

Child Care and Development Fund (CCDF) Plan  
For

Oregon  
FFY 2014-2015

**PART 1  
ADMINISTRATION**

**1.1 Contact Information**

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

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

Effective Date: 01-OCT-13

Name of Lead Agency: [State of Oregon, Department of Education, Early Learning Division](#)

Address of Lead Agency: [255 Capitol Street NE, Salem OR 97311](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Jada Rupley, Director](#)

Phone Number: [503-373-0071](#)

Fax Number: [503-373-2873](#)

E-Mail Address: [jada.rupley@state.or.us](mailto:jada.rupley@state.or.us)

Web Address for Lead Agency (if any): [www.ode.state.or.us](http://www.ode.state.or.us)

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

**a) Contact Information for CCDF Administrator:**

Effective Date: 01-OCT-13

Name of CCDF Administrator: Kelli D. Walker

Title of CCDF Administrator: Early Learning Division, Office of Child Care, Deputy Administrator

Address of CCDF Administrator: 875 Union Street NE, Room 10, Salem, OR; 97311

Phone Number: 503-947-1409

Fax Number: 503-947-1955

E-Mail Address: kelli.d.walker@state.or.us

Phone Number for CCDF program information

(for the public) (if any): 503-947-1891

Web Address for CCDF program

(for the public) (if any): [www.childcareinoregon.org](http://www.childcareinoregon.org)

Web Address for CCDF program policy manual

(if any): None

Web Address for CCDF program administrative rules

(if any): [http://arcweb.sos.state.or.us/pages/rules/oars\\_400/oar\\_414/414\\_tofc.html](http://arcweb.sos.state.or.us/pages/rules/oars_400/oar_414/414_tofc.html)

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

Name of CCDF Co-Administrator: NA

Title of CCDF Co-Administrator: NA

Address of CCDF Co-Administrator: NA

Phone Number: NA

Fax Number: NA

E-Mail Address: NA

Description of the role of the Co-Administrator:

NA

## **1.2 Estimated Funding**

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

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

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FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ 65,239,300

Federal TANF Transfer to CCDF: \$ 0

Direct Federal TANF Spending on Child Care: \$ 9,100,000

State CCDF Maintenance-of-Effort Funds: \$ 11,714,966

State Matching Funds: \$ 11,558,620

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

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

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

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N/A here

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

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

*Working Family Tax Credit, Dependent Care Tax Credit, Child Care Contribution Tax Credit, State General Funds*

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

11,594,682

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

If checked, are those funds:

donated directly to the State?

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

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

*Portland State University, P.O. Box 725, Portland, OR 97204*

*Scholarships for childhood care and education workforce training and professional development*

If known, identify the estimated amount of private donated funds the Lead Agency will receive: 125,000

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:

*The Lead Agency and Oregon Department of Human Services, through Interagency Agreements and services contracts with the Oregon Department of Education pre-K programs, aim to provide full-day, full-year child care services for children of low-income working families. Pre-K expansion grants awarded for full-day, full-year child care services are used to match CCDF dollars.*

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: \$3,467,586  
Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

*The Lead Agency and Oregon Department of Human Services, through Interagency Agreements and services contracts with the Oregon Department of Education pre-K programs, aim to provide full-day, full-year child care services for children of low-income working families. Pre-K expansion grants awarded for full-day, full-year child care services are used to match CCDF dollars.*

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

If checked,

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

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

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

*The Lead Agency and Oregon Department of Human Services, through Interagency Agreements and services contracts with the Oregon Department of Education pre-K programs, aim to provide full-day, full-year child care services for children of low-income working families. The state uses pre-K expansion grants awarded for full-day, full-year child care services to meet Maintenance of Effort requirements in the full percentage amount allowed.*

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: 2,342,993  
Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

*The Lead Agency and Oregon Department of Human Services, through Interagency Agreements and services contracts with the Oregon Department of Education pre-K programs, aim to provide full-day, full-year child care services for children of low-income working families. Pre-K expansion grants awarded for full-day, full-year child care services are used to match CCDF dollars.*

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

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<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
Infant/Toddler Targeted Fund 1,200,000	<i>Employment Related Day Care subsidies for Infant/ toddler care for low-income working families</i>	<i>CCDF Targeted Subsidies: Higher rates for specialized training for infant/toddler care.</i>	<i>Increase access to infant/toddler care for low-income working families</i>
School-Age/Child Care Resource and Referral Targeted Funds 800,000	<i>Employment Related Day Care School age Care subsidies and Child Care Resource and Referral services</i>	<i>Targeted - School Age subsidies</i>	<i>Increase access to and availability of school age care</i>
Quality Expansion Targeted Funds 1,600,000	<i>Regulation of child care facilities</i>	<i>Quality Expansion: Licensing/Regulatory</i>	<i>Increase health and safety of children in care through regulation of child care facilities</i>
Quality Funds (not including Targeted Funds) 6,400,000	<i>Quality improvement through Child Care Resource and Referral services</i>	<i>Quality improvement of workforce and child care programs</i>	<i>Provide resource and referral services for working families and quality support/ technical assistance for child care programs</i>

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

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

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

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

Other.  
Describe:

### 1.3 CCDF Program Integrity and Accountability

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

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

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Describe:

#### *Fiscal Reporting:*

*The Lead Agency complies with Oregon Accounting Manual (OAM) 15.42.00 for Federal grants. The Lead Agency also complies with OMB Circular A-133 for statewide reporting/auditing, which requires follow-up by auditors under the Generally Accepted Governmental Auditing standards and OMB Circular A-133. Additionally, the Lead Agency complies with the agency's portion of required statewide subrecipient monitoring under OAM 30.40.00, which is overseen by an internal auditor as required by OAR 125.700.0020. The Lead Agency is subject to annual audit by*

*the Oregon Secretary of State auditors as part of a statewide audit of the State's financial statements and report of expenditures of Federal financial assistance. Rules on auditees' responsibilities can be found in OAM 10.80.00.*

**Data Reporting:**

*Two of the reporting entities have programs set up where data is automatically sent to the Lead Agency on the 19th of each month. The reporting entities are listed programs and children in foster care, both within the Department of Human Services.*

*Two programs are sent reminders and report monthly to the Lead Agency. These include the migrant and seasonal farm workers reported through Oregon Child Development Coalition and Head Start programs funded through a contract with the Department of Human Services. Other targeted population programs report directly to the Lead Agency, which run reports on a monthly basis.*

*Each program reports in a different format. Currently, the Lead Agency has software programs set up to convert data into the required format to report to the appropriate federal agency. Oregon submits reports on a quarterly basis.*

*Oregon uses Data Viewer to track errors from each reporting entity. Data is researched and originating offices are contacted with a list of errors that need to be corrected before submitting to the appropriate federal agency. Some data may not meet the validations within the Data Viewer, but they do meet Oregon's requirements for program participation. Specific actions to reduce the error rate are detailed in Section 1.3.6.*

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

**Definition:** A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient and vendor** ([http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2010](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010)). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

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Describe:

*The Lead Agency maintains overall control of expenditures by monitoring performance-based Contracts and Agreements for compliance with federal regulations and negotiated performance targets. Contracts and Interagency or Intergovernmental Agreements contain language that requires the contractor to certify that federal and state guidelines are followed. Contractors are required to submit quarterly or semi-annual performance reports on specific performance*

*indicators.*

*In preparation for the next contract cycle, the Lead Agency required certain CCR&Rs and the Network to participate in a competitive RFP process. The RFP re-framed the scope of work around shared goals/outcomes, and introduced a higher degree of rigor in results monitoring and management. Peer-established performance measures, quarterly performance reporting, learning dialogues and targeted site visits are key elements of this updated performance-based approach*

*Over time, the Lead Agency plans to similarly update its other agreements and contracts to reflect a stronger performance-based approach.*

*All Contracts that meet A-133 compliance thresholds are required, through contract language, to submit an annual independent audit report. These reports are reviewed to ensure CCDF dollars are clearly identified by CFDA number and there are no major or significant deficiencies regarding the use of those dollars by the sub-recipient.*

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

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input type="checkbox"/>	<input type="checkbox"/>
Conduct supervisory staff reviews	<input type="checkbox"/>	<input type="checkbox"/>
Conduct data mining to identify trends	<input type="checkbox"/>	<input type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe		
<i>On Target program, skills challenge for staff, Employment Related Day Care staff refreshers based on error trends.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

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

*All of the options checked are self-explanatory. The "Other" box describes the training and education that staff receive to ensure skills are updated and current.*

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

NA

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

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Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 200	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<p>Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe:</p> <p>Oregon Department of Revenue Collections</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Recover through other means. Describe:</p> <p>Department of Human Services, Office of Payment Accuracy and Recovery (OPAR) has four units that work together to identify and collect improper payments: Data Match, Fraud Investigations, Overpayment Writing and Overpayment Recovery</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Establish a unit to investigate and collect improper payments. Describe composition of unit:</p> <p>Department of Human Services Overpayment Recovery Unit &amp; Investigations Unit</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<p>Other. Describe:</p> <p><i>Approximately 200 billing forms are randomly selected each month for a desk audit. Providers send in their attendance logs, which are checked against the amount billed and client case record information. This has resulted in the discovery of overpayments, but the Department of Human Services believes the main value is preventative since providers know they are being audited. A monthly audit of child care for school age children is conducted for months when school is in session. This audit reviews child care hours billed for school age children to identify improper payments resulting from providers billing for care during the school day.</i></p> <p><i>Provider records are matched monthly with TANF, SNAP, Medicaid, and child care subsidy client records to identify eligible providers as well as questionable child care payments.</i></p> <p><i>The department has a statewide toll-free number for reporting fraud. This number is publicized in notices sent to child care providers and clients.</i></p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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:**

*The DHS Office of Payment Accuracy and Recovery staff work closely with eligibility workers in DHS field offices to identify and collect improper payments. Eligibility workers refer potential client and provider overpayments and fraud to OPAR. In addition to the audits mentioned above, the Data Match Unit also works a variety of federally mandated reports in conjunction with other*

*states to achieve their goal of ensuring program integrity, while reducing erroneous benefits and identifying fraud. The Fraud Investigations Unit has delegated authority to conduct investigations related to allegations of fraud within programs administered by DHS, including child care. They focus on client and provider eligibility issues and benefit fraud. Investigators also coordinate with county prosecutors, and with local, state, federal, and international law enforcement agencies when necessary. The Overpayment Writing and Recovery Units identify, calculate and recover client and provider overpayments. They use a variety of collection methods including repayment plans, garnishments and Oregon Department of Revenue collections. Only provider overpayments are collected by reduction of payments in subsequent months.*

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

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None

Disqualify client.

