



Child Care and Development Fund (CCDF) Plan

For

State/Territory:

TEXAS

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 0970-0114 expires 05/31/2016.

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PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

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

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

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

Name of Lead Agency: *Texas Workforce Commission*
Address of Lead Agency: *101 East 15th Street, Austin, Texas 78778-0001*
Name and Title of the Lead Agency's Chief Executive Officer:
Larry E. Temple, Executive Director
Phone Number: *(512) 463-0735*
Fax Number: *(512) 475-2321*
E-Mail Address: *Larry.Temple@twc.state.tx.us*
Web Address for Lead Agency (if any): www.texasworkforce.org

1.1.2. Who is the CCDF administrator?

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

a) Contact Information for CCDF Administrator:

Name of CCDF Administrator: *Patricia Gonzalez*
Title of CCDF Administrator: *Deputy Director, Workforce Development Division*
Address of CCDF Administrator:
101 East 15th Street, Room 504GT
Austin, Texas 78778-0001
Phone Number: *(512) 936-9256*
Fax Number: *(512) 463-9742*
E-Mail Address: patricia.gonzalez@twc.state.tx.us

Phone Number for CCDF program information (for the public) (if any): **2-1-1**
 Web Address for CCDF program (for the public) (if any): www.texasworkforce.org
 Web address for CCDF program policy manual: (if any):
<http://www.twc.state.tx.us/child-care-services-guide>
 Web address for CCDF program administrative rules: (if any):
<http://www.twc.state.tx.us/twcinfo/rules/ch809.pdf>

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

Name of CCDF Co-Administrator: *Phil Warner*
 Title of CCDF Co-Administrator: *Manager, Child Care Services, Workforce Policy and Program Assistance*
 Address of CCDF Co-Administrator:
101 East 15th Street, Room 440T
Austin, Texas 78778-0001
 Phone Number: *(512) 936-3226*
 Fax Number: *(512) 463-7379*
 E-Mail Address: philip.warner@twc.state.tx.us
 Description of the role of the Co-Administrator: *To act on behalf of the State Administrator*

1.2 Estimated Funding

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

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

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching):	<u>\$465,963,407</u>
Federal TANF Transfer to CCDF:	<u>\$0</u>
Direct Federal TANF Spending on Child Care:	<u>\$0</u>
State CCDF Maintenance-of-Effort Funds:	<u>\$27,745,141</u>
State Matching Funds:	<u>\$45,582,817</u>

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 N/A here.

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

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

If checked, identify source of funds:

The Texas legislature appropriates state general revenue funds to the Texas Workforce Commission (TWC) to meet part of the CCDF match requirement. Additionally, Local

Workforce Development Boards (Boards) work closely with local public entities to secure local matching funds through the certification of public child care expenditures and transfer of public funds to TWC. Examples include:

- *colleges and universities certifying child care professional development expenditures and direct child care expenditures at teacher lab schools on campus;*
- *independent school districts (ISDs) certifying local public expenditures related to child care services for teen parents provided at schools; and*
- *city governments certifying local expenses related to child care professional development activities and city-funded child care services.*

If known, identify the estimated amount of public funds the Lead Agency will receive: \$110,221,120

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

If checked, are those funds:

donated directly to the State?

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

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

One (1) entity:

Texas Workforce Commission

101 East 15th Street, Room 504GT, Austin, Texas 78778-0001

Laurie Biscoe, Deputy Director, Workforce Development Division

If known, identify the estimated amount of private donated funds the Lead Agency will receive: \$300,000

State expenditures for pre-k programs to meet the CCDF Matching Funds requirement. If checked,

Provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%): 30%

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

State law (Texas Education Code §29.158) and TWC Child Care Services rule §809.14(b) require Boards to coordinate with ISDs, Head Start, and Early Head Start programs to ensure, to the greatest extent practicable, that full-day, full-year child care is available to meet the needs of low-income parents who are working or attending a job training or educational program.

Additionally, the University of Texas Health Science Center's Children's Learning Institute (CLI) oversees the Texas School Ready! (TSR!) project. The TSR! project integrates public pre-K, child care services, and Head Start

through high-quality teacher training provided through an online professional development program, classroom mentoring, technology-driven progress monitoring techniques, and sharing of training and classroom space. In the 2013 school year, the TSR! project awarded 25 community grants for 1,841 classrooms, including 77 non-profit, 767 Head Start, and 997 child care classrooms. For more on the TSR! project, see <http://www.tea.state.tx.us/WorkArea/linkit.aspx?LinkIdentifier=id&ItemID=2147496854&libID=2147496851>.

The Texas Education Agency (TEA) Prekindergarten Early Start Grant requires ISDs that apply for pre-K funds to develop School Readiness Integration (SRI) partnerships. An SRI partnership is an integrated approach to bringing together child care services, public pre-K, and Head Start in a cohesive service model. Additionally, TEA funds one SRI specialist at each of the 20 Regional Education Service Centers (ESCs) to provide technical assistance and training to ISDs wishing to participate.

In an SRI partnership classroom, an independent school district places a certified teacher in a Head Start or child care classroom to provide a minimum of three hours of daily instruction to eligible students using state-approved instructional materials. ISDs may receive Average Daily Attendance (ADA) funds for eligible pre-K students enrolled in the Head Start or child care classroom served. For more on the Prekindergarten Early Start Grant, see <http://www.tea.state.tx.us/WorkArea/linkit.aspx?LinkIdentifier=id&ItemID=2147496853&libID=2147496850>.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: \$32,532,546

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

TWC Child Care Services rule §809.14(b) requires Boards to coordinate with ISDs, Head Start, and Early Head Start programs to ensure, to the greatest extent practicable, that full-day, full-year child care is available to meet the needs of low-income parents who are working or attending a job training or educational program.

Additionally, TWC Child Care Services rule §809.50(g) allows Boards to establish a higher income eligibility limit for families with a child who is enrolled in Head Start, Early Head Start, or a public pre-K program—provided that the limit does not exceed 85% of the state median income (SMI).

State expenditures for pre-k programs to meet the CCDF Maintenance of Effort (MOE) requirements. If checked,

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

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

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

State law (Texas Education Code §29.158) and TWC Child Care Services rule §809.14(b) require Boards to coordinate with ISDs, Head Start, and Early Head Start programs to ensure, to the greatest extent practicable, that full-day, full-year child care is available to meet the needs of low-income parents who are working or attending a job training or educational program.

Additionally, the University of Texas Health Science Center's Children's Learning Institute (CLI) oversees the Texas School Ready! (TSR!) project. The TSR! project integrates public pre-K, child care services, and Head Start through high-quality teacher training provided through an online professional development program, classroom mentoring, technology-driven progress monitoring techniques, and sharing of training and classroom space. In the 2013 school year, the TSR! project awarded 25 community grants for 1,841 classrooms, including 77 non-profit, 767 Head Start, and 997 child care classrooms. For more on the TSR! project, see <http://www.tea.state.tx.us/WorkArea/linkit.aspx?LinkIdentifier=id&ItemID=2147496854&libID=2147496851>.

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In an SRI partnership classroom, an independent school district places a certified teacher in a Head Start or child care classroom to provide a minimum of three hours of daily instruction to eligible students using state-approved instructional materials. ISDs may receive Average Daily Attendance (ADA) funds for eligible pre-K students enrolled in the Head Start or child care classroom served. For more on the Prekindergarten Early Start Grant, see <http://www.tea.state.tx.us/WorkArea/linkit.aspx?LinkIdentifier=id&ItemID=2147496853&libID=2147496850>.

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: \$6,936,280

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

TWC Child Care Services rule §809.14(b) requires Boards to coordinate with ISDs, Head Start, and Early Head Start programs to ensure, to the greatest extent practicable, that full-day, full-year child care is available to meet the needs of low-income parents who are working or attending a job training or educational program.

Additionally, TWC Child Care Services rule §809.50(g) allows Boards to establish a higher income eligibility limit for families with a child who is enrolled in Head Start, Early Head Start, or a public pre-K program—provided that the limit does not exceed 85% of the state median income (SMI).

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.

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>Infant/Toddler Targeted Funds</p> <p><i>Est. \$11,222,000</i></p>	<p><i>1. Texas Rising Star (TRS) Enhanced Rates</i></p> <p><i>2. Texas Department of Family and Protective Services (DFPS) Licensing and Regulation</i></p> <p><i>3. DFPS Inclusion Training</i></p>	<p><i>1. Provide enhanced rates to direct child care subsidies for all age groups enrolled in TRS.</i></p> <p><i>2. Conduct monitoring for compliance with licensing and regulatory requirements.</i></p> <p><i>3. Provide technical assistance and online training for licensed and registered child care providers regarding the inclusion of infants and toddler with special needs in</i></p>	<p><i>1. Improve the quality and availability of child care for infants and toddlers.</i></p> <p><i>2. License, register, certify, and list day care facilities and homes.</i></p> <ul style="list-style-type: none"> <i>• Conduct background checks on relative providers of subsidized child care so they can become listed family homes.</i> <i>• Monitor and follow up on all licensed, certified, and registered facilities and homes for compliance with state standards.</i> <i>• Investigate and follow up on standards violations.</i> <i>• Provide consumer education to parents and the public about the availability of care and choosing child care providers.</i> <i>• Provide technical assistance in areas appropriate to the provision of child care services.</i> <p><i>3. Improve and expand child care services to infants and toddlers with special needs.</i></p>

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 Funds <i>(Cont'd)</i>	<p><i>4. TRS Mentoring and Assessments</i></p> <p><i>5. Boards – Quality Improvement Activities and TRS Assistance</i></p>	<p><i>regulated child care settings.</i></p> <p><i>4. Provide mentoring and assessment services focusing on infants and toddlers to TRS providers and providers working to become TRS providers.</i></p> <p><i>5. Fund local quality improvement initiatives including:</i></p> <ul style="list-style-type: none"> <i>• early childhood professional development;</i> <i>• technical assistance for TRS-certified providers and providers pursuing TRS certification; and activities to support.</i> 	<p><i>4. Improve the quality of child care services for infants and toddlers.</i></p> <p><i>5. With a focus on infants and toddlers:</i></p> <ul style="list-style-type: none"> <i>-increase opportunities for professional development activities for TRS-certified providers;</i> <i>-provide quality child care options for parents of infants and toddlers receiving subsidized child care;</i> <i>-increase the number of TRS-certified providers serving infants and toddlers;</i> <i>-assist TRS-certified providers to move toward higher levels of TRS certification.</i>
School-Age/Child Care Resource and Referral Targeted Funds <i>Est. \$1,960,000</i>	<p><i>1. Texas Rising Star (TRS) Enhanced Rates</i></p> <p><i>2. Texas Health and Human Services Commission (HHSC) 2-1-1 Texas</i></p>	<p><i>1. Provide enhanced rates to direct child care subsidies for school- age children enrolled in TRS.</i></p> <p><i>2. Provide child care information and referral services across the state through 2-1-1 Texas by phone and Internet.</i></p>	<p><i>1. Improve the quality and availability of child care for all age groups.</i></p> <p><i>2. Provide comprehensive consumer education.</i></p>

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>School-Age/Child Care Resource and Referral Targeted Funds <i>(Cont'd)</i></p>	<p><i>3. Texas Department of Family and Protective Services (DFPS) Licensing and Regulation</i></p> <p><i>4. TRS Mentoring and Assessments</i></p> <p><i>5. Boards – Quality Improvement Activities and TRS Assistance</i></p>	<p><i>3. Conduct monitoring for compliance with licensing and regulatory requirements.</i></p> <p><i>4. Provide mentoring and assessment services to TRS providers and providers working to become TRS providers.</i></p> <p><i>5. Fund local quality improvement initiatives including:</i></p> <ul style="list-style-type: none"> <i>• early childhood professional development;</i> 	<p><i>3. License, register, certify, and list day care facilities and homes.</i></p> <ul style="list-style-type: none"> <i>• Conduct background checks on relative providers of subsidized child care so they can become listed family homes.</i> <i>• Monitor and follow up on all licensed, certified, and registered facilities and homes for compliance with state standards.</i> <i>• Investigate and follow up on standards violations.</i> <i>• Provide consumer education to parents and the public about the availability of care and choosing child care providers.</i> <i>• Provide technical assistance in areas appropriate to the provision of child care services.</i> <p><i>4. Improve the quality of child care services for subsidized children.</i></p> <p><i>5. With a focus on infants and toddlers: -increase opportunities for professional development activities for TRS-certified providers;</i></p>

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)
School-Age/Child Care Resource and Referral Targeted Funds (Cont'd)	<p><i>6. Parent Web Portal</i></p>	<ul style="list-style-type: none"> • <i>technical assistance for TRS-certified providers and providers pursuing TRS certification; and activities to support.</i> <p><i>6. Provide information on child care services, focusing on quality standards and choosing quality child care providers.</i></p>	<p><i>-provide quality child care options for parents of infants and toddlers receiving subsidized child care;</i></p> <p><i>-increase the number of TRS-certified providers serving infants and toddlers;</i></p> <p><i>-assist TRS-certified providers to move toward higher levels of TRS certification.</i></p> <p><i>6. Improve consumer education.</i></p>

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)
Quality Expansion Targeted Funds <i>Est. \$19,380,000</i>	<ol style="list-style-type: none"> <li data-bbox="440 338 883 401">1. <i>Texas Rising Star (TRS) Enhanced Rates</i> <li data-bbox="440 569 883 600">2. <i>Texas Child Care Quarterly</i> <li data-bbox="440 1041 883 1136">3. <i>Texas Department of Family and Protective Services (DFPS) Licensing and Regulation</i> 	<ol style="list-style-type: none"> <li data-bbox="911 338 1159 537">1. <i>Provide enhanced rates to direct child care subsidies for all age groups enrolled in TRS.</i> <li data-bbox="911 569 1159 999">2. <i>Provide early care and education practitioners, and parents, with information to improve the quality of early care and education practices by building the skills of the adults who support children's growth and learning.</i> <li data-bbox="911 1041 1159 1241">3. <i>Conduct monitoring for compliance with licensing and regulatory requirements</i> 	<ol style="list-style-type: none"> <li data-bbox="1187 338 1500 432">1. <i>Improve the quality and availability of child care for all age groups.</i> <li data-bbox="1187 569 1500 663">2. <i>Improve the quality of early care and education practices.</i> <li data-bbox="1187 1041 1500 1640">3. <i>License, register, certify, and list day care facilities and homes.</i> <ul style="list-style-type: none"> <li data-bbox="1187 1146 1500 1335">• <i>Conduct background checks on relative providers of subsidized child care so they can become listed family homes.</i> <li data-bbox="1187 1346 1500 1545">• <i>Monitor and follow up on all licensed, certified, and registered facilities and homes for compliance with state standards.</i> <li data-bbox="1187 1556 1500 1640">• <i>Investigate and follow up on standards violations.</i>

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>Quality Expansion Targeted Funds <i>(Cont'd)</i></p>	<p><i>4. Texas Education Agency (TEA) – Early Childhood Education Partnerships</i></p> <p><i>5. Boards – Quality Improvement Activities</i></p>	<p><i>4. Fund the management of early childhood education partnership projects, including the award of stipends.</i></p> <p><i>5. Fund local quality improvement initiatives including:</i></p> <ul style="list-style-type: none"> <i>• early childhood professional development;</i> <i>• technical assistance for TRS-certified providers and providers pursuing TRS certification; and activities to support.</i> 	<ul style="list-style-type: none"> <i>• Provide consumer education to parents and the public about the availability of care and choosing child care providers.</i> <i>• Provide technical assistance in areas appropriate to the provision of child care services.</i> <p><i>4. Increase participation in professional development by early childhood education professionals and encourage those professionals to seek additional education.</i></p> <p><i>5. Increase opportunities for professional development activities for TRS-certified providers and continue to provide quality child care options for parents of children receiving subsidized child care.</i></p>

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)
Quality Expansion Targeted Funds (Cont'd)	<p><i>6. Professional Development for Early Childhood Education</i></p> <p><i>7. TRS Mentor and Assessor Training</i></p> <p><i>8. DFPS On-Line Training</i></p> <p><i>9. Integrated Child Development Associate (CDA) Credential and Adult Education and Literacy</i></p>	<p><i>6. Provide funds for:</i></p> <ul style="list-style-type: none"> <i>- T.E.A.C.H. programs that lead to a national credential in early childhood education, or work-study programs in child care.</i> <i>-Pilot programs that use tools for individualized instruction coupled with professional development components that support ongoing learning for teachers.</i> <p><i>7. Statewide training to TRS mentors and assessors on the new TRS standards.</i></p> <p><i>8. Provide on-line courses for child care professionals focusing on health and safety.</i></p> <p><i>9. Provide adult education and literacy services to caregivers who would not qualify for a CDA credential because they lack the necessary prerequisites to enroll in CDA programs.</i></p>	<p><i>6. Encourage increased participation in continuing professional development for early childhood professionals.</i></p> <p><i>7. Ensure consistency in TRS program delivery and inter-rater reliability.</i></p> <p><i>8. To expand opportunities for early childhood professionals to participate in professional development activities.</i></p> <p><i>9. To increase the number of caregivers with basic education and literacy skills and CDA credentials, thus increasing the overall quality of child care services in Texas.</i></p>

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)
Quality Expansion Targeted Funds (Cont'd)	<p><i>10. Child Care in Military Communities</i></p> <p><i>11. Board Quality Incentive Awards and Child Care Quality Conference</i></p>	<p><i>10. Assist child care providers in communities with military facilities to become nationally accredited.</i></p> <p><i>11. To recognize local outstanding and innovative child care quality projects.</i></p>	<p><i>10. To improve child care options and services available to military families.</i></p> <p><i>11. To provide incentives for Boards with outstanding quality programs and to encourage replication of these programs in other workforce areas.</i></p>
<p><u>Quality Funds (not including Targeted Funds)</u></p> <p><i>Est. \$51,500,000</i></p>	<p><i>1. Children's Learning Institute (CLI) – TSR! Project</i></p> <p><i>2. Boards – Local Child Care Quality Improvement Activities</i></p>	<p><i>1. CLI oversees the TSR! project, which integrates public pre-K, child care services, and Head Start through high-quality teacher training provided through an online professional development program, classroom mentoring, technology-driven progress monitoring techniques, and shared training and classroom space.</i></p> <p><i>2. Boards' certification of local expenditures for early childhood professional development, consumer education, and other child care quality improvement activities.</i></p>	<p><i>1. Creating and implementing a School Readiness Integration Partnership to coordinate services among school districts, child care providers, and Head Start programs.</i></p> <p><i>2. Improve the quality and expand availability of early childhood education professionals; promote increased parental choice; and improve the quality and availability of child care.</i></p>

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)
<u>Quality Funds (not including Targeted Funds)</u> (Cont'd)	<p><i>3. Boards – Quality Improvement Activities</i></p> <p><i>4. Texas Rising Star (TRS) Enhanced Rates</i></p> <p><i>5. Boards – Quality Initiatives and TRS Assistance</i></p>	<p><i>3. Fund local quality improvement initiatives including:</i></p> <ul style="list-style-type: none"> <i>• early childhood professional development; and activities to support early learning and literacy.</i> <p><i>4. Provide enhanced rates to direct child care subsidies for children enrolled in TRS.</i></p> <p><i>5. Quality initiatives and technical assistance for TRS-certified providers and providers pursuing TRS certification.</i></p>	<p><i>3. Increase opportunities for professional development activities for TRS-certified providers and continue to provide quality child care options for parents of children receiving subsidized child care.</i></p> <p><i>4. Improve the quality and availability of child care for all age groups.</i></p> <p><i>5. Increase the number of TRS-certified providers and assist TRS-certified providers to move toward higher levels of TRS certification.</i></p>

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.

- 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 \$13,110,000
- 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.

Internal Audit

State law requires that each Texas agency have an internal audit function (Texas Government Code, Chapter 2102). Internal audit is an independent assurance and consulting activity that uses a systematic, disciplined approach to evaluate and improve the effectiveness of TWC's risk management, control, and governance processes. In order to ensure independence, TWC's internal auditor is selected by, and reports directly to, TWC's commissioners. TWC's Office of Internal Audit's activities are designed to provide the commissioners and executive management with independent assurances regarding the integrity of TWC's financial and operational information, the effectiveness and efficiency of TWC operations, the safeguarding of TWC assets, and TWC's compliance with applicable laws and regulations.

State Auditor's Office

In addition to TWC's internal audit function, TWC is also subject to audit by the State Auditor's Office (SAO). SAO is the independent auditor for Texas state government, and is authorized by Texas Government Code, Chapter 321, to perform audits, reviews, and investigations any entity receiving state funds, including state agencies and higher education institutions. SAO performs financial statement opinion audits, financial audits, compliance audits, economy and efficiency audits, effectiveness audits, and other special audits. SAO also may perform reviews, which are less rigorous than audits and do not follow auditing standards, but provide a certain degree of assurance to decision makers. Investigations are performed whenever there is evidence of fraud or abuse of state resources.

