

Official effective October 1, 2013



Child Care and Development Fund (CCDF) Plan

For

State/Territory: **Kentucky**

Federal Fiscal Years (FFY) 2014-2015

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

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

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

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

Form ACF-118 Approved OMB Number expires

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Child Care and Development Fund (CCDF) Plan
For

Kentucky
FFY 2014-2015

**PART 1
ADMINISTRATION**

1.1 Contact Information

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

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

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Name of Lead Agency: [Cabinet for Health and Family Services, Department for Community Based Services](#)

Address of Lead Agency: [275 East Main St, 3W-A, Frankfort, KY 40621](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Teresa C. James, Commissioner](#)

Phone Number: [502-564-3703](#)

Fax Number: [502-564-6907](#)

E-Mail Address: Teresa.James@ky.gov

Web Address for Lead Agency (if any): <http://chfs.ky.gov/>

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

a) Contact Information for CCDF Administrator:

Effective Date: 01-OCT-13

Name of CCDF Administrator: [Mary Beth Jackson](#)

Title of CCDF Administrator: [Director](#)

Address of CCDF Administrator: [DCBS-Division of Child Care, 275 E. Main Street, 3C-F, Frankfort, KY 40621](#)

Phone Number: [502-564-2524](#)

Fax Number: [502-564-3464](#)

E-Mail Address: Marybeth.Jackson@ky.gov

Phone Number for CCDF program information

(for the public) (if any): [502-564-2524](#)

Web Address for CCDF program

(for the public) (if any): <http://chfs.ky.gov/dcbs/dcc/>

Web Address for CCDF program policy manual

(if any): <http://chfs.ky.gov/dcbs/dcc/>

Web Address for CCDF program administrative rules

(if any): <http://chfs.ky.gov/dcbs/dcc/>

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

Name of CCDF Co-Administrator: [Mark Cornett](#)

Title of CCDF Co-Administrator: [Deputy Commissioner](#)

Address of CCDF Co-Administrator: [DCBS-Division of Child Care, 275 East Main Street, 3C-F, Frankfort, KY 40621](#)

Phone Number: [502-564-3703 Ext. 3793](#)

Fax Number: [502-564-3464](#)

E-Mail Address: Mark.Cornett@ky.gov

Description of the role of the Co-Administrator:

[Assist the Director with administration of programs and services and development of state plan.](#)

1.2 Estimated Funding

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

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

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FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ [\\$76,103,192](#)

Federal TANF Transfer to CCDF: \$ [\\$0](#)

Direct Federal TANF Spending on Child Care: \$ [\\$35,000,000](#)

State CCDF Maintenance-of-Effort Funds: \$ \$7,274,537

State Matching Funds: \$ \$7,030,849

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

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

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

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N/A here

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

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

[General Revenue Fund/Master Tobacco Settlement Funds](#)

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

\$17,832,400

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

If checked, are those funds:

donated directly to the State?

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

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

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

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

If checked, provide the estimated percentage of Matching Fund requirement that will be

met with pre-k expenditures (not to exceed 30%):

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

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

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

State expenditures for Pre-K programs to meet the CCDF Maintenance of Effort (MOE) requirements.

If checked,

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

Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%):

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

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

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

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015. Note: Funding estimate is limited to FY 2014 In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

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Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
Infant/Toddler Targeted Fund \$2,381,946	STARS for KIDS NOW, Voluntary Quality Rating Improvement System	Improve the quality of early care environments. Services also provided to Infant/ Toddler and School Age targeted child care.	Increased quality of all child care programs including those serving low income children.
School-Age/Child Care Resource and Referral Targeted Funds \$1,958,570	Technical Assistance to Programs participating in STARS for KIDS NOW (STARS)	Provide onsite technical assistance for participation in STARS. Services also provided to Infant/Toddler and School Age targeted child care.	Increased program awareness and overall quality of child care services.
Quality Expansion Targeted Funds \$2,440,010	Child Care Resource and Referral Services	Provide technical assistance, parent referrals, consumer education, and training services to child care providers and families.	Increased provider access to training/professional development opportunities and technical assistance.
Quality Funds (not including Targeted Funds) \$7,296,907	Professional Development Scholarships and Grants Train the Trainer Services for Child Care Professional Development Professional Development Tracking System (ECE-TRIS) Child Care Licensing Quality Add-ons	Assist early care and education professionals in professional growth through financial assistance. Establish and maintain centralized database to store/maintain individual training records. Train early childhood trainers and manage Professional Credentials and Infant/Toddler Conference. Issue license/certification to operate a child care program. Ensure regulatory requirements are met Incentivize providers for providing care to children with special needs, offering extended hours of operation, and national accreditation	Improved professional growth and development leading to enhanced quality environments . Improved professional growth and development leading to enhanced quality environments. Improved tracking of program compliance with professional development standards and statewide analysis of professional development. Maintenance of health, safety, and welfare of children through regulating minimum health and safety standards for child care settings. Promotion of parental choice and increased access.

1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

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

are distributed to local entities

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

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

Other.
Describe:

1.3 CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

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Describe:

The Cabinet for Health and Family Services (Cabinet or CHFS), Department for Community Based Services (Department or DCBS) is the lead agency designated by the Governor and state statutes to implement and administer programs funded by the federal Child Care and Development Fund (CCDF).

The Cabinet has numerous controls and mechanisms for insuring fiscal integrity and program accountability.

- The Office of Administrative and Technology Services (OATS) serves CHFS staff across all programs and services. From ensuring facility safety, procurement management and general accounting to desktop support, network security and electronic process development, OATS is dedicated to providing efficient, effective, quality service.
- The Division of General Accounting, (DGA) supports and oversees the Cabinet's accounting functions to ensure compliance with state, federal, and accepted accounting guidelines and principles. DGA prepares the Comprehensive Annual Financial Report and CHFS Cost Allocation Plan; manages grants, payments, travel reimbursement and cash receipts; performs audits and database maintenance; and provides eMARS security and cost distribution and payroll updates.
- The OATS Security and Audit Section manages security measures and issues for CHFS information technology resources and conducts security audits.
- The Office of Policy and Budget is a subunit adjoined to the CHFS Cabinet Secretary's Office, and on behalf of the CHFS Secretary, it functions as the lead for the coordination and oversight of advisory boards, commissions, councils, and committees; and administrative, financial, and policy matters. The Office of Policy and Budget assures the work products from CHFS agencies, such as DCBS, are timely and congruent with statutory mandates and the Executive Cabinet's and CHFS's goals and missions. The Office of Policy and Budget functions as a liaison and coordinating body among CHFS agencies and with the Executive Cabinet (or, its other cabinets) as well as the legislative branch, Administrative Office of the Courts, and other oversight bodies, such as the State Auditor of Public Accounts.
- The DCBS-Division of Administration and Financial Management (DAFM) is composed of the DCBS budget, policy, and contract staffs, in addition to the Resource Management Section. DAFM is responsible for the department's financial management and budget activities as well as oversight of policy, administrative regulations, state plans, contract monitoring functions; and coordination of those functions with other DCBS divisions, CHFS organizational units, and the Legislative Research Commission.
- The budget staff is responsible for the compilation and submission of the biennial budget for DCBS programs, daily monitoring of financial activity, budget modifications and realignments, and contract funding verification. In addition, budget staff prepares fiscal impacts to proposed legislation, administrative regulations, and state plans as well as responses to specific information requests from the Governor's Office of Policy and Management and the Legislative Research Commission.
- The DAFM Policy and Program Administration Branch is responsible for the following functions and services for DCBS: contract development and administration for Personal Service Contracts (PSC's), Memorandum of Agreements (MOA's), and Memorandum of Understandings (MOU'S); development and issuance of competitive solicitations or RFP's; contract monitoring functions; coordination and promulgation of administrative regulations and their review; coordination of federal formula and block grant applications and their electronic archiving; and review of OMB A-133 audit reports from subrecipients of federal funds.

In addition to those internal to the Lead Agency, Governor Beshear also launched Open Door, a comprehensive website that shows the public where and how their dollars are being spent. It also provides access to audits of state agencies. This website was recognized by a national group as one of the best transparency websites in the nation: <http://opendoor.ky.gov/Pages/default.aspx>.

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

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another

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

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Describe:

The Commonwealth of Kentucky was the first state to adopt Model Procurement Code legislation, which prescribes the methods by which the state government must bid, negotiate, and award contracts. The preferred and most commonly used method of purchasing is by competitive sealed bidding. Procurements involving technical or complex requirements may be bid as competitive negotiations by formal requests for proposals (RFPs). The Model Procurement Code also authorizes oversight functions of the Finance and Administration Cabinet and the Legislative Branch.

In addition to the Model Procurement Code, Kentucky maintains statutory requirements for public comment and legislative oversight of block grants, including semi-annual reporting, and administrative regulations developed by DCBS. These functions provide external review of major financial and policy products from DCBS to further reinforce accountability and compliance with federal laws, regulations, and guidance, including those for CCDF. These documents are often incorporated within contracts.

All contracted services remain under the direct supervision and administration of the Cabinet for Health and Family Services, which ensures the implementation of services through internal controls, contract monitoring, and fiscal audits.

- The contractor shall comply with the provisions of the Privacy Act of 1974 and instruct its employees to use the same degree of care it uses with its own data to keep confidential information concerning client data, the business of the Commonwealth, its financial affairs, its relations with its citizens and its employees, as well as any other information which may be specifically classified as confidential by the Commonwealth in writing to the contractor. All federal and state regulations and statutes related to confidentiality shall be applicable to the contractor.
- A system of internal controls is provided in the accounting and policy organizational structure within DCBS and its Cabinet-level partners, the Division of General Accounting, and the Office of Policy and Budget; and within the State's financial management system, enhanced Management Administrative Reporting System (eMARS): <http://finance.ky.gov/internal/eMARS/>. Assessment of the state's internal controls is made annually by the Auditor of Public Accounts.
- All contracted services must meet the stipulations of the contract for a one year period. Contracts may be renewed for one additional year or opened to new competition through a formal request for proposal process in accordance with Kentucky Revised Statutes (KRS) Chapter 45A.
- To inform program direction and contract renewals, programmatic and fiscal monitoring is conducted by DAFM on an annual basis, at quarterly intervals, to ensure appropriate implementation and administration. DAFM prepares a form called a "Contract Monitoring Tool" or "Tool" for each program in each contract. The Tool's items are based on the written terms of the contract and incorporated materials, including proposals, federal and state laws, and administrative policy. The Tool establishes criteria to ensure objectivity and to promote uniformity and fairness in the monitoring process. As an additional effort to promote consistency and equity in monitoring, DAFM contract monitoring staff follows the written procedures and uses template transmittal letters and forms. All contractors are provided copies of the Contract Monitoring Tools in advance of the appointment to prepare for the monitoring. Results of the monitoring are shared with program leads and can include

findings of noncompliance for which corrective action is required. Technical assistance is provided or facilitated through the contract monitoring staff.

- If the contractor is a non-federal entity, the contractor shall have a single audit conducted in accordance with Government Auditing Standards (GAS), Generally Accepted Auditing Standards (GAAS), and OMB Circular A-133, *Audits of States, Local Governments and Non-Profit Organizations*, issued by the Comptroller General of the United States and the Office of Management and Budget as amended. The Division of Administrative and Financial Management (DAFM) has one employee charged with the Office of Management and Budget (OMB) Circular A-133 audit review process for all contractors of DCBS.

DCBS has designated the Division of Child Care (DCC) as the lead division for submission of the error rate report. The DCBS Division of Program Performance has identified and designated an individual to conduct case file reviews and to report the findings to Division of Child Care. Kentucky's initial error rate report has been submitted and approved by the Administration for Children and Families (ACF) Region IV Office and is being followed with guidance from federal technical assistance. The Child Care Assistance Program (CCAP) section within DCC is working within existing partnerships with contracted Service Agents and OATS to formulate and implement solutions for error trends. The Section has worked (and, will continue to work) with Service Agent management and field staff to increase front-line knowledge and implementation of the Child Care Assistance Program's Standard Policies and Procedures through more frequent and consistent policy trainings. Statewide face-to-face trainings are conducted with all frontline staff in all service areas to discuss errors identified through the reviews and to address other areas of policy and procedure.

In addition, DCBS is studying performance-based contracts and increased monitoring and accountability of eligibility casework completed by Service Agent staff. DCC has begun regular, ongoing internal case reviews focusing on correct implementation of standard policy and procedures, and the DCBS Department of Program Performance (DPP) has been conducting independent reviews focused primarily on payment accuracy and improper payment.

The Division of Child Care conducts statewide face-to-face trainings with all frontline staff in all service areas to discuss errors identified through the reviews and to address other areas of policy and procedure.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct supervisory staff reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct data mining to identify trends	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2 nd level case reviews, special audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

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

- Share/match data from other programs - In partnership with OATS, DCBS runs systems matches against the database used for cash assistance under the Temporary Assistance for Needy Families (a.k.a., the Kentucky Transitional Assistance Program or K-TAP), Medicaid, and Supplemental Nutrition Assistance Program (SNAP) benefits to ensure that the income, household members, and other eligibility requirements are being reported the same to these programs as they are being reported to CCAP. In addition, staff access the child support database, the Birth Index File, and the Work Verification Number (TALX).
- Run system reports that flag errors - Reports are run to ensure program integrity. Reports employed include:
 - When a child has two providers paid for full-time care for same day.
 - Providers that do not have any absences recorded for 3 months or more.
 - Random pulling of providers payments and attendance sheets.
- Review of attendance or billing records – Attendance and billing records are reviewed at random, upon receipt of a complaint, or during a special audit. Daily sign-in/attendance sheet are compared with the provider billing statements submitted for payment in order to identify any discrepancy in the documentation.
- Conduct quality control or quality assurance reviews – The DCBS Division of Program Performance has identified and designated an individual to conduct case file reviews and to report the findings to

DCC. DCC has begun conducting regular, ongoing internal case reviews focusing on correct implementation of standard policy and procedures and the Department of Program Performance has been conducting independent reviews focused primarily on payment accuracy and improper payment. The Service Agent contractor conducts ongoing case record monitoring using a tool provided by the Cabinet.

- Conduct supervisory staff reviews – A new employee’s work pends prior to the final processing of case actions for a supervisory review. The more intensive oversight and coaching/mentoring occurs for a minimum of ninety days for new employees and continues until the employee completes work with an accuracy rate of 95%. Included as part of the monitoring process, a supervisor completes a case review sheet on all cases a new employee effects. Upon the worker obtaining the required accuracy level, the supervisor submits case review documentation to CHFS/DCBS to report case decision achieved by the new employee.
- Conduct data mining to identify trends – DCC conducts special element reviews, which consist of the review of payment data that may be regionally or program specific, in order to assess data trends and to analyze service impacts.
- Train staff on policy and/or audits – Statewide face-to--face trainings are conducted with all frontline staff in all service areas to discuss errors identified through the reviews and to address other areas of policy and procedure.
- Other. Describe 2nd level case reviews, special audits – Cases are pulled on a random basis for both a Quality Control Review and 2nd line review to ensure program integrity. The error trends are identified, and training and further policy clarifications are completed from review findings.

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

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

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Strategy	UPV	IPV and/or Fraud	Administrative Error
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Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 25	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: The Division of Child Care coordinates with the Office of the Inspector General to investigate and prosecute identified cases of fraud which are in excess of \$5,000 or more.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through other means. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit: The Office of Inspector General and the DCBS claims management section.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

- Require recovery after a minimum dollar amount in improper payment - Claims are established on all overpayments over the amount of \$25.00, whether the claim is a result of an agency error, inadvertent household error, or fraud.
- Coordinate with and refer to other State/Territory agency – DCBS/DCC coordinates with the Office of Inspector General to investigate and prosecute claims over \$5,000.00.
- Recover through repayment plans - Any claim less than \$5,000.00, or not a fraud case, is sent notification of the claim and is notified of the need to set up a payment plan for repayment of the claim.
- Reduce payments in subsequent months - If a claim is established on a child care provider, the provider has the option of having their monthly payment reduced to offset the overpayment amount in lieu of sending in a monthly payment.
- Recover through State/Territory tax intercept - If payments are not made towards a claim on a timely basis, state income taxes are withheld from clients and providers operating as sole propiership for restitution of the claim.
- Establish a unit to investigate and collect improper payments – The Office of the Inspector General, Special Investigations Unit, investigates fraud and abuse of CCAP. A claims management section wtihin DCBS assists in the tracking and collection of claims.

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

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None

Disqualify client.

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

A client is disqualified if the client is found to have committed an intentional program violation or fraud.