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

Disqualify provider.

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

*An Intentional Program Violation (IPV) is established when a provider commits fraud as determined by a state or federal court, by an administrative agency in a contested case, or by a person signing the designated form acknowledging the IPV and waiving the right to an administrative hearing. If the IPV is established in a contested case, the Department initiates the IPV hearing. There is no administrative appeal after a person waives the right to an IPV hearing, and the penalty may not be changed by subsequent administrative action except as follows:*

*A person who waives the right to an IPV hearing may seek relief in court or request a contested case hearing on the sole issue of whether the waiver was signed under duress (see OAR 461-025-0310). If there is a determination that the waiver was signed under duress, the initial IPV penalty is void, and:*

- If a court determines that a waiver was signed under duress, the court may determine whether an IPV occurred and the amount of the penalty.*
- If an administrative law judge determines that a waiver was signed under duress, the Department may initiate an IPV hearing to determine whether an IPV occurred and the amount of the penalty.*

*Child care providers who have incurred an overpayment established as an IPV claim are ineligible for payment as follows:*

- For six months and until the full amount of the overpayment is paid; or*
- Permanently, if the DHS Child Care Program Manager finds that such ineligibility is in the public interest.*

- Prosecute criminally
  - Other.
- Describe.

*Methods for recovering overpayments in the DHS self-sufficiency programs (including child care) are established in OAR 461-195-0551. Practices follow federal regulations, state law and the policies outlined in the Oregon Accounting Manual, Chapter 35 – Accounts Receivable Management. This can be viewed online at [http://www.oregon.gov/DAS/CFO/SARS/pages/oam\\_toc.aspx](http://www.oregon.gov/DAS/CFO/SARS/pages/oam_toc.aspx).*

*Two (2) basic types of overpayments are pursued for recovery. The first are overpayments that are the result of inadvertent acts or errors.*

- A client error is an overpayment caused by misunderstanding or unintended error on the part of the client, such as not providing complete information or not reporting a change in the rate of pay.*
- A provider error is an overpayment as a result of an unintentional act due to misunderstanding of billing procedures or lack of knowledge about program policy. Examples include: billing for more child care than actually provided, not submitting attendance logs upon request.*
- An administrative error is an overpayment as a result of an error made by the subsidy agency.*

*The second type of overpayment is the result of an intentional act or fraud to increase benefits or payment. Intent is established by the Overpayment Recovery or Investigations Unit on the basis of a pattern of behavior, clear falsification or behavior contrary to reasonable expectation. Actions or overpayments that appear to be the result of fraud are referred for investigation, and may result in legal action including criminal prosecution in addition to collection of the overpayment.*

- Client fraud occurs when a client attempts to establish eligibility for assistance, increase the amount of assistance or prevent a reduction in the amount of assistance by any of the following:*
  - Intentionally making a false or misleading statement, or misrepresenting, concealing or withholding facts.*
  - Intentionally taking or failing to take an action, such as leaving a child in care when not participating in activities authorized by the subsidy agency.*
- Provider fraud occurs when the provider intentionally does any of the following:*
  - Bills the subsidy agency for more child care than actually provided, including duplicate billings.*
  - Collects payment directly from a client after the subsidy agency's payment for services has been garnished or after overpayment recovery actions have reduced the amount paid.*
  - Fails to comply with the agreements on the Child Care Listing form, including failing to list required persons for the records check.*
  - Establishes eligibility for payment (providing listing) for another person.*

*Definitions and Categories of Overpayments are at Oregon Administrative Rule (OAR) 461-195-0501. Intentional Program Violations are defined at OAR 461-195-0601.*

*In the subsidy agency's child care programs:*

- The subsidy agency may not recover an overpayment through reduction of a client's child care program benefits.*
- When a child care program provider is liable for a child care overpayment (see OAR 461-195-0501), the subsidy agency may recover the child care overpayment by reducing up to 100 percent of any future child care payment for which the providers bills the subsidy agency.*

**NOTE: The department may recover ERDC overpayments from TANF only if the client signs a voluntary request. The client may make such a request by completing a voluntary agreement to take action on a case form.**

**The subsidy agency may recover an overpayment by offset as follows: using the collection services provided by the Department of Revenue and any other state or federal agency to collect a liquidation claim established by:**

- **A court judgment.**
- **A confession of judgment.**
- **A document signed or acknowledged by the debtor that acknowledges the debt, such as:**
  - 1.The subsidy agency-designated form to acknowledge an intentional program violation.**
  - 2.A plea-bargain agreement.**
  - 3.Any other document acknowledging the overpayment.**
- **A written notification of overpayment from the subsidy agency to the debtor, advising the debtor of the basis and amount of the overpayment and the right to request a hearing, if the debtor has exhausted his or her rights of administrative appeal.**
- **A written communication from the debtor acknowledging the debt.**

**NOTE: A voluntary agreement to reduce benefits, or a mandatory reduction, does not prevent or preclude recovery from other sources, such as state income tax refund offset.**

- **Through use of a warrant authorized by Oregon Revised Statute (ORS) 411.703. Upon issuance of the warrant, the subsidy agency may issue a notice of garnishment in accordance with ORS 18.854.**
- **The amount of any retroactive payment or restoration of lost benefits otherwise payable to the client, when the retroactive payment corrects a prior underpayment of benefits in the program in which the overpayment occurred. A confession of judgment is used in the case of a client error (see OAR 461-195-0501) overpayment. The subsidy agency may not file a confession of judgment while the client receives public assistance and may file one only if the client has refused to agree to or has defaulted on a repayment plan. When clients are found by a court to be guilty of fraud, the court may order restitution. The department will initiate recovery actions for the full amount of the overpayment even if:**
  - 1.the court did not order restitution; or**
  - 2.the amount of the restitution ordered is less that the full overpayment amount.**

**The subsidy agency may not take collection action against a filing group while a member of a filing group is working under a JOBS Plus agreement. Methods of Recovering Overpayments: OAR 461-195-0551.**

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

N/A here

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Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
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Targeted population contractors		The Lead Agency plans to develop an annual eligibility training for targeted population contractors with recorded webinar or alternative training available for new personnel	2014
Subsidy agency case reviews for improper payments from October 2010 through September 2011		Eligibility workers continue to receive support through "On Target" newsletters and policy related Skill Challenges that focus on the error trends identified from the review.	Ongoing
Subsidy agency case reviews for improper payments from October 2010 through September 2011		Add the Lead Agency to distribution list	Completed August 2012
Subsidy agency case reviews for improper payments from October 2010 through September 2011		The Child Care Policy e-mail group is available for policy questions with a response time of less than 24 hours.	Ongoing
Subsidy agency case reviews for improper payments from October 2010 through September 2011		¿ Planned action was to add the Lead Agency to the DHS policy e-mail group. Due to confidentiality rules, it was determined that DHS cannot give access to the Lead Agency. An alternative plan was developed to share policy questions/error trends in the joint DHS/Lead Agency meetings that are held monthly.	This began on 9/20/12 and is ongoing.
Subsidy agency case reviews for improper payments from October 2010 through September 2011		Maintain a current Employment Related Day Care core training and refresher training with continued focus on error prone areas.	Ongoing
Subsidy agency case reviews for improper payments from October 2010 through September 20		A special ERDC partner training was conducted at Lead Agency.	Completed Oct. 17 & 18, 2012
Subsidy agency case reviews for improper payments from October 2010 through September 20		Share data reports and error trends with DHS field leaders, the Program Integrity Steering Committee, and Lead Agency leadership.	Completed Aug./Sept. 2012

Subsidy agency case reviews for improper payments from October 2010 through September 20		Focused internal ERDC reviews continue to be conducted in the Quality Assurance Unit. ERDC reviews are included in SNAP combo cases and shared with the local office and trends are shared in the DHS/Lead Agency joint meeting mentioned above.	Ongoing
Subsidy agency case reviews for improper payments from October 2010 through September 20		DHS ERDC Policy Analysts continue to review and update our procedure manual to reflect new policy changes. The policy team began reviewing the entire child care section to reorganize and add examples that will help clarify policy for staff. Updates to policy and manuals are shared through transmittals.	Updates are ongoing & review began 9/25/12
Subsidy agency case reviews for improper payments from October 2010 through September 20		Add Lead Agency to transmittal distribution list	Completed August 2012

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

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

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

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

<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
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<input checked="" type="checkbox"/> <p><b>Representatives of general purpose local government (required)</b></p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April, and June 2013. Up to 30 state and local public, private and non-profit organizations are present at these meetings which are held six (6) times per year. CCECC includes representatives from local governments.</i></p> <p><i>The Lead Agency aligns with the Governor’s Early Learning Council, which is developing Oregon’s early childhood system. This system, pending legislation, will develop and/or field test local Early Learning HUBs to help families smoothly access services and to better coordinate services in communities.</i></p>
<p><b>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.</b></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>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. Pre-K and school age</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The Inclusive Child Care (special needs) program is represented at the bi-monthly CCECC meetings and the Inclusive Child Care advisory group is a subcommittee of the CCECC.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	<p><i>The Lead Agency administers the licensing of child care facilities in Oregon.</i></p>