Financial Management

TWC's Finance department provides financial services to promote highly effective financial management controls, helps TWC management achieve the efficient use of financial resources, and ensures the availability of accurate financial information in a timely manner. The Finance department provides budget management, fiscal reporting, financial systems support, and financial technical assistance for all TWC services, including child care services. The Finance department develops Finance Letters and Financial Systems and Reporting Policy Letters to provide guidance and policy directives to TWC staff as well as to Boards regarding fiscal management and controls.

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**. 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.

State law (Texas Labor Code, Chapter 302) requires that TWC delegate the administration of workforce services, including child care services, to Boards. As a result, TWC contracts with each of the state's 28 Boards to administer CCDF-funded child care services.

State law prohibits Boards from directly delivering services. Therefore, Boards competitively procure child care contractors to:

- *determine eligibility for CCDF services;*
- *provide information to assist parents in making informed choices related to their children's care;*
- *authorize child care subsidies with the provider each parent chooses; and*
- *implement services to improve the quality and availability of child care.*

However, TWC maintains overall control of CCDF services by:

- *allocating child care funds to the Boards;*
- *establishing rules and policies for child care services;*
- *establishing performance targets for the Boards; and*
- *providing oversight and monitoring services.*

TWC's Finance department oversees the allocation of CCDF funds to Boards. The Finance department determines the allocation amount for each local workforce development area (workforce area) and provides an automated cash draw system to allow Boards to access allotted funds, as needed, and to report the expenditures. The system does not allow Boards to spend more than the amount allocated or budgeted. TWC's Finance department also provides the resources necessary for completing the Administration for Children and Families (ACF) 696 report.

TWC's Regulatory Integrity Division (RID), Performance Analysis and Reporting (PAR) department, develops Board performance targets and TWC's Workforce Development Division, Board Contract Management (BCM) incorporates each Board's individual child care allocation and performance targets into the Board's Child Care Services contract.

TWC's Workforce Development Division, Workforce Policy and Program Assistance reviews Board policies and provides policy guidance to Boards through Workforce Development (WD) Letters, Technical Assistance Bulletins (TA Bulletins), and policy clarifications.

RID's Office of Investigations (OI) and Subrecipient Monitoring (SRM) monitor all Board child care operations and use risk assessment and fraud detection tools to determine specific areas of Board operations that may require additional scrutiny.

TWC requires each Board to:

- *submit its child care policies to TWC no later than two weeks following adoption to ensure that policies and services comply with the relevant state and federal rules and regulations; and*
- *submit individual plans for monitoring child care contractors.*

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below.

Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified**

through the Error Rate Review process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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

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

Share/match data from other programs:

- *To verify income, TWC accesses systems used by other government programs such as TANF, the Supplemental Nutrition Assistance Program (SNAP), unemployment insurance (UI), and child support enforcement.*
- *Chapter 809, TWC’s Child Care Services rules, prohibit child care providers that have been debarred from other state or federal programs from receiving subsidies to provide child care services. TWC receives notification from the Texas Department of Agriculture (TDA)—the lead agency for CACFP in Texas—when a child care provider is debarred from CACFP.*
- *See also “Conduct data mining to identify trends.”*

Share/match data from other databases:

- *Beginning May 2013, TWC began validating identity information such as date of birth, name, and Social Security number (SSN) of parents and children through a data-match process with state and federal databases.*
- *TWC receives a weekly report from DFPS Child Care Licensing listing child care providers on a four-month monitoring frequency, evaluation, probation, adverse action, or that have had their permit denied, revoked, or suspended. Boards use this information to end subsidies to providers placed on adverse action or whose permit has been denied, revoked, or suspended. For providers placed on evaluation or probation, parents of subsidized children are notified of the action. The Board also closes new enrollments at providers placed on probation. Additionally, TRS certification is repealed for those providers that are placed on a four-month monitoring frequency.*

- *TWC can access HHSC's Texas Integrated Eligibility Redesign System to review family and income information submitted to HHSC, as needed.*

Run system reports that flag errors:

- *The child care automation system contains many data entry edit checks to enhance data quality and validity.*

Review of attendance or billing records:

- *TWC has instituted an electronic attendance tracking system to monitor attendance and more quickly identify potential instances of improper payments based on misreported attendance.*

Conduct quality control or quality assurance reviews:

- *TWC's SRM annually conducts data validation reviews of each Board based on the state's most recent Record Review Worksheet (RRW) developed during the Improper Authorizations for Payment Report process.*
- *TWC's SRM performs on-site monitoring reviews of fiscal and program activities, including customer eligibility, wage verification, provider billing, and disbursement testing.*
- *Boards' quality assurance monitors also will use the RRW to conduct case reviews to improve data validation and reduce instances of improper authorization.*
- *TWC works closely with the Quality Assurance Network (QAN, a network of all Boards' local quality assurance monitors) to develop strategies that identify risk areas related to ineligibility and improper payments.*

Conduct on-site provider visits to review attendance:

- *TWC's SRM and Board quality assurance monitors conduct random on-site visits to child care providers, including relative providers. Monitors ensure that providers do not possess parents' attendance swipe cards and that procedures for the electronic attendance tracking system are followed by providers and parents.*

Conduct data mining to identify trends:

- *Using data from TWC's The Workforce Information System of Texas (TWIST), UI wage records, UI benefits payments, and TANF payments, TWC provides the following reports to identify potential fraud:*
 - *Child Care and Unemployment Insurance Early Warning Report—identifies and assesses customers who are potentially ineligible for child care services because they filed UI claims advising TWC that they are not working. Potential child care eligibility issues are resolved by verifying the customers' employment/training status using current local procedures. This also provides an opportunity for child care contractors to verify that customers have reported their UI benefits income for child care eligibility.*
 - *Child Care Income Report—compares all available income sources for the parent/custodian of a child care recipient to the 85 percent of SMI level to identify parents/custodians who may potentially be ineligible due to parental/custodial changes or underreporting of income.*
 - *Relative Care Income Report—lists relative child care providers receiving both child care subsidies and wages reported by an employer using UI wage records in order to identify relative providers receiving child care payments, but who may not actually be providing care due to other employment.*

- *Child Care Work and Training Report—lists parents/custodians who earn less than \$500 in wages reported by an employer using UI wage records in order to identify parents/custodians who are potentially ineligible due to not meeting work and training requirements.*
- *Duplicate SSN Report—lists duplicated parent/custodian SSNs that have a payment in more than one workforce area in the same service month in order to identify customers who may be receiving child care services in multiple workforce areas.*
- *Child Care Cases with Repayment Plan Report—lists parents/custodians who have a repayment plan in a workforce area in order to assist Boards in identifying individuals who seek child care services but are in default with another Board.*
- *A full description of these reports is set forth in TA Bulletin 258 (<http://www.twc.state.tx.us/boards/tabull/ta258.pdf>)*

Train staff on policy and/or audits:

- *TWC’s SRM provides training and technical assistance to help Boards and contractors identify and prevent improper payments and potential problems.*
- *TWC’s Office of Investigations (OI) provides training to Boards regarding fraud prevention, detection, and investigation.*

Other:

- *Providing a toll-free telephone number (800-252-3642) for the public to report suspected fraud or improper payments;*
- *Designating TWC’s OI to act as a clearinghouse for all child care fraud allegations and to review the details of the allegations and determine appropriate follow-up action;*
- *Requiring Boards to establish and implement procedures for preventing any fraud or program abuse;*
- *Requiring Boards to establish procedures for researching and reporting instances of potential fraud; and*
- *Requiring Boards to establish and implement procedures to recover all improper payments.*

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)).**

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount (<i>see below</i>)	<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 (<i>see below</i>)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Strategy	UPV	IPV and/or Fraud	Administrative Error
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe <i>Improper payments may also be recovered through court-ordered restitution payments.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit (<i>see below</i>)	<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:
TWC rules require that Boards attempt recovery of all improper payments.*

*Coordinate with and refer to other State/Territory agency:
TWC policy (WD Letter 13-11, Change 1) encourages Boards to refer any case of suspected fraud to local law enforcement authorities for criminal prosecution. For all cases involving losses of more than \$3,000, Boards must report the case to TWC’s OI for review, investigation, and consideration for criminal prosecution at the state level.*

TWC OI maintains full jurisdiction for suspected fraud cases involving TWC employees, Board employees, or Board contractor employees and may refer the case to the Fraud Prosecutions Unit.

*Recover through repayment plans / Reduce payments in subsequent months:
TWC rules require that Boards attempt recovery of improper payments of any amount and may recover the improper payments through a mutually agreed-upon repayment schedule between the Board and the parent or provider. Additionally, Boards may reduce subsequent payments to providers in order to recover improper payments.*

*Unit to investigate and collect improper payments:
TWC’s OI child care investigators investigate and prosecute potential fraud and assist the Boards with their fact-finding efforts. As discussed in previous sections, OI conducts other functions and operations that assist TWC in recovering and minimizing the occurrence of improper payments.*

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

- None
- Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified

TWC Child Care Services rule §809.113 allow Boards to prohibit future eligibility for subsidized child care if a parent is found to have committed fraud (provided that the prohibition does not result in a Choices or SNAP Employment and Training (SNAP E&T) participant becoming ineligible for child care).

A parent may request an appeal pursuant to Chapter 823, TWC's Integrated Complaints, Hearings, and Appeals Rules. Chapter 823 requires that parents request an appeal within 14 calendar days of the adverse action. Boards must provide an opportunity for informal resolution of a complaint or appeal. If no final informal resolution is reached, Boards must provide an opportunity for a hearing to resolve an appeal or complaint. If the adverse action is upheld, the parent may request an appeal to TWC Appeals.

To more effectively enforce program requirements, beginning January 2013, TWC's Chapter 809 Child Care Services rules were amended to add §809.55 requiring a mandatory waiting period of at least 30 days but no more than 90 days, as determined by Board policy, if the parent's eligibility or child's enrollment is denied, delayed, reduced, suspended, or terminated for any of the following:

- *Excessive absences;*
- *Nonpayment of parent share of cost;*
- *Five consecutive absences on authorized days of care with no parent contact with the child care provider or child care contractor; or*
- *A parent's failure to report, within 10 days of occurrence, any change in the family's circumstances that would have rendered the family ineligible for subsidized care.*

Additionally, to more effectively enforce requirements for recording attendance in TWC's child care attendance automation system, beginning January 2013, §809.115 of TWC's Child Care Services rules was amended requiring Boards to develop policies and procedures mandating that the Boards' child care contractors take corrective action against a parent when a parent or parent's secondary cardholder gives his or her:

- *attendance card to a provider; or*
- *personal identification number (PIN) to a provider.*

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

TWC Child Care Services rule §809.113 allows Boards to stop authorizing care at the provider's facility if the provider is found to have committed fraud. Providers have the same appeal process as described above.

Additionally, to more effectively enforce requirements for recording attendance in TWC's child care attendance automation system, beginning January 2013, §809.115 of TWC's Child Care Services rules was amended requiring Boards to develop policies and procedures mandating that the Boards' child care contractors take corrective action against a provider when a provider:

- *possesses, or has on the premises, attendance cards without the parent being present at the provider site;*
- *accepts or uses an attendance card or PIN of a parent or secondary cardholder; or*
- *performs the attendance reporting function on behalf of a parent.*

- 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.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
<i>Missing or incomplete attendance documentation</i>	<i>Errors resulted from new documentation requirements instituted during the implementation of TWC's electronic attendance tracking system, which was implemented statewide December 2009 through July 2010. If parents fail to record attendance in the system, TWC policy allows contractors to authorize payment for services only if the provider submits documentation of attendance within five days of the parent's failure to record attendance. The documentation errors involved authorization for payments for a day that attendance was not recorded by the parent, but also did not include attendance documentation from the provider.</i>	<i>To further emphasize that the responsibility for reporting receipt of child care benefits rests with the parent, TWC revised the policy in April 2011, to allow Boards to authorize payments to providers if a parent fails to record attendance, but to record instances of nonreported attendance as absences and terminate child care if a parent exceeds the Board's maximum number of allowed absences. This policy should reduce errors related to authorizing payments without provider documentation.</i>	<i>TWC took action necessary to reduce these types of errors in April 2011. Additionally, since the 2010 implementation of automated attendance, parents and providers have gained more experience with using the system, which has reduced many errors.</i>
<i>Missing or incomplete income information</i>	<i>Errors resulted in missing or incomplete wage, employer, or child support documentation.</i>	<i>TWC is developing a child care eligibility guide for use by Boards and their child care contractors that will standardize the processes required to successfully determine eligibility, including the requirement for proper documentation of income.</i>	<i>The child care guide is currently under development.</i>
<i>Incorrect calculation of family income</i>	<i>Errors resulted from applying the incorrect formula to available weekly, biweekly, or bimonthly income statements to determine the average weekly or monthly gross income.</i>	<i>The child care eligibility guide will build on the case Record Review Worksheet (RRW) to identify situations that typically cause errors in calculating gross monthly income and detail the specific steps necessary to arrive at the correct amount. Since income calculation errors also cause parent share-of-cost errors,</i>	<i>The child care guide is currently under development.</i>

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
		<i>successfully calculating income will resolve these types of authorization for payment errors.</i>	
<i>Incorrect parent share-of-cost calculations</i>	<i>Errors resulted from nonassessment of fees or incorrectly prorated amounts when care starts on a day other than the first of the month.</i>	<i>TWC has developed a new parent share-of-cost methodology to reduce the number of instances that necessitate a recalculation of parent share of cost, thus reducing the number of errors in the calculation. Under the new methodology the parent share-of-cost amount will remain constant as long as the family income remains within a range of income values. Further, this methodology is automatically calculated in The Workforce Information System of Texas (TWIST) and assists Boards' child care contractors in correctly and consistently calculating the parent share of cost.</i>	<i>The automated system to calculate parent share of cost in TWIST was implemented October 2011.</i>

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"/> Representatives of general purpose local government (required) <input type="checkbox"/> 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.	<i>TWC consults with Boards in the development of TWC rules, including Child Care Services rules (Chapter 809) that are included in the CCDF State Plan. Board members are nominated by the chief elected officials (CEOs) in each workforce area. Board</i>

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
		<p><i>membership includes representatives of local government, local human services agencies, and local education agencies (including school districts and community colleges).</i></p> <p><i>Additionally, TWC staff consult with Board staff through a variety of venues, including;</i></p> <ul style="list-style-type: none"> <i>• Biweekly conference calls with Board executive directors;</i> <i>• Quarterly meetings with executive directors, the Child Care Network consisting of Board child care contract managers;</i> <i>• Quarterly workforce forums; and</i> <i>• Annual workforce conferences.</i> <p><i>TWC Child Care Services rule §809.14(a) also requires Boards to coordinate with federal, state, and local child care and early development programs, and representatives of local governments in developing Board plans and policies for the design and management of child care service delivery, and to maintain written documentation of coordination efforts.</i></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><i>Before submitting the proposed CCDF State Plan for public comment, TWC sent the draft plan to TEA’s School Readiness and Partnerships Office—the office responsible for the public pre-K program—for input. TEA provided input to Section 1.5.1 related to coordination with public pre-K programs.</i></p>
<input 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>	

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/>	State/Territory agency responsible for licensing (if separate from the Lead Agency)	<i>Before submitting the proposed CCDF State Plan for public comment, TWC sent the draft plan to DFPS Child Care Licensing for review and comment. DFPS provided information for Section 3.1 regarding activities to ensure the health and safety of children.</i>
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	<i>Before submitting the proposed CCDF State Plan for public comment, TWC consulted with the chair of the State Advisory Council (in Texas, it is called the Texas Early Learning Council) in the Head Start Collaboration office on Section 3.2 regarding Early Learning Guidelines and Section 3.4 related to professional development systems.</i>
<input checked="" type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	<i>See above.</i>
<input type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
<input type="checkbox"/>	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	
<input type="checkbox"/>	State/Territory agency responsible for child welfare	
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input checked="" type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	<i>As the Lead Agency for both CCDF and state employment services, TWC integrates child care and employment services at both the state and local levels.</i>
<input type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input 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	
<input type="checkbox"/>	Provider groups, associations or labor organizations	

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input type="checkbox"/> Parent groups or organizations	
<input type="checkbox"/> Local community organizations and institutions (child care resource and referral, Red Cross)	
<input type="checkbox"/> Other	

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

At a minimum, the description should include:

a) Date(s) of notice of public hearing:

TWC placed notice of the public hearing on its website (<http://www.twc.state.tx.us>) on May 8, 2013 and issued a press release on May 8, 2013. Additionally, TWC published the notice of the public hearing with the Texas Secretary of State on May 6, 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?

TWC posted notice of the public hearing on its website. Additionally, TWC issued a press release announcing the opportunity for public comment.

c) Date(s) of public hearing(s): *June 5, 2013*

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

d) Hearing site(s): *Texas Workforce Commission State Office
101 East 15th Street, Room 244*

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? *TWC posted the proposed plan on its website on May 8, 2013.*

TWC also directly notified other interested organizations and state agencies by e-mail of the availability of the proposed state plan. Notification was sent to the following:

- *Alabama-Coushatta Tribe of Texas*
- *Children’s Learning Institute*
- *DFPS Child Care Licensing*
- *DFPS Child Protective Services*
- *Early Childhood Intervention Services*
- *Healthy Child Care Texas*
- *Kickapoo Tribe of Texas*
- *Office of the Attorney General*
- *Raising Texas*
- *Texans Care for Children*
- *Texas Association for the Education of Young Children*
- *Texas Association for Infant Mental Health*
- *Texas Association of Child Care Resource and Referral Agencies*
- *Texas Association of Workforce Boards*

- *Texas Early Learning Council*
- *Texas Education Agency*
- *Texas Head Start State Collaboration Office*
- *Texas Health and Human Services Commission*
- *Texas Licensed Child Care Association*
- *Texas Professional Home Child Care Association*
- *United Way of Texas*
- *Ysleta Del Sur Pueblo*

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan?

TWC reviews each public comment and considers the benefits and impact to child care services.

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.

In addition to the outreach activities described in Section 1.4.2, a live audio webcast of the public hearing was broadcast, and then archived, providing individuals unable to attend with the opportunity to listen to the hearing and provide written comments.

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 (§98.12, §98.14(a),(b), §98.16(d)).

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 census.gov.

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)).