In accordance with 922 KAR 2:020, the cabinet initiates an administrative disqualification hearing upon the suspected Intentional Program Violation (IPV). The recipient household may attend with representation. All substantiated IPVs' are subject to the following disqualification periods from Child Care Assistance Program:

1. Three (3) months disqualification for a first occurrence of IPV;
2. Six (6) months disqualification for a second occurrence of IPV; and
3. Permanent disqualification for a third occurrence of IPV.

The recipient household may request an appeal of the establishment of a claim as well.

Disqualify provider.

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

Providers are subject to the same administrative hearing/appeal rights and disqualification periods as recipients.

In Kentucky,

- CCDF clients are still be able to receive CCDF services during the hearings process.
- CCDF providers are still be able to serve CCDF clients during the hearings process.

Disqualified CCDF clients and providers will be prosecuted criminally if accepted by County or Commonwealth Attorney for prosecution and if amount is over \$5,000.

Prosecute criminally

Other.

Describe.

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

N/A here

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Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
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<p>1. Develop a statewide training session focusing on eligibility.</p> <p>2. Continue to work with OATS on improvements to the system.</p> <p>3. Use the Work Number Automated Verification System.</p> <p>4. Improve access to other data systems.</p> <p>5. Increase accountability of contractors in regards to case accuracy.</p> <p>6. Increase internal monitoring to ensure case accuracy objectives are being met and provide accountability tracking for contractors.</p>	<p>N/A</p>	<p>1. DCC utilizes a tiered training approach for staff who determines eligibility. New staff is trained by their local management upon hire and then receive additional ongoing training by DCC staff to ensure statewide consistency of policy.</p> <p>2. DCC has multiple enhancements in development related to policy and regulatory changes.</p> <p>3. The eligibility workers in each area are using this service to identify wages for clients.</p> <p>4. DCBS continues to work with other agencies to secure access to other data systems for information pertinent to eligibility determination.</p> <p>5. DCC has developed specific contract requirements related to corrective action and case accuracy with identified objectives and improvement benchmarks for contracted Service Agents.</p> <p>6. Enhancements of review processes for Division of Program Performance focus on payment accuracy and improper payment. DCC processes focuses on adherence to policy and procedure guidelines.</p>	<p>N/A</p>

1.4 Consultation in the Development of the CCDF Plan

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

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

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>DCBS consulted with Community Action Network in the development of the plan through review of the draft plan and opportunity for revisions.</p>
<p>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</p>	
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>DCBS consulted with the Department of Education in the development of the plan through review of the draft plan and opportunity for revisions.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>DCBS consulted with the Department of Behavioral Health, Developmental and Intellectual Disabilities in the development of the plan through review of the draft plan and opportunity for revisions. This is an agency internal to CHFS.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	<p>DCBS consulted with the Office of the Inspector General in the development of the plan through review of the draft plan and opportunity for revisions. This is an agency internal to CHFS.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency with the Head Start Collaboration grant</p>	<p>DCBS consulted with the Office of Early Childhood in the development of the plan through review of the draft plan and opportunity for revisions.</p>

<input checked="" type="checkbox"/> <p>Statewide Advisory Council authorized by the Head Start Act</p>	<p>DCBS consulted with the Early Childhood Advisory Council in the development of the plan through review of the draft plan and opportunity for revisions.</p>
<input checked="" type="checkbox"/> <p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services</p>	<p>DCBS consulted with the University of Kentucky in the development of the plan through review of the draft plan and opportunity for revisions.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>DCBS consulted with the Department of Education in the development of the plan through review of the draft plan and opportunity for revisions.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>DCBS consulted with the Department of Public Health, Division of Maternal Child Health in the development of the plan through review of the draft plan and opportunity for revisions. This is an agency internal to CHFS.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)</p>	<p>DCBS consulted with the Department of Public Health in the development of the plan through review of the draft plan and opportunity for revisions. This is an agency internal to CHFS.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for child welfare</p>	<p>DCBS consulted with programmatic leads within its Division of Protection and Permanency in the development of the plan through review of the draft plan and opportunity for revisions. This is an agency internal to DCBS.</p>
<input checked="" type="checkbox"/> <p>State/Territory liaison for military child care programs or other military child care representatives</p>	<p>DCBS consulted with the Military Child Care Liaison in the development of the plan through review of the draft plan and opportunities for revisions.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services/workforce development</p>	<p>DCBS consulted with the Department of Workforce Development in the development of the plan through review of the draft plan and opportunity for revisions.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)</p>	<p>DCBS consulted with programmatic leads in its Division of Family Support in the development of the plan through review of the draft plan and opportunity for revisions. This is an agency internal to DCBS.</p>

<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State	N/A
<input checked="" type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	DCBS consulted with the Kentucky Out of School Alliance in the development of the plan through review of the draft plan and opportunity for revisions.	
<input type="checkbox"/> Provider groups, associations or labor organizations	N/A	
<input type="checkbox"/> Parent groups or organizations	N/A	
<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	DCBS consulted Child Care Resource and Referral Agencies in the development of the plan through review of the draft plan and opportunity for revisions.	
<input checked="" type="checkbox"/> Other	In accordance with state statutes, DCBS provided the preliminary plan to the Legislative Research Commission for public review and legislative oversight.	

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

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a) Date(s) of notice of public hearing: [04/10/2013](#)

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

b) How was the public notified about the public hearing? [Legal advertisement](#)c) Date(s) of public hearing(s): [05/22/2013](#)

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

d) Hearing site(s) [Cabinet for Health and Family Services, Health Services Building, Distance Learning, Center Third Floor, 275 East Main Street, Frankfort, Kentucky 40621](#)

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? [Notices will be placed in newspapers with general circulation directing them to the website](#)

to review the draft plan.

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? Public comments will be received through the public hearing process as well as written submissions through postal service and electronic mail. Comments will be recorded and reviewed. A written response will be provided for each comment made available for review and submitted with the state plan for approval.

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

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The draft plan will be posted on the agency's website. The Legislative Research Commission may provide other opportunity for public hearing or comment.

1.5. Coordination Activities to Support the Implementation of CCDF Services

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

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

Note: Descriptions of how governments are organized for each State are provided at: http://www2.census.gov/govs/cog/all_ind_st_descr.pdf.

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

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government</p> <p>This may include, but is not limited to:</p> <ul style="list-style-type: none"> representatives from counties and municipalities local education representatives or local public health agencies. 	<p>Community Early Childhood Councils, established per KRS 200.707, are located statewide, include representatives from the local community and address early childhood developmental goals.</p> <p>Local Health Departments work daily to build a healthy community where residents can achieve optimal health and have access to quality health care and information.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>Community Early Childhood Councils identify program goals and help to improve the quality of community-based child care programs.</p> <p>Collaboration has helped Kentucky to continuously review program effectiveness in relation to healthy child care environments and maintain coordination of services in early intervention.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to,</p> <ul style="list-style-type: none"> State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education. 	<p>The Department of Education: Kentucky's preschool education programs are available for all four-year old children whose family income is no more than 150% of poverty; and all three and four-year-old children with developmental delays and disabilities, regardless of income.</p> <p>Kentucky Invest in Developing Success (KIDS NOW) has the goals that all young children in Kentucky are healthy and safe, possess the foundation that will enable school and personal success, and live in strong families that are supported and strengthened within their communities.</p>	<p>The Department of Education is a major partner with DCBS, as both entities work collaboratively to assure children are ready to succeed in school, including wrap-around service coordination with providers.</p> <p>A scholarship fund is administered through the Kentucky Higher Education Assistance Authority to assist those who work in child care at least twenty hours per week. The fund assists personnel in moving through a credentialing system that begins at entry level and proceeds through post-secondary education.</p>

<input checked="" type="checkbox"/>	<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>The University of Kentucky's Human Development Institute (HDI): The mission of HDI Partnership for Early Childhood Services is to engage in collaborative research and professional development to influence policy and practice to enhance high quality services for children and families.</p>	<p>DCC works closely with HDI to provide technical assistance for the state's Quality Rating and Improvement System (QRIS) program, administer oversight of Child Care Resource and Referral Agencies, and provide technical assistance and training to Kentucky's trainer credentialing system.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Department for Public Health(DPH) Maternal and Child Health (MCH) Division includes the First Steps Program, the Health Access Nurturing Development Services (HANDS) program, and Healthy Start in Child Care.</p> <p>Department for Behavior Health, Developmental and Intellectual Disabilities administers the Kentucky Social Emotional Educational Development Program (SEED) and Kentucky Impact.</p>	<p>Efforts between DCBS and these agencies include: Promote and protect the health and safety of children in out of home child care, and Promote collaboration and coordination with the CCR&Rs and other agencies with responsibilities for child care. These efforts have resulted in increased direct service coordination.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>The Department for Workforce Investment, Office of Employment and Training connects clients to employment, workforce information, education and training.</p>	<p>This agency refers clients for DCBS/CCAP services. Additionally, Kentucky's CCR&Rs utilize regional workforce development specialists to provide training, skill development, and consultation for small business.</p>

<input checked="" type="checkbox"/> State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies (required)	DCBS, Division of Family Support (DFS) is responsible for administering the Supplemental Nutrition Assistance Program (SNAP), the Kentucky Transitional Assistance Program (K-TAP) or cash assistance, Kentucky Works Program (KWP), Family Alternatives Diversion (FAD) Program, and eligibility determination for Medicaid programs.	DFS coordinates with the DCC to provide child care services through application and referral for TANF-eligible families.
<input type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State		

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

<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	Department of Education currently houses the Head Start Liaison Office.	Specific efforts are underway to better coordinate professional development supports that are shared, or could be shared, between child care and Head Start programs to increase quality services.
<input type="checkbox"/> State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC) <input checked="" type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC		

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>Department of Education currently administers the Child and Adult Care Food Program (CACFP).</p>	<p>Specific efforts have been made to collaborate and coordinate the development of a consistent sign in sheet for all child care programs. Thru continuous ongoing partnership specific efforts have been made to collaborate and coordinate the development of a consistent sign in sheet for all child care programs.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to:</p> <p>State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>Department for Behavioral Health, Developmental and Intellectual Disabilities</p>	<p>Efforts between DCBS and this agency include:</p> <p>Promote and protect the health and safety of children in out of home child care, and</p> <p>Promote collaboration and coordination with the CCR&Rs and other agencies with responsibilities for child care. These efforts have resulted in increased direct service coordination.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>Department for Public Health-Maternal and Child Health (MCH) Division</p>	<p>Efforts between DCBS and these agencies include:</p> <p>Promote and protect the health and safety of children in out of home child care, and</p> <p>Promote collaboration and coordination with the CCR&Rs and other agencies with responsibilities for child care. These efforts have resulted in increased direct service coordination.</p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	DCBS Division of Protection and Permanency leads policy and procedure development for field staff to use during the investigation of allegations of child abuse, neglect, and dependency; and to support permanency services for children.	In an effort to prevent or intervene in child maltreatment, this division ensures procedures for vulnerable families to be eligible for CCAP.
<input checked="" type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	Military Child Care Liaison works with Kentucky partners to provide access to community based child care programs which come close to military standards.	Outlined goals for this liaison are that quality of identified programs will meet military criteria, and more military families are served in community based child care settings.
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	Kentucky Out of School Alliance, (KYOSA): Kentucky is a recent recipient of a Mott Foundation Grant to improve after-school options. The Alliance seeks to increase access to a high quality afterschool programs through a collaborative structure of statewide, regional, and local partnerships.	The Division of Child Care, collaborates with KYOSA to establish afterschool quality standards as well as professional development training targeted to providers in afterschool settings.
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	Child Care Resource and Referral Agencies (CCR&Rs) , outlined in KRS 199.8992, are a statewide network.	A centralized call center provides referrals to parents seeking quality child care to local CCR&R agencies throughout the state. The agencies coordinate training for licensed, certified, and registered providers to meet regulatory training requirements. Technical assistance is also provided to help those who are interested in starting a child-care center or certified family child-care home.
<input type="checkbox"/>	Provider groups, associations or labor organizations		
<input type="checkbox"/>	Parent groups or organizations		
<input type="checkbox"/>	Other		

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan? Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other

purposes, including fulfilling requirements of other programs.

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Yes. If yes,

a)

Provide the name of the entity responsible for the coordination plan(s):
The Kentucky Early Childhood Advisory Council has replaced the Early Childhood Development Authority.

b)

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

[0 years to 8 years](#)

c)

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

Yes

No

d)

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

<http://kidsnow.ky.gov/Pages/default.aspx>

No

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

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State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

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

State Advisory Council (as described under the Head Start Act of 2007).

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

[The KIDS NOW initiative was established in House Bill 706, passed unanimously by both legislative chambers in 2000 and funded with 25% of the Kentucky Tobacco Settlement Funds. In 2011, Governor](#)

Steven Beshear renewed the commitment to enhancing early childhood outcomes and school readiness by creating the Early Childhood Advisory Council and the Governor's Office of Early Childhood. The Kentucky Early Childhood Advisory Council was signed into law in the 2013 general assembly. The main goals of the KIDS NOW Initiative are:

- Support and strengthen families,
- Assure that all children grow and develop to their full potential,
- Provide high quality, accessible, affordable early care and education options, and
- Promote public awareness of the importance of the first years for the well-being of all Kentucky's citizens.

Local Coordination/Council

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

Other

Describe

None

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

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Yes .

If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership:

The Cabinet has committed to ongoing endeavors to encourage the private sector to meet employee needs for child care. KRS 199.8992 charges the Cabinet with stimulating employer involvement in improving the affordability, availability, safety, and quality of child care for their employees and for the community. DCC, through subcontracts with local CCR&Rs, has conducted several outreach activities targeted at local businesses, inclusive of a marketing plan with material and information to employers on the importance of high quality child care to the business community.

Community Early Childhood Councils (CECC) were created under KRS 200.707 to improve the quality and availability of child care, especially in low resource or high need areas. CECCs are used as a vehicle for bringing together community members to support issues of importance to children and

care, and public assistance as needed.

Local Office Planning and Communications:

The Department maintains offices in each of Kentucky's 120 counties. The Department's contractual service agent for the Child Care Assistance Program or CCAP (i.e., child care subsidy) is co-housed within these offices or offers onsite services throughout the work week. Each local office has developed a continuity plan, inclusive of an alternative office location and staff contact information, in the event the office or its staff is adversely impacted by a disaster or an emergency. As made evident in recent storms and flooding, staff utilizes mobile technology (e.g., lap tops, cell phones, blackberries) to maintain communications and continue service provision regardless of office access or temporary relocation.

The contractual service agent will contact the Division of Child Care and University of Kentucky as soon as practicable of any shutdown or break in service. In the event an evacuation or disaster that prevents the contractual service agent from operating in existing locations, it is the plan that the contractual service agent would set up a base of operations at another site to continue business operations. The contractual service agent would work with DCC and the University of Kentucky to continue to meet the needs of the clients and providers served under the Child Care Development Fund.

The Department's Central Office in partnership with its regional offices and contractual providers can also mobilize staff from surrounding counties or regions to ensure service coverage for a local office whose capabilities have been compromised by a disaster or an emergency. During the past year, DCBS personnel were able to continue service delivery through the use of its continuity plans and available technology during times of weather-related emergencies. In addition, the Department for Public Health and Division of Emergency Management have additional communication and technology resources that can be accessed and can adapt to the scope of an emergency or disaster.

Disaster Declarations:

In early March 2012, a series of tornadoes devastated 21 counties, which were declared by the Federal Emergency Management Agency as disaster areas. One of the DCBS' local offices was destroyed. The Department relocated the impacted local office staff and operations to a temporary structure for the immediate recovery and into a permanent facility quickly with the support of the Kentucky Department for Public Health and the Cabinet for Health and Family Services' Office of Administrative and Technology Services.

Preservation of Records:

The Department maintains hardcopy files in accordance with federal and state laws governing client confidentiality. Should a fire and/or water damage impact hardcopy records, DCBS will utilize record recovery resources, including those that can be purchased privately and those available through the Kentucky Department for Libraries and Archives.

The Kentucky Integrated Child Care System (KICCS) houses information pertaining to various child care programs, including CCAP and child care providers' licensure, certification, and quality rating. The Cabinet's Office of Administrative and Technology Services ensures that all information technology resources are backed up nightly and have appropriate disaster recovery plans and regularly scheduled disaster exercises.

The Cabinet's Kentucky Integrated Child Care System (KICCS) Disaster/Recovery Information Technology (IT) Plan documents the guidelines, support, and resources needed should a disaster impact the Commonwealth Data Center (CDC) located at Cold Harbor, Frankfort KY. The hardware for the infrastructure of KICCS is located at CDC which is operated by the Commonwealth Office of Technology (COT). The plan will be activated when an emergency beyond the scope of standard operating procedures occurs. It is designed to reduce confusion created during a disaster, and provides a framework for recovery and restoration of critical systems, voice/data communications, business processes and facilities. The Cabinet's OATS works with COT to coordinate these efforts.