<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The Head Start collaboration office is represented at the bi-monthly CCECC meetings and participates in policy discussions for the state's QRIS.</i></p>
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	<p><i>The Early Learning Council is the Statewide Advisory Council authorized by the Head Start Act. Early Learning Council priorities and draft outcomes helped to guide the goals of this State Plan. The Pre-print was shared with the Executive Committee of the Early Learning Council in May 2013.</i></p>
<input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The statewide afterschool network, Oregon After School for Kids, plus the Oregon Association for the Education of Young Children, Oregon Health Sciences University, are represented at the bimonthly CCECC meetings and participate in policy discussions for the state's QRIS.</i></p>
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. CACFP, located in the Oregon Department of Education, is represented at the bi-monthly CCECC meetings and participates in policy discussions for the childhood care and education system.</i></p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The Oregon Health Authority (OHA) is represented at the bi-monthly CCECC meetings and participates in policy discussions for the childhood care and education system. The Oregon Health Authority's Director of Child Health was also given the draft Pre-print in May 2013. Lead Agency will continue to work with the OHA Child Health Director to incorporate OHA programs and input.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings April and June 2013. The Oregon Health Authority (OHA) is represented at the bi-monthly CCECC meetings and participates in policy discussions for the childhood care and education system. The Oregon Health Authority's Director of Child Health was also given the draft Pre-print in May 2013. Lead Agency will continue to work with the OHA Child Health Director to incorporate OHA programs and input.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for child welfare</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email. Plan was also posted on the Department of Human Services (DHS) website. DHS, which administers the bulk of CCDF subsidy dollars in Oregon, is the same agency that administers child protective services and foster care.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The Department of Human Services, Child Care Programs, is represented at the bi-monthly CCECC meetings, participates in policy discussions for the childhood care and education system and the state's QRIS, and is the major CCDF subsidy agency. The subsidy advisory group for child care programs is a subcommittee of the CCECC and discusses child welfare in relation to the ERDC program and other child care services.</i></p>

<input type="checkbox"/> <p>State/Territory liaison for military child care programs or other military child care representatives</p>	<p>NA</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services/workforce development</p>	<p><i>Until June 30, 2013, the Lead Agency was located in the state's Employment Department. Consultations occurred at regular updates of the agency's executive team meetings and through the strategic planning process.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The Department of Human Services, Child Care Programs, is represented at the bi-monthly CCECC meetings and participates in policy discussions for the childhood care and education system, the state's QRIS, and is the CCDF subsidy agency. The advisory group for child care programs is a subcommittee of the CCECC and discusses child welfare and TANF in relation to the ERDC program and other child care services.</i></p>
<input checked="" type="checkbox"/>	<p>Indian Tribes/Tribal Organizations</p> <p><input type="checkbox"/></p> <p>N/A: No such entities exist within the boundaries of the State</p> <p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>Lead agency is working on strengthening tribal input, including adding tribal representation to the Early Learning Council.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. All recognized tribes in Oregon may access the market rate information for the ERDC program, have access to input on the CCDF plan, and are updated on the CCDF state plan and subsidy through Region X coordinated calls.</i></p>

<input checked="" type="checkbox"/> <p>Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. CCDF, Department of Education, and C.S. Mott Foundation-funds Oregon's statewide afterschool network, Oregon After School for Kids (OregonASK). OregonASK represents the Department of Education's 21st Century Community Learning Centers and local program providers in policy development for before and after school programs. OregonASK is represented on CCECC and participates in policy discussions for the childhood care and education system and the state's QRIS.</i></p> <p><i>Private agencies/entities such as the Birth to Five Policy Alliance and the Children's Institute (Oregon non-profit) are also represented at CCECC meetings.</i></p>
<input checked="" type="checkbox"/> <p>Provider groups, associations or labor organizations</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. Service Employees International Union (SEIU), American Federation of State, County and Municipal Employees (AFSCME), and are represented at the bi-monthly CCECC meetings and participate in policy discussions for the childhood care and education system. The Oregon Association of Child Care Directors and the Oregon Association for the Education of Young Children are also represented on CCECC.</i></p>
<input checked="" type="checkbox"/> <p>Parent groups or organizations</p>	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. Representing parents, the Oregon Child Care Resource and Referral Network, Western Oregon University, and 13 local child care resource and referral agencies (CCR&amp;Rs) are represented at the bi-monthly CCECC meetings.</i></p>

<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The Oregon Child Care Resource and Referral Network, Western Oregon University, and 13 local child care resource and referral agencies (CCR&amp;Rs) are represented at the bi-monthly CCECC meetings.</i></p>
<input checked="" type="checkbox"/> Other	<p><i>CCDF plan draft was posted on the Lead Agency website with the ability to submit comments, additions, or corrections via email.</i></p> <p><i>The draft pre-print was shared at the Childhood Care and Education Coordinating Council (CCECC) meetings in April and June 2013. The State Library, home visiting and state Pre-K partners regularly attend CCECC meetings.</i></p>

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

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a) Date(s) of notice of public hearing: 04/24/2013

**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? Notice of Public Hearing was circulated to the Child Care Coordinating Council and all associated list serves.

c) Date(s) of public hearing(s):

06/05/2013

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

d) Hearing site(s) #1: Broadway Commons, 1300 Broadway St. NE, Suite 100, Salem, OR 97301 and #2: Somerville Building, 775 Court Street, Salem, OR 97301

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? Plan was posted to the Lead Agency and Early Learning Council websites.

Announcements of opportunities to comment via email and in person at the June 12 public hearing were sent to child care and subsidy stakeholder list-serves.

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? Staff shared a 39-page log of over 500 comments with the Early Learning Council in a public meeting. The log provided the basis for a comments summary, which was posted at [http://www.oregon.gov/EMPLOY/CCD/Pages/state\\_plan.aspx](http://www.oregon.gov/EMPLOY/CCD/Pages/state_plan.aspx) for public viewing. Modifications were made to the plan as appropriate based on comments received.

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

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*The public hearing notice for June 12, 2013 is announced in a letter to reviewers embedded in the draft plan, which is publicly posted. A separate public hearing announcement is published on the Lead Agency and Early Learning Council websites, with announcements sent to child care and subsidy stakeholder list-serves.*

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

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

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

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

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

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		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.

<input checked="" type="checkbox"/> <p>Representatives of general purpose local government</p> <p>This may include, but is not limited to:</p> <p>representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p><i>Contracts and Agreements with counties, municipalities, local human services agencies, school districts, education services districts, community colleges and local health agencies.</i></p> <p><i>Contract proposals for local early learning "Hubs" are required to involve five sectors, which include local government entities. The five sectors are: k-12, health, social/human services, early learning community, and business.</i></p>	<p><i>Increased supports for the delivery of child care services, such as, licensing supports, subsidy supports, workforce training, resource and referral activities, technical assistance to services providers, health/mental health information, and early childhood planning activities.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education <b>(required)</b></p> <p>This may include, but is not limited to,</p> <p>State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p><i>The Lead Agency is the Oregon Department of Education, which works with the Department of Human Services and other public and private entities to deliver child care services, licensing and subsidy supports.</i></p>	<p><i>Increase community-based placements for Early Head Start, Head Start, inclusive child care through Contracts and Agreements; increase training and education for the early child care workforce and training and education for the school-age workforce; increase collaboration and coordination of shared resources for technical assistance to and professional development for child care providers and other early education providers.</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 <b>(required)</b></p>	<p><i>Contracts and Agreements with Western Oregon University and Oregon After School for Kids to deliver child care services, licensing and subsidy supports</i></p>	<p><i>Increase offerings and improve the quality of training and education of the early care and school-age workforce; increase and broaden outreach to family child care providers to provide linkages to state agencies; increase and target consumer education for all parents on choosing quality care and education; increase and target technical assistance to local resource and referral entities; increase technical assistance to school age programs in all types of care.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health <b>(required)</b></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>Collaboration with Oregon Health Authority (OHA) and local health departments; Oregon Health Sciences University (OHSU), Oregon Center for Children with Special Needs. OHA, OHSU and the Oregon Center for Children with Special Needs are represented on Oregon's Childhood Care and Education Coordinating Council (CCECC).</i></p>	<p><i>Alignment of common developmental screening and early childhood service referrals. Coordination and training for developmental screening and service referrals. Increase and improve timely, shared consumer education on flu vaccines, other immunizations, health alerts, health and safety information for the statewide child care workforce.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services / workforce development <b>(required)</b></p>	<p><i>The Governor's Executive Order of July 2013 requires all state agencies administering workforce programs to coordinate their systems. The Department of Human Services, which administers the bulk of CCDF subsidy dollars in Oregon, is a required partner.</i></p>	<p><i>Support working families with child care, and to improve the quality of the child care and education workforce.</i></p>

<input checked="" type="checkbox"/> State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies (required)	<i>Department of Human Services administers the Employment Related Day Care child care subsidy program through an Interagency Agreement with the Lead Agency and is responsible for TANF. Contracts and Agreements with the child care resource and referral system to provide services to licensed facilities and family, friend and neighbor care for subsidy families as well as quality improvement of License Exempt Home and Relative care.</i>	<i>Align programs that serve low income working families, including one stop for families and equitable services (ERDC, TANF, SNAP and medical programs through DHS coordination with OHA), teen parents/child development, child care for parents in alcohol and drug treatment programs, Head Start community placements, orientations to increase access to training for License Exempt Home and Relative providers.</i>
<input checked="" type="checkbox"/> Indian Tribes/Tribal Organizations (required)  <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	<i>There are nine federally recognized tribes in Oregon - all are represented on the State Interagency Coordinating Council for early intervention/early childhood special education services.</i>	<i>Continue to share market price study information and child care subsidy rates; ensure that tribes are informed of changes to the CCDF plan that may impact their tribal programs.</i>