<p style="text-align: center;">Agency/Entity (check all that apply)</p>	<p style="text-align: center;">Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p style="text-align: center;">Describe results expected from the coordination</p>
<p><input checked="" type="checkbox"/> Representatives of general purpose local government</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p><i>TWC Child Care Services rule §809.14(a) requires Boards to coordinate with federal, state, local child care and early development programs, and representatives of local governments in developing Board plans and policies for the design and management of child care service delivery. Most Boards accomplish this through a subcommittee or workgroup consisting of representatives of local agencies and businesses. Board members are nominated by the CEOs in each workforce area.</i></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>Goals: <i>To develop child care services and service delivery systems that meet the needs of low-income families.</i></p> <p><i>To create efficiencies in local service delivery of early education and child care services.</i></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education;</p>	<p><i>State law and TWC rule §809.14(b) require Boards to coordinate with ISDs, Head Start, and Early Head Start program providers. Most Boards accomplish this through a subcommittee or workgroup consisting of representatives of local agencies, including public education and businesses.</i></p> <p><i>At the state level, TWC provides CCDF funds to TEA for the TSR! project (see Section 1.2.2). Additionally, TWC provides CCDF funds to TEA for the Early Childhood Education Partnership Project (see Section 3.4).</i></p> <p><i>On the local level, Boards also work with ISDs and CLI regional staff to coordinate child care wraparound services with public pre-K and, the TSR! Project.</i></p> <p><i>Boards coordinate with ISDs to certify allowable before- and after-school child care expenditures to draw down federal funds for local child care services. Boards work closely with ISDs to expand</i></p>	<p>Goals: <i>To ensure, to the greatest extent practicable, that full-day, full-year child care is available.</i></p> <p><i>To increase participation in professional development opportunities for childhood education professionals.</i></p>

	<p align="center">Agency/Entity (check all that apply)</p>	<p align="center">Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p align="center">Describe results expected from the coordination</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><i>before- and after-school child care services to school-age children and to child care services during holidays and summer vacations.</i></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><i>Boards contract with local child care organizations to determine eligibility and authorize child care services. Boards also contract with local early childhood and child care organizations to provide quality improvement activities.</i></p>	<p><i>Goal: To provide child care services specific to the needs of local and tribal communities.</i></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><i>TWC and Board staff members serve on the Texas Health and Human Services Commission (HHSC) Healthy Child Care Texas advisory committee. The Healthy Child Care Texas initiative brings together health care professionals, early care and education professionals, child care providers, and families.</i></p>	<p><i>Goal: To increase children’s access to preventive health services. Child Care Health Consultants provide consultation and technical assistance to child care staff.</i></p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p><i>As the Lead Agency for both CCDF and state employment services, TWC integrates child care and employment services at both the state and local levels.</i></p>	<p><i>Goal: To provide child care services as a work support for SNAP recipients participating in SNAP E&T activities, low-income families at risk of becoming dependent upon public assistance, and individuals participating in Workforce Investment Act programs.</i></p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies(required)</p>	<p><i>TWC and the Boards coordinate with HHSC to refer TANF applicants to a Workforce Orientation for Applicants prior to TANF certification, and assists TANF applicants in making informed choices regarding child care</i></p>	<p><i>Goal: To provide child care services as a work support for TANF recipients participating in the Choices program</i></p>

<p align="center">Agency/Entity (check all that apply)</p>	<p align="center">Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p align="center">Describe results expected from the coordination</p>
	<p><i>arrangements. Boards administer Choices employment and training services and provide priority child care to TANF parents participating in Choices.</i></p>	<p><i>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.</i></p> <p><i>and former TANF recipients transitioning off of public assistance.</i></p>
<p>Indian Tribes/Tribal Organizations (required)</p> <p><input type="checkbox"/> N/A: No such entities exist within the boundaries of the State</p> <p><input checked="" type="checkbox"/></p>	<p><i>Three tribal organizations are located in Texas—the Kickapoo Tribe of Texas, the Alabama-Coushatta Tribe of Texas, and the Ysleta Del Sur Pueblo. Boards and DFPS Licensing coordinate child care and licensing services upon request from these organizations.</i></p>	<p><i>Goals:</i></p> <p><i>To provide assistance to tribal organizations regarding state licensing standards.</i></p> <p><i>To provide assistance and coordinated child care services to tribal organizations.</i></p>
<p align="center">For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery</p>		
<p>State/Territory agency with the Head Start Collaboration grant</p> <p><input checked="" type="checkbox"/></p>	<p><i>TWC participates in the Texas Head Start State Collaboration Office’s Texas Early Care and Education Career Development System workgroup.</i></p> <p><i>Additionally, TWC Child Care Services rule §809.50(g) gives Boards discretion to establish a higher income eligibility limit for families with a child enrolled in Head Start, Early Head Start, or public pre-K provided that the higher income limit does not exceed 85 percent of the state median income for a family of the same size.</i></p> <p><i>At the local level, Boards coordinate with ISDs and Head Start program providers to provide wraparound child care for CCDF-eligible children.</i></p> <p><i>Please see collaboration with public education.</i></p>	<p><i>Goals:</i></p> <p><i>To support and increase access to quality child care training through a trainer registry.</i></p> <p><i>To provide Boards flexibility in the eligibility process to promote continuity of care for children participating in Head Start or pre-K wraparound services.</i></p> <p><i>To promote the availability of full-day, full-year early education and child care services.</i></p>
<p>State/Territory agency responsible for Race to the Top</p> <p><input type="checkbox"/></p>		

<p style="text-align: center;">Agency/Entity (check all that apply)</p>	<p style="text-align: center;">Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p style="text-align: center;">Describe results expected from the coordination</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>– Early Learning Challenge (RTT-ELC) <input checked="" type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC</p>		
<p><input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p><i>TWC receives notification from the Texas Department of Agriculture (TDA)—the lead agency for CACFP in Texas—when a child care provider is debarred from CACFP. TWC’s Child Care Services rules prohibit child care providers that have been debarred from other state or federal programs from receiving subsidies to provide child care services.</i></p>	<p><i>Goal: To reduce the risk of fraud, waste, and abuse of child care funds.</i></p>
<p><input checked="" type="checkbox"/> 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><i>TWC is a member of HHSC’s Early Childhood Intervention (ECI) advisory committee and works with ECI on child care issues related to children with special needs.</i></p> <p><i>At the local level, Boards collaborate with ECI to increase available child care training on serving young children with disabilities.</i></p>	<p><i>Goal: To provide ECI with data and information on child care services to improve child care services and ECI coordination efforts on the local level.</i></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p><i>TWC collaborates with HHSC’s Office of Program Coordination for Children and Youth, which oversees the Maternal and Early Childhood Home Visitation Program grant.</i></p>	<p><i>Goal: To provide information to Boards regarding the Maternal and Early Childhood Home Visitation Program grant.</i></p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for child welfare</p>	<p><i>TWC has an IAC with DFPS Child Protective Services (CPS) to fund child care services for children receiving protective services, including children in foster care.</i></p>	<p><i>Goal: To provide child care services for children authorized by CPS.</i></p>

	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 results expected from the coordination
<input checked="" type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	<i>Texas was one of 13 states participating in the Department of Defense-funded Military Child Care Liaison Project. This project ended on December 31, 2012. However, Boards with military facilities located within the Board's workforce area work closely with local military child care representatives to ensure that the needs of military families continue to be met.</i>	<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>Goals: <i>To increase the awareness of the child care needs of military families.</i></p> <p><i>To promote continuity of care for children of deployed military families.</i></p> <p><i>To increase opportunities for military families to have access to affordable, high-quality, off-installation child care for military families.</i></p>
<input 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		
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	<i>TWC partners with 2-1-1 Texas, which provides child care information and referral services across the state.</i>	Goal: <i>Provide comprehensive consumer education.</i>
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	<i>Coordination with provider groups occurs at the Board level. As described in Section 1.5.4., several Boards have established child care committees that offer provider representation and consultation.</i>	<i>To increase opportunities for provider input to Board policies and procedures.</i>
<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.

Yes. If yes,

a) Provide the name of the entity responsible for the coordination plan(s):

Texas Health and Human Services Commission, Office of Program Coordination for Children and Youth

b) Describe the age groups addressed by the plan(s): **0-6**

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:

www.raisingtexas.com and www.hhsc.state.tx.us/tifi/TIFI_OPCCY.html

No

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

Check which entity(ies), if any, the State/Territory has chosen to designate.

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

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

The Council on Children and Families (Council) is composed of the CEOs of the 10 state agencies that serve children and is charged with coordinating the state's health, education, and human services systems to facilitate an integrated approach to providing services for children and youth of all ages. The Council is administered by the HHSC Office of Program Coordination for Children and Youth, but is independent of its direction.

The Office of Program Coordination for Children and Youth also houses the Office of Early Childhood Coordination, which provides coordination activities across health, education, and human services for children ages 0-6. The Office of Early Childhood Coordination is also responsible for related initiatives, including the Health Resources and Services Administration (HRSA) Early Childhood Comprehensive Systems grant, the HRSA Home Visiting Grant, and the Healthy Child Care Texas initiative.

The Office of Program Coordination for Children and Youth also houses Children's Policy Council, Community Resource Coordination Groups of Texas, Texas Integrated Funding Initiative, and System of Care for Children's Mental Health.

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

In Texas, the State Advisory Council is called the Texas Early Learning Council (TELC). TELC's goal is to improve school readiness in Texas for children birth to school entry (0 – 6). TWC is a member of TELC.

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))

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

Boards consult with local entities to promote private-sector involvement in meeting local child care needs. In some cases, Boards lead the consultation activities related to local child care planning and policy development. However, several Boards have established a permanent child care committee or an ad hoc committee responsible for child care planning and policy development. These committees include Board members and other representatives of the community, such as:

- *parents;*
- *child care providers;*
- *local child care advisory committee members;*
- *representatives of community- and faith-based organizations;*
- *locally elected officials;*
- *child development professionals;*
- *members of employer coalitions;*
- *state Child Protective Services staff;*
- *child care licensing agencies' staff;*
- *representatives of early childhood programs; and*
- *representatives of resource and referral agencies.*

Local Match Agreements

Boards pursue agreements with private entities for the donation of private funds to be used as match for CCDF matching funds.

No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-01) located on the Office of Child Care website.

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

Planning. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and

how the plan will be coordinated with other emergency planning efforts within the State/Territory.

Developed. A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available:

Other. Describe:

TWC requires Boards to establish Local Emergency Management Plans to ensure security of data and continuity of Board and contractor operations for all workforce services—including child care services—at the local level. Additionally, Boards participate on local disaster planning and response teams composed of various entities, including state and local government and for-profit and nonprofit community-based organizations. Local response teams focus on mobilizing community resources and services when disruptions occur in public health, child care, public education, and/or workforce services.

Further, TWC has a comprehensive Continuity of Operations Plan for disaster recovery, which has been in place since May 2008. TWC's plan contains emergency preparedness policies and procedures applicable to all areas of TWC, including child care services. TWC follows the Business Continuity Planning Cycle as set forth by the Disaster Recovery Institute (DRI) International.

The plan objectives are to:

- *reduce TWC's vulnerability to any event that could disrupt critical TWC functions;*
- *minimize organizational disruption and confusion in the event of a disaster; and*
- *facilitate the maintenance, recovery, and restoration of TWC data, functions, and critical resources.*

Additionally, TWC coordinates with the Texas Department of Public Safety, Texas Division of Emergency Management (TDEM), which is the agency charged with carrying out a comprehensive all-hazard emergency management program to assist cities, counties, and state agencies in planning and implementing their emergency management programs. The State of Texas's emergency plan is located on TDEM's Website at <http://www.txdps.state.tx.us/dem/downloadableforms.htm>.

Because the Continuity of Operations Plan is comprehensive and applicable to a variety of entities, it does not specifically address emergency preparedness for early care and education programs.

Although TWC does not specifically address this issue, DFPS's child care licensing minimum standards require an emergency evacuation and relocation plan for child care centers and child care homes. DFPS issued Emergency Preparedness Guidelines to assist child care centers and child care homes in developing an emergency preparedness plan. DFPS's Emergency Preparedness Guidelines describe issues that child care providers should consider when developing an emergency evacuation and relocation plan. The guidelines encourage child care providers to consider the wide range of emergencies that can occur, including weather-related events, such as a hurricane, blizzard, or tornado, as well as gas/chemical leaks, bomb threats or explosions, and hostile situations, such as an intruder with a gun or a hostage situation. The Emergency Preparedness Guidelines cover topics that include:

- *identifying alternative locations to which children and caregivers can be relocated (such as hospitals, churches, schools, or hotels);*
- *developing a plan for communicating with staff and parents during the emergency; and*
- *keeping emergency evacuation kits that include cell phones/walkie-talkies, radios,*

flashlights, and the names and emergency contact numbers of individuals authorized to pick up children.

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

Check which elements, if any, the Lead Agency includes in the plan.

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, sliding fee scale, payment rate policies and procedures, and how Lead Agencies ensure continuity of care and parental choice of high quality settings for families.

2.1. Administration of the Program

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

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

Identify the level at which the following CCDF program rules and policies are established.

- Eligibility rules and policies (e.g., income limits) are set by the:
- State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set

Local Workforce Development Boards (Boards) establish:

- *family income limits;*
- *provision of child care services to a child with disabilities up to age 19;*
- *minimum activity requirements for parents;*
- *time limits for the provision of child care while the parent is attending an educational program;*
- *frequency of eligibility redetermination; and*
- *Board priority groups (after state priority groups are served).*

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

Boards establish the amount of the parent share of cost by family size and family income.

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

Boards establish maximum reimbursement rates by provider type, age group, and type of care (full day and part day).

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.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
<p>Who determines eligibility?</p> <p>Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:</p>	<p><input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input checked="" type="checkbox"/> Other. Describe. <i>Boards contract with community-based organizations and local private, nonprofit, and for-profit contractors.</i></p>
<p>Who assists parents in locating child care (consumer education)?</p>	<p><input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input checked="" type="checkbox"/> Other State/Territory agency. Describe. <i>Texas Health and Human Services Commission / 2-1-1 Texas</i> <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input checked="" type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input checked="" type="checkbox"/> Other. Describe. <i>Boards contract with community-based organizations and local private, nonprofit, and for-profit entities.</i></p>
<p>Who issues payments?</p>	<p><input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input checked="" type="checkbox"/> Other. Describe. <i>Boards or their local private, nonprofit, and for-profit contractors.</i></p>
<p>Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)</p>	<p><i>Payments are issued directly to providers through electronic funds transfer.</i></p>
<p>Other. List and describe:</p>	

2.2. Family Outreach and Application Process

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

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a))

Check all agencies and strategies that will be used in your State/Territory.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet (provide website): <http://www.twc.state.tx.us/dirs/wdbs/wdbweb.html>
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe:

Most outreach and consumer education is performed at the local level by Boards using various mediums and based on the needs of the local workforce development area (workforce area) population.

2.2.2. How can parents apply for CCDF services?

Check all application methods that your State/Territory has chosen to implement.

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website)

Board websites can be found at <http://www.twc.state.tx.us/dirs/wdbs/wdbweb.html>.

- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other. Describe:

Applications are accepted in several ways in each workforce area; methods vary by Board.

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.

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.

Texas Workforce Commission (TWC) Child Care Services rule §809.15 requires Boards to promote informed child care choices by providing consumer education materials that contain, at a minimum:

- *description of eligible child care providers;*
- *description of Texas Rising Star (TRS) Provider criteria;*
- *descriptions of programs relating to school readiness—including the Texas School Ready! (TSR!) project—and the Kindergarten Readiness System (KRS) certification;*

- *website and telephone number of the Texas Department of Family and Protective Services (DFPS), where parents may obtain health and safety information for child care (www.TxChildCareSearch.org); and*
- *information about the Texas Information and Referral Network/2-1-1 Texas (2-1-1 Texas) (www.211Texas.org).*

Additionally, pursuant to the Texas Government Code §2308.3171, TWC rule §809.15 also requires Boards to provide information to parents on providers that meet the following quality indicators:

- *TRS Provider certification*
- *National accreditation recognized by TWC*
- *KRS certification*
- *TSR! project*
- *Other measurable quality child care indicators approved by TWC.*

House Bill 376 (HB 376), 83rd Texas Legislature, Regular Session (2013), amended §2308.3171 of the Texas Government Code to require that each Board post a list of providers that meet quality indicators in a prominent place on the Board’s website home page and at any physical location where workforce services are delivered.

DFPS has developed television and radio spots to enlighten parents about the importance of choosing regulated day care. The spots, in English and Spanish, can also be seen or heard on [YouTube](#), the DFPS Facebook page, and the [“Don’t Be in the Dark” campaign website](#).

The “Don’t Be in the Dark” campaign urges parents to always choose regulated day care and always do their homework on TxChildCareSearch.org before picking a day care.

DFPS distributes tip cards and brochures to parents and caregivers through its Child Protective Services (CPS) caseworkers and Child Care Licensing representatives, and some family physicians and pediatricians. Downloadable versions in English and Spanish are available on the campaign website.

Additionally, TWC distributes a brochure to its Board network that provides information for parents to consider when choosing quality child care.

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.

TRS Provider Certification:

At the state level, TWC sets program standards for the TRS Provider Certification Guidelines, a voluntary certification process for improving the quality of TWC-subsidized child care services in Texas. TRS provides graduated levels of certification as providers meet progressively higher certification requirements. State law requires that TRS providers are reimbursed 5 percent above the maximum reimbursement rate for non-TRS providers. The

TRS Provider Certification Guidelines are located at <http://www.twc.state.tx.us/svcs/childcare/provcert.html>.

At the community level, Boards implement TRS and certify and monitor that providers are meeting TRS standards. Boards have discretion to set reimbursement rates, including the rates for TRS providers, as long as the rates are at least 5 percent above the maximum reimbursement rates for non-TRS providers. Boards also have discretion on how to use funds for quality activities, including supporting the TRS system, which may include recruiting providers, training, mentoring, and purchasing educational materials, equipment, or supplies.

HB 376 adds §2308.3155 and §2308.30 to the Texas Government Code, requiring TWC to make CCDF funds available to each Board for the provision of technical assistance to TRS providers and to providers seeking TRS certification. Board staff includes a child development specialist to serve as an evaluator of the provider during the certification process and a mentor to meet regularly with the provider and give them child care resources.

HB 376, which amends §2308.317 of the Texas Government Code, requires Boards to use at least 2 percent of the Board's annual allocation for quality child care initiatives. HB 376 directs Boards to give priority to quality child care initiatives that benefit child care facilities working toward TRS certification or are TRS-certified providers working toward a higher certification level.

HB 376 also adds §2308.321 to the Texas Government Code, establishing a TRS Program review workgroup to propose revisions to TRS. The workgroup is required to submit recommendations to revise TRS to TWC no later than May 1, 2014. TWC is required to propose new rules for TRS no later than September 1, 2014.

Upon implementation of the new rules for TRS, HB 376 requires Boards to establish tiered reimbursement rates for TRS providers that are at least a:

- 5 percent increase for a Two-Star TRS provider;*
- 7 percent increase for a Three-Star TRS provider; and*
- 9 percent increase for a Four-Star TRS provider.*

Texas School Ready! Project and KRS Certification:

TWC rule §809.20 requires Boards to establish enhanced reimbursement rates for preschool-age children at child care providers participating in the TSR! project, as well as providers that have obtained KRS certification. These providers are reimbursed at 5 percent above the maximum reimbursement rate.

The Texas Education Agency administers KRS certification. Information about KRS can be found at <http://www.tea.state.tx.us/index2.aspx?id=4528>.

The TSR! project is administered by the Children's Learning Institute at the University of Texas Health Science Center at Houston. Information about this program can be found at <http://www.childrenslearninginstitute.org>.

Additionally, TWC distributes a brochure to Boards providing information for parents to consider when choosing quality child care.

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

- Provide access to program office/workers such as by:
 - Providing extended office hours
 - Accepting applications at multiple office locations
 - Providing a toll-free number for clients
 - Email/online communication
 - Other. Describe:
- Using a simplified eligibility determination process such as by:
 - Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
 - Developing a single application for multiple programs
 - Developing web-based and/or phone-based application procedures
 - Coordinating eligibility policies across programs. List the program names
 - Streamlining verification procedures, such as linking to other program data systems
 - Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment). Length of time:
 - Currently enrolled parents receive four weeks of child care for job search within a federal fiscal year.*
 - 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:
- Other. Describe:
- None

2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families.

Check the strategies, if any, that your State/Territory has chosen to implement.

- Provide CCDF assistance during periods of job search. Length of time
 - Four weeks within a federal fiscal year.*
- 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)
 - TWC rule §809.13(d) requires Boards to establish income eligibility limits as long as the limits do not exceed 85 percent of the state median income (SMI). At Board option, Boards have established a lower initial eligibility income limit and a higher maximum limit.*
- Synchronize review date across programs. List programs:
- Longer eligibility re-determination periods (e.g., 1 year). Describe
 - TWC rule §809.13 allows Boards to set eligibility determination periods. Board-established eligibility determination periods range from six to 12 months.*
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe
 - TWC rule §809.50(g) allows Boards to extend eligibility for families with a child enrolled in Head Start, Early Head Start, or public pre-K by establishing a higher income eligibility limit for those families, as long as the limit does not exceed 85 percent of SMI. TWC rule*

§809.13 requires Boards to determine frequency of eligibility periods, including those for Head Start and pre-K program. The length of time varies by Board.

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

TWC rule §809.13 requires Boards to determine frequency of eligibility periods, including those for school-aged children. The length of time varies by Board. TWC rules allow Boards to establish eligibility periods, including extending periods of eligibility for school-age children to cover the school year. However, at this time, no Boards have chosen to adopt such a policy.

- 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

- 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

TWC rule §809.54 requires the following to promote continuity of care:

- *Enrolled children, including children whose eligibility for Transitional child care has expired, must receive child care as long as the family remains eligible for any available source of TWC-funded child care.*
- *A Board must ensure that no children of military parents in military deployment have a disruption of child care services or eligibility because of the military deployment.*
- *A Board must ensure that a child who is required by a court-ordered custody or visitation arrangement to leave a provider's care is permitted to continue receiving child care by the same provider, or another provider if agreed to by the parent in advance of the leave, upon return from the court-ordered custody or visitation arrangement.*
- *In closed CPS cases where child care is no longer funded by DFPS:*
 - *Boards must continue to fund child care services for up to six months if DFPS has determined that the child continues to need protective services and child care is integral to that service; and*
 - *If DFPS determines that protective services are no longer needed, Boards may continue to fund child care services subject to the availability of funds and if the family meets the Board's income and activity requirements for child care services.*

- None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency?

Check the strategies, if any, that your State/Territory has chosen to implement.

- Application in other languages (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:
- None

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

2.2.8. How will the Lead Agency overcome language barriers with providers?

Check the strategies, if any, that your State/Territory has chosen to implement.

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

- Other:
- None

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

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

Reminder – Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes. (ACYF-PI-CC-98-08) States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing *in loco parentis*, or other household members have not provided information regarding their immigration status.