The contents of the Plan follow a logical step-by-step sequence and are written in a standard and understandable format. This should provide improved team performance if the Plan has to be used. The Plan documents the initial actions necessary to assess the damage or impact of an emergency situation and the activities required to maintain control and recover from the disaster event.

Elements of the Plan are tested periodically with the COT. COT has a contract with the IBM Business Continuity and Recovery Services for a hot site facility and equipment in Sterling Forest, NY. The Plan must be modified regularly based upon test results, as well as changes to hardware, software, applications, procedures, personnel, and the organization structure. The Plan documents are stored electronically, backed up and saved off site, and made available in electronic form to authorized individuals. Primary access to the plan will be via the Intranet.

Coordination with other State/Territory agencies and key partners:

The Department has been able to maintain an understanding of the comprehensive disaster and emergency framework, develop current areas of focus, and provide input on the direction of initiatives through its strong partnerships and collaborations. The Department is viewed as the “child advocate” and “child expert” in state-level planning efforts. Since 2007, the Department has been guided by the efforts of the Children’s Emergency Care Network (CECN) in the coordination and development of a comprehensive disaster plan for all children with a particular focus on the Department’s service population.

In April 2007, DCBS and University Training Consortium-Eastern Kentucky University (EKU) hosted one of several meetings of a core group of representatives from the Children’s Emergency Care Network to provide direction with regard to a children’s disaster plan’s targeted outcomes, critical obstacles, underlying issues, populations targeted for change, and governance changes that will help achieve the targeted outcomes. Invited to this core group were Dr. Anita Barbee with the University of Louisville, C.J. Jones who is a disaster plan lead for the Department for Behavioral Health, Developmental and Intellectual Disabilities (formerly, the Department for Mental Health, Developmental Disabilities, and Addiction Services), Elizabeth Caywood of the DCBS Commissioner’s Office, Ann Henry with EKU, Dr. Eugene Foster who formerly served as Undersecretary of the Cabinet for Health and Family Services, Germaine O’Connell and LeAnn Seagraves formerly with the Department of Public Health, Marie Berryman whose work with EKU focused on Private Child Care, and Mike Cheek of DCBS-Division of Protection and Permanency. Ann Henry remains dedicated full-time to emergency preparedness with an emphasis on Kentucky’s children and coordinates such efforts with DCBS worker safety.

From this core group, a framework for the development and assignment of activities was generated. The broader approach taken in the plan, one that is inclusive of all Kentucky children, ensures that this plan is a resource and is integrated fully into Kentucky’s emergency management system, services are best coordinated, duplicative efforts are avoided, and available resources are maximized. The broader approach makes this Kentucky’s plan, rather than DCBS’s plan. The broader approach supports the involvement of the entire community and individual families, and promotes greater preparedness on the part of individuals and families to avoid overwhelming the child welfare system, which may be concurrently coping with a disaster. This plan, the CECN Plan, continues to guide disaster and emergency preparedness efforts, particularly within DCBS.

While CECN no longer meets as a group, its project manager and staff within the DCBS Commissioner’s Office continue to work on emergency preparedness efforts as a portion of their overall job duties.

As a follow-up to national level exercises in Paducah and Pikeville in Spring 2011, DCBS received review and comments from the Office of Force Readiness and Deployment, an organizational unit of the Commissioned Corps of the U.S. Public Health Service, concerning the CECN Plan. The comments are still being considered for a revision of the plan.

The Department provides representation and necessary contacts for statewide disaster/emergency preparedness groups and specialists (e.g., Kentucky Community Crisis Response Board, Kentucky Functional Needs Collaborative, Kentucky Division of Emergency Management's plan administrators, Emergency Management Specialist for the Administration for Children and Families-Region IV, and Administrative Office of the Courts). Like many human services agencies, DCBS continues to gain more in-house expertise with continuity of operations planning and emergency preparedness. Departmental staff participates in trainings, conferences, webcasts, and informational calls to the extent resources allow.

Emergency preparedness regulatory requirements for child care providers:

In the 2011 Regular Session, a new Kentucky statute was created that required licensed child-care centers to create and maintain evacuation plans, inclusive of a reunification component and considerations of children with special needs, and share those plans annually with local emergency management personnel and parents. In the 2012 Regular Session, this statute was amended to also apply to certified family child-care homes, providers serving a smaller number of children in the provider's home. Enforcement of the statute began in 2012 following better than a year of collaborative work with the Kentucky Department of Public Health and Division of Emergency Management to include the development of a free, online evacuation plan template and training for child care providers, and enhanced awareness on the part of local emergency management.

On September 13, 2012, the Department formally proposed six administrative regulations to incorporate the evacuation plan requirement within the standards for all child care providers in Kentucky, including registered providers in CCAP (i.e., family, friend, or neighbor providers). The administrative regulations were adopted into law March 8, 2013.

In child care, every employee of a licensed, certified, or registered child care provider with care responsibilities is required to have a six-hour Orientation training within the first 90 days of employment. An entire section of the training is devoted to emergency procedures. This section was modified in 2010 to address evacuation of children with special needs and emphasize the importance of knowing community emergency response plans.

The Child Care Resource and Referral Agencies (represented statewide) are members Child Care Aware (CAA) and provide ongoing training and technical assistance on emergency preparedness through their websites and other continuing education/professional development opportunities.

The Child Care Health Consultation for Healthy Start in Child Care Program, through the Department for Public Health, provides training and technical assistance to child care providers utilizing the Caring for Our Children Resource as a basis for "best practice". Emergency procedures and plans are embedded throughout the Resource.

Kentucky child care preparedness resources can be accessed at:
http://training.chfs.ky.gov/Child_Care_Preparedness/html/index.html.

Save the Children, an independent organization promoting children's issues nationally and internationally, evaluated states' preparedness on behalf of children. As a result of these and other efforts, Kentucky received positive ratings in all four standards areas:
http://www.savethechildren.org/site/c.8rKLIXMGIpI4E/b.7705371/k.10C/Disaster_Preparedness_for_kids_in_the_USA.htm?msource=usplpepp0812

Challenges and Limitations

Federal funding directed specifically towards human services agencies, like DCBS, for emergency or disaster preparedness has been limited, if non-existent. Rather, additional funding made available to DCBS has typically followed a federally declared emergency or disaster for provision of response and recovery efforts, not preparedness. Funding, including DCBS staff time and conference expenses, has been largely taken from existing agency appropriations, which have been reduced or further strained

due to the national economic downturn. An additional area of concern is garnering the specialized skill sets necessary for viable emergency or disaster preparedness—skills that are not traditionally taught in the human services industry. However, despite the lack of resources, DCBS has made great strides in emergency or disaster preparedness.

The purchase of supplies in advance of an emergency or disaster may pose concerns in that the supplies may expire before they can be used and may create storage capacity issues. Readiness kits that are encouraged for individuals and families would address many of the immediate needs, including toys, food, water, and first aid for children in the household. The American Red Cross has tailored readiness kit information to offer guidance to businesses and to low-income individuals and families about how they can incrementally develop a kit within their limited resources.

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

Effective Date: 01-OCT-13

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

2.1 Administration of the Program

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

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

Effective Date: 01-OCT-13

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

State/Territory

Local entity.

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

Other.

Describe:

Sliding fee scale is set by the:

State/Territory

Local entity.

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

Other.

Describe:

Payment rates are set by the:

State/Territory

Local entity.

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

Other.

Describe:

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

Effective Date: 01-OCT-13

Implementation of CCDF Services/Activities

Agency (Check all that apply)

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

Who issues payments?

Who determines eligibility?

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

DCBS TANF and protection and permanency (i.e., child welfare) workers determine if child care is needed and approves the service by completing the DCC-85 Approval for Child Care Assistance, or DCC-85A, K-TAP Approval for Child Care Assistance form. A recipient approved by the DCBS worker for child care services is not required to complete an application interview or provide additional copies of documentation maintained by DCBS of eligibility factors to the child care staff.

Agency (Check all that apply)

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

Describe:

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

Describe:

DCBS protection and permanency (i.e. child welfare) workers

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

Agency (Check all that apply)

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

Describe:

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

Describe:

Who issues payments?

Agency (Check all that apply)

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

Describe:

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

Describe:

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

Payments are issued directly to the provider. A request for payment is submitted via a provider billing statement. The information is entered into the Kentucky Integrated Child Care System (KICCS), and a payment file is created. Payments may be issued by paper check, or providers have the option to choose electronic file transfer to a checking or savings account.

Other. List and describe:

2.2. Family Outreach and Application Process

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

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

Effective Date: 01-OCT-13

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

(provide website): <http://chfs.ky.gov/dcbs/dcc/ccap.html>

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

Other.
Describe:

n/a

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

Effective Date: 01-OCT-13

In person interview or orientation

By mail

By Phone/Fax

Through the Internet

(provide website):

By Email

Through a State/Territory Agency

Through an organization contracted by the State/Territory

Other.

Describe:

The applicant is allowed the option of designating a representative to complete the application process. The representative is designated in writing by the individual, unless the individual is physically or mentally unable to complete a written statement or on the DCC-91C Authorization Representative form. If the physically impaired individual, including a disabled, blind and hearing impaired individual, has no friend or relative to help with the application process and interview, the individual is referred to county and community resources. Phone interviews may be requested, but documentation concerning the applicant's disability should be included in the case comments. If an individual is physically unable to make application in person, and other options for application fail, a home visit is used.

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

Effective Date: 01-OCT-13

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

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

different care options available.

Kentucky's CCR&Rs, CECCs, DCBS, and CCAP Service Agents provide comprehensive consumer education materials to help parents make informed child care choices concerning child care providers.

Kentucky's efforts to meet the consumer education goal include:

- Coordinating local activities with statewide efforts;
- Encouraging participation in National Child Care Aware Quality Assurance; and
- Referring consumer requests to local CCR&R agencies.

DCBS supports a statewide toll-free number for parents to contact local CCR&R [WU1] resources for information concerning child care. The parent contacts the toll-free number which routes the parent to the CCR&R located in the area from which the call was initiated. Parents can also visit the public web page to search for providers in their area and view current reports regarding the provider and their services at; <https://prd.chfs.ky.gov/KICCSPublic/ProviderSearchPublic.aspx>.

The CCAP Service Agents administering the subsidy program promote consumer education to low income families, including distribution of consumer education materials, cross-training, and frequent co-location of CCR&R and CCAP staffs.

The DCBS-Division of Service Region staff, with the support and guidance of the DCBS Divisions of Family Support and Protection and Permanency, also provide TANF recipients or other potential recipients with information about the CCAP and quality child care. DCBS offers at least one office in each of Kentucky's counties, and CCAP Service Agents are permanently co-located within these offices or have regularly scheduled hours within these offices. The co-location of DCBS direct service staff and CCAP Service Agents enable the public to apply for a broad array of work support benefits at a single location, such as Medicaid, K-TAP, CCAP, and the Supplemental Nutrition Assistance Program (SNAP).

The outcomes of these programs are to:

- Provide access to a seamless network of services for families seeking child care and the general public;
- Provide families support systems; and
- Provide families access to desired services, programs, and activities in their community.

The Cabinet has committed to ongoing endeavors to encourage the private sector to meet employee needs for child care. KRS 199.8992 charges the Cabinet with stimulating employer involvement in improving the affordability, availability, safety and quality of child care for their employees and for the community. DCC, through subcontracts with local Child Care Resource and Referral Agencies, has conducted several outreach activities targeted at local businesses, inclusive of a marketing plan with material and information to employers on the importance of high quality child care to the business community.

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

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

STARS for KIDS NOW (STARS), Kentucky's voluntary quality rating improvement system for licensed Type I child care centers, licensed Type II homes, and certified family child care homes, is available statewide. This system uses a scale of STARS for KIDS NOW ratings of Level 1 through 4 to identify different levels of quality. All STARS levels surpass the minimum licensing or certification requirements that all licensed or certified programs must meet. Programs are assessed in the following areas: staff/child ratios, group size, curriculum, family involvement, training and education of staff, regulatory compliance, and personnel practices. Achievement and incentive awards are given related to the STARS rating. The STARS Quality Incentive Award is targeted towards providers who participate in the Child Care Assistance Program. Child care programs are reimbursed based on the percentage of CCAP children served.

Licensed or certified providers who are accredited by a national organization will receive an additional two dollars per day above the maximum rate of pay. Licensed or certified providers may also receive an additional one dollar per day to provide child care for non-traditional hours. Licensed, certified, or registered child care providers may receive an additional one dollar per day to serve a child with special needs. These rate differentials may be cumulative and do not exceed the amount charged to the general public for the same care.

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

Effective Date: 01-OCT-13

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

Accepting Walk-in Applications

- Using a simplified eligibility determination process such as:
- Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
- Developing a single application for multiple programs
- Developing web-based and/or phone-based application procedures
- Coordinating eligibility policies across programs.

List the program names:

- Streamlining verification procedures, such as linking to other program data systems

- Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).

Length of time: [Four \(4\) Weeks](#)

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

Other.
Describe:

[n/a](#)

Other.
Describe:

[n/a](#)

None

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

Effective Date: 01-OCT-13

- Provide CCDF assistance during periods of job search.

Length of time: [Four \(4\) Weeks](#)

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

Synchronize review date across programs

List programs:

[n/a](#)

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

Describe:

[1 year](#)

- Extend periods of eligibility for families who are also enrolled in either Early Head Start

or Head Start and pre-k programs.

Describe:

Kentucky has a one year re-determination period which covers the school year.

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

Describe:

n/a

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

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

Describe:

n/a

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

Other.

Describe:

n/a

None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

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

Informational materials in non-English languages

Training and technical assistance in non-English languages

Website in non-English languages

Lead Agency accepts applications at local community-based locations

Bilingual caseworkers or translators available

Outreach Worker

Other.

Describe:

n/a

None

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

The primary language offered is Spanish. DCBS and its contractual partners follow the Cabinet's Office of Human Resource Management's Procedures for Providing Language Access to Clients with Limited English Proficiency. Other languages common in Kentucky's population include Vietnamese, Creole, Chinese, Cambodian, Arabic, Hmong, Korean, Somalian, and Russian.

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

Effective Date: 01-OCT-13

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

n/a

None

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

The primary language offered is Spanish. DCBS and its contractual partners follow the Cabinet's Office of Human Resource Management's Procedures for Providing Language Access to Clients with Limited English Proficiency. Other languages common in Kentucky's population include Vietnamese, Creole, Chinese, Cambodian, Arabic, Hmong, Korean, Somalian, and Russian.

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

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

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	Driver's license, Student I.D., Military I.D. or two other forms of verification to include the options of : Kentucky I.D., Social Security card, citizen I.D. Card and/or birth certificate/hospital record.
<input checked="" type="checkbox"/> Household composition	DCC-90C, Residence-Household Verification form, or similar statement from someone who knows family.
<input checked="" type="checkbox"/> Applicant's relationship to the child	Birth Index System, Birth Records
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	Birth Index System, Birth Records, School Records
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	DCC forms, DCC-90L, Student Work Verification Form, DCC-90I, Work and School Schedule.
<input checked="" type="checkbox"/> Income	Work Verification System, DCC-90D, Verification of Income, ckeck stubs, federal tax forms
<input type="checkbox"/> Other. Describe:	n/a
n/a	

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

Effective Date: 01-OCT-13

Time limit for making eligibility determinations.

Describe length of time [30 days](#)

Track and monitor the eligibility determination process

Other.

Describe

[n/a](#)

None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1 through 2.2.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

Yes.

If yes, describe:

The DCBS worker determines if child care is needed and approves the service by completing the DCC-85, Approval for Child Care Assistance, or DCC-85A, K-TAP Approval for Child Care Assistance form. A recipient approved by the DCBS worker for child care services is not required to complete an application interview or provide additional copies of documentation maintained by DCBS of eligibility factors to the child care staff. The DCBS worker is responsible for notifying the child care Service Agent staff of changes reported to the agency that impact child care services.

These changes include, but are not limited to:

- Removal of a child from a home;
- Beginning or ending a job;
- Address changes;
- Child care provider changes;
- Income changes;
- Discontinuance or closure of TANF cash assistance (K-TAP);
- Changes in household composition; and
- Approval of Kinship Care.

 No.

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

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

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

Effective Date: 01-OCT-13

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

State/Territory TANF Agency [DCBS Division of Family Support](#)

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

- "appropriate child care": [means an eligible child care provider as defined in 45 C.F.R. Part 98.2.](#)
- "reasonable distance": [means the distance customarily available within a locality.](#)

- "unsuitability of informal child care": means care, not regulated under Kentucky law, which does not meet the quality child care needs as defined by the parent or the health and safety requirements applicable to regulated child care in the Commonwealth.
- "affordable child care arrangements": means appropriate child care, at a reasonable distance, which is suitable and charges at or below the maximum provider payment rate under the CCDF plan.

