child Care Financial System (CCFA), 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 CCRRs through CCFA by reducing future payments for services provided within the current fiscal year.

Recover through state/territory tax intercepts.

Describe:

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.

Recover through other means.

Describe:

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

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 (CCRRs) are subject to fiscal and compliance monitoring by EECs ACR Unit. The ACR Unit consists of Three (3) fiscal monitors and one (1) Supervisor overseeing the monitoring activities. 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 collection of improper payments through payment adjustments in CCFA and through BARS is completed by the EEC Accounting and Contracts Unit. This Unit consists of two (2) Payment Specialists and one (1) Supervisor.

Other

Describe:

c) Check and describe all activities that the Lead Agency will use to investigate and recover improper payments due to agency errors. Include in the description how each activity assists in the investigation and recovery of improper payments due to administrative errors. Include a description of the results of such activity.

Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

- [Coordinate with and refer to the other state/territory agencies \(e.g., state/territory collection agency, law enforcement agency\).](#)

Describe:

EEC works closely with the Massachusetts Operational Services Division and the Attorney General's Office, Division of Public Charities, in reviewing and following up with providers whose annual financial reports and/or filings indicate that improper payments may have occurred. When a contracted provider, voucher provider or subsidy recipient is suspected of committing fraud, the case is referred to the Office of the State Auditor/Bureau of Special Investigations (BSI), who may initiate an in-depth investigation. EEC and/or the Auditor's Office may also refer the matter to the Attorney General's Office or District Attorney's Office for further civil or criminal legal action, which could include the attachment and liquidation of assets.

- [Recover through repayment plans.](#)

Establish a unit to investigate and collect improper payments.

EEC places outstanding debts owed by contractors, providers, and/or subsidy recipients on the Commonwealth's Billing and Accounts Receivable Subsystem (BARS) which may include prior fiscal year improper authorized payments. Through BARS, invoices are generated to debtors that include instructions on how to make payments and notifications of any rights which the debtor may have to request a hearing to challenge the debt amount.

- [Reduce payments in subsequent months.](#)

Describe:

Through EEC's automated eligibility and billing system, Child Care Financial System (CCFA), 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 CCRRs through CCFA by reducing future payments for services provided within the current fiscal year.

- [Recover through state/territory tax intercepts.](#)

Describe:

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.

Recover through other means.

Describe:

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

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 (CCRRs) are subject to fiscal and compliance monitoring by EECs ACR Unit. The ACR Unit consists of Three (3) fiscal monitors and one (1) Supervisor overseeing the monitoring activities. 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 collection of improper payments through payment adjustments in CCFA and through BARS is completed by the EEC Accounting and Contracts Unit. This Unit consists of two (2) Payment Specialists and one (1) Supervisor.

Other

Describe:

8.1.6 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations? Check and describe all that apply:

- Disqualify the client. If checked, describe this process, including a description of the appeal process for clients who are disqualified.

Describe:

Under current regulations, if Massachusetts determines that an applicant or recipient of subsidized child care committed fraud as part of his/her application, the Department reserves the right to disqualify the individual until the improper payment is repaid/recouped. Any time an applicant's child care subsidy is denied, terminated, or reduced or a recoupment is issued, the individual has the right to seek an appeal through the Department. If the individual is still aggrieved after the Department issues its final agency decision, s/he may seek further appeal of the decision in Superior Court. Under the proposed regulations, EEC will create a tiered sanctions systems for Intentional Program Violations and Fraud with one, two, and three year bans depending on the severity and number of occurrences. Parent's appeal rights will remain the same under the proposed regulations.

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

Describe:

Under current regulations, if Massachusetts determines that an applicant or recipient of subsidized child care committed fraud as part of his/her application, the Department reserves the right to disqualify the individual until the improper payment is repaid/recouped. Any time an applicant's child care subsidy is denied, terminated, or reduced or a recoupment is issued, the individual has the right to seek an appeal through the Department. If the individual is still aggrieved after the Department issues its final agency decision, s/he may seek further appeal of the decision in Superior Court. Under the proposed regulations, EEC will create a tiered sanctions systems for Intentional Program Violations and Fraud with one, two, and three year bans depending on the severity and number of occurrences. Parent's appeal rights will remain the same under the proposed regulations.

- Prosecute criminally.

Describe:

- Other.

Describe:

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

[Appendix A: Background Check Waiver Request Form](#)

Lead Agencies may apply for a temporary waiver for certain background check requirements if milestone prerequisites have been fully implemented. These waivers will be considered "transitional and legislative waivers" to provide transitional relief from conflicting or duplicative requirements preventing implementation, or an extended period of time in order for the state/territory legislature to enact legislation to implement the provisions (98.19(b)(1)) These waivers are limited to a one-year period and may be extended for at most one additional year from the date of initial approval.