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	<i>Documentation requirements vary by Board. Examples include driver license, birth certificate, government-issued photo ID, or U.S. passport. April 2013, TWC began validating identity information such as date of birth, name, and Social Security number (SSN) of parents and children through a data-match process with state and federal databases.</i>
<input type="checkbox"/> Household composition	
<input checked="" type="checkbox"/> Applicant’s relationship to the child	<p><i>Acceptable documentation includes the child’s birth certificate or hospital or public health birth record.</i></p> <p><i>In cases of in loco parentis documentation, Boards must verify the reason the parent is unavailable to care for the child. Examples include:</i></p> <ul style="list-style-type: none"> • <i>military orders;</i>

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
	<ul style="list-style-type: none"> • <i>a document from a licensed medical professional stating the medical condition that makes the parent unable to care for his or her child;</i> • <i>a “commitment” order from the court; or</i> • <i>a sworn affidavit of facts attesting to the circumstances of how and why the caretaker assumed responsibility for the child; the whereabouts of the natural parent(s); the caretaker’s relationship to the child; and the length of time the child has been with the caretaker.</i> <p><i>Additionally, Boards must verify the caretaker is responsible for the child. Examples include:</i></p> <ul style="list-style-type: none"> • <i>military power of attorney appointing the caretaker as the guardian of the child; and</i> • <i>notarized power of attorney or a sworn affidavit of temporary custody/guardianship of the child and one of the following:</i> <ul style="list-style-type: none"> ➤ <i>The caretaker’s most recent Internal Revenue Service (IRS) tax return listing the child as a dependent;</i> ➤ <i>A letter from a child care center or other independent, nonrelative, verifiable source that can establish the individual’s parental and financial responsibility for the child;</i> ➤ <i>A letter from an independent school district; or</i> ➤ <i>Documentation that the caretaker is receiving TANF benefits on behalf of the child, or has received benefits within the past six months.</i>
<input checked="" type="checkbox"/> Child’s information for determining eligibility (e.g., identity, age, etc.)	<i>Acceptable documentation includes birth certificate, U.S. passport, hospital or public health birth record, church or baptismal record (U.S. or its possessions), TANF, SNAP, Medicaid, or other public assistance documentation, or documentation proving Qualified Alien status.</i>
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	<i>Documentation requirements vary by Board. Examples include paystubs and pay statements, timesheets, proof of course enrollment, course schedule, or transcript.</i>
<input checked="" type="checkbox"/> Income	<i>Documentation requirements vary by Board. Examples include check stubs or tax return.</i>
<input checked="" type="checkbox"/> Other. Describe <i>County of residence</i>	<i>Documentation requirements vary by Board. Examples include utility bill, rental agreement, lease, or home title.</i>

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

- Time limit for making eligibility determinations. Describe length of time
TWC rule §809.71(6) requires a parent be notified of his or her eligibility to receive child care services within 20 calendar days of the day the Board’s child care contractor receives all necessary documentation required to determine eligibility for child care.
- Track and monitor the eligibility determination process
- Other. Describe
- 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 Texas Health and Human Services Commission (HHSC) determines eligibility for TANF families. HHSC refers TANF applicants to Boards' Choices contractors at a Workforce Solutions office to attend a Workforce Orientation for Applicants (WOA). At the WOA, applicants are informed of all available support services, including child care. Applicants also are informed at the WOA of the exception to the individual penalties associated with the TANF work requirements, as well as the availability of TANF Applicant child care (described in Section 2.5.3).

Once HHSC certifies an applicant for TANF benefits, the Board's Choices contractor provides outreach to attend an employment planning session. At that time, the Choices case manager determines the need for child care and refers the individual to the Board's child care contractor. During this referral process, the Choices case manager and/or the child care contractor provides information to the parent regarding the range of child care options available (described in Sections 2.2.3 and 2.2.4) as well as other applicable information (described in Sections 2.2.6 through 2.2.8).

No.

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

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

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

a) Identify the TANF agency that established these criteria or definitions:
State/Territory TANF Agency

TWC. Even though HHSC is the state's TANF Lead Agency, TWC administers Choices, which is the employment and training component of TANF in Texas.

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

"appropriate child care":

Child care provided by:

- *relatives who meet the requirements stipulated in 45 CFR §98.2 and who are eligible under TWC rule §809.91(e);*
- *child care facilities licensed by DFPS, registered with DFPS, licensed by the Texas Department of State Health Services (DSHS) as a youth day camp, and those operated and monitored by U.S. military services; or*
- *family homes listed with DFPS. Before authorizing child care in a DFPS "listed" home, a Board must ensure that such facilities are subject, under local law, to requirements designated to protect the health and safety of the children, as stipulated in 45 CFR §98.41.*

- "reasonable distance":
TWC grants Boards the authority to define "reasonable distance" for each workforce area based on the area's specific geography and transportation systems.
- "unsuitability of informal child care":
Any informal child care that does not meet the definition of appropriate child care, or is deemed inappropriate by the parent, is considered "unsuitable."
- "affordable child care arrangements":
Child care arrangements that fall within the maximum rates established by each Board. Parents participating in Choices are exempt from co-pays.

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: *Parents are informed about exceptions at the WOA.*

2.3. Eligibility Criteria for Child Care

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

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

- *residing with – A child is considered to be residing with the parent when the child is living with and physically present with the parent during the time period for which child care services are being requested or received (TWC rule §809.2(19)).*
- *in loco parentis – An individual 18 years of age or older who is responsible for the day-to-day care and supervision of the child when the child's natural parent, adoptive parent, stepparent, or legal guardian is not available to care for the child. The individual must document the reason the child's parents are unavailable to care for the child and that he or she is exercising parental responsibility for the child (WD Letter 11-07).*

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 0 weeks through age 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 – TWC uses the term "child with disabilities." A child with disabilities is a child who is mentally or physically*

incapable of performing routine activities of daily living within the child's typical chronological range of development. A child is considered mentally or physically incapable of performing routine activities of daily living if the child requires assistance in performing tasks (major life activity) that are within the typical chronological range of development, including but not limited to, caring for oneself; performing manual tasks; walking; hearing; seeing, speaking, breathing; learning; and working (TWC rule §809.2(5)).

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). *This provision is limited to children in protective services who are under court supervision (as determined by DFPS).*

No.

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

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

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

working – TWC rule §809.2(21) defines “working” as:

- *activities for which one receives monetary compensation, such as a salary, wages, tips, and commissions;*
- *job search activities (up to four weeks within a federal fiscal year); or*
- *participation in Choices or SNAP Employment and Training (SNAP E&T) activities.*

TWC rules §809.48 and §809.50 require parents to be in work, job training, or educational activities for a combination of at least an average of 25 hours per week for a single-parent family or 50 hours per week for a two-parent family, or a higher number of hours per week as established by the Board.

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 – *An individual is considered to be attending a job training or educational program if the individual:*

- *is considered by the program to be officially enrolled;*

- *meets all attendance requirements established by the program; and*
- *is making progress toward successful completion of the program (TWC rule §809.2(1)).*

TWC rules §809.48 and §809.50 require parents to be in work, job training, or educational activities for a combination of at least an average of 25 hours per week for a single-parent family or 50 hours per week for a two-parent family, or a higher number of hours per week as established by the Board.

A job training program is defined as a program that provides training or instruction leading to:

- *basic literacy;*
- *English proficiency;*
- *an occupational or professional certification or license; or*
- *the acquisition of technical skills, knowledge, and abilities specific to an occupation (TWC rule §809.2(11)).*

An educational program is defined as a program that leads to a:

- *high school diploma;*
- *GED credential; or*
- *postsecondary degree from an institution of higher education (TWC rule §809.2(7)).*

TWC rule §809.41 requires Boards to establish policies, including time limits, for the provision of child care services while the parent is attending an educational program. Any time limit for parents participating in education must ensure that child care is provided for four years if the parent is enrolled in an associate’s degree program that will prepare the parent for a job in a high-growth, high-demand occupation, as determined by the Board.

No.

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

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

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

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

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

protective services – TWC rule §809.2(15) defines “protective services” as services provided when:

- *a child is at risk of abuse or neglect in the immediate or short-term future and the child’s family cannot or will not protect the child without the intervention of DFPS CPS*;*
- *a child is in the managing conservatorship of DFPS and is residing with a relative or a foster parent; or*
- *a child has been provided with protective services by DFPS within the prior six months and requires services to ensure the stability of the family.*

**This includes respite care provided to custodial parents of children in protective services.*

No.

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

Yes.

No.

2.3.5. Income Eligibility Criteria

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

income – TWC rule §809.44(a) states:

Unless otherwise required by federal or state law, the family income for purposes of determining eligibility and the parent share of cost means the monthly total of the following items for each member of the family:

- (1) Total gross earnings. These earnings include wages, salaries, commissions, tips, piece-rate payments, and cash bonuses earned.*
- (2) Net income from self-employment. Net income includes gross receipts minus business-related expenses from an individual’s own business, professional enterprise, or partnership, which result in the individual’s net income. Net income also includes gross receipts minus operating expenses from the operation of a farm.*
- (3) Pensions, annuities, life insurance, retirement income, and early withdrawals from a 401(k) plan not rolled over within 60 days of withdrawal. This includes Social Security pensions, veteran’s pensions and survivor’s benefits and any cash benefit paid to retirees or their survivors by a former employer, or by a union, either directly or through an insurance company. This also includes payments from annuities and life insurance.*
- (4) Taxable capital gains, dividends, and interest. These earnings include capital gains from the sale of property and earnings from dividends from stock holdings, and interest on savings or bonds.*
- (5) Rental income. This includes net income from rental of a house, homestead, store, or other property, or rental income from boarders or lodgers.*
- (6) Public assistance payments. These payments include TANF as authorized under Chapters 31 or 34 of the Texas Human Resources Code, refugee assistance, Social Security Disability Insurance, Supplemental Security Income, and general assistance (such as cash payments from a county or city).*

- (7) *Income from estate and trust funds. These payments include income from estates, trust funds, inheritances, or royalties.*
- (8) *Unemployment compensation. This includes unemployment payments from governmental unemployment insurance agencies or private companies and strike benefits while an individual is unemployed or on strike.*
- (9) *Workers' compensation income, death benefit payments and other disability payments. These payments include compensation received periodically from private or public sources for on-the-job injuries.*
- (10) *Spousal maintenance or alimony. This includes any payment made to a spouse or former spouse under a separation or divorce agreement.*
- (11) *Child support. These payments include court-ordered child support, any maintenance or allowance used for current living costs provided by parents to a minor child who is a student, or any informal child support cash payments made by an absent parent for the maintenance of a minor.*
- (12) *Court settlements or judgments. This includes awards for exemplary or punitive damages, noneconomic damages, and compensation for lost wages or profits, if the court settlement or judgment clearly allocates damages among these categories.*
- (13) *Lottery payments of \$600 or greater.*

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*
- *TWC rule §809.50(d) requires that the ongoing medical expenses for a child with disabilities be deducted from the family income.*
- 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
- *Any income to the family that is specifically excluded by federal law or regulation.*
- *Any income that is not included in Section 2.3.5(a) is excluded.*
- 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 (*if attending school or if not claimed as a dependent of the parent for tax purposes*)
- Children age 18 and over – still attending school (*if not claimed as a dependent of the parent for tax purposes*)
- Teen parents living with parents (*if not claimed as a dependent of the parent for tax purposes*)
- Unrelated members of household (*if not claimed as a dependent of the parent for tax purposes*)
- All members of household except for parents/legal guardians
- Other *The income of the parents of a teen parent (TWC rule §809.50(f))*
- 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.

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	\$ 3,012	\$ 2,561	*	*
2	\$ 3,939	\$ 3,348	*	*
3	\$ 4,866	\$ 4,136	*	*
4	\$ 5,793	\$ 4,924	*	*
5	\$ 6,720	\$ 5,712	*	*

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 hhs.gov.

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** *TWC rule §809.13(d) requires Boards to establish income eligibility limits as long as the limits do not exceed 85 percent of SMI. At Board option, Boards have established a lower initial eligibility income limit and a higher maximum limit.*

Board Income Limits for CCDF Eligibility

Board	Basic Eligibility	Transitional	Extended Year	Teen Parents
1. Panhandle	85% SMI ⁶	85% SMI	85% SMI	85% SMI
2. South Plains	85% SMI ⁶	85% SMI	N/A	85% SMI
3. North Texas	80% SMI ⁵	80% SMI	80% SMI	80% SMI
4. North Central	85% SMI ⁶	85% SMI	85% SMI	85% SMI
5. Tarrant County	85% SMI ⁶	85% SMI	85% SMI (for 2 years)	85% SMI
6. Dallas	85% FPG ⁶	85% SMI	85% SMI	85% SMI
7. North East	75% SMI ⁴	85% SMI	N/A	75% SMI
8. East Texas	85% SMI ⁶	85% SMI	N/A	85% SMI
9. West Central	85% SMI ⁶	85% SMI	N/A	85% SMI
10. Upper Rio Grande	185% FPG ²	185% FPG	N/A	185% FPG
11. Permian Basin	85% SMI ⁶	85% SMI	N/A	85% SMI
12. Concho Valley	85% FPG ³	85% SMI	75% SMI	200% FPG
13. Heart of Texas	85% SMI ⁶	85% SMI	85% SMI	85% SMI
14. Capital Area	85% SMI ⁶	85% SMI	N/A	85% SMI
15. Rural Capital	85% SMI ⁶	85% SMI	N/A	85% SMI
16. Brazos Valley	85% SMI ⁶	85% SMI	N/A	85% SMI
17. Deep East Texas	85% SMI ⁶	85% SMI	85% SMI	85% SMI
18. Southeast Texas	85% SMI ⁶	85% SMI	N/A	85% SMI
19. Golden Crescent	85% SMI ⁶	85% SMI	N/A	85% SMI
20. Alamo	85% SMI ⁶	85% SMI	N/A	85% SMI
21. South Texas	85% SMI ⁶	85% SMI	N/A	85% SMI
22. Coastal Bend	85% SMI ⁶	85% SMI	85% SMI	85% SMI
23. Lower Rio Grande Valley	85% SMI ⁶	85% SMI	85% SMI	85% SMI
24. Cameron County	85% SMI ⁶	85% SMI	N/A	85% SMI
25. Texoma	85% SMI ⁶	85% SMI	N/A	85% SMI
26. Central Texas	85% SMI ⁶	85% SMI	N/A	85% SMI
27. Middle Rio Grande	85% SMI ⁶	85% SMI	85% SMI	85% SMI
28. Gulf Coast	200% FPG ³	85% SMI	85% SMI	85% SMI

	185% FPG ²		200% FPG ³		75% SMI ⁴	80% SMI ⁵	85% SMI ⁶
Number of Boards: Basic Eligibility	1		1		1	1	24
Family Size	Income	% of SMI	Income	% of SMI	Income	Income	Income
1	\$ 1,815	60%	\$ 1,945	65%	\$ 2,259	\$ 2,410	\$ 2,561
2	\$ 2,456	62%	\$ 2,622	67%	\$ 2,954	\$ 3,151	\$ 3,348
3	\$ 3,097	64%	\$ 3,298	69%	\$ 3,650	\$ 3,893	\$ 4,136
4	\$ 3,739	65%	\$ 3,975	70%	\$ 4,345	\$ 4,634	\$ 4,924
5	\$ 4,380	65%	\$ 4,652	70%	\$ 5,040	\$ 5,376	\$ 5,712

FPG = DHHS Federal Poverty Guidelines
 SMI = DHHS Estimated State Median Income

No.

f) SMI Year **2016** and SMI Source

United States Department of Health and Human Services State Median Income Estimates, Federal Register, Vol. 80, No. 111, published June 10, 2015.

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

October 1, 2015.

2.3.6. Eligibility Re-determination

a) Does the State/Territory follow OCC's 12 month re-determination recommendation? (See Program Instruction on Continuity of Care.)

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 *To meet the specific needs of each workforce area, TWC rule §809.13 allows Boards to determine eligibility redetermination or recertification periods. Board-established eligibility periods range from six to 12 months. Many of the higher populated Board areas such as Alamo, Capital Area, Dallas, Gulf Coast and Lower Rio Grande have 12 month re-determination periods.*

Additionally, Boards may establish an income eligibility review period that does not involve a complete recertification of eligibility. This income eligibility review takes place at a scheduled time within the parent's eligibility recertification period.

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. 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. *TWC Child Care Services rule §809.73 requires parents to report changes that may affect eligibility within 10 days of that change. Section 809.42(b) requires redetermination any time there is a reported change that may affect eligibility. As mentioned in (a) above, Boards may establish an income eligibility*

review period that does not involve a complete recertification of eligibility. This income eligibility review takes place at a scheduled time within the parent's eligibility recertification period.

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. *If a parent reports a change or the Board's child care contractor discovers a change within 10 days of the change, the parent's income and family size is evaluated for continued eligibility. The contractor also evaluates the change to determine if the change affects the parent share of cost. If the change does not affect eligibility or increase the parent share of cost, there are no adjustments to the parent's case. If the change only increases the parent share of cost, the share of cost is adjusted for the remainder of the eligibility period. However, a Board may establish a policy to allow the parent share of cost to remain the same throughout the remainder of the eligibility period. If the change decreases the parent share of cost, the Board can have a policy that makes the adjustment through the remainder of the eligibility period. If the change affects eligibility or the parent share of cost and the parent did not report the change within 10 days, and it is determined that the parent was ineligible after the 10 days, the Board takes recoupment action.*

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).

The Information Memorandum on Continuity of Care (Memorandum) recommends policies that are flexible and account for changes in family circumstances that fluctuate over time. As described above, changes in family income and circumstances are evaluated on a case-by-case basis to determine if the changes warrant a change in the family's continued eligibility or parent share of cost.

The Memorandum also recommends that lead agencies consider the retention of eligibility if a family experiences a temporary change in circumstances. TWC rules allow child care to continue for up to 60 days and be suspended (without affecting the family's eligibility) for an additional 30 days if a parent has a documented medical incapacitation and is unable to meet the work, job training, or education requirements.

Additionally, TWC rules allow child care to be suspended (without affecting the family's eligibility) for up to 90 days if a parent has a temporary cessation of work, job training, or education activities.

Finally, as recommended in the Memorandum, TWC rules and Board policies allow providers to be paid for days when a child is absent due to an illness, or allow families a limited number of vacation days for which providers would continue to receive payment.

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.

- 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 *Eligible children who cannot be enrolled immediately are placed on a waiting list in each workforce area. The Boards' child care contractors also refer parents of children who cannot be enrolled immediately to other local agencies that provide child care assistance to low-income families. As funds become available, Boards enroll children from the waiting list according to state and local priority groups in the order in which they were placed on the waiting list.*
- Other. Describe

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations
A parent may request an appeal pursuant to TWC's Integrated Complaints, Hearings, and Appeals rules, Chapter 823. Chapter 823 requires that parents request an appeal within 14 calendar days of the adverse action. Boards must provide an opportunity for informal resolution of a complaint or appeal. If no final informal resolution is reached, Boards must provide an opportunity for a hearing to resolve an appeal or complaint. If the adverse action is upheld, the parent may request an appeal from TWC Appeals.

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?

- Yes. Effective Date October 1, 2014.
- 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.

- State Median Income, Year:
- Federal Poverty Level, Year:

Income source and year varies by geographic region. Describe income source and year:

Other. Describe income source and year:

Boards may use either the U.S. Department of Health and Human Services Poverty Guidelines (aka federal poverty guidelines) or state median income (SMI) in setting the sliding fee scale. However, Boards are required to use the most current year's income source when determining the sliding fee scale. If either the federal poverty guidelines or SMI decreases in a year, the previous year's income source is used.

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))

Fee is a dollar amount and

Fee is per child with the same fee for each child

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

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee is a 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 is 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))

Yes, and describe those additional factors:

When determining the family's share of cost, Boards also consider:

- *the number of children the family has in care;*
- *whether care is full day or part day and full week or part week; and*
- *the length of time the children have been in 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).

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:

TWC rule §809.19 exempts the following from paying the parent share of cost:

- *Parents participating in Choices employment and training activities;*
- *Parents participating in SNAP E&T activities;*
- *Parents of children who receive protective services (unless DFPS assesses a fee to the parent); and*
- *Parents with zero countable income.*

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*.