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

In writing

Verbally

Other.

Describe:

A TANF recipient receives information from a DCBS-Division of Service Regions worker, with support from the DCBS Division of Family Support, regarding the exception to the individual penalties associated with work requirements for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under six years of age. Eligibility for a TANF recipient is determined by the DCBS-Division of Service Regions by its family support-focused staff.

2.3. Eligibility Criteria for Child Care

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

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

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residing with -

means eligible children who are living with a parent or parents, by blood, marriage or adoption, including legal guardians or other person standing in loco parentis, are considered to be "residing with" a family.

in loco parentis -

means a person who assumes primary responsibility as the child's caregiver.

2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

a) The Lead Agency serves children from 0 weeks to 12 years (may not equal or exceed age 13).

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

Yes, and the upper age is 18 (may not equal or exceed age 19).
Provide the Lead Agency definition of *physical or mental incapacity* -

means a child who has multiple or severe functional needs requiring ongoing specialized care.

No.

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

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

No.

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

Effective Date: 01-OCT-13

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

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

Employment means public or private, permanent or temporary work that is performed for a wage, is self employment, or is unpaid such as student teaching, an internship, or practicum. A combination of employment activities can be used to meet the required number of hours.

For single parent families, the requirement is an average of twenty hours per week.

For two (2) parent families, the requirement is a combined average of forty hours per week unless one adult is mentally or physically unable to provide care for the children. In those instances, the requirement is an average of twenty (20) hours per week for the adult able to work. The average work requirement for one adult in a two parent family is an average of five hours per week.

If a two parent household requests child care assistance and only one (1) parent is working, and the second parent states that s/he is unable to work due to being incapacitated, the family is eligible. The incapacitated parent must have a doctor's statement indicating that the parent is unable to care for the child.

Recipients of the K-TAP, who need child care while they participate in the Kentucky Works Program to meet TANF participation requirements, must be actively involved with activities including employment, education, job preparation activities, job search, or other activities designed to assist the family attain self sufficiency. A parent, whose K-TAP case has been discontinued during the previous twelve months and who needs child care assistance in order to accept or retain employment, is also eligible.

Low income working families who have suffered loss of employment due to no fault of may receive child care services for a subsequent job search to secure new employment for a period not to exceed four (4) weeks.

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

Yes.

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

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

attending job training or educational program -

Low income working families may receive child care services while they attend education activities. These families must meet work requirements outlined in previous section. Proof of enrollment from the school or institution is required prior to authorizing child care to cover time spent in educational activities. The DCC-90A, Certification of School Enrollment, is used to obtain enrollment information from the school. Other acceptable verification of enrollment includes a class schedule or a written statement from a school official.

Recipients of K-TAP, who need child care while they participate in the Kentucky Works Program to meet TANF participation requirements, must be actively involved with activities including employment, education, job preparation activities, job search, or other activities designed to assist the family attain self sufficiency. A parent, whose K-TAP case has been discontinued during the previous twelve months and who needs child care assistance in order to accept or retain employment, is also eligible.

No.

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

Effective Date: 01-OCT-13

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

Yes.

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

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

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

protective services

means an open and active case in which the Protection and Permanency case file contains appropriate documentation that substantiates child abuse, neglect, dependency or exploitation. This category may, with appropriate supervisory approval, include child care services to prevent abuse, neglect, or dependency.

No.

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

Yes.

No.

2.3.5. Income Eligibility Criteria

Effective Date: 01-OCT-13

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

income -

Income is defined as the earned and unearned money received from statutory benefits, wages, self-employment, rental property, investments, business operations, etc.

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

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

The following is a list of income which is excluded in accordance with 922 KAR 2:160:

- 1.K-TAP child only payments, including back payment;
- 2.A payment received from the Kinship Care Program, pursuant to 922 KAR 1:130, including back payment;
- 3.Educational grant, loan, scholarship, and work study income;
- 4.The value of Kentucky Works supportive services payment pursuant to 921 KAR 2:017;
- 5.The value of United States Department of Agriculture program benefits including
 - a. Donated food;
 - b. Supplemental food assistance received pursuant to 42 U.S.C. 1771;
 - c. Special food service program for a child pursuant to 42 U.S.C. 1775;
 - d. Nutrition program for the elderly pursuant to 42 U.S.C. 3001; and
 - e. The monthly allotment under the Supplemental Nutrition Assistance Program (formerly known as Food Stamp Program):
 - (i) Defined by 7 U.S.C. 2012, as amended by P.L. 110-246; and
 - (ii) Governed by Title 921 KAR Chapter 3.

- 1.Payment made directly to a third party on behalf of the applicant or recipient by a nonresponsible person;
- 2.In-kind income;
- 3.Reimbursement for transportation in performance of an employment duty, if identifiable;
- 4.Nonemergency medical transportation payment;
- 5.Highway relocation assistance;
- 6.Urban renewal assistance;

7. Federal disaster assistance and state disaster grant;
8. Home produce utilized for household consumption;
9. Housing subsidy received from federal, state, or local governments;
10. Receipt distributed to a member of certain Indian tribes by the federal government pursuant to 25 U.S.C. 459, 1261 and 1401;
11. Funds distributed per capita to or held in trust for a member of an Indian tribe by the federal government pursuant to 25 U.S.C. 459, 1261 and 1401;
12. Payment for supporting services or reimbursement of out-of-pocket expense made to an individual volunteering as:
 1. Senior health aide; or
 2. Member of the:
 - (i) Service Corps of Retired Executives; or
 - (ii) Active Corps of Executives;
1. Payment made to an individual from a program pursuant to 42 U.S.C. 4950 to 5084 if less than the minimum wage under state or federal law, whichever is greater, including:
 1. Volunteers in Service to America (VISTA);
 2. Foster Grandparents;
 3. Retired and Senior Volunteer Program; or
 4. Senior Companion;
2. Payment from the cabinet for:
 1. Child foster care; or
 2. Adult foster care;
3. Energy assistance payment made under:
 1. The Low Income Home Energy Assistance Program pursuant to 42 U.S.C. 8621; or
 2. Other energy assistance payment made to an energy provider or provided in-kind;
4. The principal of a verified loan;
5. Up to \$12,000 to Aleuts and \$20,000 to an individual of Up to \$12,000 to Aleuts and \$20,000 to an individual of Japanese ancestry for payment made by the United States Government to compensate for a hardship experienced during World War II;
6. The advance payment or refund of earned income tax credit;
7. Payment made from the Agent Orange Settlement Fund;
8. Payment made from the Radiation Exposure Compensation Trust Fund;
9. Up to \$2,000 per year of income received by individual Indians denied from a lease or other use of individually-owned trust or Up to \$2,000 per year of income received by individual Indians denied from a lease or other use of individually-owned trust or restricted lands;
10. Payment made to an individual because of the individual's status as a victim of Nazi persecution;
11. Income received from temporary employment from the United States Department of Commerce, Bureau of the Census;
12. A payment received from the National Tobacco Growers Settlement Trust;
13. A Tobacco Loss Assistance Program payment pursuant to 7 C.F.R. 1463;
14. A payment received from a crime victim compensation program according to the Antiterrorism and
15. A payment received from a crime victim compensation program according to the Antiterrorism and Effective Death Penalty Act of 1996 pursuant to 42 U.S.C. 10602(c);
16. A payment made, pursuant to 38 U.S.C. 1815 by the Veteran's Administration, to children of female Vietnam veterans;
17. A discount or subsidy provided to Medicare beneficiaries pursuant to Section 1860D-31(g)(6) of the Social Security Act, 42 U.S.C. 601-619;
18. Any cash grant received by the applicant under the Department of State or Department of Justice Reception and Placement Programs pursuant to 45 C.F.R. 400.66(d); Reimbursement payment for a vocational rehabilitation individual participating in Preparing Adults for Competitive Employment pursuant to 29 U.S.C. 723(a)(5); or
19. Income or earnings from a program funded under the Work Investment Act (WIA) pursuant to 20 C.F.R. 652 and 660 to 671.

None

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

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

Describe:

None

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

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

Family Size	(a) 100% of State Median Income (SMI)(\$/month)	(b) 85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	2,776	2,351	1,362	49
2	3,617	3,074	1,839	51
3	4,468	3,798	2,317	52
4	5,319	4,521	2,794	53
5	6,170	5,244	3,272	53

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

Yes.

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

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

No.

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

f) SMI Year 2012 and SMI Source U.S. Census Bureau can be found at:
<http://www.gpo.gov/fdsys/pkg/FR-2011-04-18/pdf/2011-8993.pdf>

g) These eligibility limits in column (c) became or will become effective on:
July 1, 2013

2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

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

Yes

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

6 months

24 months

Other.

Describe:

Length of eligibility varies by county or other jurisdiction.
Describe:

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

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

Head Start and/or Early Head Start Programs.
Re-determination period:

Pre-kindergarten programs.
Re-determination period:

TANF.
Re-determination period:

SNAP.
Re-determination period:

Medicaid.
Re-determination period:

SCHIP.
 SCHIP.
Re-determination period:

Other.
Describe:

No.

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

Any changes in case (the following is not an all inclusive list):

1.Beginning or ending employment,

2. Change in an employer,
3. Increase or decrease in the number of work hours,
4. Increase or decrease in the rate of pay,
5. Increase or decrease in recipient members,
6. Change in self employment activities,
7. Change in the scheduled hours care is needed,
8. Beginning or ending an educational activity,
9. Change in child care providers,
10. Change in address or residence,
11. Change in marital status,
12. Beginning or ending receipt of any type of unearned income,
13. Increase or decrease in any type of unearned income,
14. A child's thirteenth (13th) birthday when special needs are not present,
15. A child's nineteenth (19th) birthday when special needs are present, and
16. A teen parent's twentieth (20th) birthday.

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

Change would be verified, and continuing eligibility would be based on updated information.

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

Kentucky's policies are friendly to families to promote continuity of subsidy eligibility by allowing for longer redetermination periods. Families can be assured that their care arrangement will stay in place for at least 12 months. Families are provided with a 30-day advanced notice of redetermination dates, and they are supplied with a parent packet containing all necessary redetermination forms and information.

Kentucky accepts applications at multiple office locations, as well as walk in applications. A toll free number has been provided to parents to access their program specialists more easily. The application process is designed to accommodate families who are unable to come into the office for an appointment. They may either assign an authorized representative or request a home visit.

Eligibility is determined by verifying wages and employment. An average income is used to ensure that salary and wage information is reflective of an annual income. Families can also maintain eligibility for up to four weeks to complete job search activities. Families are also given up to five sick days of paid child care per month for each child on the child care assistance program.

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

Yes.

If yes, describe:

No.

2.3.7. Waiting Lists

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

Effective Date: 01-OCT-13

- Lead Agency currently does not have a waiting list and:
- All eligible families *who apply* will be served under State/Territory eligibility rules
 - Not all eligible families *who apply* will be served under State/Territory eligibility rules

Lead Agency has an active waiting list for:

- Any eligible family who applies when they cannot be served at the time of application
- Only certain eligible families.

Describe those families:

Waiting lists are a county/local decision.

Describe:

Other.

Describe:

Effective April 1, 2013, a freeze on new applications will begin with some exceptions. The following child groups will continue to be served:

- Children receiving child protective or preventive services to avoid removal from the home;
- Children whose parents need child care to meet work participation requirements for the Kentucky Transitional Assistance Program (K-TAP);
- Children with special needs requiring specialized care; and Teen parents.

2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

As outlined in 922 KAR 1:320, Service appeals, an applicant for child care assistance or the parent of a child receiving assistance may request an administrative hearing for the denial, reduction, suspension, or termination of benefits pursuant to 922 KAR 2:160. The DCC-105 Child Care Assistance Program Notice of Action, is given or mailed to the individual. Appeal of a denial, reduction, suspension, or termination of benefits must be submitted in writing to the Office of the Ombudsman within 30 calendar days of the date of the negative action. If the CCAP Service Agent receives the service appeal, it is forwarded to the Quality Assurance Section of the Ombudsman's Office. The Cabinet or CCAP Service Agent assists the individual with the wording of the service appeal if the individual is unable to meet the written requirement without assistance. In addition to the possibility of an administrative hearing, an individual(s) may pursue an informal dispute resolution in advance of a request for an administrative hearing.

For resolution of a matter not subject to review through administrative hearing, the applicant/recipient may submit a written complaint to the Executive Director of the CCAP Service Agent no later than 30 calendar days from the date of the Service Agent's action to which the client objects. The Service Agent shall arrange a time to meet with the individual(s). If the individual(s) is still dissatisfied with the decision render by the Service Agent, the individual(s) may submit a written complaint to the DCBS Commissioner or designee.

The case record may be reviewed upon request by the CCAP applicant or client. The case can also be reviewed by other parties with written authorization from the applicant or client. The applicant or client may review any part of the case record except confidential information from someone other than the client, such as Child Protective Services investigation information and items verified through a system match, such as birth verification using Kentucky Vital Events Tracking System (KVETS) or information verified using other inquiry capacities. Inspection of a case record is conducted in the local Service Agent's office, and care must be taken that no part of the record is lost. If requested, copies of parts of the record pertinent to the issue(s) of the service appeal or complaint are provided to the applicant or client or his/her representative. All efforts are made to give the client or applicant access to his/her case record on the date that access is requested or no later than one (1) business day from the date of the request.

PROVIDER APPEALS

An applicant or approved provider for a license, certification, or registration may request an appeal in accordance with 922 KAR 1:320 or KRS Chapter 13B if the cabinet or its designee denies or withdraws registration to an applicant, or revokes or closes a child care provider's status. Other possible appealable matters including a claim, the STARS for KIDS NOW Program, and trainer credentials, are outlined within the administrative regulation governing the particular subject matter, whether a program or service, and further specified in 922 KAR 1:320.

2.4. Sliding Fee Scale and Family Contribution

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

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

Effective Date: 01-OCT-13

Yes.

Effective Date: [March 5, 2010](#)

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

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

Effective Date: 01-OCT-13

State Median Income,

Year:

Federal Poverty Level,

Year: [2011](#)

Income source and year varies by geographic region.

Describe income source and year:

Other.

Describe income source and year:

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

Effective Date: 01-OCT-13

Fee as dollar amount and

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

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee as percent of income and

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

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

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

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

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

Effective Date: 01-OCT-13

Yes,
and describe those additional factors:

A family's contribution towards the cost of child care is also based on the number of children in need of care.

No.

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

Reminder - Lead Agencies are reminded that the co-payments may be waived for only

two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 2.3.4.a).

Effective Date: 01-OCT-13

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

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

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

SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.

The Lead Agency waives the fee for the following families:

Family co-payments are structured so a family, whose income is below 100% of the federal poverty level, pays no more than 10% of its gross monthly income for child care.

2.5. Prioritizing Services for Eligible Children and Families

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

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

Effective Date: 01-OCT-13

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
--	---------------------------------------	---	----------------------

<p>Children with special needs</p> <p>Provide the Lead Agency definition of <i>Children with Special Needs</i>: means a child who has multiple or severe functional needs requiring ongoing specialized care.</p>	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe:	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input type="checkbox"/> Other. Describe: <input type="text"/>
<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i>: A family who's income does not exceed 100% of the federal poverty level.</p>	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe:	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input checked="" type="checkbox"/> Other. Describe: N/A

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

Effective Date: 01-OCT-13

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

Describe:

Waive enrollment fees for TANF families.

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

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

Effective Date: 01-OCT-13

Term(s) - Definition(s)

Describe:

Term(s)	Definition(s)
<p>The cabinet shall prioritize child care assistance benefits as determined by the available funds as follows:</p> <ul style="list-style-type: none"> (a) Child protective or preventive services authorization; (b) A child with a special need; (c) K-TAP recipients participating in the Kentucky Works Program established in 921 KAR 2:370; (d) Teen parents attending high school or pursuing a general equivalency degree (GED); (e) A K-TAP recipient attempting to transition off assistance through employment; (f) A parent whose K-TAP case has been discontinued during the previous twelve (12) months and who needs child care assistance in order to accept or retain employment; (g) A low income working parent; or (h) A parent in education or training programs leading to self-sufficiency. 	<p>See 922 KAR 2:160.</p>

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

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

2.6.1. Child Care Certificates

Effective Date: 01-OCT-13

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

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

Describe:

Kentucky has two types of child care certificates. A child care eligibility certificate is issued to a parent who has not selected a provider. This notification identifies the family's eligibility status and allows for parent choice in provider selection. A child care certificate and agreement is issued to all parents who have selected a provider as part of the child care service agreement.