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

<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<i>Oregon Department of Education, Head Start Collaboration office is represented on Oregon's Childhood Care and Education Coordinating Council (CCECC). The Head Start Collaboration Director serves on the EQUIP Advisory Committee providing guidance to the QRIS and participates on the Professional Development Committee to ensure that Head Start programs fully participate in the QRIS.</i>	<i>Align more EHS and HS Facilities with community placements for full-day, full-year care for low-income working families. Increases access for these high risk families to high quality care and education; to develop an aligned professional development system.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC)  <input type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC	<i>The Early Learning Council is responsible for the RTT-ELC grant. Lead Agency will coordinate with the Early Learning Council to ensure the full execution of the work plan and to coordinate participating state agencies.</i>	<i>Overarching goals of the ELC: 1) children are ready to learn at kindergarten; 2) children are raised in stable and attached families. ELC also has system goals like improved health and reduced foster care; local hub goals such as increased connection and decreased duplication of services; and child/family outcomes relating to physical, language/ literacy, parenting/family, social/emotional and cognitive domains.</i>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p><i>Oregon Department of Education, Child and Adult Care Food Program; linkages through the Childhood Care and Education Coordinating Council; provider overviews given by licensing specialists and local resource and referral agencies</i></p>	<p><i>Increase access to information on and increase the statewide usage of the CACFP by childhood care and education providers.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to:</p> <p>State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p><i>Oregon Department of Education, Early Intervention/Early Childhood Special Education; Oregon Department of Human Services, Council on Developmental Disabilities; Oregon Health Sciences University, Oregon Center for Children with Special Needs; contracts for inclusive child care services; Inclusive Child Care Advisory; Western Oregon University (Center on Inclusion); Inclusion Collaborative (federal grant); local school districts; multiple Education Service Districts (EI/ECSE services).</i></p> <p><i>These organizations are represented on Oregon's Childhood Care and Education Coordinating Council (CCECC).</i></p>	<p><i>Increase parent consultation services for children with disabilities. These services ensure the appropriate care settings and accommodations are in place for children special needs.</i></p> <p><i>Increase awareness of the resources for parents of children with special needs that are available through several partner agencies and organizations.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p><i>The Lead Agency serves on the executive committee that guides Oregon's home visiting system.</i></p>	<p><i>Through the Early Learning Council and Oregon Health Policy Board Joint Subcommittee ,continue to connect home visiting services to informal child care providersand establish cross training opportunities and alignment of professional development goals.</i></p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	<i>Oregon Department of Human Services. DHS is represented on Oregon's Childhood Care and Education Coordinating Council (CCECC).</i>	<i>Goal is to continue linkages between child welfare and child protective services with the Lead Agency to provide better coordination with the licensing/ compliance functions of the Lead Agency and review/alignment of policies that create improvement for children involved with child welfare.</i>
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	None	None
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	<i>Oregon Department of Education, 21<sup>st</sup> Century Community Learning Centers. Coordinate with the Department of Education through the C. S. Mott Foundation-funded statewide afterschool network, Oregon After School for Kids (CCDF provides match funding for the C.S Mott grant); continue representation by OregonASK at the Childhood Care and Education Coordinating Council, and numerous subcommittees.</i>	<i>Goal is to continue support of before and after-school programs in all types of care.</i>
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	<i>Child care resource and referral; training through local organizations such as Red Cross, USDA CACFP program sponsors, Oregon Association for the Education of Young Children.  CCR&amp;Rs, the Network and CACFP are represented on Oregon's Childhood Care and Education Coordinating Council (CCECC).</i>	<i>Goal is increased access of families to quality child care and education and support of community-based organizations that work to improve the health, safety and quality of child care programs and practitioners. Through Contracts and Agreements with the statewide child care resource and referral system, ensure increased provider access to high quality, local training. The Lead Agency provides substantial funding of the CCR&amp;R system with CCDF funds to ensure the health and safety trainings required for licensure are widely available at low cost.</i>

<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	<i>Service Employees International Union (SEIU), American Federation of State, County, and Municipal Employees (AFSCME), American Federation of Teachers, Oregon Family Child Care Network, Provider Resource Organization, Oregon Association of Child Care Directors and Oregon Association for the Education of Young Children are represented on Oregon's Childhood Care and Education Coordinating Council (CCECC), which Lead Agency uses as a critical venue for education and co-learning on child care policy and implementation issues.</i>	<i>Goal is to continue linkages through the Childhood Care and Education Coordinating Council by representation of SEIU and AFSCME who administer collective bargaining agreements for licensed and licensed exempt child care providers.</i>
<input checked="" type="checkbox"/>	Parent groups or organizations	<i>Lead Agency will work with the Early Learning Council and Early Learning HUBs to identify opportunities for better engaging parents and to coordinate towards a unified state role in connection to parents.</i>	<i>Parental participation and input into early childhood and development system.</i>
<input checked="" type="checkbox"/>	Other	<i>Lead Agency will work with the Early Learning Council to support an aligned and integrated service delivery system for children and families. Others involved: The Oregon Community Foundation; Ford Family Foundation; Science, Technology, Engineering, and Math grantees; Stand for Children; Children's Institute; Children First; Oregon Association for the Education of Young Children, OregonASK.</i>	<i>Integrated policy guidance for the child care system from the Early Learning Council.</i>

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

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Yes. If yes,

a)  
Provide the name of the entity responsible for the coordination plan(s):  
Oregon Education Investment Board and Early Learning Council

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

*Overarching goals of the ELC, for children ages 0-6, are that 1) children are ready to learn at kindergarten; 2) children are raised in stable and attached families; and 3) integrated systems for service delivery.*

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:

Plans are being finalized, but legislatively required reports and other information about the Oregon Education Investment Board and the Early Learning Council can be found at

[http://www.oregon.gov/Gov/Pages/oeib/OregonEducationInvestmentBoard.aspx#Early\\_Learning](http://www.oregon.gov/Gov/Pages/oeib/OregonEducationInvestmentBoard.aspx#Early_Learning)

No

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

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

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

*The Oregon Education Investment Board and its subsidiary, Early Learning Council (ELC), is a statutorily-created entity to guide efforts to integrate and streamline existing state and ensure all children are ready to learn when they enter kindergarten. Overarching goals of the ELC are that 1) children are ready to learn at kindergarten; 2) children are raised in stable and attached families. ELC is also defining system goals like improved health and reduced foster care; pending legislation, local "hub" goals such as increased connection and decreased duplication of services; and child/family outcomes relating to physical, language/literacy, parenting/family, social/emotional and cognitive domains.*

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

*Early Learning Council - age group addressed is 0 to 6.*

Local Coordination/Council

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

*The Lead Agency, the Department of Education, is the funder of the local Hubs, which are collaboratives focusing exclusively on aligning and coordinating cross-sector services for children 0-6 in their service areas.*

Other

Describe

NA

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))**

Effective Date: 01-OCT-13

Yes .

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

*With the emergence of Oregon's early learning system, activities related to private-public partnerships have shifted organizationally to the Early Learning Council and the Youth Development Council. Activities include development of 1) local Early Learning HUBs of early learning and development services, and 2) a kindergarten readiness assessment tool and program. Anticipated results include improved alignment of publicly funded HUB-related efforts such as home visiting to privately funded initiatives such as the Oregon Community Foundation's Parenting Education HUB grant program, , and community-based and community college scholarship programs.*

*Several CCR&Rs engage in local public-private partnerships to fund family child care networks to increase quality environments for children and employees. Partners include but are not limited to Nike, PeaceHealth Medical, and Intel.*

*C.S. Mott Foundation provides funds for the school-age statewide network.*

No

**1.6. Child Care Emergency Preparedness and Response Plan**

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

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

Effective Date: 01-OCT-13

**Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

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

**Other.**  
**Describe:**

*Lead Agency intends to develop an emergency preparedness plan, with the assistance of relevant stakeholders, specific to child care, including 1) interactive mapping of child care facilities in the state (completed); 2) maintaining current contact information for local CCR&Rs; and 3) adjusting licensing rules to accommodate emergency circumstances.*

*In the meantime, the Lead Agency and the Department of Human Services each have a Business Continuity Plan in place in the event of a disaster.*

*For child care subsidies, the child care program is included in the list of the Oregon Department of Human Services 'Mission Critical Functions and Services.' Rules establish alternative procedures that ensure continued services to families in case of disaster or business interruption.*

*In child care licensing, the Lead Agency has a plan in place to continue critical business functions with a priority of keeping children safe in child care settings. A designated licensing representative in each area works with the Oregon Office of Emergency Management to coordinate emergency operations for child care facilities in the event of emergency or disaster.*

*For child care subsidies in targeted populations, the Employment Department's Business Continuity Plan addresses continued payment for families and services in case of disaster or business interruption.*



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

Effective Date: 01-OCT-13

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

**2.1 Administration of the Program**

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

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

Effective Date: 01-OCT-13

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

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

NA

- Other.
- Describe:

*The Early Learning Council provides overall guidance to Oregon’s early childhood system. The Lead Agency provides policy guidance and helps ensure children’s developmental needs are supported.*

*Employment Related Day Care eligibility rules and program policies are established by the Department of Human Services (DHS.) The Lead Agency uses the eligibility rules, income limits, and payment rates that are established by DHS. Lead Agency meets monthly with DHS to discuss potential rule and policy changes and to collaboratively ensure that DHS rules are in compliance with CCDF regulations.*

*Migrant/seasonal child care subsidies are administered by the Lead Agency. Payment rates are based on Group Area A for the state (ERDC rates) for certified centers, but the provider cannot charge a higher rate to just the migrant family if the provider is in a lower Group payment tier.*

- Sliding fee scale is set by the:
  - State/Territory
  - Local entity.

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

NA

Other.

Describe:

NA

Payment rates are set by the:

State/Territory

Local entity.

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

NA

Other.