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children with special needs Provide the Lead Agency definition of Children with Special Needs A child: <i>- receiving or needing to receive protective services as defined in Section 2.3.4;</i> <i>- of a qualified veteran as defined in Section 2.5.3;</i> <i>- of a foster youth as defined in Section 2.5.3;</i>	<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 checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe <input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input checked="" type="checkbox"/> Other. Describe <i>TWC rules require that no children of military parents in military deployment have a disruption of child care services or eligibility because of the military deployment.</i>

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><i>- of a parent in military deployment as defined in Section 2.5.3;</i> <i>- of teen parents as defined in Section 2.5.3; or</i> <i>- with disabilities as defined in Section 2.3.2.</i></p>			
<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of Children in Families with Very Low Incomes Children of: <i>- Choices participants as defined in Section 2.5.3;</i> <i>- TANF applicants as defined in Section 2.5.3;</i> <i>- SNAP E&T participants; and</i> <i>- parents eligible for Transitional child care as defined in Section 2.5.3.</i></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe</p>	<p><input checked="" type="checkbox"/> Yes. The time limit is: <i>TANF applicants:</i> <i>- 12 months</i></p> <p><i>Transitional child care:</i> <i>- 12 months if employed when leaving TANF;</i> <i>- 18 months if employed when leaving TANF, if the parent was eligible for the child caretaker exemptions but voluntarily participated in Choices; or</i> <i>- 4 weeks for TANF recipients who were unemployed when TANF expired.</i></p> <p><input type="checkbox"/> No</p>	<p><input checked="" type="checkbox"/> Different eligibility thresholds. Describe <i>TWC rules allow Boards to establish higher income limits for Transitional child care.</i></p> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input checked="" type="checkbox"/> Other. Describe <i>Waiving parent share of cost for all parents participating in Choices and SNAP E&T child care.</i></p>

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

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

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

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

Term(s)	Definition(s)
<i>At-Risk child care</i>	<i>Child care services funded by TWC and provided to parents who:</i> <ul style="list-style-type: none"> - meet the Board’s Child Care Development Fund (CCDF) income eligibility limits; - are working or attending education or training for a minimum of 25 hours per week; and - are not eligible for Choices, SNAP E&T, TANF Applicant, or Transitional child care services.
<i>Choices</i>	<i>Employment and training services provided to TANF recipients.</i>
<i>Choices child care</i>	<i>A parent is eligible for Choices child care if the parent is participating in the Choices program.</i>
<i>Family</i>	<i>The unit composed of:</i> <ul style="list-style-type: none"> - a child eligible to receive child care services; - the parents of that child; and - household dependents defined as an individual living in the household who is one of the following: <ul style="list-style-type: none"> - An adult considered as a dependent of the parent for income tax purposes; - A child of a teen parent; or - A child or other minor living in the household who is the responsibility of the parent.
<i>Foster youth</i>	<i>Current foster youth – A youth age 14 or older who is receiving substitute care services under the managing conservatorship of DFPS. This includes youth residing in private foster homes, group homes, residential treatment centers, juvenile correctional institutions, and relative care.</i> <i>Former foster youth – A youth up to 23 years of age who formerly was under the managing conservatorship of DFPS, until:</i> <ul style="list-style-type: none"> - the conservatorship was transferred by a court; - the youth was legally emancipated (i.e., the youth’s minority status was removed by a court); or - the youth attained 18 years of age.
<i>Military deployment</i>	<i>The temporary duty assignment away from the permanent military installation or place of residence for reserve components of the single military parent or the dual military parents. This includes deployed parents in the regular military, military reserves, or National Guard. (TWC rule §809.2(13).)</i>
<i>Parent</i>	<i>An individual who is responsible for the care and supervision of a child and is identified as the child's:</i> <ul style="list-style-type: none"> - natural parent; - adoptive parent; - stepparent; - legal guardian, or - individual standing in loco parentis.

Term(s)	Definition(s)
<i>Parent responsibility agreement (PRA)</i>	<p><i>An agreement that must be signed—as part of the child care enrollment process—by a parent of a child receiving child care services. The PRA requires that:</i></p> <ol style="list-style-type: none"> <i>1. the custodial parent shall:</i> <ol style="list-style-type: none"> <i>a. cooperate with the Office of the Attorney General (OAG), if necessary, to establish paternity of the parent’s children and to enforce child support on an ongoing basis by:</i> <ul style="list-style-type: none"> <i>- providing documentation to the Board’s child care contractor that the parent has an open child support case with OAG and is cooperating with OAG; or</i> <i>- opening a child support case with OAG and providing documentation to the Board’s child care contractor that the parent is cooperating with OAG; or</i> <i>b. provide documentation to the Board’s child care contractor that the parent has an arrangement with the noncustodial parent for child support and is receiving child support on a regular basis;</i> <i>2. each parent must not use, sell, or possess marijuana or other controlled substances in violation of Texas Health and Safety Code, Chapter 481, and abstain from alcohol abuse; and</i> <i>3. each parent ensure that each family member younger than 18 years of age attends school regularly, unless the child has a high school diploma or a GED credential, or is specifically exempted from school attendance by Texas Education Code §25.086.</i>
<i>Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) child care</i>	<i>A parent is eligible to receive SNAP E&T child care services if the parent is participating in SNAP E&T services.</i>
<i>TANF Applicant child care</i>	<p><i>A parent is eligible for TANF Applicant child care if the parent:</i></p> <ul style="list-style-type: none"> <i>- receives a referral from HHSC to attend a WOA;</i> <i>- locates employment or has increased earnings prior to TANF certification; and</i> <i>- needs child care to accept or retain employment.</i>
<i>Teen parent</i>	<i>A teen parent is an individual 18 years of age or younger or 19 years of age and attending high school or the equivalent, who has a child.</i>
<i>Transitional child care</i>	<i>Child care services provided to individuals transitioning off TANF due to the expiration of TANF time limits or due to employment and earnings that result in TANF ineligibility.</i>
<i>Veteran</i>	<p><i>Any one of the following:</i></p> <ol style="list-style-type: none"> <i>1. Federal/state qualified veteran—an individual who served in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable as specified at 38 USC §101(2). Active services include full-time duty in the National Guard or a Reserves component, other than full time for training purposes.</i> <i>2. Federal qualified spouse—the spouse of:</i> <ul style="list-style-type: none"> <i>- any veteran who died of a service-connected disability;</i> <i>- any member of the armed forces serving on active duty who, at the time of application for the priority, is listed in one or more of</i>

Term(s)	Definition(s)
	<p><i>the following categories and has been so listed for a total of more than 90 days:</i></p> <ul style="list-style-type: none"> - <i>missing in action;</i> - <i>captured in the line of duty by a hostile force; or</i> - <i>forcibly detained or interned in the line of duty by a foreign government or power;</i> - <i>any veteran who has a total disability resulting from a service-connected disability, as evaluated by the U.S. Department of Veterans Affairs; or</i> - <i>any veteran who died while a disability was in existence.</i> <p>3. State qualified spouse—a spouse:</p> <ul style="list-style-type: none"> - <i>who meets the definition of federal qualified spouse; or</i> - <i>of any member of the armed forces who died while serving on active military, naval, or air service.</i>

State priority groups are defined in TWC rule §809.43(a) and listed in Section 2.5.1.

TWC rules allow Boards to establish additional priority groups that may be served after the state priority groups are served. Examples of Board-established priority groups include, but are not limited to:

- *children formerly in CPS;*
- *children of parents residing in rural communities;*
- *children in Early Head Start, Even Start, or Head Start;*
- *children of Workforce Investment Act (WIA) youth and adult participants, or participants in other services through a Workforce Solutions Office;*
- *children of college students; and*
- *children of parents with incomes below the Board’s basic income limit for eligibility—e.g., a Board with a basic eligibility income limit of 150 percent of the Federal Poverty Guidelines (FPG) may give priority on the waiting list to families with incomes below 100 percent of FPG.*

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

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

2.6.1. Child Care Certificates

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

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

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

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency Website:
 - *Boards:* <http://www.twc.state.tx.us/dirs/wdbs/wdbweb.html>
 - *DFPS:* www.dfps.state.tx.us
 - *2-1-1 Texas:* <https://www.211texas.org/211/search/childservices>
- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe

TWC rules require Boards to inform parents of child care options by providing:

- *a description of the full range of eligible child care providers, including the option to choose an eligible relative;*
- *a description of programs available in the workforce area relating to TRS Provider Certification, providers participating in the TSR! project, KRS-certified providers, and other quality rating systems, including national accreditations;*
- *DFPS website and telephone number, so parents can obtain health and safety requirements for regulated child care providers; and*
- *information about 2-1-1 Texas.*

Additionally, TWC distributes a brochure to Boards providing information for parents to consider when choosing child care, including quality considerations.

HB 376, 83rd Texas Legislature, Regular Session (2013), requires that Boards post in a prominent place on the Board's website a list of child care providers that have met a quality indicator. HB 376 also requires child care providers that care for subsidized children to post the quality indicator at the entrance of the provider's facility.

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

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

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.

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

Other. Describe:

By state statute, all areas of a licensed facility must be accessible during the facility's hours of operation to a parent of a child who is receiving care at the facility. During the eligibility process, the child care contractor informs parents of their rights and responsibilities, including the right to:

- *visit child care facilities;*
- *make telephone inquiries prior to enrolling; and*
- *observe providers at any time after the child is enrolled.*

Child care contractors discuss parental concerns with the facility's director or owner and ensure that parental rights are respected.

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

TWC rules require a Board to allow relative in-home child care only for the following:

- *A child with disabilities and his or her siblings;*
- *A child under 18 months of age and his or her siblings;*
- *A child of a teen parent; and*
- *When the parent's work schedule requires evening, overnight, or weekend child care in which taking the child outside of the child's home would be disruptive to the child.*

Additionally, a Board may allow relative in-home child care for circumstances in which the Board's child care contractor determines and documents that other child care provider arrangements are not available in the community.

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)

By statute, TWC keeps a record of all complaints, including those on child care, filed with TWC and provides a copy of TWC's policies and procedures relating to complaint investigation and resolution to the parties. Until final resolution of a complaint, TWC must give the parties, at a minimum, quarterly notification of the investigation's status, unless the notice jeopardizes an undercover investigation.

Boards maintain a log of all parental complaints related to service delivery. This information is subject to the Texas Public Information Act and is made available to the public upon request.

DFPS maintains a record of substantiated parent complaints regarding providers' compliance with the state's regulatory standards and monitors compliance with these standards through on-site inspections. An automated system allows the public to access providers' compliance histories. DFPS requires all licensed child care facilities to post the compliance evaluation of the most recent licensing inspection. DFPS also monitors compliance with this posting requirement.

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?

- Yes. Effective Date: *The effective date varies by Board as set forth in [Attachment 2.7.1](#).*
- No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

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

- Policy on length of time for making payments. Describe length of time
- Track and monitor the payment process
- Other. Describe

Boards use electronic funds transfer to make payments to providers. Boards may reimburse providers on a weekly basis using the weekly attendance reported through the Child Care Attendance Automation (CCAA) system.

- 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, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): June 1 2014.

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.

Data Source and Sample Population

TWC contracted with the Child and Family Research Institute (CFRI) in partnership with the Ray Marshall Center (RMC) to conduct the Texas Child Care Market Rate Survey (MRS) in June 2013. The CFRI determined a target number of facilities to be sampled for the 2013 MRS from a list of 16,000 facilities provided by DFPS in July 2013. The survey results include rate analyses for the state as a whole and for each of the 28 workforce areas.

First, a statewide representative sample of 1,000 facilities was chosen to provide greater statistical power for estimating statewide rates and trends, and to increase the precision of rate estimates for the largest Boards, which provide the bulk of care in the state.

In addition to the statewide sample, another 4495 facilities were chosen to estimate rates at the workforce area level. This sample includes the target number of each type of facility from each workforce area projected to yield 35 independent rate observations in full-time rate categories. The projections are based on response rates to the 2003 through 2012 annual Texas Child Care Market Rate Surveys and indicate that, on average, 73 licensed child care centers, 11 licensed child care homes, and 60 registered child care homes per workforce area were needed to reach the goal of 35 independent rate observations. The numbers were then increased by between 2 to 12 percent to account for workforce areas and facility types that previously showed low response rates. The assigned number of facilities were then randomly selected from each workforce area, or if fewer providers were available in any given combination of workforce area and facility type, the entire population was selected (a complete census).

Head Start facilities were excluded before the sample was drawn because they do not charge parents directly. Facilities whose only service was drop-in care were excluded at the time of the interview because they charge very high hourly rates and are not usually used by employed parents for regular care. Other types of facilities that were not included in the survey included kindergartens, summer camps, and nursery schools.

Survey Methodology

CFRI conducted the surveys by telephone interview between August 2013 and January 2014. Before the telephone interview, however, a letter—in both English and Spanish or English and Vietnamese—was sent to each provider explaining the survey goals and objectives, confidentiality policies and the voluntary nature of participation. The majority of the interviews were conducted in English, but the interview guides also were translated into Spanish and Vietnamese. In addition to the percentage of children enrolled that were receiving TWC/Board-subsidized child care, the survey instrument asked providers for the following:

- *Enrollment numbers and the daily rates charged for full-day (six hours or more) and part-day (fewer than six hours) care for:*
 - *infants (0–17 months);*
 - *toddlers (18–35 months);*
 - *preschool age children (36–71 months); and*
 - *school-age children (72 months and above).*
- *Information about:*
 - *hours of operation;*

- *availability of care for children with disabilities;*
- *additional charges (registration/activity fees) and transportation fees;*
- *administrative category (e.g., sectarian/nonsectarian, community based, for profit/nonprofit); and*
- *national accreditation or TRS Provider status.*

Survey Response Rate

After eliminating ineligible facilities from the original sample of 4495, 3957 facilities remained. CFRI completed surveys with 2,526 of the 3,957 eligible facilities in the sample between August 2013 and January 2014, which included 1,687 licensed child care centers and 839 licensed and registered child care homes across the 28 workforce areas. In the survey, licensed and registered homes are grouped together, but separated for analysis. Table 1 shows the response rates of the eligible sample by facility type.

Table 1

<i>Facility Type</i>	<i>Number in the Sample</i>	<i>Number Surveyed</i>	<i>Number of Respondents</i>	<i>Response Rate</i>
<i>Licensed Child Care Centers</i>	<i>2,485</i>	<i>2,232</i>	<i>1,687</i>	<i>75.6%</i>
<i>Licensed and Registered Child Care Homes</i>	<i>2,010</i>	<i>1,725</i>	<i>839</i>	<i>48.6%</i>
<i>Total Facilities</i>	<i>4,495</i>	<i>3,957</i>	<i>2,526</i>	<i>63.8%</i>

Description of Analyses

Daily market rates for licensed centers were gathered for all categories of care offered, regardless of whether any children were currently being served in such categories. The categories consisted of all possible combinations of age groups (gathered for actual age categories in which each center offered rates, but aggregated to the four standard categories for reporting) by full-time status (part day or full day). Thus, one center could contribute as many as eight independent rate observations, each representing any number of children (including zero). These rate observations were then weighted by the number of child care slots they represent when calculating market rate percentiles.

In contrast, market rates for home-based facilities, including registered homes and licensed homes, were gathered at the level of the individual child currently being served. Data on each child’s age, detailed weekly schedule, and rates charged were gathered for purposes of calculating daily market rates. In this case, the individual children were treated as independent rate observations, and each facility could contribute as many as nine observations (or fewer depending on the facility type and number of children enrolled). Because of this, there was no need to differentially weight the rate observations when calculating the local market rate percentiles for home-based facilities: each child (or rate) received a weight equal to one.

In 2010, a new estimation methodology was developed in which parameters that fully characterize the distribution of rates in each category of care are estimated for the state as a whole and for each of the 28 workforce areas. The parameters are then applied, using an assumption of normality of the rate distributions, to estimate each rate percentile of interest. The advantage of this method is that a medium-to-large sample size of rates is used to estimate each parameter, which yields demonstrably more stable rates over time that fall into the expected patterns more frequently. Prior to any

estimation of parameters, the daily rates are first transformed by taking the positive square root of the daily rate to make them assume a more normal distribution. This process minimizes the effect of high-end outliers on estimates of the parameters of the rate distributions. The transformations are undone later, following all estimations, by squaring the rates.

Key Findings

A comparison of the daily market rates reported in the 2013 survey to those observed in 2012 reveals that overall, the median daily rates increased by about 5.2 percent on a statewide level across facility types and age groups, or about \$.99 per day. This level of increase is within the trend of the typical annual rate increases observed over the last nine years of around 5 percent.

The increase in rates between 2012 and 2013 is a product of slightly diverging trends among the different facility types, with rates increasing least among licensed child care centers and to a greater extent among licensed and registered child care homes.

- In licensed child care centers, median rates increased by an average of 1.7 percent, or about \$.37 per day.*
- In licensed child care homes, median rates increased by an average of 7.8 percent, or about \$1.44 per day.*
- In registered child care homes, median rates increased by an average of 4.8 percent, or about \$.88 per day.*

Changes in the market rates also varied by age groups of the children served. Most of the percent increases by age group were in the range of 3 to 7 percent:

- Median rates for infants increased by an average of 3.2 percent or about \$.70 per day.*
- Median rates for toddlers increased by an average of 5.3 percent or about \$.82 per day.*
- Median rates for preschoolers increased by an average of 5.2 percent or about \$.97 per day.*
- Median rates for school-age children increased by an average of 7.5 percent or about \$1.23 per day.*

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

Because of the flexibility that Lead Agencies have in setting payment rate ceilings, the following tables have been developed to simplify Lead Agency reporting on how their payment rate ceilings compare to their most recent MRS. These tables are not meant to collect comprehensive payment rate ceilings within a State/Territory and ACF recognizes that Lead Agencies are not required to set their payment rate ceilings at the 75th percentile. These tables allow Lead Agencies to use a common metric – the 75th percentile – as a reference point against which the Lead Agency can report their percentiles for three selected age groups in two geographic areas for licensed child care centers and licensed family child care homes.

In table 2.7.4a and 2.7.4b, *highest rate area* refers to the State or Territory's area or geographic region with the highest maximum payment rate ceiling for child care centers (2.7.4a) and the lowest maximum payment rate ceiling for child care centers (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment

rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceiling, not including any rate add-ons or tiered reimbursements. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, Lead Agencies can use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

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) <i>Alamo</i>	<i>\$739.99</i>	<i>\$741.51</i>	<i>75th</i>
Full-Time Licensed Center Preschool (59 months) <i>North Central</i>	<i>\$721.81</i>	<i>\$552.07</i>	<i>36th</i>
Full-Time Licensed Center School-Age (84 months) <i>Alamo</i>	<i>\$623.52</i>	<i>\$566.36</i>	<i>59th</i>

**Board Licensed Child Care Center rates in effect as of February 2014*

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile of 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) <i>Cameron</i>	<i>\$524.58</i>	<i>\$318.26</i>	<i>8th</i>
Full-Time Licensed Center Preschool (59 months) <i>Cameron</i>	<i>\$462.23</i>	<i>\$295.52</i>	<i>14th</i>

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile of 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 School-Age (84 months) <i>Cameron</i>	<i>\$433.65</i>	<i>\$272.79</i>	<i>14th</i>

**Board Licensed Child Care Center rates in effect as of February 2014*

In table 2.7.4c and 2.7.4d, *highest rate area* refers to the State or Territory’s area or geographic region with the highest maximum payment rate ceiling for family child care homes (2.7.4c) and the lowest maximum payment rate ceiling for family child care homes (2.7.4d). Identify the lowest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceilings, not including any rate add-ons or tiered reimbursement. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, Lead Agencies can use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of 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) <i>Alamo</i>	<i>\$656.64</i>	<i>\$649.50</i>	<i>73rd</i>
Full-Time Licensed FCC Preschool (59 months) <i>North Central</i>	<i>\$665.74</i>	<i>\$525.01</i>	<i>42nd</i>
Full-Time Licensed FCC School-Age (84 months)	<i>\$602.30</i>	<i>\$460.06</i>	<i>39th</i>

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling*	(c) Percentile if lower than 75th percentile of most recent survey
<i>North Central</i>			

**Board Licensed Child Care Home rates in effect as of February 2014*

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of 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) <i>Middle Rio</i>	<i>\$466.34</i>	<i>\$279.07</i>	<i>6th</i>
Full-Time Licensed FCC Preschool (59 months) <i>Middle Rio</i>	<i>\$439.06</i>	<i>\$246.16</i>	<i>4th</i>
Full-Time Licensed FCC School-Age (84 months) <i>Middle Rio</i>	<i>\$405.07</i>	<i>\$246.16</i>	<i>8th</i>

**Board Licensed Child Care Home rates in effect as of February 2014*

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

- a) Describe how license-exempt center payment rates are set: *License-exempt centers are not eligible providers of subsidized care.*
- b) Describe how license-exempt family child care home payment rates are set: *License-exempt family child care homes are considered as either registered child care homes or listed family homes. Registered child care homes are included in the MRS. Boards consider the MRS when setting reimbursement rates for registered child care homes. Only eligible relative listed family homes can receive subsidies. For relative listed family homes, Boards establish reimbursement rates based on local conditions for typical relative-care situations.*
- c) Describe how license-exempt group family child care home payment rates are set: *License-exempt group family child care homes are not eligible providers of subsidized care.*
- d) Describe how in-home care payment rates are set: *Only eligible relative listed family homes can receive subsidies for in-home care. For relative listed family homes, Boards establish reimbursement rates based on local conditions for typical relative-care situations.*

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.

Differential rate for nontraditional hours. Describe

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

TWC rules require a Board or its child care contractor to ensure that providers are reimbursed up to 190 percent of the provider's reimbursement rate to assist in the care of a child with disabilities. The higher rate—the inclusion assistance rate—considers the estimated cost of additional staff or equipment needed for a child with disabilities. TWC rules also require that a professional familiar with assessing the needs of children with disabilities be designated to certify a need for the inclusion assistance rate.