Approval of these waiver requests is subject to and contingent on OCC review and approval of responses in section 5 questions 5.4.1 -- 5.4.4 to confirm that the milestones are met. If milestone prerequisites are not met, the waiver request will not be approved. Approved waivers would begin October 1, 2018 through September 30, 2019. If approved, States and Territories will have the option to renew these waivers for one additional year as long as progress is demonstrated during the initial waiver period. Separate guidance will be issued later on the timeline and criteria for requesting the waiver renewal.

[Overview of Background Check Implementation deadlines](#)

Original deadline for implementation (658H(j)(1) of CCDBG Act): September 30, 2017

Initial one-year extension deadline (658H(j)(2) of CCDBG Act): September 30, 2018

One-year waiver deadline (45 CFR 98.19(b)(1)(i)): September 30, 2019

Waiver deadline one-year renewal (45 CFR 98.19(b)(1)(ii)): September 30, 2020

Waiver approval for new (prospective) staff, existing staff or staff hired provisionally until background checks are completed, are subject to and contingent upon the OCC review and approval of responses to 5.4.9 that demonstrate that the state/territory requires: (1) the provider to submit the background check request before the staff person begins working; and (2) pending the results of the background check, the staff person must be supervised at all times by an individual who has completed the background check.

To submit a background check waiver request, complete the form below.

Check and describe each background check provision for which the Lead Agency is requesting a time-limited waiver extension.

Appendix A.1: In-state criminal registry or repository checks with fingerprints requirements for existing staff. (See related question at 5.4.1 (b))

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.1. (b) requiring criminal registry or repository checks with fingerprints for existing staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. The Commonwealth made development of this BRC IT system a high priority, commencing development in the Spring of 2017 and anticipates project completion and

implementation to service EEC in early 2019. This new BRC IT system will serve as the platform for a BRC enterprise system that will service the BRC work of multiple state agencies.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years.

[Appendix A.2: In-state sex offender registry requirements for existing staff. \(See related question at 5.4.2 \(b\)\)](#)

[Describe the provision from which the state/territory seeks relief.](#)

EEC seeks a waiver from provision 5.4.2. (b) requiring sex offender registry checks for existing staff.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years.

 **Appendix A.3:** In-state child abuse and neglect registry requirements for existing staff. (See related question at 5.4.3 (b))

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.3. (b) requiring child abuse and neglect registry checks for existing staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned

checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years.

 **Appendix A.4: National FBI fingerprint search requirements for existing staff. (See related question at 5.4.4 (b))**

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.4. (b) requiring national FBI fingerprint checks for existing staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the

Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years.

Appendix A.5: National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for new or prospective staff. (See related question at 5.4.5 (a))

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.5. (b) requiring National Sex Offender Registry (NSOR) search requirements for new or prospective staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and

monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years.

Appendix A.6: National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for existing staff. (See related question at 5.4.5 (b))

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.5. (b) requiring National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for existing staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years.

 **Appendix A.7: Interstate criminal registry or repository check for new or prospective staff. (See related question at 5.4.6 (a))**

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.6. (a) requiring Interstate criminal registry or repository check for new or prospective staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their

staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. The waiver will allow further collaboration between EEC, ACF, and other lead agencies nationwide in establishing guidelines and protocols for effectively completing interstate checks.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC has created a manual process whereby the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. Additionally, EEC has revised its BRC form to ensure all candidates disclose where they have resided within the last 5 years. This information will also be captured in EEC's new BRC IT system.

 [Appendix A.8: Interstate criminal registry or repository check for existing staff. \(See related question at 5.4.6 \(b\)\)](#)

[Describe the provision from which the state/territory seeks relief.](#)

EEC seeks a waiver from provision 5.4.6. (b) requiring Interstate criminal registry or repository check for existing staff.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. The waiver will allow further collaboration between EEC, ACF, and other lead agencies nationwide in establishing guidelines and protocols for effectively completing interstate checks.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned

checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC has created a manual process whereby the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. Additionally, EEC has revised its BRC form to ensure all candidates disclose where they have resided within the last 5 years. This information will also be captured in EEC's new BRC IT system.

 **Appendix A.9: Interstate sex offender registry or repository check for new or prospective staff. (See related question at 5.4.7 (a))**

Describe the provision from which the state/territory seeks relief.