Describe:

NA

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

Effective Date: 01-OCT-13

Implementation of CCDF Services/Activities
<p><b>Who determines eligibility?</b></p> <p><b>Note:</b> If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:</p> <p>NA</p>

**Agency (Check all that apply)**

CCDF Lead Agency

TANF agency

Other State/Territory agency.

Describe:

Local government agencies such as county welfare or social services departments

Child care resource and referral agencies

Community-based organizations

Other.

Describe:

*A number of contracts to serve special populations provide eligibility determination services. This includes school district teen parent programs migrant/seasonal farm worker programs, inclusive child care programs through Oregon Council on Developmental Disabilities, and alcohol and drug treatment programs.*

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

**Agency (Check all that apply)**

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

Describe:

*Both the Lead Agency and the Department of Human Services, through joint contracts with all 13 child care resource and referral agencies, assist parents in locating appropriate child care and provide comprehensive consumer education.*

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

Describe:

*The Child Care Resource and Referral (CCR&R) organizations in 13 service delivery areas across the state are the primary state-funded resource for child care referrals. Many community-based organizations also provide information on the CCR&R services available in the local service delivery area*

**Who issues payments?**

**Agency (Check all that apply)**

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

Describe:

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

Describe:

NA

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

*Payments are distributed by electronic deposit or check directly to child care providers by the Lead Agency for targeted populations subsidies or the Department of Human services for Employment Related Day Care subsidies. No payments are given to parents for disbursement to their child care provider.*

**Other. List and describe:**

NA

**2.2. Family Outreach and Application Process**

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

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

Effective Date: 01-OCT-13

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

(provide website): <http://www.oregon.gov/DHS/children/childcare/> OR [www.childcareinoregon.org](http://www.childcareinoregon.org)  
OR [www.oregonchildcare.org](http://www.oregonchildcare.org)

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

Describe:

*Consumer Education materials used for the Employment Related Day Care subsidy program are translated from English into Spanish, Russian, and Vietnamese and other essential languages as needed based on county demographics. The Department of Human Services website also has translated web pages that are accessible to non or limited English speaking Spanish, Russian, and Vietnamese clients. All offices have access to Language Line. All child care resource and referral agencies distribute materials in alternate languages and also have access to Language Line through the Lead Agency account.*

*ERDC Orientations and Child Care Provider Overviews are also offered in the three alternate languages.*

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

Effective Date: 01-OCT-13

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet

(provide website): <http://www.oregon.gov/DHS/children/childcare/>

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

Describe:

NA

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

Effective Date: 01-OCT-13

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

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

*Both the Lead Agency and the Department of Human Services, through joint contracts with all 13 child care resource and referral (CCR&R) agencies, provide comprehensive consumer education in locating appropriate child care to parents applying for CCDF assistance. The CCR&Rs are the primary state-funded resource for child care referrals. DHS field offices and other community-based organizations provide information to parents on the CCR&R services available in the local service delivery area.*

**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.**

Effective Date: 01-OCT-13

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.

***License-Exempt Home and Relative Providers:***

***Family child care providers exempt from licensing are required to attend a Child Care Provider Orientation. This training covers the DHS listing process, billing/payment process, provider rights and responsibilities and the different food program resources available through the U.S. Department of Agriculture (USDA). Providers receive a Michigan R.E.A.D.Y Kit that includes materials for infants, toddlers and preschoolers that support development and school readiness. The tool kits are available in English and Spanish.***

***There is also enhanced rate training available after the orientation, for providers who are interested in receiving a higher rate of pay. The enhanced rate training's include CPR/first aid, how to recognize child abuse and assistance in getting a food handlers card. To reach the DHS enhanced rate, classes are offered at no cost to the provider and a stipend is given for each hour the class is in session.***

***In collaboration with SEIU, DHS, CCD, and local Child Care Resource & Referrals and local libraries, an evidenced-based demonstration project is currently being developed for late 2013 for DHS license-exempt home and relative providers.***

***Contracted Slots – final field test results on contracted slots will be used to look at how to create this option for families in QRIS top tiered programs. These programs have highly qualified personnel and offer high quality care including family involvement, child development and learning, and health and safety. ERDC eligible children age 0-6 who meet the contract criteria receive 12 month eligibility.***

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

Effective Date: 01-OCT-13

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

Describe:

*Provide subsidy via vouchers to all types of care as well as contracted slots to quality rated providers*

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

List the program names: [SNAP](#), [TANF](#) and [Medical](#)

- Streamlining verification procedures, such as linking to other program data systems
- Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).

Length of time: [Applicants must be employed at initial eligibility](#)

(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:

[NA](#)

Other.  
Describe:

[NA](#)

None

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

Effective Date: 01-OCT-13

Provide CCDF assistance during periods of job search.

Length of time: [Through the end of the month in which employment was lost and the following month](#)



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

Synchronize review date across programs

List programs:

*Employment Related Day Care (ERDC)*

*Temporary Assistance for Needy Families (TANF)*

*Supplemental Nutrition Assistance Program (SNAP)*

*Medicaid; and, State Child Healthcare Insurance Program (SCHIP)*

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

Describe:

*For ERDC cases that have a companion SNAP benefit, a longer eligibility redetermination period of one (1) year is allowed. If there is no SNAP companion benefit, then the ERDC eligibility determination period is six (6) months.*

*ERDC cases with companion SNAP cases in SRS reporting are certified for up to 12 months (this includes 80% of the ERDC cases). The cert. period can be less than 12 months to align with the SNAP case.*

*The remaining cases are certified for up to 6 months. It can be less than 6 months to align with another program or when there is a short term child care need*

*Children in contracted child care slots (Head Start and Oregon Program of Quality) have protected eligibility (as long as they meet the requirements of the contract) through the end of the contract period. Contracts are set up for a 12 month period through Aug. 31 of the contract year. Children can be placed in a contracted slot anytime during the contract period. Protected eligibility for the child is up to 12 months depending on when the child was placed in the contracted slot.*

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

Describe:

*Children in Head Start contracted child care slots have protected eligibility (as long as they meet the requirements of the contract) through the end of the contract period (through Aug. 31 of the contract year).*

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

Describe:

NA

- 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:

*DHS field office staff discuss child care arrangements with the family and refer them to the local CCR&R.*

- 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:

*Eighty percent of ERDC cases qualify for simplified federal reporting. Targeted case management applies to the TANF JOBS, which has a tiered system of families with instability risk. This means that families are categorized based on instability risk; for example, teen parents are a higher priority - meaning they have a higher risk of instability.*

- None

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

Effective Date: 01-OCT-13

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

Describe:

*The Oregon Helps website, funded in part by Department of Human Services, is a screening and program information tool for over 30 assistance programs throughout the state. The site provides all information in English, Russian, Spanish, and Vietnamese. It is continually revised to keep current with program updates and add information on other benefit packages. The website is located at <http://oregonhelps.org>.*

*The Lead Agency, Department of Human Services, and other contracted child care partners, both state and local, have bilingual staff to assist families and providers, and access to interpretive services and the Language Line. Vital documents required to access services (applications and*

*information) are translated into federal essential languages.*

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, Russian, Vietnamese*

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

Effective Date: 01-OCT-13

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

*The Lead Agency aligns with the Oregon Educational Investment Board's Equity Lens to "to advise and support the building, implementation and investment in a unified public education system in Oregon that meets the diverse learning needs of every pre-K through postsecondary student..."*

*The Office of Equity and Multicultural Services (OEMS) in DHS was established in 2011. OEMS is charged with providing leadership and direction supporting equity, diversity and inclusion for the Oregon Department of Human Services (DHS). Strategically, OEMS is currently organized around three major areas: 1) Service Equity 2) Civil Rights, Affirmative Action, and Equal Opportunity; and 3) Workforce Diversity Development.*

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, Russian, Vietnamese*

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

Effective Date: 01-OCT-13

Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available: Web address: <http://www.oregon.gov/DHS/children/childcare/> - Direct link to application: <https://apps.state.or.us/Forms/Served/de7470.pdf>

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	<i>Subsidy agency checks applicant identity only if it appears questionable through photo identification, wage stubs, birth certificate, or other documentation.</i>
<input checked="" type="checkbox"/> Household composition	<i>Subsidy agency checks household composition only if it appears questionable through photo identification or identification card, voter registration card, birth certificate, wage stubs, letter of custody, adoption papers, or other documentation.</i>
<input checked="" type="checkbox"/> Applicant's relationship to the child	<i>Subsidy agency checks applicant's relationship to the child only if it appears questionable through birth certificate, letter of custody, baptismal certificate, military service papers, immigration papers, school records, social security card or records, or other documentation.</i>
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	<i>Immigration status; child must be a citizen. If questionable, subsidy agency will check birth certificate, lawful permanent status card, or other documentation.</i>
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	<i>Work and /or job training is verified by paystubs, employer letter, W-2 forms, online sources. Education does not apply to the Employment Related Day Care program unless it is work study verified by wage stubs and financial aid letter.</i>
<input checked="" type="checkbox"/> Income	<i>Pay stubs, award letters, employer info, online sources.</i>
<input checked="" type="checkbox"/> Other. Describe:	<i>Family may be eligible for subsidy if the second parent is unable to work and cannot provide child care for the working parent. The family must document the physical or mental disability that prevents ability to provide care. DHS field staff will pursue additional information if any document appears questionable or is unverifiable. JOBS child care clients have already met the TANF eligibility requirement before they can participate. TANF eligibility and verification requirements are more stringent than ERDC requirements.</i>
NA	

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

Effective Date: 01-OCT-13

Time limit for making eligibility determinations.

Describe length of time 45 days, which can be extended for circumstances beyond client's control

Track and monitor the eligibility determination process

Other.

Describe

NA

None

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

Effective Date: 01-OCT-13

Yes.

If yes, describe:

*Application process - For TANF families, the client is required to have a face-to-face interview with an intake worker. For Employment Related Day Care, a phone interview is preferred; however, a face-to-face interview will be granted at the applicant's request.*

No.