Additionally, TWC policy requires that Boards must ensure that contractors verify a child's eligibility for the inclusion assistance rate by confirming the child's enrollment in or receipt of benefits from one or more of the following programs:

- *SSI benefits;*
- *SSDI benefits;*
- *Texas Department of Assistive and Rehabilitative Services Early Childhood Intervention (ECI) program;*
- *A Head Start program that identified the child as having a disability; or*
- *Public school special education services, including preschool programs for children with disabilities (PPCD).*

Differential rate for infants and toddlers. Describe (*See Note below*)

Differential rate for school-age programs. Describe (*See Note below*)

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

TRS Provider Certification:

State law and TWC Child Care Services rules require that TRS providers are reimbursed at least 5 percent above the maximum reimbursement rate for non-TRS providers. Upon implementation of the new rules for TRS, HB 376 (83rd Texas Legislature, Regular Session (2013)) requires Boards to establish tiered reimbursement rates for TRS providers that are at least a:

- *5 percent increase for a Two-Star TRS provider;*
- *7 percent increase for a Three-Star TRS provider; and*
- *9 percent increase for a Four-Star TRS provider.*

TSR! project and KRS:

TWC rule §809.20 requires Boards to establish enhanced reimbursement rates for preschool-age children served by providers participating in the TSR! project as well as for providers that have obtained KRS certification. These providers are reimbursed at 5 percent above the maximum reimbursement rate for preschool-age children.

Other differential rate. Describe (*See Note below*)

None.

Note: Each Board has differential full-day and part-day rates for each of the four age groups (infants, toddlers, preschool, and school-age) in each of the three regulated facilities (licensed child care centers, licensed child care homes, and registered child care homes) and relative provider facility types.

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), 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...

- Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate
- Pays for provider fees (e.g., registration, meals, and supplies). Describe *TWC rule §809.21 requires that the provider's published rate used to calculate the actual reimbursement to the provider include the provider's enrollment fees, supply fees, and activity fees.*
- Policies vary across region, counties and or geographic areas. Describe *TWC rules prohibit a provider from charging the difference between the provider's published rate and the amount of the Board's maximum reimbursement rate to parents who are exempt from the parent share of cost assessment, as described in Section 2.4.5.*

However, TWC rules allow Boards to permit providers to charge the difference to parents who are not exempt from the parent share of cost.

- Other. Describe

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

- a) Number of absent days allowed. Describe *TWC rules require Boards to establish attendance policies including the number of allowed paid absence days. Board policies range from 30 to 45 days during a 12-month period.*
- b) Paying based on enrollment. Describe *TWC rules prohibit Boards from paying providers for holding spaces open except as consistent with attendance and absence policies established by the Board.*
- c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe *Each Board establishes the frequency of its provider payments. Boards typically pay providers on a biweekly or monthly basis. Some Boards pay providers on a weekly basis.*
- d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe *TWC policy requires Boards to reimburse providers using electronic funds transfer directly to the provider's designated bank account. Additionally, the payment is based on TWC's CCAA system in which the parent records each day's attendance using an attendance card and either a point of service device at licensed child care centers or an interactive voice response system at home-based providers using the provider's phone.*

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

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

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1))
Parents in each of the 28 workforce areas have access to the full range of child care facility types available to the general public, including licensed child care centers, licensed and registered child care homes, and eligible relative care.

In SFY'12, approximately:

- *63 percent of all licensed child care centers cared for TWC-subsidized children;*
- *23 percent of all licensed child care homes cared for TWC-subsidized children; and*
- *20 percent of all registered child care homes cared for TWC-subsidized children.*

Additionally, parents may choose to have child care provided by eligible relatives. In SFY'12, relatives cared for 3 percent of all TWC-subsidized children, including care in the child's home.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2))
TWC analyzes the average Board maximum rate compared to the average market rate by facility type. Rates as of February 2014:

Licensed Child Care Centers

- *1 Board—average maximum rate over 100 percent of the average market rate*
- *7 Boards—average maximum rate between 90 and 100 percent of the average market rate*
- *20 Boards—average maximum rate between 75 and 89 percent of the average market rate*

Licensed Child Care Homes

- *1 Board—average maximum rate over 100 percent of the average market rate*
- *2 Boards—average maximum rate between 90 and 100 percent of the average market rate*
- *20 Boards—average maximum rate between 75 and 89 percent of the average market rate*
- *5 Boards—average maximum rate below 75 percent of the average market rate*

Registered Child Care Homes

- *1 Board—average maximum rate over 100 percent of the average market rate*
- *2 Boards—average maximum rate between 90 and 100 percent of the average market rate*
- *19 Boards—average maximum rate between 75 and 89 percent of the average market rate*
- *6 Boards—average maximum rate below 75 percent of the average market rate*

All Regulated Facilities Combined

- *1 Board—average maximum rate over 100 percent of the average market rate*
- *7 Boards—average maximum rate between 90 and 100 percent of the average market rate*
- *20 Boards—average maximum rate between 75 and 89 percent of the average market rate*

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) *Boards determine that the family share of cost is affordable based on the local economy and on local cost of living indicators. The sliding fee scales range from 9 to 18 percent of a family's gross monthly income, with a majority of Boards establishing co-payments that are between 9 and 12 percent of a family's income. Boards or their child care contractors may, on a case-by-case basis, temporarily reduce fees when extenuating circumstances jeopardize a family's self-sufficiency.*

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

The DFPS Child Care Licensing division provides data on the types and capacity of all licensed child care facilities in Texas. This data allows TWC to monitor the number and types of providers serving TWC-subsidized children throughout the state and to determine whether their access to child care is significantly impacted. Even though TWC-subsidized children represent 13 percent of the entire regulated child care capacity, 40 percent of all regulated child care facilities provided TWC-subsidized child care services in State Fiscal Year 2012 (SFY'12).

TWC requires Boards to take the quality of care into consideration by providing enhanced reimbursements of at least 5 percent to TRS-certified providers. Additionally, Boards are required to reimburse for preschool-age children for providers participating in the TSR! project at an enhanced rate of at least 5 percent.

Based on the results of the most recent MRS, the Texas legislature approved a reduction in the number of children served per day for the next biennium. The decrease in the number of children required to be served will allow TWC and the Boards to explore the feasibility of increasing reimbursement rates.

2.8 Goals for the next Biennium

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

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

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

Goal—Increase efficiency and effectiveness of the delivery of subsidized child care.

Strategy 1: Continue to streamline and improve the child care provider reimbursement process to include making payment and claim information available to each provider through TWC's Child Care Attendance Automation (CCAA) provider portal.

Strategy 2: Determine what would be most beneficial to parents in a CCAA parent portal that provides information to parents regarding their child care services. This could include:

- information regarding the parent's authorization for services and share of cost;*
- access to attendance information; and*
- a link to the child care provider's licensing and monitoring information as reported on DFPS's public website.*

PART 3

HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

In this section, Lead Agencies are asked to describe their goals and plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through the State/Territory's child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both programs and the staff who work in them are a core element of CCDF. Lead Agencies have been reporting on their efforts to support program quality improvement and professional development since their initial Plans in 1999. This section allows Lead Agencies to continue to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options across settings for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency has the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

Part 3 is organized around a template of four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies over the past decade:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care programs through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

Based on information reported in past plans, it is expected that the Lead Agency will describe in these first two steps how they will continue to make systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully

implemented and integrated. Each State/Territory is expected to fall on a continuum of progress as a result of these first two steps. Lead Agency's individual progress will be reported using the Quality Performance Report.

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).

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

Texas Department of Family and Protective Services (DFPS)

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

The state's child care licensing and regulatory requirements as established by state statute and DFPS regulations serve as the CCDF health and safety requirements. With the exception of relatives as defined by Section 98.2, only child care facilities licensed or registered by DFPS are allowed to serve subsidized children. Relatives as defined by Section 98.2, including relatives caring for children in the child's home (in-home care) are required to list with DFPS as a listed family home. Listed family homes are not considered to be regulated by DFPS.

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"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> 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	Describe	Describe	Describe
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe	Describe	Describe	Describe

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?
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<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><i>Child care centers (also known as day care centers) include any operation that cares for 13 or more children under 14 years of age for less than 24, but at least two hours a day, three or more days a week.</i></p> <p><i>Before- and after-school programs provide care before or after the customary school day and during school holidays for at least two hours a day, three days a week, to children attending pre-K through grade six.</i></p> <p><i>School-age programs provide care and supervision, along with recreational or skills instruction or training, before or after the customary school day for at least two hours a day, three or more days a week, to children attending pre-K through grade six. A school-age program also may operate during school holidays, the summer period, or any other time when school is not in session.</i></p> <p><i>Child care center standards can be found at http://www.dfps.state.tx.us/Child_Care/Child_Care_Standards_and_Regulations/default.asp</i></p>	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory</p> <p>For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.</p> <p><i>The programs that are exempt from regulation by licensing fall into four categories—certain programs regulated by other government entities, programs of limited duration, educational facilities and programs, and miscellaneous programs—include the following:</i></p> <p><i>CCDF eligible:</i></p> <ul style="list-style-type: none"> • <i>Facilities operated on a federal installation, including military bases and Tribal reservations;</i> • <i>Youth camps licensed by the Texas Department of State Health Services;</i> <p><i>Non CCDF eligible:</i></p> <ul style="list-style-type: none"> • <i>Youth camps exempt from licensure by the Texas Department of State Health Services because they are operated by, or on a campus of, an institution of higher education and regularly inspected by a local governmental entity;</i> • <i>Parents on the Premises (operated in association with a shopping center, business, or religious organization, where that parent or individual responsible for the child engages in an activity nearby and where the child is in care for up to four and one-half hours per day, and up to 12 hours per week);</i> • <i>Short-term programs (operated fewer than three consecutive weeks and fewer than 40 days in a 12-month period); and</i> • <i>Religious programs (offering religious instruction, such as Sunday school, weekly catechism, or a religious program that lasts two weeks or less;</i> • <i>Accredited educational facilities for grades pre-K and above;</i> • <i>Neighborhood recreation programs that provide activities designed for children ages 5 to 13 and adopt standards for</i>
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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><i>care and conduct background checks; and</i></p> <ul style="list-style-type: none"> • <i>Skills programs that offer only direct instruction in a single skill and that conduct background checks.</i>
<p>Group Home Child Care</p> <p><input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.</p>	<p>Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of group homes are subject to licensing</p> <p><i>Licensed child care homes (known in Human Resources Code statute as group day-care homes) provide care in the caregiver's residence for seven–12 children under 14 years old for less than 24 hours a day, but at least two hours a day, three or more days a week. The total number of children in care varies with the ages of the children, but the total number of children in care at any given time, including the children related to the caregiver, must not exceed 12.</i></p> <p><i>Child care center standards can be found at http://www.dfps.state.tx.us/Child_Care/Child_Care_Standards_and_Regulations/default.asp.</i></p>	<p>Describe which types of group homes are exempt from licensing</p> <p><i>None</i></p>
<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.</p> <p>Reminder - Do not</p>	<p>Describe which types of family child care home providers are subject to licensing</p> <p><i>Registered child care homes providing care in the caregiver's home for no more than 12 children must register with DFPS. Registered child care homes are governed by regulatory procedures that differ from those governing licensed</i></p>	<p>Describe which types of family child care home providers are exempt from licensing</p> <p><i>None</i></p>

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>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><i>operations. They receive registration permits, which are not the same as licenses. A registration permit is issued after licensing staff completes an on-site inspection to ensure minimum standards are met.</i></p> <p><i>Child care center standards can be found at http://www.dfps.state.tx.us/Child_Care/Child_Care_Standards_and_Regulations/default.asp.</i></p> <p><i>Listed child care homes are homes that provide regular care in the caregiver's home for three or fewer children unrelated to the provider. They must be listed with DFPS. Listed child care homes are governed by regulatory procedures that differ from those governing licensed operations, and they receive listing permits, which are not the same as licenses. There are no minimum standards, orientation, or training requirements for listed child care homes. While DFPS Child Care Licensing (CCL) does not inspect listed child care homes, it does investigate them when it gets reports alleging that:</i></p> <ul style="list-style-type: none"> <i>• children have been abused or neglected;</i> <i>• the home is providing child care for too many children;</i> <i>• a caregiver is giving a child medication without their parent or guardian's written permission; or</i> 	

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?
		<ul style="list-style-type: none"> <i>there is immediate risk to the health or safety of a child.</i> 	
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory. Describe which in-home providers are subject to licensing	Describe which types of in-home child care providers are exempt from licensing <i>Care provided in the child's own home is not subject to regulation by DFPS. However, state law requires that relatives providing care in a child's home be listed with DFPS as a listed family home to be eligible to receive child care subsidies.</i>

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 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 at the [NCRKid's website](#).

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
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 Infant ratio (11 months): <i>4:1</i>	<input checked="" type="checkbox"/> N/A. Check if your State/Territory does not have group home child care. <input checked="" type="checkbox"/> Yes, Child: staff ratio requirement Infant ratio (11 months): <i>The ratio is determined by the</i>	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. <i>For Registered Child Care Homes</i> List ratio requirement by age group: <i>For Registered Child</i>	<input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home) <input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group: <input checked="" type="checkbox"/> No ratio requirements.

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	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 checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
	<p>Toddler ratio (35 months): 11:1</p> <p>Preschool ratio (59 months): 18:1</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months): 10</p> <p>Toddler group size (35 months): 22</p> <p>Preschool group size (59 months): 22</p> <p><input type="checkbox"/> No group size requirements.</p>	<p><i>age mix the caregiver has in care. Depending on the ages of children in care, maximum numbers provided below may or may not allow the provider to care for children in other age ranges.</i></p> <p>Infant ratio (11 months): Maximum: four infants birth through 17 months</p> <p>Toddler ratio (35 months): Maximum: eight children 18 months through three years.</p> <p>Preschool ratio (59 months): Maximum: 12 children four years plus</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement Infant group size (11 months): 10 (0-17 months)</p> <p>Toddler group size (35 months): 12 (18 months plus)</p>	<p><i>Care Homes, the ratio is determined by the age mix the caregiver has in care. The maximum number for which a provider can provide care in each age range is: four infants through 17 months, six children 18 months plus, and 12 children five years plus. Depending on the ages of children in care, maximum numbers provided above may or may not allow the provider to care for children in other age ranges.</i></p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input checked="" type="checkbox"/> No group size requirements. Yes, Child: staff ratio requirement for Listed Family Homes. List ratio requirement by age group: Listed Family Homes: Listed Family Homes that provide care in the</p>	<p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input checked="" type="checkbox"/> No group size requirements. A relative child care provider operates a listed family home under Chapter 42, Human Resources Code that provides care for one or more children related to the provider and does not hold any other license or permit to provide child care under Chapter 42, Human Resources Code. A relative child-care provider must list the provider's home with the department as a family home. Relative child care must be provided in the caregiver's own home unless the Texas Workforce Commission determines that other child-care provider arrangements are not available in the community and therefore allows relative child care</p>

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	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"/> No group size requirements.	<i><u>caregiver's home can provide care for three or fewer children unrelated to the caregiver, birth through 13 years. The total number of children in care, including children related to the caregiver, may not exceed 12.</u></i>	<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home) <i>to be provided in the child's home.</i>

<p>Do the licensing requirements identify specific educational credentials for child care directors?</p>	<p><input type="checkbox"/> High school/GED <input checked="" type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input checked="" type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input checked="" type="checkbox"/> Other: <i>Day Care Administrator's Credential offered by professional or educational institution</i></p>	<p><input checked="" 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 checked="" type="checkbox"/> Other: <i>Additionally, the primary caregiver must have a combination of education and experience as defined in TAC §747.1107. Education options include an associate's degree, bachelor's degree, Child Development Associate credential, Day Care Administrator's Credential offered by a professional or educational institution, or a Child Care Administrator's Certificate plus certain college credit hours.</i></p>	<p><input checked="" 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"/> Other:</p>	<p><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 checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:</p>
<p>Do the licensing requirements identify specific educational</p>	<p><input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA)</p>	<p><input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA)</p>	<p><input checked="" type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA)</p>	<p><input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential</p>

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
credentials for child care teachers?	<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"/> Other:	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care. <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"/> Other:	<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"/> Other:	<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home) <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:
Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?	<input checked="" type="checkbox"/> At least 30 training hours required in first year <input checked="" type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <i>Child care center directors are required to have 30 hours of training per year. Child care center caregivers are required to have 24 hours of training the first year and 24 training hours per year after the first year.</i>	<input checked="" type="checkbox"/> At least 30 training hours required in first year <input checked="" type="checkbox"/> At least 24 training hours per year after first year <input type="checkbox"/> No training requirement <input checked="" type="checkbox"/> Other: <i>The primary caregiver in a licensed child care home is required to have 30 hours of training per year. A caregiver in a licensed child care home is required to have 24 hours of training per year.</i>	<input checked="" 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"/> No training requirement <input checked="" type="checkbox"/> Other: <i>The primary caregiver in a registered child care home is required to have 30 hours of training per year. A caregiver in a registered child care home is required to have 15 hours of training per year.</i> <i>There are no training requirements for listed family homes.</i>	<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 checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other

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?

- 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
<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 type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: <i>Frequency is based on compliance history.</i>
<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 type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: <i>Frequency is based on compliance history.</i>
<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 type="checkbox"/> Other. Describe	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input checked="" type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: <i>For registered child care homes, frequency is based on compliance history. Listed homes are not inspected unless a report is received alleging the provider is subject to regulation, or reports of abuse, neglect or immediate risk to children are investigated.</i>
<input type="checkbox"/> In-Home Child Care <input checked="" 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"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

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

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

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input checked="" type="checkbox"/> Yes. Describe: <i>Preapplication overview or orientation to licensing for licensed and registered providers.</i> <input type="checkbox"/> No. <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.	<input checked="" type="checkbox"/> An on-site inspection is conducted. <input type="checkbox"/> Programs self-certify. Describe <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections. <input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers. <input checked="" type="checkbox"/> Licensing staff verify correction of violation. <input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation. <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license <input checked="" type="checkbox"/> License revocation or non-renewal <input checked="" type="checkbox"/> Injunctions through court <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines for regulatory violations <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input checked="" type="checkbox"/> Cease and desist action <input checked="" type="checkbox"/> Injunction <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input type="checkbox"/> Fines <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe <i>Providers have the opportunity to request an administrative review from DFPS of most, but not all, licensing decisions and actions. If a decision to deny or revoke a permit is upheld in the administrative review, providers have an additional right to a hearing with an administrative law judge. 40 TAC §745.8805 and § 745.8835 address the circumstances in which providers can appeal licensing actions.</i> <input type="checkbox"/> No.

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	<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 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?
<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 <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <i>Child care center directors, owners, operators, or administrators of the operation; employees and applicants the center intends to hire; any individual(s), including volunteers, who are counted in any child/caregiver ratio required in minimum standards; any individual who has unsupervised access with children in care; and any other individual 14 years or older who will regularly or frequently be present at the operation while children are in care.</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <i>Child care center directors, owners, operators, or administrators of the operation; employees and applicants the center intends to hire; any individual(s), including volunteers, who are counted in any child/caregiver ratio required in minimum standards; any individual who has unsupervised access with children in care; and any other individual 14 years or older who will regularly or frequently be present at the operation while children are in care.</i>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <i>Child care centers must request a fingerprint-based criminal history check for</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
			<i>directors, owners, operators, or administrators of the center; employees and applicants the center intends to hire; and any individual(s), including volunteers, aged 14 or older, who will be frequently or regularly present at the operation; are counted in the child/caregiver ratio; have unsupervised access to children in care; have lived in another state in the last five years; and/or are suspected of having a criminal record in another state.</i>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other <i>A Sex Offender Registry check is performed on each individual whose name is submitted for a Texas criminal history check (as described above).</i>
<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 type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>The</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<i>primary caregiver; assistant or substitute caregiver; and individuals who are at least 14 years of age who reside at the operation; are counted in the child/caregiver ratio; are regularly or frequently present in the home; or have unsupervised access to children.</i>
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>The primary caregiver; assistant or substitute caregiver; and individuals who are at least 14 years of age who reside in the operation, are counted in the child/caregiver ratio, are regularly or frequently present in the home, or have unsupervised access to children.</i>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>Federal Bureau of Investigation (FBI)</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>FBI checks are required if the</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input checked="" type="checkbox"/> Sex Offender Registry	<p><i>checks are required for licensed child care home providers and other individuals frequently in the home if they have lived outside the state within the last five years or if there is reason to suspect the individual has criminal history in another state.</i></p> <p><input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24</i></p>	<p><i>individual whose name was submitted for a Texas criminal background check has lived outside the state within the last five years or if there is reason to suspect the individual has criminal history in another state. Such individuals include the primary caregiver; assistant or substitute caregiver; and other individuals 14 years of age or older who reside at the operation; are counted in the child/caregiver ratio; are regularly or frequently present in the home; have unsupervised access to children AND have lived in another state any time during the previous five years; or there is reason to suspect other criminal history exists in another state.</i></p> <p><input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>A Sex Offender Registry check is performed on</i></p>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
		<i>months thereafter.</i>	<i>each individual whose name is submitted for a Texas criminal history check (as described above).</i>
<input checked="" type="checkbox"/> Family Child Care Homes <i>(This includes both registered child care homes and listed family homes).</i>	<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 <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>For registered child care homes and listed family homes: the primary caregiver; assistant or substitute caregiver; and individuals 14 years of age or older who reside at the operation; are counted in the child/caregiver ratio; are regularly or frequently present in the home; or have unsupervised access to children.</i>
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>For registered child care homes and listed family homes: the primary caregiver; assistant or substitute caregiver; and individuals 14 years of age or older who reside</i>

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
			<p><i>at the operation; are counted in the child/caregiver ratio; are regularly or frequently present in the home; or have unsupervised access to children.</i></p>
<input type="checkbox"/> In-Home Child Care Providers	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>FBI checks are required if the individual was subject to a Texas criminal background check as listed above, AND has lived outside the state within the last five years, or if there is reason to suspect the individual has criminal history in another state. After the initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>FBI checks are required if the individual was subject to a Texas criminal background check as listed above, AND has lived outside the state within the last five years, or if there is reason to suspect the individual has criminal history in another state.</i>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe <i>After initial check, subsequent checks are required every 24 months thereafter.</i>	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home <i>A Sex Offender Registry check is performed on each individual whose name is submitted for a Texas criminal history check (as described above).</i>

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

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:

d -1) The cost associated with each type of background check conducted
Costs associated with name-based Texas criminal history checks and fingerprint-based national criminal history checks are as follows:

- *Child care licensing operations pay \$2 for every individual submitted for a name-based Texas criminal history check. DFPS collects this fee, \$1 of which goes to the Texas Department of Public Safety (DPS) while the other \$1 goes to general revenue.*
- *Fingerprint-based national criminal history checks require several fees, totaling \$41.45:*
 - *The FBI charges \$16.50 to conduct a fingerprint-based check.*
 - *DPS charges \$15 to conduct a fingerprint-based check (the FBI will not conduct a fingerprint-based check until the requesting state conducts one).*
 - *MorphoTrust USA (the electronic fingerprint scanning vendor, formerly known as L-1 Enrollment Services) charges a \$9.95 processing fee. This is a fee set in the contract between MorphoTrust USA and DPS.*

d-2) Who pays for background checks

The child care operator, director, or staff member who is the subject of the background check pays the fee.