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

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

Website: <http://chfs.ky.gov/dcbs/dcc/>

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

Describe:

N/A

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

- Authorized provider(s)
- Authorized payment rate(s)
- Authorized hours

Co-payment amount

Authorization period

Other.

Describe:

Scheduled days(Part time/Full time) and Care Level

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

100%

2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-13

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

Yes.

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

No. If no, skip to 2.6.3

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

Increase the supply of specific types of care

Programs to serve children with special needs

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

Programs to serve infant/toddler

School-age programs

Center-based providers

Family child care providers

- Group-home providers
- Programs that serve specific geographic areas
- Urban
- Rural
- Other.

Describe:

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

Specify:

- Other.

Describe:

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

- Yes.

- No,

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

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

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

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

Effective Date: 01-OCT-13

- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other.

Describe:

Parental rights are outlined in Kentucky Revised Statute and include the right of parents to access to their children at all times that the children are in care. The parental rights are distributed to parents and providers when a child care certificate and agreement is issued.

199.898 Rights for children in child-care programs and their parents, custodians, or guardians -- Posting and distribution requirements.

(1) All children receiving child-care services in child-care center licensed pursuant to KRS 199.896, a family child-care home certified pursuant to KRS 199.8982, or from a provider or program receiving public funds shall have the following rights:

(a) The right to be free from physical or mental abuse;
(b) The right not to be subjected to abusive language or abusive punishment; and c) The right to be in the care of adults who shall meet their health, safety, and developmental needs.

(2) Parents, custodians, or guardians of children specified in subsection (1) of this section shall have the following rights:

(a) The right to have access to their children at all times the child is in care and access to the provider caring for their children during normal hours of provider operation and whenever the children are in the care of the provider;

(b) The right to be provided with information about child-care regulatory standards, if applicable; where to direct questions about regulatory standards; and how to file a complaint;

(c) The right to file a complaint against a child-care provider without any retribution against the parent, custodian, guardian, or child; (d) The right to obtain information from the cabinet regarding any type of licensure denial, suspension, or revocation of an operator, and cabinet reports that have found abuse or neglect by any child-care provider or any employee of a child care provider. Identifying information regarding children and their families shall remain confidential;

(e) The right to obtain information from the cabinet regarding the inspections and plans of correction of the day-care center, the family child-care home, or the provider or program receiving public funds within the past year; and

(f) The right to review and discuss with the provider any state reports and deficiencies revealed by such reports.

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

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

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

Effective Date: 01-OCT-13

The Cabinet's Office of the Ombudsman maintains a database of service complaints received through that office. DCBS also maintains information concerning service complaints received regarding its direct and contract services for record retention, program development, and evaluation purposes. Information about providers and parental complaints is available as follows:

- Information regarding substantiated parental complaints is available for public inspection in accordance with Kentucky's Open Records Law, KRS Chapter 61.870-884.
- Information regarding licensure inspections is available pursuant to KRS 199.896(11).
- Information regarding licensure denial, suspension, revocation, or reports regarding findings of child abuse or neglect by any child care provider is available pursuant to KRS 199.898(2)(d).
- Information regarding certified family child care home inspections is available pursuant to KRS 199.8982(1)(e).
- Individuals seeking information regarding child care licensure violations may contact the Cabinet's Office of the Inspector General, Division of Regulated Child Care through phone service and Internet access.
- Parents may request information from the CCAP Service Agent or DCBS about registered child care providers.

2.7. Payment Rates for Child Care Services

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

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

Effective Date: 01-OCT-13

Yes. Effective Date: 2006

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

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

Effective Date: 01-OCT-13

Policy on length of time for making payments.

Describe length of time: All providers are paid within 30 days of request for payment.

Track and monitor the payment process

Other.

Describe:

n/a

None

2.7.3. Market Rate Survey

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

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a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 03/2013

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

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

Population and Data Sample: Market Rate Data for the current analyses came from the 2013 Market Rate Survey. The survey was sent out in December of 2012, and data were subsequently collected through March 2013. All licensed and certified child care facilities (2,809) in Kentucky were sent a copy of the survey. The list of centers and the primary contact for each center was provided via the Kentucky Division of Regulated Child Care (DRCC).

Survey Method: Both web-based and hard copies of the surveys were provided to facilities. First, those facilities providing an email address received an email introducing the survey and containing a link to the survey site (Group 1). Respondents were instructed they could fill out the online survey or download a paper form to complete and mail in. Two weeks after the online survey was made available, a mailing went to all child care facilities who had an incorrect secondary email address or for which no email address was available (Group 2). Each mailing included the cover letter, a paper survey with name, address, License Number, and Primary Contact filled-in, and a postage paid business reply envelope. Standard survey procedures were applied, including a postcard reminder two weeks after the initial mailing. A second mailing of the survey to non-responders, this time from both the online and mail groups, were made at six weeks (Group 3). This was followed again by a postcard reminder. Finally, a third mailing of all non-responders was completed at eight weeks (Group 4).

Response Rate: Of the 2,809 facilities in the original list, 17 surveys were returned due to an invalid address (i.e., could not be verified by other means), nine facilities indicated they were closed, and one facility stated they were no longer licensed. This resulted in an adjusted population of 2,782 facilities, the total from which the response rate was calculated. From this adjusted population, 1,647 facilities responded to the survey, for a response rate of 59%. One-third of participants completed the survey online (30%) with the remaining 70% completing paper survey.

Data Collection: Paper surveys were scanned by Cardiff Teleform®, a data capture software. Unclear responses were checked against the original survey. Once scanned and verified, responses were converted to Microsoft Excel. Data from the online surveys were downloaded and added to the Excel spreadsheet with data from the paper surveys. A "Response Type" field was added to all surveys to track where surveys came from (ie. online, paper). The license ID's were updated using the most recent version of the DRCC licensed facility and certified home list. Where the license number was unknown, missing, or invalid, the number was obtained through the DRCC spreadsheet. Once the list was final, a random check of 10% of license numbers was conducted to ensure accuracy; 100% of the facilities checked had a correct license number entered.

Frequency tables were generated to identify inconsistencies within the data. Rates were examined and decision criteria for recoding price data established:

- 1.If two prices were provided for the same age group, the higher price was used
- 2.If two timeframes for rates were provided, priority was given to daily, weekly, hourly then monthly rates.
- 3.If an annual charge was provided, the charge was divided by 12 and the monthly charge was used. If a 9- or 10-month charge was provided, the charge was divided by the number of months and the monthly charge was used.

- 4.If a bi-weekly charge was provided, the charge was divided by 2 and the weekly charge was used.
- 5.If the facility entered zero for the price and a timeframe for rates was not provided, the zero was deleted, and the field was considered missing. All data were then combined and converted to SPSS.

Analyses: Preliminary analyses were conducted on all facilities at the following levels: (a) statewide, (b) urban/rural designation, and (c) region. Descriptive statistics were employed at each stage to provide an overall picture of rates and program types.

Each facility was asked to provide the price charged per child for full time care. Facilities were then asked to identify whether the rate provided was daily, weekly, hourly, or monthly. As the first step in analyses, all rates were converted to daily rates so that comparisons could be made. Specifically, hourly rates were multiplied by 9, weekly rates were divided by 5, and monthly rates were divided by 25. Centers were asked to specify if their fee schedules were non-standard, and daily rates for these centers were calculated on a case-by-case basis. Once standardized, percentiles tables of rates in the three state regions were produced.

Findings: A total of 1,299 Type I facilities, 68 Type II facilities, and 277 Certified facilities were included in this analyses. Three licensed military facilities also responded to the survey. Their responses will be analyzed separately and are not included here. MANOVAs were used to examine significant differences in the rates charged among facilities and across regions.

Results indicated that statewide, Type I facilities have higher full-time infant rates than either Type II or certified facilities ($p < .10$). Rates for different age groups also differed significantly ($p = .00$). Specifically, infant rates were the highest, and rates for school-aged children were the lowest.

Facilities in the central region charged more than those in western region. Facilities in the eastern region charged less than either region. Rates at the 75th percentile are presented in Tables 2.7.4a and 2.7.4b and reflect this finding. Payment rate ceilings are between the 28th and 58th percentile for the licensed facilities in high rate areas and between the 8th and 23rd percentile for those in low rate areas.

The rates for certified facilities were highest in the East and lowest in the West for each of the three age groups. The seventy-fifth percentile rates are presented in Tables 2.7.4c and 2.7.4d. Payment Rate Ceilings are between the 41th and 43th percentile for the licensed centers in high rate areas and at the 5th percentile for those in low rate areas.

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

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2.7.4a - Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	30.90	24.00	38 th
Full-Time Licensed Center Preschool (59 months)	27.00	21.00	41 st

Full-Time Licensed Center School-Age (84 months)	24.00	20.00	58 th
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2.7.4b - Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	26.00	18.00	15 th
Full-Time Licensed Center Preschool (59 months)	23.00	15.00	8 th
Full-Time Licensed Center School-Age (84 months)	21.00	15.00	23 rd

2.7.4c - Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	29.75	21.00	41 st
Full-Time Licensed FCC Preschool (59 months)	27.25	19.00	41 st
Full-Time Licensed FCC School-Age (84 months)	25.50	18.00	43 rd

2.7.4d - Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	29.75	10.00	5 th
Full-Time Licensed FCC Preschool (59 months)	27.25	10.00	5 th
Full-Time Licensed FCC School-Age (84 months)	25.50	9.00	5 th

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

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

License exempt centers set payment rate ceilings independent of the lead agency.

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

License exempt centers set payment rate ceilings independent of the lead agency.

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

License exempt centers set payment rate ceilings independent of the lead agency.

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

Kentucky's in-home provider care payments are to support a families choice to utilize another family member, friend, or neighbor. The current payment rates for in-home providers did not increase with the 2006 market rate survey and have remained consistent to date.

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

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Differential rate for nontraditional hours.

Describe:

Licensed or certified providers may also receive an additional one dollar per day to provide child care during non-traditional hours.

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

Describe:

License, certified, or registered child care providers may receive an additional one dollar per day to serve a child with special needs.

Differential rate for infants and toddlers.

Describe:

Rates differ for infants and toddlers in accordance with the market rate survey based on region.

Differential rate for school-age programs.

Describe:

Rates differ for school-age programs in accordance with the market rate survey based on region.

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

Describe:

Licensed or certified providers who are accredited by a national organization will receive an additional two dollars per day above the maximum rate of pay .

Other differential rate.

Describe:

n/a

None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

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

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

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

Describe:

n/a

Policies vary across region, counties and or geographic areas.

Describe:

n/a

Other.

Describe:

n/a

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

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a) Number of absent days allowed. Describe

- Registered child care providers are not authorized to receive payment for any absences.
- Certified family child-care homes can receive payment for no more than five (5) absences per month.
- Licensed providers may receive payment for up to five absences per month. Payments for more than five excused absences per child per month may be approved if the absence meets the following criteria for an extraordinary absence.
 - An extraordinary absence is defined as:
 - A death in the family;
 - Illness of the child or applicant; or
 - A disaster verified by utility provider, local, state, or federal government.

b) Paying based on enrollment. Describe

n/a

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

A provider cannot charge participants in CCAP a higher rate for child care than is being charged to the public.

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

KICCS Provider Portal allows a provider to complete and submit their CCAP billing forms as well as view/print payment remittances on-line.

Provider payments are issued as a check payment unless the provider chooses to change the method to receive their payment to an electronic (direct) deposit.

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

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

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

The payment rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF or other governmental programs. (An affordable child care arrangement is defined in Section 2.2.12). In urban and suburban areas, the cost of care is higher than in small towns and rural areas; therefore child care reimbursement rates in Kentucky are higher in urban and suburban areas. The current reimbursement rates are also higher for infants and toddlers than preschool and school-age children. This allows for access to children who require a higher staff to child ratio.

Kentucky's reimbursement rates also allow access by provider type. License Type I child-care providers who care for four or more children in a non-residential setting are reimbursed at a higher rate than family child-care homes who care for no more than six unrelated children.

Child care services will be paid according to the parent's schedule. The parent may select services from a licensed, certified, or registered provider. If a parent selects services from a provider who offers full-week care, then the parent is responsible to pay the difference.

Child care payments shall not exceed the maximum rate for a type of care in the region less the appropriate parental co-pay.

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

Kentucky has significant regional differences in the going market rate for child care services. The reimbursement rates are structured so that child care rates are higher in regions where the market rate survey has demonstrated higher costs. The lead agency has also set its reimbursement rates based on provider type and child ages.

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

Family co-payments are structured so a family, whose income is below 100% of the federal poverty level, pays no more than 10% of its gross monthly income for child care.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates

n/a

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

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

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

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Goal #1:

Expand strategies for program integrity

Goal #2:

Improve the improper payment error rate

Goal #3:

Monitor funds to inform policy decisions

PART 3

Health and Safety and Quality Improvement Activities

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

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

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

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

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

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

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In

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

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a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

Yes.

No.

Please identify the State or local (if applicable) entity/agency responsible for licensing:

b) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory.

Kentucky's licensing standards are in alignment with the health and safety requirements of CCDF by ensuring that health and safety provisions for children in care. Health and safety provisions are incorporated into state administrative regulation and statutes.

Infection Disease:

All children in the care of a licensed Type I, licensed Type II, certified, or registered child care provider must have on file a copy of a current immunization certificate on each child unless otherwise exempted by state statute. In addition, all provider types must submit the results of a TB test for themselves and anyone in direct contact with children in care.

Licensed centers and homes are required to report communicable disease to the local health department, accident or injury to a child that requires medical attention, an incident that results in legal action, or an incident involving fire or other type of emergency to the Cabinet. Certified homes are required to notify the parent, person exercising parental control, or family physician if the person exercising parental control is unavailable, of any medical emergency. Additionally, 922 KAR2:110 require the Cabinet be notified within one hour of any death of a child or staff member in a child care facility.

Building and Physical Premises:

Kentucky laws establish standards for buildings used to provide care, ensuring that they are structurally sound and environmentally safe. All buildings where care is provided must meet the standards of the local fire marshal and local zoning laws as well as annual state inspections for review of environmental hazards. Unannounced facility inspections are conducted annually in licensed child-care centers and certified family child-care homes to ensure that these provisions are continuously met.

Health and Safety Training:

Kentucky has developed a curriculum for basic orientation for all provider types. Orientation training must be taken within 90 days from a staff person's hire date. The orientation curriculum includes universal precautions and:

- (a) Basic health, safety, and sanitation;
- (b) Recognizing and reporting child abuse; and
- (c) Developmentally appropriate child-care practice.

Annual training requirements in the area of early care and education include 15 hours for licensed providers, nine hours for certified providers, and three hours for registered providers. Licensed providers must also document that staff are certified in CPR and First Aid.

The following is a list of Kentucky laws which govern the health and safety policies of children in care:

Kentucky Revised Statutes (KRS) 199.896(License requirement -- Application -- Fee -- Emergency action-Use of information -- Hearing -- Disposition of receipts – Advertisement -- Unannounced inspections -- Orientation and training requirements -- Prohibition against use of corporal physical discipline)

KRS 199.897(Notification concerning Kentucky Consumer Product Safety Program)

KRS 199.898(Rights for children in child-care programs and their parents, custodians, or guardians -- Posting and distribution requirements)

KRS 199.8982(Family child-care home certification program -- When required -- Requirements for certification -- Unannounced inspection -- Use of information -- Authority to promulgate administrative regulations -Hearing -- Emergency action – Training)

KRS 199.8994(Uniform Administration of Child Care Funds – Dedicated Child Care Licensing Surveyors)

KRS 199.990(Penalties)

Title 922 Kentucky Administrative Regulation Chapter 2, Section 090 or 922 KAR 2:090 (Child care center licensure)

922 KAR 2:100(Certification of family child care homes)

922 KAR 2:110(Child care facility provider requirements)

922 KAR 2:120(Child care facility health and safety standards)

922 KAR 2:180(Requirements for registered child care providers in the Child Care Assistance Program)

922 KAR 2:190(Civil penalties)

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

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/>	Family Child Care <input type="checkbox"/>	In-Home Care <input type="checkbox"/>
		N/A. Check if your State/Territory does not have group home child care.		N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Yes, for some providers in this category	Describe N/A	Describe N/A	Describe N/A	Describe N/A
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other	Describe N/A	Describe N/A	Describe N/A	Describe In home care providers are subject to a separate set of regulatory requirements apart from the other provider types.