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

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

the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

Effective Date: 01-OCT-13

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

State/Territory TANF Agency [Oregon Department of Human Services](#)

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

- "appropriate child care": (a) both the provider and the place where care is provided meet the [Department of Human Services](#); health, safety and provider requirements defined in administrative rules; (b) the care accommodates the parent's work schedule; and (c) the care meets the specific needs of the child, such as age, developmental needs and special needs requirements.
- "reasonable distance": The parent's total travel time from home to the child care provider and the workplace or JOBS activity will be no more than one hour either way unless a longer commute time is customary in the community.
- "unsuitability of informal child care": The [Department of Human services](#) requires informal child care providers to meet health and safety standards, including background checks. Care that does not meet the criteria in [appropriate child care](#) would be considered unsuitable.
- "affordable child care arrangements": Those where the expense to the parent(s) is less than ten percent of family income.

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

- In writing  
 Verbally  
 Other.  
Describe:

NA

## **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 -*

***Child shall reside with a parent, who is the person responsible for the care, control, and supervision of the child. Parent means a parent by blood, marriage or adoption, legal guardian, or other person standing in loco parentis.***

*in loco parentis -*

***In place of the parent; may include, but is not limited to a step-parent, guardian, or legal guardian.***

### 2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

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

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

Yes, and the upper age is **through age 17** (may not equal or exceed age 19).  
Provide the Lead Agency definition of *physical or mental incapacity* -

***A child or youth under age 18 who may require a level of care above the norm for his/her age due to disabilities, emotional or behavioral disorders, or special health care needs. Same as special needs child***

No.

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

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

No.

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

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-*

*At least one caretaker must receive income from employment (other than self-employment) or through a work study program. Employment normally means work resulting in earned income. This includes paid work experience, paid practicum assignments, and work study as part of an education program. There are no required minimum work hours; however, child care need must be determined by comparing the amount of subsidy payment to the parent's copayment amount. If the copayment amount is larger than the subsidy payment, there is no child care need and, therefore, no eligibility. Child care need also means that the care is necessary to maintain employment. This means the nature of the parent's work makes it necessary that someone else care for the child during working hours. Working also includes job search for those that become jobless within the ERDC subsidy program, see continuity of care 2.2.6.*

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 -*

*The ERDC program does allow child care assistance to parents needing child care for job training that is mandatory for new employment or to maintain current employment. Child care assistance is provided to parents attending higher education if the parent is receiving work/study hours. ERDC covers only those hours of care the parent is actually participating in the work/study program.*

*There are student-parents accessing child care subsidies through the Inclusive Child Care (ICC) program contracted by the Lead Agency, and administered by the Oregon Council for Developmental Disabilities. These parents have to meet the eligibility guidelines for the program and the child has to meet the state definition for 'special needs'.*

*For student-parents that meet eligibility for the ICC program, 'attending a job or educational program' means training or education that leads to a degree or certificate completion. Student-parents must be attending at least six (6) hours per work.*



No.

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

Effective Date: 01-OCT-13

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

Yes.

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

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

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

*protective services*

***• protective services– Children who have either experienced abuse or neglect or are at risk of abuse or neglect as a result of parent/primary caregiver’s use and/or abuse of alcohol or other drugs. CCDF dollars are not used for children in protective services or under the care of the Department of Human Services, Child Protective Services.***

No.

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

Yes.

No.

#### 2.3.5. Income Eligibility Criteria

Effective Date: 01-OCT-13

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

*income -*

***Income- Countable income includes all income received by the immediate family members living in the household except transfer income or earned income of children. There are no income deductions.***

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

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

***Disaster Relief, some Domestic Volunteer Services Act payments, Gifts and Winnings, Independent Living Subsidies, Indian/Native American Benefits, Individual Education Account ,Inheritance, unearned in-kind income, some National and Community Services Trust Act payments, Older Americans Act, Personal Injury Settlement, Radiation Exposure Compensation Act, Refunds, Uniform Relocation Act Reimbursement and Victim's Assistance.***

Notes

- Foster care payments - ***counted if the child receiving the foster care payment is in the filing group and excluded if the child is not in the filing group***
- Federal nutrition programs - ***SNAP is excluded; USDA meal reimbursements paid to the filing group are counted***

- Veteran's benefits - **Oregon excludes Aid and Attendance benefits and payments to Vietnam veterans under P.L. 104-204 for children who are born with Spina Bifida. Other monthly veterans' benefits are included.**

None

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

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

Describe:

NA

None

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

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

Family Size	(a) 100% of State Median Income (SMI)(\$/month)	(b) 85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	3075	2614	0	0
2	4021	3418	2392	59
3	4967	4222	3011	61
4	5913	5026	3631	61
5	6859	5830	4251	62

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

Yes.

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

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

NA

No.

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

f) SMI Year 2013 and SMI Source [http://www.acf.hhs.gov/sites/default/files/ocs/fy\\_13\\_smi\\_table.pdf](http://www.acf.hhs.gov/sites/default/files/ocs/fy_13_smi_table.pdf)

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

January 1, 2013

### 2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

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

<http://www.acf.hhs.gov/programs/occ/resource/im2011-06>

Yes

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

- 6 months
- 24 months
- Other.

Describe: NA

- Length of eligibility varies by county or other jurisdiction.

Describe:

NA

**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: The end date for ERDC eligible children in contracted child care is aligned with the head start program academic year.

- Pre-kindergarten programs.

Re-determination period: All state-funded pre-K programs are Head Start.

- TANF.

Re-determination period: DHS staff perform eligibility for ERDC and TANF - eligible families are transitioned from TANF to ERDC when they become employed.

- SNAP.

Re-determination period: DHS staff perform eligibility for ERDC and SNAP - families may apply using the same application. ERDC re-determination periods are aligned with SNAP when appropriate.

- Medicaid.

Re-determination period: DHS staff perform eligibility for ERDC and Medicaid - families may apply using the same application. DHS strives to align eligibility policies with OHA as allowed in federal regulations.

SCHIP.

- SCHIP.

Re-determination period: DHS staff perform eligibility for ERDC and SCHIP - families may apply using the same application. DHS strives to align eligibility policies with OHA as allowed in federal regulations.

- Other.

Describe:

NA

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.

*Families in simplified reporting are required to submit an interim report in month 6. There are two reporting systems, simplified reporting (SRS) and change reporting (CRS). Families in SRS must report by the tenth of the following month a change in child care provider, loss of employment, monthly income exceeding the SNAP countable income limit (130% FPL), and when a parent (defined in OAR 461-001-0000) of a child or unborn or the spouse of the caretaker moves into the residence. Families in CRS must report within ten days any change in child care provider, employment status, mailing address or residence, membership of the filing group (defined in OAR 461-110-0350) and source of income changes that are expected to continue.*

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

*Changes that are required to be reported are acted on for the first of the following month, unless it is a decrease in benefits (the agency must give a ten day notice, so it may be effective in the next month if there is not sufficient notice time. Changes that are not required to be reported are only acted on if it is verified or if it will increase benefits.*

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

*Program certification dates, verification requirements and reporting requirements are aligned when possible. This allows families to reapply for multiple programs at the same time, providing needed verification once. It also allows for longer certification periods and makes it easier for families to understand what they need to report.*

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

Yes.

If yes, describe:

No.

### 2.3.7. Waiting Lists

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

Effective Date: 01-OCT-13

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

Lead Agency has an active waiting list for:

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

Describe those families:

NA

Waiting lists are a county/local decision.

Describe:

NA

Other.

Describe:

***A waiting list is used to maintain the ERDC caseload at the legislatively capped caseload number. All applicants are placed on the Child Care Reservation list when it is in effect except for the following:***

- Those transitioning off TANF (this means an ERDC filing group member received a partial or full month of refugee, State Family Pre-SSI, or TANF program cash benefits from the State of Oregon in at least one of the preceding three months);***
- ERDC filing groups that include a child eligible for and being placed in a current opening in an Oregon Program of Quality or Head Start program contracted child care slot; and***
- Families who are reapplying for ERDC without a break in benefits of two consecutive calendar months.***

## 2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

*A hearing is a formal proceeding leading to a final decision regarding a client's right to benefits when the client has filed a hearing request and disputed a decision made by branch staff. The hearings process provides a second look to ensure the Department of Human Services (DHS) has followed its policy. Administrative Law Judges from the Office of Administrative Hearings (OAH) preside over each hearing, and DHS's position in the hearing is explained by the DHS representative, usually a Compliance Specialist. The hearing is conducted in accordance with state statute and the administrative rules for hearings of DHS and OAH.*

*Most, but not all, hearings are requested after a client has received a notice that benefits will be denied, reduced or closed. A person also has a right to a hearing when DHS claims an overpayment, when it denies a listing requested by a child care provider, and when DHS claims the provider committed an intentional program violation.*

*Branch staff usually becomes involved in the hearing process in support of a Compliance Specialist. A Compliance Specialist represents DHS in most hearings, but branch staff are responsible in some cases. For instance, expedited hearings are often handled by branch staff. All staff need to be alert to a client's need for translated material(s), for documents in alternative formats, and for an interpreter. OAH obtains the interpreters for hearings.*

*DHS staff assist clients in completing a hearing request as necessary; e.g., providing the client the correct form, accepting a written request or notifying the appropriate case manager that the client needs assistance making the request.*

*Any request for a hearing received by a local office must be forwarded promptly to the local Compliance Specialist. While some requests can be resolved without a hearing, DHS must comply with required processes and document its compliance. The Compliance Specialists are trained to understand and follow the required processes to address hearing requests.*

*When DHS becomes aware that a client has legal representation, that representative must be involved for the duration of the process. This includes sending the legal representative copies of decision notices and amended decision notices sent to the client.*

*If a client contacts branch staff or the Compliance Specialist about access and interpreter needs or the client's need to have a subpoena issued for a witness, the client is referred to OAH. Most hearings are conducted by telephone and handled by a Compliance Specialist. The Compliance Specialist may ask branch staff to provide support.*

*A client may contact DHS and request to use the office for the telephone hearing. Branch staff assist by making a room available for the hearing and directing the client, the client's representative, and witnesses to the hearing room. Some hearings, most often expedited hearings, are handled by branch staff rather than a Compliance Specialist. Clients are entitled to an expedited hearing (within five working days) if a JOBS support service request, including one for child care, is denied.*



*The final order issued after a hearing is sent to the DHS representative and to the branch so that appropriate action can be take. If it is not clear to branch staff what action to take, the Compliance Specialist or a Program Analyst can assist.*

## 2.4. Sliding Fee Scale and Family Contribution

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

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

Effective Date: 01-OCT-13

Yes.