EEC seeks a waiver from provision 5.4.7. (a) requiring interstate sex offender registry or repository check for new or prospective staff.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. The waiver will allow further collaboration between EEC, ACF, and other lead agencies nationwide in establishing guidelines and protocols for effectively completing interstate checks.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and

monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC has created a manual process whereby the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. Additionally, EEC has revised its BRC form to ensure all candidates disclose where they have resided within the last 5 years. This information will also be captured in EEC's new BRC IT system.

 **Appendix A.10: Interstate sex offender registry or repository check for existing staff. (See related question at 5.4.7 (b))**

[Describe the provision from which the state/territory seeks relief.](#)

EEC seeks a waiver from provision 5.4.7. (b) requiring interstate sex offender registry or repository check for existing staff.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. The waiver will allow further

collaboration between EEC, ACF, and other lead agencies nationwide in establishing guidelines and protocols for effectively completing interstate checks.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC has created a manual process whereby the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. Additionally, EEC has revised its BRC form to ensure all candidates disclose where they have resided within the last 5 years. This information will also be captured in EEC's new BRC IT system.

 [Appendix A.11: Interstate child abuse and neglect registry check for new or prospective staff. \(See related question at 5.4.8 \(a\)\)](#)

[Describe the provision from which the state/territory seeks relief.](#)

EEC seeks a waiver from provision 5.4.8. (a) requiring interstate child abuse and neglect

registry check for new or prospective staff.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. The waiver will allow further collaboration between EEC, ACF, and other lead agencies nationwide in establishing guidelines and protocols for effectively completing interstate checks.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located

during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC has created a manual process whereby the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. Additionally, EEC has revised its BRC form to ensure all candidates disclose where they have resided within the last 5 years. This information will also be captured in EEC's new BRC IT system.

Appendix A.12: Interstate child abuse and neglect registry check for existing staff. (See related question at 5.4.8 (b))

[Describe the provision from which the state/territory seeks relief.](#)

EEC seeks a waiver from provision 5.4.8. (b) requiring interstate child abuse and neglect registry check for existing staff.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. The waiver will allow further collaboration between EEC, ACF, and other lead agencies nationwide in establishing guidelines and protocols for effectively completing interstate checks.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal

Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC has created a manual process whereby the candidate will be required to provide the information to EEC directly and EEC may be able to obtain the information on its own. Additionally, EEC has revised its BRC form to ensure all candidates disclose where they have resided within the last 5 years. This information will also be captured in EEC's new BRC IT system.

 **Appendix A. 13: New staff hired to work provisionally until background checks are completed. (See related question at 5.4.9)**

[Describe the provision from which the state/territory seeks relief.](#)

EEC seeks a waiver from provision 5.4.8. (b) requiring new staff hired to work provisionally until background checks are completed.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

A waiver of this provision will allow EEC to improve the delivery of childcare services for children by allowing the Department to finalize and implement its background record check (BRC) IT system. The BRC IT system will provide a more streamlined approach to the BRC process. Without a completed BRC IT system, EEC will have to implement manual work-arounds that will create additional burdens on childcare programs and their staff. As previously noted, the new BRC IT system was commenced in the Spring of 2017 and is scheduled to begin serving EEC in early 2019. Further, a waiver will allow EEC to receive final approval on a legislative bill that will allow for a provisional status after the fingerprint check and applicable sex offender checks have been approved

allowing the candidate to work in a supervised capacity.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

EEC ensures that the health safety, and well-being of children served through CCDF will not be compromised as a result of the waiver. EEC currently requires the following individuals complete a BRC under EEC's existing state statute, regulations and policies: all licensed family child care, group and school age providers; all household members and persons regularly on the premises (aged 15 and over) of family child care homes; employees, volunteers, and interns within licensed facilities; transportation drivers and monitors; and any other individuals with the potential for unsupervised contact with children in EEC licensed programs. The checks include a Massachusetts Criminal Offender Record Information ("CORI") check; a Massachusetts Department of Children and Families ("DCF") (child welfare) check; a Massachusetts Sexual Offender Registry Information ("SORI") check for individuals classified as either Level 2 or Level 3 Sex Offenders; and a fingerprint-based check of state and national databases through the Federal Bureau of Investigation ("FBI") using Next Generation Identification. Effective October 1, 2018, EEC will have access to Level 1 Sex Offenders. EEC has been running both CORI and DCF checks since 2007 and were statutorily mandated to begin running SORI and fingerprint-based checks in a state law effective September 1, 2013. For individuals with findings on his/her record found during any of the aforementioned checks, EEC has a thorough appeals process where EEC's BRC Unit completes presumptive and discretionary reviews dependent up on the crimes or findings located during the checks. EEC's existing statute and regulations require that a BRC be completed every 3 years. Furthermore, EEC's draft BRC regulations and policies allow for provisional employment. EEC will be notifying new and existing child care programs of the new fingerprinting requirements.