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

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

<p>Center-Based Child Care</p>	<p>Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of center-based settings are subject to licensing in your State/Territory</p> <p>1) A Type I child-care center. This child-care center shall be licensed to regularly provide child care services for:</p> <p>(a) Four (4) or more children in a nonresidential setting; or</p> <p>(b) Thirteen (13) or more children in a designated space separate from the primary residence of a licensee</p>	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory.</p> <p>Exempt Child Care Settings. The following child-care settings shall be exempt from licensure requirements of this administrative regulation, 922 KAR 2:110, and 922 KAR 2:120:</p> <p>(1) Summer camps certified by the cabinet as youth camps which serve school-age children;</p> <p>(2) Kindergarten through grade 12 in private schools while school is in session;</p> <p>(3) All programs regulated by the Kentucky Department of Education governed by KRS Chapter 157;</p> <p>(4) Summer programs operated by a religious organization which a child attends no longer than two (2) weeks;</p> <p>(5) Child care provided while parents are on the premises, other than the employment and educational site of parents;</p> <p>(6) Child care programs operated by the armed services located on an armed forces base;</p> <p>(7) Child care provided by educational programs that include parental involvement with the care of the child and the development of parenting skills;</p> <p>(8) Facilities operated by a religious organization while religious services are being conducted;</p>
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			and (9) A program providing instructional and educational programs: (a) That operates for a maximum of twenty (20) hours per week; and (b) Which a child attends for no more than ten (10) hours per week.
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Group Home Child Care

N/A. Check if your State/Territory does not have group home child care.



Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

Describe which types of group homes settings are subject to licensing
A Type II child-care center. This child-care center shall be primary residence of the licensee in which child care is regularly provided for seven (7), but not more than twelve (12), children including children related to the licensee

Describe which types of group homes are exempt from licensing:

Exempt Child Care Settings. The following child-care settings shall be exempt from licensure requirements of this administrative regulation, 922 KAR 2:110, and 922 KAR 2:120:

- (1) Summer camps certified by the cabinet as youth camps which serve school-age children;
- (2) Kindergarten through grade 12 in private schools while school is in session;
- (3) All programs regulated by the Kentucky Department of Education governed by KRS Chapter 157;
- (4) Summer programs operated by a religious organization which a child attends no longer than two (2) weeks;
- (5) Child care provided while parents are on the premises, other than the employment and educational site of parents;
- (6) Child care programs operated by the armed services located on an armed forces base;
- (7) Child care provided by educational programs that include parental involvement with the care of the child and the development of parenting skills;
- (8) Facilities operated by a religious organization while religious services are being conducted; and
- (9) A program providing

			<p>instructional and educational programs:</p> <ul style="list-style-type: none"> (a) That operates for a maximum of twenty (20) hours per week; and (b) Which a child attends for no more than ten (10) hours per week.
<p>Family Child Care</p>	<p>Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. Reminder - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are subject to licensing</p> <p>A certified provider shall not care for more than six (6) children under the age of six (6) years old, including the provider's own or related children.</p> <p>(5) The maximum number of unrelated children in the care of a certified family child-care home provider shall not exceed six (6) at any one (1) time. A provider may care for four (4) related children in addition to six (6) unrelated children for a maximum child care capacity of ten(10) at any one (1) time.</p> <p>Or</p> <p>For a registered provider during hours of operation, a registered child care provider shall not care for more than:</p> <ul style="list-style-type: none"> (1) Three (3) children receiving CCAP per day; (2) Six] (6) children receiving CCAP per day, if those children are: <ul style="list-style-type: none"> (a) A part of a sibling group; and (b) Related to the provider; or (3) A total of eight (8) children inclusive of the provider's own children. 	<p>Describe which types of family child care home providers are exempt from licensing:</p> <p>Family child care providers caring for 3 or fewer children who do not participate in the child care assistance program are exempt.</p>

In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child's own home.</p> <p>Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.</p> <p>Describe which in-home providers are subject to licensing</p> <p>For a registered in home provider during hours of operation, a registered child care provider shall not care for more than:</p> <ul style="list-style-type: none"> (1) Three (3) children receiving CCAP per day; (2) Six] (6) children receiving CCAP per day, if those children are: <ul style="list-style-type: none"> (a) A part of a sibling group; and (b) Related to the provider; or (3) A total of eight (8) children inclusive of the provider's own children. 	<p>Describe which types of in-home child care providers are exempt from licensing</p> <p>Family in home providers caring for 3 or fewer children who do not participate in the child care assistance program are exempt.</p>
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Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's:**

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

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

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

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

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.
Infant ratio (11 months): 1 staff for 5 children	Infant ratio (11 months): 1 staff for 12 children	List ratio requirement by age group: A provider shall not care for more than six (6) children under the age of six (6) years old, including the provider's own or related children.	List ratio requirement by age group: During hours of operation, a registered child care provider shall not care for more than:
Toddler ratio (35 months): 1 staff for 6 children	Toddler ratio (35 months): 1 staff for 6 children	<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.
Preschool ratio (59 months): 1 staff for 12 children	Preschool ratio (59 months): 1 staff for 12 children	<input checked="" type="checkbox"/> Yes, Group size requirement.	<input checked="" type="checkbox"/> Yes, Group size requirement.
<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.	<input checked="" type="checkbox"/> Yes, Group size requirement.	<input checked="" type="checkbox"/> List ratio requirement by age group:
<input checked="" type="checkbox"/> Yes,	<input checked="" type="checkbox"/> Yes,	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Group size requirement Infant group size (11 months): 10	Group size requirement Infant group size (11 months): 10	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Toddler group size (35 months): 12	Toddler group size (35 months): 12	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Preschool group size (59 months): 24	Preschool group size (59 months): 12	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.

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

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

Do the licensing requirements identify specific educational credentials for child care teachers?	<input checked="" type="checkbox"/> High school/GED	<input checked="" type="checkbox"/> High school/GED	<input checked="" type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED
	<input type="checkbox"/> Child Development Associate (CDA)			
	<input type="checkbox"/> State/ Territory Credential			
	<input type="checkbox"/> Associate's degree			
	<input type="checkbox"/> Bachelor's degree			
	<input type="checkbox"/> No credential required for licensing	<input type="checkbox"/> No credential required for licensing	<input type="checkbox"/> No credential required for licensing	<input checked="" type="checkbox"/> No credential required for licensing
	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:

Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year
	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year
	<input type="checkbox"/> No training requirement			
	<input checked="" type="checkbox"/> Other:			
	At least 15 training hours annually	At least 15 training hours annually	At least 9 training hours annually	At least 3 training hours annually

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

Yes.

Describe:

No.

3.1.2 Enforcement of Licensing Requirements

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

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

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

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

No.

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
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<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Kentucky does not have routine announced visits	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:
<input checked="" type="checkbox"/> Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Kentucky does not have routine announced visits	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:
<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Kentucky does not have routine announced visits	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:

<input checked="" type="checkbox"/> In-Home Child Care <input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year	<input type="checkbox"/> Once a Year
	<input type="checkbox"/> More than Once a Year	<input type="checkbox"/> More than Once a Year
	<input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once Every Two Years
	<input checked="" type="checkbox"/> Other. Describe: In home care providers are subject to a separate set of regulatory requirements apart from the other provider types. Home visits may be made.	<input checked="" type="checkbox"/> Other. Describe: In home care providers are subject to a separate set of regulatory requirements apart from the other provider types. Home visits are not made.

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

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

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input type="checkbox"/> Yes. Describe:
	<input checked="" type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe:
	<input type="checkbox"/> Other. Describe:

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



An on-site inspection is conducted.



Programs self-certify.

Describe:



No procedures in place.



Other.

Describe:

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



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



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



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



No procedures in place.



Other.

Describe:

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



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

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



Cease and desist action



Injunction



Emergency or immediate closure not through court action



Fines



No procedures in place.



Other.

Describe:

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

<input checked="" type="checkbox"/>	Yes.
	Describe: An applicant or approved provider for a license, certification, or registration may request an appeal in accordance with 922 KAR 2:090, 922 KAR 2:100, and 922 KAR 2:180 respectively if the cabinet or its designee takes adverse action against a provider, including denial, withdrawal, revocation, and suspension.
<input type="checkbox"/>	No.
<input type="checkbox"/>	Other.
	Describe:

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

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

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
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<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: At change of employer.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other. N/A
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: At change of employer.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other. N/A
	<input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: At change of employer.	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other. N/A
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe: N/A	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other. N/A
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff

		<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Volunteers
		Describe: At change of employer.	<input type="checkbox"/> Other.
			N/A

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

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<input checked="" type="checkbox"/> Family Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Other.	N/A
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	Describe: Conducted every two years for a certified provider.	
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	N/A
		Describe: Conducted every two years for a certified provider.	<input type="checkbox"/> Provider
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	N/A
		Describe: N/A	<input checked="" type="checkbox"/> Provider
	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.	
	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.	
	<input checked="" type="checkbox"/> Other.	N/A	

Describe:

Conducted every two years for a certified provider.

<input checked="" type="checkbox"/> In-Home Child Care Providers	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Other.	N/A
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	Describe: N/A	<input checked="" type="checkbox"/> Provider
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Checks Conducted Annually	N/A
	<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Other.	<input type="checkbox"/> Provider
		Describe: N/A	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	N/A
		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Provider
		Describe: N/A	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Checks Conducted Annually	N/A
		<input type="checkbox"/> Other.	
		Describe: N/A	

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

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

A request for a child abuse and neglect background check must be submitted with a \$10.00 fee. A request for a criminal background check must be submitted with a \$20.00 fee. Criminal records checks are completed by either the Kentucky State Police or the Administrative Office of the Courts. Child Abuse and Neglect Checks as well as Sex Offender Registry Checks are completed by the Cabinet for Health and Family Services.

d-2) Who pays for background checks:

All individuals with supervisory or disciplinary control over or having direct contact with a child and all adults who reside in the household of an in-home provider, including licensed Type II, certified, and registered providers, are required by regulation to submit to background checks and payment of fees,

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

In accordance with KRS 199.896, the application or the license, certificate, or registration of an ongoing child care provider shall be denied or revoked if the applicant or provider has been found by the Cabinet or a court to have abused or neglected a child or has been convicted of a violent crime or sex crime as defined in KRS 17.165.

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

An applicant for child care assistance or the parent of a child receiving assistance may request an administrative hearing for the denial, reduction, suspension, or termination of benefits pursuant to 922 KAR 2:160. The service appeal process is further outlined in 922 KAR 1:320.

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

N/A

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

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Yes.

Describe:

DCC disseminates a quarterly newsletter to inform stakeholders of news and events happening. Parents and providers can also access the public website for information regarding child care facility demographics, including the status of the license, deficiencies, and corrective action plans.

No

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

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

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

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

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

<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.				
The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Safe sleep policy				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tobacco exposure reduction				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Transportation policy				
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Providers to submit a self-certification or complete health and safety checklist				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other.				
Describe:				

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

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	X	X

	CPR	X	X
	Medication Administration Policies and Practices	N/A	X
	Poison Prevention and Safety	N/A	X
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	X
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	X
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	X
	Physical Activities	N/A	X
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	X
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	X
	Emergency preparedness and planning response procedures	N/A	X
	Management of common childhood illnesses, including food intolerances and allergies	N/A	X
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A

	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	X
	Supervision of children	N/A	N/A
	Behavior management	N/A	N/A
	Other	N/A	N/A
	Describe: N/A		
Group Home Child Care	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices	N/A	X
	Poison Prevention and Safety	N/A	X
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	X
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	X
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	X
	Physical Activities	N/A	X
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	X
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	X

	Emergency preparedness and planning response procedures	N/A	X
	Management of common childhood illnesses, including food intolerances and allergies	N/A	X
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	X
	Supervision of children	N/A	N/A
	Behavior management	N/A	N/A
	Other	N/A	N/A
	Describe: N/A		
Family Child Care Providers	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices	N/A	X
	Poison Prevention and Safety	N/A	X
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	X

	Shaken Baby Syndrome and abusive head trauma prevention	N/A	X
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	X
	Physical Activities	N/A	X
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	X
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	X
	Emergency preparedness and planning response procedures	N/A	X
	Management of common childhood illnesses, including food intolerances and allergies	N/A	X
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	N/A
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	X
	Supervision of children	N/A	N/A
	Behavior management	N/A	N/A

	Other: Describe: N/A	N/A	N/A
In - Home Child Care	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices	N/A	X
	Poison Prevention and Safety	N/A	X
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	X
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	X
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	X
	Physical Activities	N/A	X
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	X
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	X
	Emergency preparedness and planning response procedures	N/A	X
	Management of common childhood illnesses, including food intolerances and allergies	N/A	X
	Transportation and child passenger safety (if applicable)	N/A	N/A

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

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

- All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
- Relative providers are NOT required to meet any health and safety requirements as described in 3.1.2a-c, as appropriate.
- Relative providers are subject to certain requirements.

Describe the different requirements:

[Requirements for registered providers are specified in 922 KAR 2:180.](#)

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

DCC:<http://chfs.ky.gov/dcbs/dcc/>

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

N/A

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

Kentucky law requires that all provider types who are caring for children participating in CCAP must meet the enforcement measures in place for a licensed, certified, or registered provider. Providers who are exempted from regulatory compliance are not eligible for participation in CCAP.

b) Describe whether the Lead Agency uses background checks

Kentucky law requires that all provider types who are caring for children participating in CCAP must meet the enforcement measures in place for a licensed, certified, or registered provider. Providers who are exempted from regulatory compliance are not eligible for participation in CCAP.

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

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

Describe:

N/A

No

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

Kentucky law requires that all provider types who are caring for children participating in CCAP must meet the enforcement measures in place for a licensed, certified, or registered provider. Providers who are exempted from regulatory compliance are not eligible for participation in CCAP.

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

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

Effective Date: 01-OCT-13

Yes.
Describe

No

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

Yes.
Describe

No
 Other.
Describe

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

Yes.
Describe

No
 Other.
Describe

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

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

No
 Other.
Describe

3.1.6 Data & Performance Measures on Licensing and Health and Safety

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

quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

Effective Date: 01-OCT-13

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

Number of licensed programs.

Describe (optional):

N/A

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

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

Describe (optional):

N/A

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

Describe (optional):

Only injuries which require medical attention must be reported.

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

Describe (optional):

N/A

Number of monitoring visits received by programs.

Describe (optional):

N/A

Caseload of licensing staff.

Describe (optional):

N/A

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

Describe (optional):

N/A

Other.

Describe:

None.

b) **Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements?

The Cabinet administers the health and safety requirements for licensed and certified child care providers through the Office of the Inspector General (OIG). DCBS has an intra-agency agreement with the OIG to complete inspections of all licensed and certified providers in Kentucky. DCBS completes an annual contract monitoring on the services provided by OIG and issues a report on compliance/non-compliance. In the event of non-compliance, the OIG must submit a plan of correction. DCBS also requires that the OIG complete and submit monthly reports for tracking of services and to identify and address any issues regarding service delivery.

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

N/A

3.1.7 Goals for the next Biennium -

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

What are the Lead Agency's goals for the licensing and health and safety system in the coming

biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

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

Effective Date:

Goal #1:

Improve processes to enhance service delivery.

Goal #2:

Revise systems to increase program reliability.

NEW!

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



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

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

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



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

Effective Date: 01-OCT-13

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

If yes, insert web addresses, where possible:

<http://kidsnow.ky.gov/Improving-Early-Care/Pages/Tools-and-Resources.aspx> ;

<http://education.ky.gov/curriculum/docs/pages/kentucky-core-academic-standards---new.aspx>

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

Kentucky Department of Education



3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Effective Date: 01-OCT-13

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Approaches to learning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
English language development (for dual language learners)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
List any domains not covered in the above:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner? Check all audiences and methods that your State/Territory has chosen to use in the chart below.

Effective Date: 01-OCT-13

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

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

Effective Date: 01-OCT-13

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards

(e.g., QRIS standards)

- To define the content of training required for the career lattice or professional credential
 - To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
 - To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
 - To develop State-/Territory -approved curricula
 - Other.
- None.

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

Effective Date: 01-OCT-13

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

[Cross-walked to align with Secondary Education Career and Technical, and School-age standards](#)

None.

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

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

Effective Date: 01-OCT-13

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

Yes.

Describe:

Public pre-school/pre-kindergarten (Pre-K), Head Start programs that are blended with Pre-K, and early intervention providers that may include early child care providers are required to use curriculum based assessments that align with the early childhood standards. In collaboration with DCC and the Kentucky System to Enhance Early Development, the Kentucky Partnership for Early Childhood Services initiated a pilot program in Eastern KY to extend developmental screening of young children to promote identification of concerns early in a child's life. Families of young children who apply for child care assistance will be given an Ages and Stages Questionnaire to complete, and areas of concern will be followed up by a DCBS or Child Care Aware staff member.