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

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

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

Effective Date: 01-OCT-13

State Median Income,

Year: [NA](#)

Federal Poverty Level,

Year: [2013](#)

Income source and year varies by geographic region.

Describe income source and year:

[NA](#)

Other.

Describe income source and year:

[NA](#)

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

Effective Date: 01-OCT-13

Fee as dollar amount and

Fee is per child with the same fee for each child

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

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee as percent of income and

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

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

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

NA

Other.

Describe:

NA

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

NA

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

Effective Date: 01-OCT-13

Yes,

and describe those additional factors:

NA

No.

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

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

Effective Date: 01-OCT-13

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

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

The poverty level used by the Lead Agency for a family of 3 is: [19,530](#)

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:

*Families transferring from TANF to the ERDC subsidy program are not required to pay a fee. Co-payments are waived for families enrolled in the TANF program who require child care subsidies in order to participate in employment or JOBS program activities.*

*Teen parents in high school completion programs and parents in state-approved alcohol and drug treatment programs that are at or below the monthly Poverty Guidelines income levels for their family size are exempt from the co-payment and are eligible for fully subsidized child care. If these same parents have monthly income above the monthly Poverty Guidelines income level for their family size, then they will have a co-payment.*

## **2.5. Prioritizing Services for Eligible Children and Families**

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

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

Effective Date: 01-OCT-13

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p><b>Provide the Lead Agency definition of Children with Special Needs:</b></p> <p><i>A child or youth under age 18 who may require a level of care above the norm for his/her age, due to disabilities, emotional or behavioral disorders, or special health care needs.</i></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is:</p> <input type="text"/> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe:</p> <input type="text" value="NA"/> <p><input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p> <input type="text" value="NA"/>

<p>Children in families with very low incomes</p> <p><b>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i>:</b></p> <p><i>Oregon does not assign ERDC (Employment Related Day Care) priority for very low income. The current income limit is 185 percent of the Federal Poverty Level. All families at this level are eligible if they meet all eligibility criteria.</i></p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe: N/A</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is: <input type="text"/></p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe: NA</p> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input checked="" type="checkbox"/> Other.</p> <p>Describe:</p> <p><i>ERDC filing groups whose countable income is at or below 50 percent of the 2007 FPL are assigned the minimum copayment or 1.5 percent of the monthly countable income (whichever is higher). The minimum copayment is assigned to ERDC filing groups that include a child who is in a Head Start or Oregon Program of Quality contracted child care slot.</i></p> <p><i>Teen parents in high school completion programs and parents in state-approved alcohol and drug treatment programs that are at or below the monthly Poverty Guidelines income levels for their family size are exempt from the co-payment and are eligible for fully subsidized child care. If these same parents have monthly income above the monthly Poverty Guidelines income level for their family size, then they will have a co-payment.</i></p>
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**2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF?** (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4)) **Reminder** - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

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

NA

**2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency.** (658E(c)(3)(B), §98.16(g)(5), §98.20(b))  
**Reminder** - Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Effective Date: 01-OCT-13

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

Describe:

*None*

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

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

### **2.6.1. Child Care Certificates**

Effective Date: 01-OCT-13

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

- Before parent has selected a provider

After parent has selected a provider

Other.

Describe:

*The voucher is issued to parents after the parent has selected a provider and the provider has been approved listing status with DHS. This means the provider has met health and safety standards and passed background checks.*

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

Certificate form provides information about choice of providers

Certificate is not linked to a specific provider so parents can choose provider of choice

Consumer education materials (flyers, forms, brochures)

Referral to child care resource and referral agencies

Verbal communication at the time of application

Public Services Announcement

Agency

Website: <http://www.oregon.gov/DHS/children/childcare/>

Community outreach meetings, workshops, other in person activities

Multiple points of communication throughout the eligibility and renew process

Other.

Describe:

NA

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:

*Name of child(ren), age, rate category(ies)*

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

*Approximately 97.5 % of subsidies are issued through certificates. A lower percentage will be available as more subsidies are available through contracts.*

## 2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-13

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

Yes.

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

*The Employment Related Day Care program offers contracted child care through Head Start and Oregon Program of Quality (OPQ). Child care providers that are state-designated OPQ facilities are eligible for ERDC subsidy contracts. All types of licensed facilities that are OPQ designated will qualify based on type of care offered. As part of the application process for OPQ, providers agree to provide services for subsidy-eligible families.*

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:

NA

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

Specify:

*Oregon Programs of Quality are available to all families in the geographic region located. There is a concerted effort to ensure OPQ programs are available (although on a limited basis because this is a pilot program moving to a statewide rollout).*

Other.  
Describe:

NA

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:

NA

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

*All contracted payment rates are based on 1) the type of care offered and 2) the geographic region of the state (Areas A, B and C).*

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

*Approximately 2.5 percent (2.5%) of direct services will be available through contracts. This percentage will increase as more facilities achieve a higher quality designation and the state moves toward more contracted slots rather than payment based on hours of care only.*

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

Effective Date: 01-OCT-13

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

Describe:

*State licensing regulation*

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

Effective Date: 01-OCT-13

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

Describe:

*All child care providers and other adults in contact with children must pass criminal and child protective services background checks and the home where care is provided must meet health and safety standards.*

*Subsidies are provided to caregivers who go into the home of a child. They must self-certify that they have met health and safety standards. With additional training, these caregivers are eligible for higher rates of payment.*

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

Effective Date: 01-OCT-13

*The Lead Agency investigates all serious complaints received against licensed child care providers. Subject to confidentiality laws, complaint dispositions are open public records. The Lead Agency also maintains a file of program and provider complaint information that is available to the public upon request. A facility complaints history is online for public access at <http://www.employment.oregon.gov/EMPLOY/CCD/complaints.shtml>*

## **2.7. Payment Rates for Child Care Services**

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

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

Effective Date: 01-OCT-13

Yes. Effective Date: [October 1, 2013](#)

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

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

Effective Date: 01-OCT-13

Policy on length of time for making payments.  
Describe length of time: [Three to five business days](#)

Track and monitor the payment process

Other.

Describe:

None

### 2.7.3. Market Rate Survey

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

Effective Date: 01-OCT-13

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 07/2012

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.

#### **Summary of Findings:**

- *Between 1994 and 2012 statewide prices increased for most ages and types of care.*
- *Child care markets are local with variation among communities.*
- *The percent of slots that can be purchased with the value of DHS payment rates decreased from 64% to 58% between 2010 and 2012.*

#### **Conclusions**

- *The geographic price analysis identified three geographic market area boundaries that are generally similar to those identified in the previous market studies.*
- *DHS licensed rate maximums are adequate to purchase over half (58%) of market child care slots statewide. In 20% of family and 28% of center zip code areas that have prices, the DHS licensed rate maximums are not adequate to purchase any market child care.*
- *CCR&R data continues to provide a reliable and cost-effective source of data for statewide market price studies.*
- *Prices should continue to be reported for both child care facilities and slots. Analysis should be based on slots since this most accurately represents what families experience when purchasing care.*
- *CCR&Rs should continue to collect price information in the mode(s) that reflect how facilities charge.*

*Sample population: all providers in the OCCRRN database including 3,511 family child care facilities, 861 center and, 552 certified family facilities from every part of the state. Data source: price data are collected by local CCR&Rs; the OCCRRN compiles into a single database.*

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

Effective Date: 01-OCT-13

<b>2.7.4a - Highest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	\$1,205	\$900	25th
Full-Time Licensed Center Preschool (59 months)	\$920	\$705	40th
Full-Time Licensed Center School-Age (84 months)	\$785	\$698	65th

<b>2.7.4b - Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	\$586	\$550	60th
Full-Time Licensed Center Preschool (59 months)	\$445	\$395	55th
Full-Time Licensed Center School-Age (84 months)	\$445	\$360	50th

<b>2.7.4c - Highest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed FCC Infants (11 months)	\$625	\$600	60th
Full-Time Licensed FCC Preschool (59 months)	\$600	\$600	75th
Full-Time Licensed FCC School-Age (84 months)	\$550	\$550	75th

2.7.4d - Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$450	\$450	75th
Full-Time Licensed FCC Preschool (59 months)	\$425	\$420	75th
Full-Time Licensed FCC School-Age (84 months)	\$400	\$440	95th

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

Effective Date: 01-OCT-13

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

*The rates were set using the 2006 MRS and were bargained through the Service Employees International Union Local 503 (SEIU).*

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

*The rates were set using the 2006 MRS and were bargained with the Service Employees International Union Local 503 (SEIU) and approved by the legislature.*

*Non licensed providers can qualify for a higher rate, called the enhanced rate. This rate is in-between the standard and licensed rate. To qualify, the provider or staff person must:*

- Have completed at least two hours of training on child abuse and neglect issues;*
- Be currently certified in first aid;*
- Be currently certified in infant and child CPR;*
- Have a current food handlers permit; and*
- Agree to complete a minimum of eight hours of additional training related to child care every two years.*

*Exempt centers must have at least one staff member who meets these standards for every 20 children in care to receive the enhanced rate.*

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

*The rates were set using the 2006 MRS and were bargained with the Service Employees International Union Local 503 (SEIU) and approved by the legislature.*

*Non licensed providers can qualify for a higher rate, called the enhanced rate. This rate is in-between the standard and licensed rate. To qualify, the provider or staff person must:*

- Have completed at least two hours of training on child abuse and neglect issues;*

- *Be currently certified in first aid;*
- *Be currently certified in infant and child CPR;*
- *Have a current food handlers permit; and*
- *Agree to complete a minimum of eight hours of additional training related to child care every two years.*

*Exempt centers must have at least one staff member who meets these standards for every 20 children in care to receive the enhanced rate.*

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

*The rates were set using the 2006 MRS and were bargained with the Service Employees International Union Local 503 (SEIU) and approved by the legislature.*

*Non licensed providers can qualify for a higher rate, called the enhanced rate. This rate is in-between the standard and licensed rate. To qualify, the provider or staff person must:*

- *Have completed at least two hours of training on child abuse and neglect issues;*
- *Be currently certified in first aid;*
- *Be currently certified in infant and child CPR;*
- *Have a current food handlers permit; and*
- *Agree to complete a minimum of eight hours of additional training related to child care every two years.*

*Exempt centers must have at least one staff member who meets these standards for every 20 children in care to receive the enhanced rate.*

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

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Differential rate for nontraditional hours.