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

Violations (criminal convictions and/or central registry findings) that make providers ineligible for CCDF vary by operation type. When notified that a permit holder or caregiver at a child care facility has a criminal history, DFPS determines if the results may be released to the operation and if the individual’s criminal history contains offenses that:

- *are minimum standard violations;*
- *are eligible for a risk evaluation; or*

- *permanently bar the individual from the operation while children are in care.*

40 TAC §745.651 addresses the types of criminal convictions that may preclude an individual from being present at a child care operation. 40 TAC §745.655 addresses the types of central registry findings that may preclude an individual from being present at a child care operation.

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

If the individual with the criminal history indicates that the history is not his or hers or that the criminal activity was a minimum standards violation, DFPS staff provides the individual/operation an opportunity to obtain a fingerprint check to verify the individual’s identity. Individuals with a central registry match (child abuse/neglect record) may request a hearing before an administrative law judge if the match prohibits them from being present at an operation.

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 NA (658E(c)(2)(E), §98.40(a)(2))

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

Yes. Describe

The DFPS Website at

http://www.dfps.state.tx.us/Child_Care/About_Child_Care_Licensing/ contains a search feature parents can use to search for child care providers by location (address, county, city, and zip code) and by facility type (center-based or home-based). The website also allows parents to review a facility’s licensing status and compliance history.

Additionally, Texas Workforce Commission (TWC) Child Care Services rule §809.15 requires Boards to provide consumer education information to:

- (1) parents who are eligible for child care services;*
- (2) parents who are placed on a Local Workforce Development Board’s (Board) waiting list;*
- (3) parents who are no longer eligible for child care services; and*
- (4) applicants who are not eligible for child care services.*

The consumer education information must contain, at a minimum:

- (1) information about the Texas Information and Referral Network/2-1-1 Texas (2-1-1 Texas) information and referral system;*
- (2) DFPS’s Website and telephone number, so parents can obtain health and safety requirements, including information on:*
 - (A) the prevention and control of infectious diseases (including immunizations);*
 - (B) building and physical premises safety;*
 - (C) minimum health and safety training appropriate to the provider setting; and*
 - (D) the regulatory compliance history of child care providers;*
- (3) a description of the full range of eligible child care providers; and*
- (4) a description of programs available in the local workforce development area (workforce area) relating to school readiness and quality rating systems, including:*

- (A) *school readiness models developed by the Children’s Learning Institute (CLI) at the University of Texas Health Science Center; and*
- (B) *Texas Rising Star (TRS) Provider criteria.*

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))

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

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<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	<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))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Building inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Other. Describe <i>Carbon monoxide detection systems: Centers and homes must be equipped with a working carbon monoxide detection system.</i> <i>Gas leak inspections: Centers that use natural gas must be inspected for gas leaks by a licensed plumber or gas company official at least once every two years.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	in compliance with the Americans with Disabilities (ADA) Act		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	X	X
	Supervision of children	X	X
	Behavior management	X	X
	Other. Describe		
Group Home Child Care	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		X
	Shaken Baby Syndrome and abusive head trauma prevention		X
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect	X	
	Emergency preparedness and planning response procedures	X	
	Management of common childhood illnesses, including food intolerances and allergies		
	Transportation and child passenger safety (if applicable)	X	X
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		X
	Supervision of children	X	X
Behavior management	X	X	
Other. Describe			
Family Child Care Providers	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		X
	Shaken Baby Syndrome and abusive head trauma prevention		X

CCDF Categories of Care	Health and safety training requirements	Pre- Service	On- Going
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect	X	
	Emergency preparedness and planning response procedures	X	
	Management of common childhood illnesses, including food intolerances and allergies		
	Transportation and child passenger safety (if applicable)	X	X
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		X
	Supervision of children	X	X
	Behavior management	X	X
	Other. Describe		
	In-Home Child Care Providers	First Aid	
	CPR		
	Medication Administration Policies and Practices		
	Poison Prevention and Safety		
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		
	Shaken Baby Syndrome and abusive head trauma prevention		
	Age appropriate nutrition, feeding, including support for breastfeeding		
	Physical Activities		
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		
	Recognition and mandatory reporting of suspected child abuse and neglect		
	Emergency preparedness and planning response procedures		
	Management of common childhood illnesses, including food intolerances and allergies		
	Transportation and child passenger safety (if applicable)		
	Caring for children with special health care needs, mental health needs, and developmental disabilities		

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	in compliance with the Americans with Disabilities (ADA) Act		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		
	Supervision of children		
	Behavior management		
	Other. Describe <i>Only relative providers as defined in §98.2, who are exempt from health and safety requirements in §98.41, are eligible to receive CCDF for in-home child care</i>		

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
Any relative, as defined in §98.41(a)(1)(ii)(A), providing subsidized child care, is required to list as a family home with DFPS. To be listed with DFPS, the caregiver and anyone living in the home over 14 years of age must undergo criminal background and DFPS abuse and neglect central registry checks.

e) Provide a web address for the State/Territory’s health and safety requirements, if available: www.dfps.state.tx.us

- *DFPS Licensing Rules: 40 TAC, Chapter 745:*
[http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=40&pt=19&ch=745](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=40&pt=19&ch=745)
- *DFPS Minimum Standards for Child-Care Centers Rules: 40 TAC, Chapter 746:*
[http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=40&pt=19&ch=746](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=40&pt=19&ch=746)
 - *Also available at:*
http://www.dfps.state.tx.us/documents/Child_Care/Child_Care_Standards_and_Regulations/746_Centers.pdf
- *DFPS Minimum Standards for Child-Care Homes Rules: 40 TAC, Chapter 747:*
[http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=40&pt=19&ch=747](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=40&pt=19&ch=747)

➤ *Also available at:*

http://www.dfps.state.tx.us/documents/Child_Care/Child_Care_Standards_and_Regulations/747_Homes.pdf

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.

- a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced) *All providers regulated by DFPS are subject to the enforcement procedures described in Section 3.1.2. Listed relative homes and listed relative in-home providers are not considered to be regulated by DFPS.*
- b) Describe whether the Lead Agency uses background checks *All providers regulated by DFPS are subject to the enforcement procedures described in Section 3.1.2. Listed relative homes and listed relative in-home providers are not considered to be regulated by DFPS.*
- 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

No

All providers regulated by DFPS are subject to the enforcement procedures described in Section 3.1.2. Listed relative homes and listed relative in-home providers are not considered to be regulated by DFPS.

- d) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements *All providers regulated by DFPS are subject to the enforcement procedures described in Section 3.1.2. Listed relative homes and listed relative in-home providers are not considered to be regulated by DFPS.*

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

3.1.5. Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs?

Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities.

Yes. Describe

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).

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)
- 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)
- Number of injuries in child care as defined by the State/Territory. Describe (optional)
- Number of fatalities in child care as defined by the State/Territory. Describe (optional) *Available FY'14*
- Number of monitoring visits received by programs. Describe (optional)
- Caseload of licensing staff. Describe (optional)
- Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional)
- 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?

DFPS staff performance measures are set by the Legislative Budget Board (LBB) and DFPS Child Care Licensing division. The performance measures are monitored on a monthly basis using data analysis and individual record reviews to assess risk in an operation.

Texas Human Resources Code §42.044 states that licensing staff must continuously evaluate each operation's performance in terms of risk to children to determine appropriate enforcement actions to reduce such risk throughout the duration of an operation's permit.

When evaluating risk to children, licensing staff consider the following:

- a. The nature of the activity (inspection or investigation) that generated the current Enforcement Recommendation, including any associated deficiencies;*
 - b. The compliance history of the operation during the most recent two-year period, including:*
 - total number of deficiencies;*
 - weight associated with each deficiency;*
 - repetition of particular standard deficiencies; and*
 - patterns of deficiencies (for example, deficiencies mainly concentrated in a particular subchapter);*
 - c. The scope and severity of each deficiency, including:*
 - ages of children involved;*
 - number of staff involved;*
 - any injury or harm caused;*
 - effect of any injury or harm; and*
 - similarities with previous deficiencies;*
 - d. Any pending investigations;*
 - e. The history of abuse or neglect investigations, especially those that resulted in a disposition of either Reason-to-Believe or Unable-to-Determine;*
 - f. Any serious incident investigations, especially those that resulted in an injury;*
 - g. Response to past technical assistance offered, including warning letters and provider plans of action; and*
 - h. Any prior remedial actions.*
- 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.

Following an extensive evaluation of the licensing standards in November 2008, the DFPS Child Care Licensing Division implemented its weighted enforcement system along with its mobile technology system. Each of the DFPS child care licensing minimum standards were evaluated and assigned a weight (high, medium high, medium, medium low, or low) based on the risk that a violation of that standard presents to children.

Assigning weights to the child care licensing minimum standards takes into account the relative importance of standard violations and helps facilitate a clear and common understanding of risk among providers, consumers, and licensing staff. When child care providers and licensing staff have the same understanding regarding the risk associated

with each standard deficiency, they can use this information as a guide in correcting deficiencies and setting priorities when making corrections. While weights reflect the risk to children if a rule is violated, the assigned weights do not change based on the scope or severity of the specific circumstances surrounding a particular deficiency. In addition to the weights of the standards, licensing staff considers, assesses, and documents scope and severity factors when making licensing decisions.

DFPS CCL assesses program outcomes in multiple areas on an ongoing basis. In summer 2009, CCL began soliciting input from providers regarding field-conducted inspections and investigations through an online survey. CCL analyzes the responses at least quarterly to help identify trends and make recommendations if systemic changes are needed. To date, every quarter has yielded primarily positive comments from providers. Beginning June 2012, CCL required that the link to the survey be included on the inspection form left with the provider at the end of an inspection in an effort to maximize the number of providers giving feedback on the child care licensing program.

Additionally, in November 2012, CCL expanded its efforts to look at program outcomes from both local and statewide perspectives. Each month, field staff provides information designed to help identify trends and patterns related to legislative measures, performance compliance, and quality. Following are examples of information gathered on a monthly basis to further CCL's assessment of program outcomes:

- 1. Initiations and Contact with Victim:
This captures how investigations were initiated by priority of the investigation. It includes the average time it takes to initiate the investigation by priority, the length of time it takes to conduct the investigation, and the number of investigations with face-to-face contact with the victim child.*
- 2. Monthly Inspection Time Report Analysis
This report captures the number of inspections conducted by each inspector and the average time spent in facilities by inspection type.*
- 3. Technical Assistance
This report shows the number of times technical assistance was offered to the provider, by the inspector, for minimum standards that were found to be in compliance and for those that were not in compliance.*
- 4. Follow-Up for Deficiencies
This report provides information on both time frames and the method staff employs to conduct follow-up inspections to determine if the provider has corrected deficiencies.*

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.)

Goal—Ensure that child care standards meet the expectations of parents, providers, and other state stakeholders.

Strategy 1: Review all child care minimum standards

DFPS Child Care Licensing (CCL) is statutorily mandated to comprehensively review all rules and standards for child care operations every six years, and CCL routinely evaluates and makes needed changes to specific standards based on legislative requirements, stakeholder input, and staff recommendations. A review can result in no changes, some changes, or substantive changes to the minimum standards. The last comprehensive review for child care standards was conducted in 2010; the next review is in 2016.

CCL begins preparing well in advance of the required minimum standard review and strongly encourages stakeholder involvement in the process. Over the coming biennium, CCL will make diligent efforts to engage all levels of stakeholders, including parents, providers, child advocates, advisory councils, staff, and legislative leadership in providing input and comments.

CCL will post proposed changes to the minimum standards on its website, and will continue to maintain an electronic comment form on its public and provider website for those participating in the review and comment process. Additionally, CCL will continue to maintain dedicated e-mail addresses to receive input from stakeholders. Comments on any proposed changes are taken via online submission, e-mail, and standard mail. Notification of the comment period will be disseminated to child care providers' mail and e-mail addresses, and on the DFPS website.

The status of the economy, the impact on families and providers, legislative directives, and budget constraints may all influence a decision to propose rule changes.



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

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

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



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

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

If yes, insert web addresses, where possible:

Infant, Toddler, and Three-Year-Old Early Learning Guidelines:

<http://earlylearningtexas.org/media/20496/texas%20infant%20toddler%20and%20three-year-old%20early%20learning%20guidelines.pdf>

Prekindergarten Guidelines:

http://www.tea.state.tx.us/index2.aspx?id=2147495508&menu_id=2147483718

Early Childhood Outcomes and Prekindergarten Guidelines Alignment Document:

<http://www.tea.state.tx.us/WorkArea/linkit.aspx?LinkIdentifier=id&ItemID=2147504355&libID=2147504349>

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

Early Learning Council (ELC) Texas Education Agency (TEA)

Region 13 Education Service Center



3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development?

Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

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

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above <i>Caring for Young Children with Disabilities or Special Needs, Culturally Appropriate Practice in Early Childhood Settings</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe <i>Technological approaches to learning are integrated throughout the pre-K guidelines.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner?

Check all audiences and methods that your State/Territory has chosen to use in the chart below.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input 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.

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional

credential

To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs

To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs

To develop State-/Territory –approved curricula

Other. List

School Readiness Integration (SRI) specialists provide training to child care providers that seek training on the guidelines.

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.

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

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.

- 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

KRS is a statewide voluntary system for use in determining the effectiveness of pre-K, Head Start, and licensed child care providers in preparing children for kindergarten. School district and charter school pre-K, Head Start, and child care providers that are part of Texas Literacy Initiative (TLI) and the TSR! project are required to enter data into KRS.

For KRS:

The commissioner’s List of Reading Instruments is a comprehensive list of reading diagnostic instruments from pre-K through grade eight. School districts and open-enrollment charter schools may refer to the list to ensure they are selecting instruments

based on valid and reliable scientific research that measures the appropriate set of reading skills.

In accordance with Texas Education Code (TEC) §28.006(b), the commissioner of education adopts a list of reading instruments that school districts may use to diagnose student reading development and comprehension. Reading instruments placed on the list must be based on scientific research, evaluate individual student reading progress, and be used to identify students at risk for dyslexia or other reading difficulties. The list of reading instruments adopted under TEC §28.006(b) must also provide for diagnosing the reading development and comprehension of students participating in a program under TEC Chapter 29, Subchapter B (Bilingual Education and Special Language Programs).

For the TSR! project:

The TSR! project requires school staff, typically teachers, to administer child progress monitoring assessments three times per year—at the beginning, middle, and end of the school year. Schools must use a tool with established reliability and validity in language, literacy, and mathematics. A majority of TSR! project classrooms use the Circle Phonological Awareness Language and Literary Screener plus Math (CPALLS+) assessment system.

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

- Yes. Describe
 No
 Other. Describe

The TSR! project requires that child progress be monitored by classroom pre-K teachers to guide classroom instruction. Child progress monitoring is conducted with a handheld device (PDA) and is based on limited domains of the ELGs, including language development, literacy knowledge and skills, mathematics knowledge and skills, and English language development. These data are used to establish instructional groupings and plan for whole group, small group, and individualized instruction.

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

- Yes. Describe
 No
 Other. Describe

It is not required that the child's progress monitoring be reported back to the parents, however, many programs do share the child's progress with parents.

- 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

KRS is a statewide voluntary system for use in determining the effectiveness of pre-K, Head Start, and licensed child care providers in preparing children for kindergarten. School district and charter school pre-K, Head Start, and child care providers that are part

of the Texas Literacy Initiative (TLI) and the TSR! project are required to enter data into KRS. The information entered includes pre-K student data and kindergarten beginning-of-year reading diagnostic data.

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

- Yes. Describe
 No
 Other. Describe

KRS is used to inform school districts, communities, and early childhood programs about the quality of programs that have a positive pre-K impact in the community and their ability to prepare children for success in kindergarten and beyond.

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

- All children. Describe
 Samples of children. Describe
 Other. Describe

Tools used to measure all children participating in selected pre-K classrooms that participate in a grant project.

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

- Yes. Describe

The TSR! project makes modifications every year based on evaluations. As a result, CLI created:

- The Developing Talkers: Pre-K for English classrooms and Hablemos Juntos: Pre-K -A Curriculum Supplement to Promote Oral Language for Spanish/bilingual classrooms;*
- The TSR! Video Reflection and Feedback component to enhance mentoring efforts; and*
- The Classroom Observation Tool (COT) and Mentoring Guide to help mentors guide their efforts with teachers.*

- No
 Other. Describe

- No
 Other. Describe

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

- Yes. Describe
 No
 Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines –

What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children's attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for dissemination and implementation of the early learning guidelines? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may

provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

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

- Number/percentage of child care providers trained on ELG's for preschool aged children. Describe (optional)
- Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional)
- Number of programs using ELG's in planning for their work. Describe (optional)
- Number of parents trained on or served in family support programs that use ELG's. Describe (optional)
- Other. Describe

Currently, there is no system to collect the data on the number of hits that the online training tool receives. However, the TSR! project offers pre-K guidelines training to 1039 providers, consisting of 667 child care providers, 331 Head Start, and 41 faith-based nonprofit programs.

SRI specialists trained 2,096 licensed child care teachers and 54 child care home teachers in the 2011–2012 school year. A total of 6,675 teachers were trained in 2011–2012, including Head Start, child care, and public pre-K.

None

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

Currently, there are no performance measures related to the dissemination and implementation of the pre-K guidelines. Information has been disseminated to all grantees regarding the web-based training sessions as well as the downloadable version of the pre-K guidelines. Each building administrator within the project has been provided with a hard copy of the pre-K guidelines, with an introductory letter advising them of the online training tool and resources to better support their teachers. Because CLI's work and efforts are so closely linked to the types of quality standards outlined in the pre-K guidelines, there is assurance that through ongoing mentoring, attendance at ongoing professional development sessions, and implementation of the high-quality materials provided to classrooms through the project, teachers will develop expertise in the implementation of the guidelines. It is also worth noting that the curricula purchased for TSR! project classrooms through this funding are correlated to the pre-K guidelines.

c) **Evaluation.** What are the State/Territory's plans, if any, for evaluation related to early learning guidelines and the progress of children in child care? 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.

CLI uses a progress monitoring tool, CIRCLE (Center for Improving the Readiness of Children for Learning and Education) Phonological Awareness Language and Literacy Screener plus Mathematics (CPALLS+), to determine child outcomes in the pre-K guidelines—specified areas of Letter Knowledge, Phonological Awareness, Vocabulary, Mathematics, as well as a social screener, book and print checklist, and an early writing screener. The data reports from this tool provide guidance to teachers for adjusting classroom instruction to meet the needs of all children.

CLI also uses a formative assessment tool called the Classroom Observation Tool (COT) to provide guidance to teachers and mentors on teacher instruction effectiveness in areas linked to the pre-K guidelines. The results of these assessments are used to generate a report for teachers and mentors highlighting areas of need and associated strategies to support teacher development in areas that are all connected to the pre-K guidelines.

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?

Goal—Increase child care quality for infants and toddlers.

Strategy 1: Increase awareness and use of the Infant and Toddler Early Learning Guidelines (ITELGs). TELC developed and released the ITELGs in March 2013. TELC is developing additional resources for parents and early childhood professionals, including a new website with parent resources and a mobile app. TELC will release shorter parent guides based on ITELGs and divided by ages so caregivers can reference child behaviors and caregiver strategies for each particular age group. TELC also will begin an early childhood public awareness campaign, which will include information found in ITELGs.