The data collected are entered into a statewide data system (Kentucky Early Childhood Data System or KEDS) to allow aggregate reporting on progress of children in the program on meeting the early childhood standards.

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

Yes.

Describe:

Programs are to use the assessment information to development individual plans within their program to meet the child's needs

No

Other.

Describe:

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

Yes.

Describe:

Reports can be provided in person, in writing, or both.

No

Other.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

The tools selected to track school readiness skills and behaviors support the Kentucky Early Childhood Standards and Kentucky Core Academic Standards and are designed to be used with the KIDS NOW Early Childhood Parent Guide.

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

Yes.

Describe:

Tools are selected to best correlate with the five developmental domains for school readiness: approaches to learning, social and emotional development, health and physical well-being, cognitive and general knowledge, and language and communication development.

No

Other.

Describe:

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

All children.

Describe:

The tools are use with children attending blended kindergarten/pre-K programs which may include child care providers.

Samples of children.

Describe:

Other.

Describe:

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

Yes.

Describe:

The information is used to better understand current program functioning and to identify areas of strength, weakness, opportunities for improvement that help guide school readiness initiatives.

No

Other.
Describe:

No

Other.
Describe:

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

Yes.

Describe:

The **P-20 Data Collaborative Grant** is a grant awarded to the Kentucky Department of Education to build upon the success of the K-12 statewide longitudinal data system and the systems that have been developed independently by the Council on Post-Secondary Education and the Education Professional Standards Board.

Through this project, Kentucky will link data from Pre-K, P-12, educator preparation and certification programs, career and technical education, post-secondary and adult education, and other sources. Participating agencies will individually control what data are shared, what analytic functions use that data, and who has access to data.

The overall goal of the **Kentucky Early Childhood Data System (KEDS)** at the University of Kentucky is to provide reliable and valid data on child outcomes to support policy decisions, program improvement, and investments in early care, intervention and education programs across Kentucky.

The KEDS data are analyzed to determine the degree to which Kentucky's children are meeting the major child outcomes and learning standards required by the Office of Special Education Programs in the U.S. Department of Education and the state early childhood standards.

No

Not applicable. State does not have an SLDS.

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

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

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

Describe (optional):

N/A

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

Describe (optional):

N/A

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

Describe (optional):

N/A

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

Describe (optional):

Other.

Describe:

None.

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

Training reports indicate the number of providers trained in early learning standards, number of trainings offered, and number of trainers that include this topic across the state.

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

Standards are crosswalked with approved assessment tools to allow for data collection that can show progress on standards and mastery of standards at age with exit level data. This can be done for child

care centers that enter data in KEDS.

3.2.8 Goals for the next Biennium -

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

Effective Date: 01-OCT-13

Goal #1:

Increase opportunities for the early learning guidelines to be incorporated into more Early Care programs.

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

Effective Date: 01-OCT-13

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

Three specific groups have been developed to support planning efforts related to quality rating improvement activities (STARS for KIDS NOW Program or STARS/QRIS).

First, the KIDS NOW Implementation Team is comprised of state agency staff who are responsible for overall planning efforts of programs initiated through the state KIDS NOW Initiative. Representatives include DCC, Department for Public Health, Department for Behavioral Health, Developmental and Intellectual Disabilities, Department of Education, and Head Start.

Second, the Professional Development Work Group is comprised of state agency staff (e.g., DCC, public health, behavioral health and developmental/intellectual disabilities, Department of Education and Head Start) as well as managing staff in contract agencies responsible for professional development implementation (e.g., Quality Enhancement Initiative, training records, training coordinators).

Third, the Governor's Office of Early Childhood Development and the Early Childhood Advisory Council (Council) were established in 2011 to promote the goals of Kentucky's KIDS NOW early childhood initiative. The Early Childhood Advisory Council is comprised of a 26-member bipartisan council of representatives working to unite stakeholders behind common strategies, standards, and goals for Kentucky's early childhood system and to advocate for improved quality of early childhood services and improved school readiness.

The Council assesses and advocates for the needs of Kentucky's early childhood system, promotes accountability of programs in early childhood, and provides research and guidance on issues that affect

STARS is administered through the Cabinet and DCC in partnership with the University of Kentucky's Quality Enhancement Initiative.

3.3.1 Element 1 - Program Standards

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

Effective Date: 01-OCT-13

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

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

Describe:

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

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

- Children with special needs as defined by your State/Territory

- Infants and toddlers
- School-age children
- Children who are dual language learners
- None

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

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

Describe:

- Not linked.

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

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

Describe:

- None.

3.3.2 Element 2 - Supports to Programs to Improve Quality

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.3.**

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Program improvement plans

Technical assistance on the use of program assessment tools

Other.

Describe:

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

Yes.

Describe:

Targeted technical assistance (TA) is provided based on a needs assessment conducted in each facility. Improvement plans are implemented for programs that have already participated and received a STARS rating and are trying to increase their STARS level. All TA activities are tracked and reported consistently at the regional and state levels. Specifically, data are collected on the level and intensity of TA to help ensure that it is matched to the level of need and outcomes identified by the TA recipient. Therefore, the level and intensity of TA may vary from low (i.e., brief encounters) to high (i.e., intense on-site support over time) with the intent to provide support to staff in effectively implementing a practice or set of practices. When providing support, TA is aligned with education and/or training to support the transfer of knowledge and/or skills into the work environment. This means that further areas for education and training may be identified as part of the TA process.

Targeted Technical Assistance Levels of Intensity

1. Low Intensity

- Share information related to a specific need and that will enhance knowledge use.
- Provide Linkages to other resources and supports within the community or state.
- Most commonly provided using an off-site approach.

2. Medium Intensity

- Provide directed assistance through repeated contacts with staff or program.
- Development of a plan of action with shared responsibility for outcomes.
- Can be provided using both on-site and off-site approaches.

3. High Intensity

- Repeat and long term assistance.
- Use of specific model of support (e.g., coaching, monitoring) following key tenants of the approach.
- Most commonly provided using an on-site approach.

No

Other.

Describe:

3.3.3 Element 3 - Financial Incentives and Supports

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

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

None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to improving / maintaining quality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 - Element 4 - Quality Assurance and Monitoring

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>The environment rating scales are used to assess the child care physical program and staff/child interactions. The ERS must be completed prior to a program receiving a STARS rating and again at renewal periods. The ERS is also used as a self-assessment for programs to identify their own areas of improvement and to develop an improvement plan. A quality rating certificate shall be renewed by a quality rating visit every:</p> <p>(a) Year for a Level 1 rated center; (b) Two (2) years for a Level 2 rated center; (c) Three (3) years for a Level 3 rated center; (d) Four (4) years for a Level 4 rated center.</p> </div>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

- Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
- Include QRIS or other quality reviews as part of licensing enforcement
- Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Other.
Describe:

DCC has implemented administrative efficiencies, such as the streamlining of the STARS application process. Baseline verifications done through licensing and certification are not repeated. The Cabinet has a uniform database, the Kentucky Integrated Child Care System (KICCS 4.0) which streamlines processes and minimizes duplication.

None.

3.3.5 - Element 5 - Outreach and Consumer Education

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

Effective Date: 01-OCT-13

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

Yes. If yes, how is it used?



Resource and referral/consumer education services use with parents seeking care



Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting



Searchable database on the web



Voluntarily, visibly posted in programs



Mandatory to post visibly in programs



Used in marketing and public awareness campaigns



Other.

Describe:



No. If no, **skip to 3.3.6.**

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



Print



Radio



Television



Web



Telephone



Social Marketing



Other.

Describe:



None.

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

N/A

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-13



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

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



Participation is voluntary for:

[License and certified providers.](#)



Participation is mandatory for:

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.

No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

State/Territory is in the development phase

State/Territory has no plans for development



Other.

Describe:



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



Child care centers



Group child care homes



Family child care homes



In-home child care



License exempt providers



Early Head Start programs



Head Start programs



Pre-kindergarten programs



School-age programs



Other.

Describe:

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

Effective Date: 01-OCT-13

please describe:

N/A.

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

Effective Date: 01-OCT-13

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



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

Describe(optional)

N/A



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

Describe(optional)

N/A



Program scores on program assessment instruments.

List instruments:

Infant/Toddler Environment Rating Scale Revised, (ITERS-R), Early Care Environment Rating Scale (ECERS-R), School Age Care Environment Rating Scale (SACERS), Family Child Care Environment

Rating Scale Revised (FCCERS-R)

Describe(optional)



Classroom scores on program assessment instruments.

List instruments:

Infant/Toddler Environment Rating Scale Revised, (ITERS-R), Early Care Environment Rating Scale (ECERS-R), School Age Care Environment Rating Scale (SACERS), Family Child Care Environment Rating Scale Revised (FCCERS-R)

Describe(optional)



Qualifications for teachers or caregivers within each program.

Describe(optional)



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

Describe(optional)

N/A



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



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

Describe(optional)

N/A



Other.

Describe:



None.

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

Kentucky contracts services for technical assistance to providers through the University of Kentucky Human Development Institute, Quality Enhancement Initiative (UK-HDI-QEI). The purpose of technical assistance is to assist programs with identifying areas in need of quality improvement and to assist those programs with enhancing the child care environment. DCBS completes annual contract monitoring on the services provided by the UK-HDI and issues a report on compliance/non-compliance. In the event of non-compliance, UK-HDI must submit a plan of correction.

DCBS also requires that UK-HDI-QEI complete and submit quarterly reports for tracking of services and to identify and address issues related to service delivery.

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

During FFY 2011, Kentucky completed a program evaluation of STARS, which included a review the overall policies, processes, and program performance. DCBS will be reviewing the results and recommendations to assist with program enhancements.

3.3.9 Goals for the next Biennium -

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

Effective Date: 01-OCT-13

Goal #1:

Evaluate and create improvements to the state quality rating and improvement system.

Goal #2:

Increase consumer awareness of the State Quality Rating Improvement System.

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

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

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

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

Effective Date: 01-OCT-13

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.

Division of Child Care (DCC), Kentucky Partnership for Early Childhood Services, Child Care Aware of Kentucky, Department of Education and Early Childhood Advisory Council (ECAC).

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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

Effective Date: 01-OCT-13



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

Yes

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

Other.
Describe:

If yes, insert web addresses, where possible: <http://kidsnow.ky.gov/Improving-Early-Care/Pages/Tools-and-Resources.aspx>

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

Child growth, development and learning

Health, nutrition, and safety

Learning environment and curriculum

Interactions with children

Family and community relationships

Professionalism and leadership

Observation and assessment

Program planning and management

Diversity

Other.

Describe:

None.

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

To define the content of training required to meet licensing requirements

To define the content of training required for program quality improvement standards (as reported in section 3.3)

To define the content of training required for the career lattice or credential

To correspond to the early learning guidelines

To define curriculum and degree requirements at institutions of higher education

Other.
Describe:

To define curriculum requirements for Family and Consumer Sciences Early Care and Education Coursework.

None.

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies

Other.
Describe:

Cross-walked with standards for Consumer Science Early Care and Educational Career and Technical Programs, Kentucky Interdisciplinary Early Childhood Education (IECE) and School Age Standards.

None.

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

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

Describe:

The Commonwealth Child Care Credential is a planned program of instruction based on Kentucky's Core Competencies that is available to staff to meet regulatory requirements to provide documentation of comparable education or a Commonwealth Child Care Credential.

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

Describe:

The Commonwealth Child Care Credential is a planned program of instruction based on Kentucky's Core Competencies that is available to staff to meet regulatory requirements to provide documentation of comparable education or a Commonwealth Child Care Credential.

Administrators in centers (including educational coordinators, directors).

Describe:

An individual is eligible for a Director's Credential when they have completed twelve college credit hours in the major areas of core knowledge as part of an early childhood education degree program or enrolled for directors credential course work as outlined in 922 KAR 2:230.

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

Describe:

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

Describe:

Kentucky Early Care and Education Credentialed Trainers are required to meet experience and education requirements in addition to attending Fundamentals of Effective Training based on competencies in Adult Learning Theory. See also 922 KAR 2:240.

Other.

Describe:

None.

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

Birth-to-three

Three-to-five

Five and older

Other.

Describe:

Adult Learning Competencies are requirements when applying for a Kentucky Early Care and Education Trainers Credential. A speciality Kentucky Early Care and Education Trainer's Credential is also available to those individuals who are licensed, certified, or have course work in one specific area of one of the seven core content areas. School-age is an example of a Speciality Credential that requires K-12 educational competencies and experience.

None.

3.4.2 Workforce Element 2 - Career Pathways

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

Effective Date: 01-OCT-13

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

Yes.

Describe:

Kentucky's Statewide Professional Development Framework was created as part of the KIDS NOW Initiative and is a seamless statewide system for the education, training, and credentialing of Early Childhood professionals.

Kentucky's Early Childhood Professional Development Framework includes seven major components:

- 1.Core content describing what early care and education (ECE) professionals should know and be able to do at five levels (i.e., entry into the field, Child Development Associate or CDA, Associate of Arts or AA, Bachelor of Arts or BA, Master of Arts or MA and above);
- 2.Credentials and degrees currently offered by the state, colleges, and universities are noted at each level of the Career Pathway, beginning with the state-issued Commonwealth Child Care Credential at Level One up to the Interdisciplinary Early Childhood Education degree at Level 4 and Level 5 for a Master's Degree;
- 3.The training system that includes standards, credential, training levels conducted across early childhood environments, and a seamless track allowing ECE professionals to build knowledge and competence from level to level;
- 4.Technical assistance components and competencies to support the transfer of training into practice;
- 5.Articulation allowing credit for education and clock hour training at each level to transfer to the next level. For example, 60 clock hours of a planned program of instruction is required to earn a Commonwealth Child Care Credential, and these sixty hours articulate to the 120 hours required to earn a CDA;
- 6.Scholarship and monetary incentives in the form of:
 - Scholarships, both college and non-college, to fund ECE training and education;
 - Achievement awards; and
 - Grants to obtain a CDA or national program accreditation; and
- 7.Training Registry system to allow for tracking of training by child care providers.

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

Insert web addresses, where possible:

http://www.kentuckypartnership.org/Libraries/TIPP_Training_Resources/Kentucky_Early_Childhood_Professional_Development

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

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

Describe:

Refer to Lattice outline below:

**Kentucky's Lattice for Early Childhood Professional Development
Director's Credential & Trainer's Credential**

• **Master's Degree**

Preschool Teacher, Head Start Teacher, College Instructor, High School Early Childhood Teacher, Credential Trainer Level 5, Child Care Health Care Consultants, Head Start Director, Resource and Referral Coordinator Quality Coordinator, Professional Development Counselor, Early Childhood Cooperative Extension Staff

• **Bachelor's Degree**

Center Director, Preschool Teacher, Head Start Teacher, Credential Trainer Level 4, Early Intervention, Quality Coordinator, Professional Development Counselor, Resource and Referral Coordinator

• **Associate's Degree**

Resource and Referral Staff, Credential Trainer Level 3, Licensed Center Director, Preschool Teacher in Licensed Center, Preschool Teacher's Assistant

Trainer's Credential

• **Child Development Associate, Council for Professional Development**

Preschool Teachers Assistant, Head Start Teacher's Assistant, Teacher in Licensed Child Care Program, Family Child Care Home, Licensed Child Care Director, Credentialed Trainer Level 2

• **Commonwealth Child Care Credential – Entry Level Kentucky Specific Credential
Pre-Lattice**

• **Minimum Kentucky State Requirements of Orientation Training and 15 hours of approved training**

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

Describe:

Refer to Lattice outline below:

**Kentucky's Lattice for Early Childhood Professional Development
Director's Credential & Trainer's Credential**

• **Master's Degree**

Preschool Teacher, Head Start Teacher, College Instructor, High School Early Childhood Teacher, Credential Trainer Level 5, Child Care Health Care Consultants, Head Start Director, Resource and Referral Coordinator Quality Coordinator, Professional Development Counselor, Early Childhood Cooperative Extension Staff

• **Bachelor's Degree**

Center Director, Preschool Teacher, Head Start Teacher, Credential Trainer Level 4, Early Intervention, Quality Coordinator, Professional Development Counselor, Resource and Referral

Coordinator

- **Associate's Degree**

Resource and Referral Staff, Credential Trainer Level 3, Licensed Center Director, Preschool Teacher in Licensed Center, Preschool Teacher's Assistant

Trainer's Credential

- **Child Development Associate, Council for Professional Development**

Preschool Teachers Assistant, Head Start Teacher's Assistant, Teacher in Licensed Child Care Program, Family Child Care Home, Licensed Child Care Director, Credentialed Trainer Level 2

- **Commonwealth Child Care Credential – Entry Level Kentucky Specific Credential**

Pre-Lattice

- **Minimum Kentucky State Requirements of Orientation Training and 15 hours of approved training**

Administrators in centers (including educational coordinators, directors).

Describe:

Refer to Lattice outline below:

Kentucky's Lattice for Early Childhood Professional Development

Director's Credential & Trainer's Credential

- **Master's Degree**

Preschool Teacher, Head Start Teacher, College Instructor, High School Early Childhood Teacher, Credential Trainer Level 5, Child Care Health Care Consultants, Head Start Director, Resource and Referral Coordinator Quality Coordinator, Professional Development Counselor, Early Childhood Cooperative Extension Staff

- **Bachelor's Degree**

Center Director, Preschool Teacher, Head Start Teacher, Credential Trainer Level 4, Early Intervention, Quality Coordinator, Professional Development Counselor, Resource and Referral Coordinator

- **Associate's Degree**

Resource and Referral Staff, Credential Trainer Level 3, Licensed Center Director, Preschool Teacher in Licensed Center, Preschool Teacher's Assistant

Trainer's Credential

- **Child Development Associate, Council for Professional Development**

Preschool Teachers Assistant, Head Start Teacher's Assistant, Teacher in Licensed Child Care Program, Family Child Care Home, Licensed Child Care Director, Credentialed Trainer Level 2

- **Commonwealth Child Care Credential – Entry Level Kentucky Specific Credential**

Pre-Lattice

- **Minimum Kentucky State Requirements of Orientation Training and 15 hours of approved training**

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

Describe:

Refer to Lattice outline below:

Kentucky's Lattice for Early Childhood Professional Development

Director's Credential & Trainer's Credential

- **Master's Degree**

Preschool Teacher, Head Start Teacher, College Instructor, High School Early Childhood Teacher, Credential Trainer Level 5, Child Care Health Care Consultants, Head Start Director, Resource and Referral Coordinator Quality Coordinator, Professional Development Counselor, Early Childhood

Cooperative Extension Staff

- **Bachelor's Degree**

Center Director, Preschool Teacher, Head Start Teacher, Credential Trainer Level 4, Early Intervention, Quality Coordinator, Professional Development Counselor, Resource and Referral Coordinator

- **Associate's Degree**

Resource and Referral Staff, Credential Trainer Level 3, Licensed Center Director, Preschool Teacher in Licensed Center, Preschool Teacher's Assistant

Trainer's Credential

- **Child Development Associate, Council for Professional Development**

Preschool Teachers Assistant, Head Start Teacher's Assistant, Teacher in Licensed Child Care Program, Family Child Care Home, Licensed Child Care Director, Credentialed Trainer Level 2

- **Commonwealth Child Care Credential – Entry Level Kentucky Specific Credential**
Pre-Lattice

- **Minimum Kentucky State Requirements of Orientation Training and 15 hours of approved training**

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

Refer to Lattice outline below:

Kentucky's Lattice for Early Childhood Professional Development
Director's Credential & Trainer's Credential

- **Master's Degree**

Preschool Teacher, Head Start Teacher, College Instructor, High School Early Childhood Teacher, Credential Trainer Level 5, Child Care Health Care Consultants, Head Start Director, Resource and Referral Coordinator Quality Coordinator, Professional Development Counselor, Early Childhood Cooperative Extension Staff

- **Bachelor's Degree**

Center Director, Preschool Teacher, Head Start Teacher, Credential Trainer Level 4, Early Intervention, Quality Coordinator, Professional Development Counselor, Resource and Referral Coordinator

- **Associate's Degree**

Resource and Referral Staff, Credential Trainer Level 3, Licensed Center Director, Preschool Teacher in Licensed Center, Preschool Teacher's Assistant

Trainer's Credential

- **Child Development Associate, Council for Professional Development**

Preschool Teachers Assistant, Head Start Teacher's Assistant, Teacher in Licensed Child Care Program, Family Child Care Home, Licensed Child Care Director, Credentialed Trainer Level 2

- **Commonwealth Child Care Credential – Entry Level Kentucky Specific Credential**
Pre-Lattice

- **Minimum Kentucky State Requirements of Orientation Training and 15 hours of approved training**

Other.

Describe:

None.

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

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

Other.

Describe:

[Kentucky Core Content, which is incorporated into requirements for State issued credentials and Kentucky Interdisciplinary Early Childhood Education degrees addresses competencies in each of the areas listed above](#)

None.

d) In what ways, if any, is the career pathway (or lattice) used?

Voluntary guide and planning resource

Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13

Required placement for all practitioners working in programs that receive public funds to serve children birth to 13

Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)

Required placement for participation in scholarship and/or other incentive and support programs

Required placement for participation in the QRIS or other quality improvement system

Other.

Describe:

[All licensed and certified staff must have an annual professional development plan.](#)

None.

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice)?

Yes.

If yes, describe:

Along each step of the professional development lattice, before moving from one step up to another , an individual's Professional Development Counselor verifies and tracks each of the above categories, including individual professional development plans in order to assure that all requirements for the next level have been met.

No.

3.4.3 Workforce Element 3 - Professional Development Capacity

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

Effective Date: 01-OCT-13

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

Yes.

If yes, describe:

The Department of Education and DCBS-Division of Child Care and representatives from the community and technical colleges and state universities meet to address the availability of educational opportunities, course work, and accreditation for professionals pursuing credentials/degrees in ECE, school-age or youth development, and related fields.

Kentucky also has through the UK-HDI-QEI program Professional Development Counselors who assist students with applying for various educational opportunities and who continuously assess the availability of those opportunities.

No.

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

Yes.

If yes, describe:

Kentucky identifies training and technical assessment of programs as part of the Child Care Aware of Kentucky Network of Training Coordinators and Technical Assistance Coordinators covering the state's 15 Area Development Districts.

Each area full-time Training Coordinator:

- Monitors training in the region to ensure coverage of the Kentucky Early Childhood Core Content and the variety of training options available;
- Coordinates training activities across the region in collaboration with training networks, entities, and community partners;
- Monitors training in the region using a Cabinet-identified tool to ensure adherence by trainers to training standards, principals, and 922 KAR 2:240; and
- Participates in the development and implementation of a statewide recruitment plan by identifying regional needs.

Each area full-time Technical Assistance Coordinator:

- Provides technical assistance to providers on licensing standards and requirements;
- Coordinates technical assistance activities across the region in collaboration with other entities and community partners (DRCC, CCHC, QEI, ECMH, etc.);
- Participates in community outreach events to provide materials and information; and
- Participates in the development and dissemination of outreach materials by identifying regional needs.

No.

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

- Standards set by the institution
- Standards set by the State/Territory higher education board
- Standards set by program accreditors
- Standards set by State/Territory departments of education
- Standards set by national teacher preparation accrediting agencies

Other.

Describe:

None.

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

Training approval process.

Describe:

922 KAR 2:240, Early Kentucky Early Care and Education Trainer's Credential and training approval, identifies the criteria used to approve training hours for conferences, seminars, and institutes for any individual or organization not utilizing trainers with a current Early Care and Education Trainer's Credential. The applicant must complete a DCC-201 to register a training event with DCC.

On-line training agencies may register utilizing the application for "Registration of Online Course work/Training" to DCC.

Trainer approval process.

Describe:

922 KAR 2:240, Early Kentucky Early Care and Education Trainer's Credential and training approval, identifies the criteria used to approve an individual for a trainer's credential. An applicant completes and submits the DCC-200, Kentucky Early Care and Education Trainer's Credential Application, with documentation of experience and education to the Training Into Practice Project (UK/TIPP)

The Early Care and Education Trainer's Credential Review Panel reviews the application and documentation, then sends the Panel's recommendation for the appropriate training level to DCC, which issues and mails the Trainer's Credential Approval Letter and the Kentucky Early Care and Education Trainer's Certificate to the trainer.

Training and/or technical assistance evaluations.

Describe:

The Child Care Aware of Kentucky at UK-HDI is contractually responsible for monitoring and coordination of trainings. The Early Care and Education Training Record Information System (ECE-TRIS) allows for entry of training evaluations from which the division may obtain summary reports for monitoring and evaluation of trainings across the state

Other.

Describe:

None.

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

Yes.

If yes, describe:

An articulation framework has been provided in collaboration with statewide two- and four-year institutions of higher education to support agreements across institutions.

No.

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

Yes.

If yes, describe:

Kentucky has five levels of competency, each of which articulate into the next level. At lower levels of competency, the completion of a particular credential, program, or certificate equivocates or transfers as college credit. Thus, students can transfer their training hours between secondary schools, community and technical colleges, training programs, and four-year institutions. The academic credits are transferable to an Interdisciplinary Early Childhood Education program and count toward degree credit hours.

Individual higher education institutions will ensure that students hold the requisite levels of competency for each credential or certificate earned. Course titles or course numbers are not required to be identical across academic institutions or training entities.

No.

3.4.4 Workforce Element 4 - Access to Professional Development

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

Effective Date: 01-OCT-13



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

Yes. If yes, for which sectors?

Child care

Head Start/Early Head Start

Pre-Kindergarten

- Public schools
- Early intervention/special education
- Other.

Describe:

Kentucky Early Care and Education Credentialed Trainers; Kentucky High Schools Family and Consumer Sciences Early Care and Education program of study; Commonwealth Child Care Credential, which can articulate to a national CDA; and Director's Credential.

No.

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

Yes.

If yes, describe:

ECE-TRIS provides a centralized location for tracking training. It allows early care and education professionals to access, view, and/or print their training records at any time. ECE-TRIS documents training to meet training requirements for licensing, certification, and registered providers; STARS; and CCCC and Trainer Credential renewal hours. Individuals may access ECE-TRIS training calendar to search for early childhood training opportunities by training title or key word by county, date, and core content or CDA subject areas.

ECE-TRIS records are also utilized by Professional Development Counselors to assist individuals with their professional development planning. Child Care Aware Training Coordinators utilize ECE-TRIS data to monitor training to ensure available access of training across the region.

No.

Insert web addresses, where possible: <https://tris.eku.edu/ece/content.php?CID=1>

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

Scholarships.

Describe:

The Commonwealth Child Care Credential/Child Development Associate Credential Non-College Scholarship Program pays \$420 for 120 clock hours of training on behalf of scholars to an approved training organization. The Non-College Scholarship Program is administered by the Cabinet for Health and Family Services, Department for Community Based Services, Division of Child Care.

The Kentucky Higher Education Assistance Authority (KHEAA) Scholarship Program provides up to \$1800.00 per year and nine college credits per semester to individuals residing in Kentucky and

currently employed, to students seeking a degree in a Kentucky accredited early care and education program.

Free training and education.

Describe:

Kentucky offers free training to early care and education professionals through the Child Care Health Consultants, Community Early Childhood Councils, and Child Mental Health Consultants. Kentucky also requires training hours on pediatric abusive head trauma and evacuation planning, which are available free online.

Reimbursement for training and education expenses.

Describe:

The Related Educational Reimbursement Expense is a monetary award paid to early care and education professionals participating in the KIDS NOW college scholarship program upon completion of a scholarship semester/term. Only scholars enrolled in a college or university (KHEAA) scholarship program are eligible to receive a Related Educational Expense Award. Non-college scholars are not eligible.

Grants.

Describe:

Kentucky has mini-grants available to individuals and early care and education programs to help offset the cost of national accreditation and the Child Development Associate:

- 1.National accreditation grants for the Council on Accreditation, National Association for the Education of Young Children (NAEYC), and Family Child Care Program accreditation.
- 2.CDA-K – Grant available to scholars to pay for the Council for Professional Recognition's CDA assessment fee. A second setting CDA grant is also available.

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.

Describe:

Other.

Describe:

A Milestone Achievement Award is available to both college and non-college scholars upon the completion of each credential or degree earned. The amount of the award increases for each Level completed.

None.

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

Child Care Aware of Kentucky Network staff are available statewide to facilitate and coordinate training and provide technical assistance to aid potential providers in obtaining a child care license or certification, support in how to start a child care center or home, and resources to help providers meet and maintain state licensing requirements.

Kentucky also has the following programs, which provide technical assistance via coaching and/or consultation to child care providers:

Technical Assistance Coordinators provide technical assistance to providers on licensing standards and requirements:

- Coordinates activities across the region in collaboration with other TA entities and community partners (DRCC, CCHC, QEI, ECMH, etc.);
- Participates in community outreach events to provide materials and information; and
- Participates in the development and dissemination of outreach materials by identifying regional needs.

Child Care Health Consultants are personnel dedicated to educating early care and education staff and parents in health, safety, nutrition, and the benefits of early intervention. Emphasis is placed on the prevention of communicable diseases in group settings and the social/emotional wellbeing of children. The Department for Public Health offers this service to licensed and certified child care providers.

HANDS Home Visiting Program is a voluntary home visitation program for at-risk first time parents to promote the healthy growth and development of the child. The Department of Public Health offers this service often times through community referral of prospectively eligible parents.

No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce

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

Effective Date: 01-OCT-13

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

No.

 c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

Yes.

If yes, describe:

No.

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

Yes.

If yes, describe:

Kentucky's STARS for KIDS NOW program offers a Level 4 Type I child-care center an enhancement award when the child-care center pays at least 50% of the cost of a single health insurance plan for each employee who works at least 37.5 hours per week in the center.

No.

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

Effective Date: 01-OCT-13

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

Data on the size of the child care workforce.

Describe (optional):

N/A

Data on the demographic characteristics of practitioners or providers working directly with children.

Describe (optional):

N/A

Records of individual teachers or caregivers and their qualifications.

Describe (optional):

N/A

Retention rates.

Describe (optional):

Records of individual professional development specialists and their qualifications.

Describe (optional):

N/A

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

Describe (optional):

Number of scholarships awarded .

Describe (optional):

N/A

Number of individuals receiving bonuses or other financial rewards or incentives.

Describe (optional):

N/A

Number of credentials and degrees conferred annually.

Describe (optional):

N/A

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

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

Other.
Describe:

None.

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

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

Yes.

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

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

The Kentucky Integrated Child Care System 4.0 (KICCS 4.0) identifies and tracks all staff working directly with children in the child care facility. Participation is mandatory for all providers receiving subsidy payments.

The Kentucky Early Care and Education Training Records Information System (ECE-TRIS) tracks all completed clock hour training. 922 KAR 2:240 mandates all Kentucky Early Care and Education Credentialed Trainers conducting training to enter attendees and training records into ECE-TRIS.

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

Describe:

The Kentucky Integrated Child Care System 4.0 (KICCS 4.0) identifies and tracks all staff working directly with children in the child care facility. Participation is mandatory for all providers receiving subsidy payments.

The Kentucky Early Care and Education Training Records Information System (ECE-TRIS) tracks all completed clock hour training. 922 KAR 2:240 mandates all Kentucky Early Care and Education Credentialed Trainers conducting training to enter attendees and training records into ECE-TRIS.

Administrators in centers (including educational coordinators, directors).

Describe:

The Kentucky Integrated Child Care System 4.0 (KICCS 4.0) identifies and tracks all staff working directly with children in the child care facility. Participation is mandatory for all providers receiving subsidy payments.

The Kentucky Early Care and Education Training Records Information System (ECE-TRIS) tracks all completed clock hour training. 922 KAR 2:240 mandates all Kentucky Early Care and Education Credentialed Trainers conducting training to enter attendees and training records into ECE-TRIS.

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

Describe:

Child Care Aware of Kentucky's Technical Assistance Coordinators are require by contract to provide DCC with information detailing type of technical assistance provided and to report quarterly.

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

Describe:

The Kentucky Early Care and Education Training Records Information System (ECE-TRIS) tracks all completed clock hour training. 922 KAR 2:240 mandates all Kentucky Early Care and Education Credentialed Trainers conducting training to enter attendees and training records into ECE-TRIS.

Other.

Describe:

None.

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

- all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?
- all practitioners working in programs that receive public funds to serve children birth to age 13?
- No.

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

Kentucky contracts services for Professional Development Counselors, Child Care Aware of Kentucky's Training Coordinators and Technical Assistance Coordinators, Training Into Practice services through the University of Kentucky – Human Development Institute (UK-HDI). DCBS completes annual contract monitoring on the services provided by the UK-HDI and issues a report on compliance/non-compliance. In the event of non-compliance, UK-HDI must submit a plan of correction.

DCBS also requires that UK-HDI complete and submit quarterly reports for tracking of services and to identify and address any issues in regards to service delivery.

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

N/A

3.4.7 Goals for the next Biennium -

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

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

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

Goal #1:

Create a centralized system for technical assistance that will track intensity, targets of technical assistance, and completion or attrition rates.

Goal #2:

Streamline the approved training process into one centralized data system.