TWC will work with TELC, TEA, and HSSCO to promote ITELGs to providers and parents.

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

Many States have chosen to use targeted quality funds and other resources to develop a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs (i.e. QRIS). States and Territories will provide a self-assessment on current program quality improvement activities by responding to questions in this section and then describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to a Quality Rating and Improvement System (QRIS) framework. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards

2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

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.

At the state level, TWC sets program standards for the TRS Provider Certification guidelines, which is a voluntary certification process for improving the quality of TWC-subsidized child care services in Texas. TRS provides graduated levels of certification as providers meet progressively higher certification requirements. Additionally, state law requires that TRS Providers are reimbursed five percent above the maximum reimbursement rate.

At the community level, the Boards implement TRS and certify and monitor providers meeting TRS standards. Boards have discretion to set reimbursement rates, including the rates for TRS Providers as long as the rates are at least 5 percent above the maximum reimbursement rates. Boards also have discretion on how to use funds for quality activities, including supporting the TRS system, which may include recruiting providers, training, mentoring, and purchasing toys, equipment, or supplies. Additionally, Boards are required to share information about TRS with parents participating in child care services.

CLI administers:

TSR! is in 1039 schools, which includes 664 child care facilities, 335 Head Start programs and 40 non-profit sites in 25 communities.

TEA administers:

KRS, a voluntary system for use in determining the effectiveness of pre-K, Head Start, and child care providers in preparing children for kindergarten

3.3.1 Element 1 – Program Standards

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

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

indicators, if any, that your State/Territory has chosen to establish.

- Ratios and group size
- Health, nutrition and safety
- Learning environment and curriculum
- Staff/Provider qualifications and professional development
- Teacher/providers-child relationships
- Teacher/provider instructional practices
- Family partnerships and family strengthening
- Community relationships
- Administration and management
- Developmental screenings
- Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- Cultural competence
- Other. Describe *Physical environment*
- 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
TRS has a prescreening tool that is aligned to DFPS Child Care Licensing's weighted measurement system.
- 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

Child care providers that have achieved KRS certification or are participating in a TSR! project.

None

3.3.2 Element 2 – Supports to Programs to Improve Quality

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



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

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 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business management practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

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

Delivery, type, and purpose of support vary by Board. On-site consultation is part of the TRS certification and recertification processes. The training offered to TRS Providers also may vary by Board.

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

Yes. Describe

Most Boards provide technical assistance to TWC-subsidized child care providers interested in becoming TRS Providers.

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.

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 checked="" type="checkbox"/> Other. Describe <i>Some Boards provide grants, bonuses, onetime awards, or purchase of child care equipment.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<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.

-  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.**

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

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" 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 21 st Century Learning Center programs <i>Submitted Documentation: Copy of child care license or registration, copy of national approved accreditation (if applicable), fire, health and gas leak test, most recent child care licensing compliance history report, staff orientation plan, parent provider policies, TRS Self-Assessment Form, Provider Assurances.</i> <i>On-site Review: personnel records (orientation, credentials/training hours), parent involvement materials and documentation.</i> <i>Customized Instrument: TRS Certification Assessment and Assessment Tracking Form.</i> Describe, including frequency of assessments. <i>TRS Two-Star Provider: annually</i> <i>TRS Three-Star Provider: every two years</i> <i>TRS Four-Star Provider: every three years</i> <i>Provisional Child Care Homes: annually</i> <i>Fully-Certified Child Care Homes: every two years</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe <i>Some Boards may use ECERS and ITERS when mentoring a TRS Provider.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<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
The TRS system honors certain national accreditations. There is a screening tool for all providers before TRS certification is granted.
- None

3.3.5 – Element 5 - Outreach and Consumer Education

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

 a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may be 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.

Prekindergarten Prepares is a new website with resources for parents and educators. The parent part of the website includes information on benefits, eligibility, a healthy child, and finding a school. The educator part of the website includes a toolkit for the provision of outreach materials to schools and communities, best practices, advice, and the pre-K guidelines.

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.

Outreach efforts vary by Board according to workforce area populations. TWC's brochure on choosing child care includes information on quality and is available in Spanish.

The Prekindergarten Prepares website is available in English and Spanish:

• *English version: <http://www.prekindergartenprepares.com>*

• *Spanish version: http://www.prekindergartenprepares.com/parents_esp.php*

3.3.6. Quality Rating and Improvement System (QRIS)

-  a) **Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5**, does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?
- Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.
 - Participation is voluntary for *TWC-subsidized licensed and registered child care 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
TWC is a member of TELC, which is currently working on making recommendations on QRIS to include other early childhood education settings.

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

- Child care centers
- Group child care homes
- Family child care homes
- In-home child care
- License exempt providers
- Early Head Start programs
- Head Start programs
- Pre-kindergarten programs
- School-age programs
- Other. Describe

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

3.3.8 Data & Performance Measures on Program Quality –

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

a) **Data on 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)

TWC collects data on the number of TWC-subsidized child care providers that are TRS providers. TEA collects data on programs that have achieved KRS certification.

For 2012, 1,153 facilities were given a PreK Center of Excellence designation. Of those designated, nearly 200 were licensed child care facilities.

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

Program scores on program assessment instruments. List instruments: Describe (optional)

Classroom scores on program assessment instruments. List instruments: Describe (optional)

Qualifications for teachers or caregivers within each program. Describe (optional)

Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional)

Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) *TWC collects data on the number of TWC-subsidized child care providers in licensed care.*

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

Other. Describe

None

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

Although there are no formal performance measures on program quality, TWC tracks subsidized child care providers who have TRS Provider Certification.

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.

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?

Goal—Improve the quality of child care providers serving subsidized children.

Strategy 1: Revise TRS criteria. HB 376 added §2308.321 to the Texas Government Code, establishing a TRS workgroup to propose revisions to TRS. The TRS workgroup is required to submit recommendations to revise TRS to TWC no later than May 1, 2014. TWC is required to propose new rules for TRS no later than September 1, 2014.

In making recommendations to TWC, HB 376 requires that the TRS workgroup consider:

- *professional development standards;*
- *education and experience requirements for mentors and evaluators;*
- *early learning and school readiness standards;*
- *guidelines for infants and toddlers;*
- *training hours for providers;*
- *best practices guidelines based on standards adopted by nationally recognized organizations;*
- *research on infant and toddler brain development; and*
- *strategies for the long-term financing of the TRS program, including financing the payment of:*
 - *incentives to child care providers participating in TRS; and*
 - *grants and rewards to child care providers that achieve and maintain high levels of service.*

Strategy 2: Strengthen minimum requirements for providers serving subsidized children. During this biennium, TWC will explore revising the rules regarding the minimum requirements to care for subsidized children. This could include:

- *requiring child care providers to have attained a nonexpiring (permanent) license or permit with DFPS and be monitored at a frequency of more than once every four months before serving subsidized children; and*
- *stopping enrollment of new subsidized children at providers placed on any type of corrective action by DFPS.*

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

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

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

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

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

Texas Early Childhood Professional Development System (TECPDS)

The Texas Early Learning Council (TELC)

T.E.A.C.H. Early Childhood Texas/Texas Association for the Education of Young Children (TAEYC)

Texas Education Agency (TEA)/Education Service Centers (ESCs)

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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



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

Yes

No, the State/Territory has not developed core knowledge and competencies.

Skip to question 3.4.2.

Other. Describe

If yes, insert web addresses, where possible:

<http://www.uth.tmc.edu/tececds/ckas.html>

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

There are core competencies for practitioners, administrators and trainers; for a complete list, see <http://www.uth.tmc.edu/tececds/CoreCompetencies.html>

None

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

To define the content of training required to meet licensing requirements

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

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

- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other. Describe
- None

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other. Describe
- None

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

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

Child Growth and Development
Health and Safety
Professional Practice Methods and Curriculum
Guidance
Family and Community Relationships
Cultural and Individual Diversity
Observation and Assessment
Professionalism

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

Child Growth and Development
Health and Safety
Professional Practice Methods and Curriculum
Guidance
Family and Community Relationships
Cultural and Individual Diversity
Observation and Assessment
Professionalism

- Administrators in centers (including educational coordinators, directors). Describe

Maintaining an Effective Organization
Financial Management
Maintaining a Healthy and Safe Environment
Personnel Management
Implementing a Developmentally Appropriate Curriculum
Instituting Family Centered Programming

- Technical assistance providers (including mentors, coaches, consultants,

home visitors, etc.). Describe

- Education and training staff (such as trainers, CCR&R staff, faculty). Describe *Adult Learning and Its Impact on Training Design Training Methodology, Techniques, and Presentation Skills Group Process Skills Topic Selection and Training Preparation Evaluation and Training Outcomes*

Other. Describe

None

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

Birth-to-three

Three-to-five

Five and older

Other. Describe

None

3.4.2 Workforce Element 2 - Career Pathways

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

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

Yes. Describe *The career lattice relates a professional's training hours, education, work experience, and other factors to a position on the career lattice, from entry level to expertise in the early childhood field. Additionally, professionals can advance levels on the career lattice by gaining more professional experience, or obtaining additional education credentials, such as a CDA degree, bachelor's degree, or beyond.*

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

Insert web addresses, where possible:

<http://earlylearningtexas.org/media/19853/texas%20early%20childhood%20career%20lattice.pdf>

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

Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe *The Texas Early Childhood Career Lattice defines levels of knowledge and skill mastery for practitioners within the early childhood profession and identifies steps for advancement in the pursuit of career development.*

Providers working directly with children in family child care homes, including aides and assistants. Describe *The Texas Early Childhood Career Lattice defines*

levels of knowledge and skill mastery for practitioners, which include individuals working in home-based facilities.

Administrators in centers (including educational coordinators, directors).

Describe *The Texas Early Childhood Career Lattice defines levels of knowledge and skill mastery for administrators within the early childhood profession and identifies steps for advancement in the pursuit of career development.*

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

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

Other. Describe

None

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

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

Other. Describe

None

d) In what ways, if any, is the career pathway (or lattice) used?

Voluntary guide and planning resource

Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13

Required placement for all practitioners working in programs that receive public funds to serve children birth to 13

Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)

Required placement for participation in scholarship and/or other incentive and support programs

Required placement for participation in the QRIS or other quality improvement system

Other. Describe

None

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice)?

Yes. If yes, describe

No

Currently, the career lattice serves as a resource tool, the career lattice will be incorporated into the Early Childhood Workforce Registry, once it is released.

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.



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 *One of the TELC's mandated responsibilities is to assess the capacity and effectiveness of higher education in Texas to meet the needs of the early childhood workforce. To fulfill this responsibility, TELC will conduct an assessment of the capacity and effectiveness of higher education's ability to meet the needs of the Texas early childhood workforce. The completion of this project will be accompanied by a report with recommendations for improvements. This project will be released to the public in summer 2013.*

<http://earlylearningtexas.org/ihe-capacity-survey.aspx>

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

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

Some Boards require their training contractors to be registered with TECECDS.

Trainer approval process. Describe

TECECDS developed a trainer registry aligned with CKCs.

Training and/or technical assistance evaluations. Describe

Other. Describe

None

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

Yes. If yes, describe

CLI administers the Texas Higher Education and Early Childhood Education Partnership Project, which includes an articulation component. The project facilitates agreements between institutions of higher education. There are currently eight higher education community sites participating in and working to articulate child development coursework from a two-year to a four-year institution. These partnerships include:

- *Amarillo College and Sam Houston State University*
- *Angelina College and Stephen F. Austin State University*
- *Brookhaven College and Texas Woman's University*
- *Sam Houston State University and Lone Star Community College: Montgomery, Kingwood, and Tomball*
- *San Antonio College and the University of Texas at San Antonio*
- *San Jacinto College and University of Clear Lake*
- *The University of Texas at Brownsville and Southmost College*
- *The University of Texas at Tyler and Tyler Junior College and Kilgore College*

TELC is committed to supporting early childhood professionals, including those working to further their education in child development and early childhood education. TELC has two projects focusing on higher education, the higher education capacity survey and a toolkit for higher education articulation agreements. TELC anticipates the completion of this project and distribution of the toolkit in summer 2013.

<http://earlylearningtexas.org/ihe-articulation-agreements-toolkit.aspx>

No

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

Yes. If yes, describe

No

3.4.4 Workforce Element 4 – Access to Professional Development

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

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

Yes. If yes, for which sectors?

Child care

Head Start/Early Head Start

Pre-Kindergarten

Public schools

Early intervention/special education

Other. Describe

No

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

Yes. If yes, describe

TECECDS serves as a statewide clearinghouse of information about professional development opportunities.

No

Insert web addresses, where possible:

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

Scholarships. Describe

TWC and TELC have invested in T.E.A.C.H. Texas to help early childhood professionals, through scholarships, to return to school and finish their educations.

Free training and education. Describe

Some Boards provide free training at the local level.

Reimbursement for training and education expenses. Describe

TWC and some Boards reimburse child care providers and practitioners for education and training. T.E.A.C.H. Scholarships pay 80 percent of tuition and books for recipients in addition to providing stipends and completion bonuses.

Grants. Describe

Some Boards provide grants to child care providers and practitioners for education and training.

Loans. Describe

Loan forgiveness programs. Describe

Substitute pools. Describe

Release time. Describe *T.E.A.C.H. requires center-based teachers and family child care providers on scholarship to receive four hours per week of paid time off while school is in session. T.E.A.C.H. reimburses sponsoring centers (for center-based teachers) and family child care providers at 50 percent of \$8.00 per hour for each hour of release time, up to 64 hours per long semester.*

Other. Describe *TEA and the ESCs, provide an SRI specialist at each ESC. Each SRI specialist provides training, technical assistance, and professional development on early childhood education to the surrounding pre-K, Head Start, and child care programs.*

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

HB 376 adds §2308.3155 and §2308.30 to the Texas Government Code, requiring TWC to make CCDF funds available to each Board for the provision of technical assistance to TRS providers and to providers seeking TRS certification. Board staff includes a child development specialist to serve as an evaluator of the provider during the certification process and a mentor to meet regularly with the provider and give them child care resources.

Through a variety of sources, including SRI specialists housed in ESCs, child development specialists working with Board child care quality contractors, and technical assistance specialists in the Head Start community.

No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

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

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

Yes. If yes, describe

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

TWC provided funds to TAEYC to support the T.E.A.C.H. program, which includes the following:

- A scholarship that pays for 80 percent of the costs of tuition, with a sponsoring center covering 10 percent, and the student covering the remaining 10 percent.*
- Upon successful completion of the one-year contract, T.E.A.C.H. recipients receive a \$300 bonus. Center-based employees receive a matching bonus or a 2 percent raise from the sponsoring center.*

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

The Texas Department of Insurance offers Healthy Texas, a statewide health insurance program designed for small business owners and their employees. Healthy

Texas plans are provided by private carriers and participating MultiShare programs. Participating carriers include Celtic and United Healthcare.

No

3.4.6 Data & Performance Measures on the Child Care Workforce –

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

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

- Data on the size of the child care workforce. Describe (optional) *TWC's Labor Market and Career Information department collects data on all occupations in the state, including the child care workforce.*
- Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional)
- Records of individual teachers or caregivers and their qualifications. Describe (optional)
- Retention rates. Describe (optional)
- Records of individual professional development specialists and their qualifications. Describe (optional)
- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional)
- Number of scholarships awarded . Describe (optional)
- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional)
- Number of credentials and degrees conferred annually. Describe (optional)
- Data on T/TA completion or attrition rates. Describe (optional)
- Data on degree completion or attrition rates. Describe (optional)
- Other. Describe
- None

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

Definition– For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

Yes.

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe
- Providers working directly with children in family child care homes, including aides and assistants. Describe
- Administrators in centers (including educational coordinators, directors). Describe
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe
- Other. Describe
- None

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

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

No

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

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.

3.4.7 Goals for the next Biennium –

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

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

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

Goal 1—Increase access to professional development opportunities for child care providers participating in the subsidized care system.

Strategy 1: Encourage increased participation in continuing professional development for early childhood professionals. The General Appropriations Act of the 83rd Texas Legislature, Regular Session (2013), requires TWC to dedicate \$500,000 in SFY'14 and \$500,000 in SFY'15 for programs that encourage increased participation in continuing professional development for early childhood professionals. Funding may be used to fund teacher training programs, programs that lead to a national credential in early childhood education, or work-study programs in child care. Funding also may be used for pilot programs that use tools for individualized instruction coupled with professional development components that support ongoing learning for teachers.

During this biennium, TWC will work with local and statewide partners to develop and implement initiatives to fund these teacher training programs.

Strategy 2: HSSCO supports professional development efforts and leads the work of TECPDS. TWC will continue to participate in the TECPDS advisory committee and assist TECPDS in supporting professional development efforts.

Strategy 3: TELC and TECPDS tasks in support of this goal for the upcoming biennium include the following:

- *TECPDS will distribute revised competencies for practitioners and administrators that address beginner, intermediate, and advanced level observable competencies, which are aligned with the Texas early learning guidelines (Infant and Toddler Guidelines and Prekindergarten Guidelines, the Head Start Child Development Early Learning Framework, and National Teacher Preparation Standards).*
- *TELC and TECPDS will develop competencies for coaches, mentors, and consultants.*
- *TECPDS will create and pilot an Early Childhood Workforce Registry for practitioners, administrators, and facilities to track credentials, professional development (credit bearing and noncredit bearing), technical assistance (from coaches, mentors, and consultants), and other pertinent data to better understand the professional development needs of early childhood professionals.*
- *TELC will assess the capacity, effectiveness, and articulation agreements of two- and four-year colleges and universities.*
- *TELC and TECPDS will make significant changes to the Trainer Approval System to improve the quality assurance process for trainers and to monitor the effectiveness of offered training.*

Goal 2—Improve teacher and caregiver quality through career development opportunities.

Strategy 1: TELC and TECPDS tasks in support of this goal for the upcoming biennium include the following:

- *TELC and TECPDS will conduct a compensation study, explore and identify scholarship and financial aid opportunities, and develop recruitment and retention materials for early childhood programs.*
- *TELC and TECPDS will create a draft career lattice for early childhood professionals that will be linked with the Early Childhood Workforce Registry.*

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

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

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

The Lead Agency also certifies that:

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

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

1. **Assurance of compliance with Title VI of the Civil Rights Act of 1964:**
<http://www.hhs.gov/forms/HHS690.pdf>
2. **Certification regarding debarment:**
<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other>
3. **Definitions for use with certification of debarment:**
<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other-o>
4. **HHS certification regarding drug-free workplace requirements:** <http://www.acf.hhs.gov/grants/certification-regarding-drug-free-workplace-requirements>
5. **Certification of Compliance with the Pro-Children Act of 1994:**
<http://www.acf.hhs.gov/grants/certification-regarding-environmental-tobacco-smoke>
6. **Certification regarding lobbying:**
<http://www.acf.hhs.gov/grants/certification-regarding-lobbying>

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

AMENDMENTS LOG

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: *TEXAS* FOR THE PERIOD: 10/1/13 – 9/30/15

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Lead Agency’s approved CCDF plan occurs. Please refer to the [ACF Program Instruction regarding CCDF Plan amendments](#) for more information.

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency’s Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

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

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF
Attachment 2.4.1	10/01/2013	11/20/2013	3/03/2014
Attachment 2.7.1	10/01/2013	11/20/2013	3/03/2014
Attachment 2.7.1	12/01/2013 1/01/2014	1/29/2014	
Section 2.3.5	2/01/2014 4/15/2014 5/01/2014 6/01/2014	5/28/2014	
Attachment 2.4.1	3/01/2014 6/01/2014	5/28/2014	
Attachment 2.7.1	3/01/2014 4/01/2014 5/01/2014 6/01/2014 7/01/2014	5/28/2014	
Section 2.3.5	6/01/2014	7/29/2014	
Attachment 2.7.1	10/01/2014	7/29/2014	
Section 1.2.3	10/01/2014	9/30/2014	
Section 2.3.5	10/01/2014	9/30/2014	
Section 2.4.1	10/01/2014	9/30/2014	
Section 2.7.3	6/01/2014	9/30/2014	
Section 2.7.4	6/01/2014	9/30/2014	
Section 2.7.9	6/01/2014	9/30/2014	
Section 3.3.2	10/01/2014	9/30/2014	
Section 3.4.4	10/01/2014	9/30/2014	
Section 3.4.5	10/01/2014	9/30/2014	
Attachment 2.4.1	10/01/2014	9/30/2014	
Attachment 2.7.1	10/01/2014	9/30/2014	
Attachment 2.7.1	11/01/2014 12/01/2014	12/15/2014	
Attachment 2.7.1	1/1/2015 2/1/2015	2/27/2015	
Section 1.1.2	9/1/2015	10/29/2015	
Section 2.3.5	10/1/2015	10/29/2015	

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF
Attachment 2.4.1	10/1/2015	10/29/2015	
Attachment 2.7.1	9/1/2015	10/29/2015	