Describe:

NA

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

Describe:

*Children that meet the definition of special needs receive a higher rate.*

Differential rate for infants and toddlers.

Describe:

Differential rate for school-age programs.

Describe:

NA

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

Describe:

NA

Other differential rate.

Describe:

*Oregon's subsidy payment rates reflect a higher amount for infant and toddler care compared to preschool and school-age care. These enhanced rates are based on the type of care (registered family, certified family, or center-base); geographic location (Areas A, B, and C based on zip code); and licensed or license-exempt. License-exempt care that meets a higher standard of health & safety through additional training can also receive an enhanced rate for infant and toddler care.*

None.

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

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

Effective Date: 01-OCT-13

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



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

Describe:

NA

Policies vary across region, counties and or geographic areas.

Describe:

NA

Other.

Describe:

NA

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

Effective Date: 01-OCT-13

a) Number of absent days allowed. Describe

*Providers can bill for absent days. DHS can pay for up to five days when a child is absent from care under the following circumstances:*

- *The child was scheduled to be in care on the absent days and the provider held the slot open for the child;*
- *The provider bills for the scheduled time the child was absent;*
- *It is the provider's policy to bill all families for absent days.*

*DHS will not pay for more than five consecutive days of scheduled care for which the child is absent. Special populations contracts follow this same policy.*

b) Paying based on enrollment. Describe

*The provider receives a billing form indicating the number of authorized hours for the month and the family's copayment amount. The authorized hours include what is necessary for the parent to perform the duties of their job or to participate in approved activities, plus an additional 25 percent to account for travel and meal time. Additional hours can also be authorized for sleep time for clients who work an overnight shift, extra time for commutes exceeding 2 hours per day, or for work that is consistently more than 40 hours per week. Sleep hours are not to exceed five hours per work night.*

*Families in contracted child care slots are approved for full time hours.*

*Hourly rates for Special Populations are based on the rates established by the Department of*

**Human Services for Employment Related Day Care program.**

**Teen Parents:** The Lead Agency does not pay for teen parent child care 'slots' but for actual time, including absent hours, not exceeding total billable hours in the month. Absent days excludes days when school is not in session, such as holidays, vacations, furlough days or in-service days. Absent days include when the child care was scheduled or reserved by the teen parent, but the child was absent and the Contractor could not fill the time slot with another child.

**Inclusive Child Care:** Lead Agency reimburses at the highest maximum rate for both family and center-based care on an hourly basis. License-exempt providers are reimbursed at the highest rate for licensed-exempt care on an hourly basis. Provider is reimbursed for actual hours of care, including 'high need' times related to illness or out-of-school time due to school closure.

**Alcohol and Drug Treatment Programs and Migrant/Seasonal Farmworker programs:** The Lead Agency reimburses for licensed care at an hourly rate up to a monthly maximum billable hours. License-exempt providers are reimbursed at a lower hourly rate. Contractor is reimbursed up to 16 hours per month when the child care slot was reserved but not used by the parent.

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

**Providers eligible only for the standard rate are paid at either the hourly or full-time monthly rate:**

- **The hourly rate limit applies when children are in care less than 158 hours per month or when a provider is not designated as the primary provider for the case.**
- **The full-time monthly rate limit applies when children are in care 158 hours or more per month and the provider is designated as the primary provider for the case.**  
**Providers eligible for the enhanced or licensed rate are paid at the hourly, part-time monthly or full-time monthly rates.**
- **The hourly rate applies when children are in care less than 136 hours per month, unless the provider has an established part-time monthly rate, charges all families part-time rate for part-time care and is designated as the primary provider for the case;**
- **The part-time monthly rate applies if the provider has an established part-time monthly rate and children are in care between 63 and 135 hours per month and the provider is designated as the primary provider for the case. For these providers, the hourly rate applies when children are in care less than 63 hours a month.**
- **The full-time monthly rate applies when children are in care 136 or more hours per month and when the provider is designated as the primary provider for the case.**  
**Contracted child care slots are paid at the full time monthly rate.**

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

**Once care is provided the billing form is signed by the provider and caretaker and sent in for processing. Payments are issued through direct deposit or check (provider choice). DHS is in the process of implementing an automated Child Care Billing and Attendance Tracking system. Features of the system include the following:**

- **Child care providers will have access to a web-based system to submit billing, view attendance and payment history information.**
- **Providers will be able to verify billing through a SIVR (Speech Integrated Voice Response) communication system or call center as an alternative to a Point of Service (POS) machine.**

- *Providers will receive more timely and accurate electronic payments.*
- *Parents will have the capability to view eligibility status, child care attendance and payment history through a web-portal.*

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

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

Effective Date: 01-OCT-13

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

*Oregon uses two methods of delivering subsidy assistance: subsidy vouchers and contracted slots. Oregon's Market Price Study identifies child care prices or rates and the geographic distribution of these rates across the state. Rates vary by several factors including the age of the child served, type of care (family child care, center, certified family care), quality of care, the local supply and demand for child care, and the providers' perceptions of the capacity of families to pay for care.*

*The state utilizes the large CCR&R provider database which includes all License-Exempt Home and Relative child care providers that access state subsidies. Family, friend and neighbor care broadens the availability of care and increases access to the subsidy system by low-income families. This is important for families who work non-traditional hours and need care (before 6 a.m./after 6 p.m. and on weekends). Vouchers allow families the flexibility to choose the type of care provider that meets their needs.*

*CCR&R staff help child care providers serving subsidy clients by offering technical assistance with subsidy questions, troubleshooting payment problems, and advocating with the client and caseworker on behalf of the provider. This also includes additional funding through the current child care training system to help License-Exempt Home and Relative child care providers meet DHS enhanced rate requirements.*

*Oregon has a reliable provider payment system. Once a provider is entered on the provider pay system, payments are typically received within a week after the provider bills DHS for the care they provided. Billing forms are sent to the provider in advance of the care being provided and the provider can be certain they will be paid for the authorized care they provide. Providers, particularly in low-income areas, report that an advantage to caring for children on the subsidy is that they can count on at least the subsidy portion of the child care bill being paid. They can't always do that with families who are not receiving the subsidy. DHS also has Direct Deposit available to child care providers.*

*In order to help ensure children in low-income families have access to quality care, Oregon has been expanding the use of 12 month contracted slots to eligible families. Eligible families include those that work a minimum of 25 hours per week and have a child age 0-6. The contracts pay the*

*full time monthly rate. This helps ensure low-income families have a method of payment to equitably access high quality programs.*

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

*Oregon's maximum payment rates for licensed centers and non-licensed providers currently equal the 58th percentile of market prices observed in the 2012 Oregon Child Care Market Price Study. Registered and Certified family provider rates were increased October 1, 2013 to the 75th percentile of market prices observed in the 2012 Oregon Child Care Market Price Study. Monthly rates that did not increase more than \$5 received a 10% increase over the 2012 Oregon Child Care Market Price Study or the current rate, whichever was higher.*

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

*The sliding fee scale is based on income and size of the family. Co-payments are waived for families enrolled in the TANF program who require child care subsidies in order to participate in employment or JOBS program activities.*

*Families eligible for the Employment Related Day Care program: Copayments for families that use the voucher are based on the number of people in the family, total countable income and whether the income is below or above 50% of the 2007 FPL income standard. Those with incomes at or below 50% (of the 2007 FPL) pay the minimum copayment or 1.5% of their monthly countable income, whichever is greater. The copayment is a percentage of the monthly income for those with incomes over 50% of the 2007 FPL as follows:*

- 1. Determine filing group's countable income as a percent of FPL (rounding to the nearest hundredth of the percentage), subtract 50, and multiply this difference by 0.12.*
- 2. Add 1.5 to the amount (in paragraph (i) above). This sum is the percentage of monthly income to determine the copayment amount.*

*Effective May 1, 2012 a 10% increase was added to all copayment amounts, creating a new minimum copayment of \$27.*

*Families in all types of contracted slots are assigned the minimum copayment.*

*Teen parents in high school completion programs and parents in state-approved alcohol and drug treatment programs who are at or below poverty levels are exempt from the co-payment and thus are eligible for fully subsidized care.*

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

*Oregon supports a strong child care resource and referral system that educates and encourages families to make informed choices about child care and helps them access quality care that meets their particular need. According to the Oregon Child Care Resource and Referral Network, over 80 percent (80%) of the child care providers on their database accept or are willing to accept CCDF subsidies.*

*Oregon is conducting a field test to build on the success of an innovative partnership with Head Start that has provided low-income families access to quality child care since 2000. The partnership has provided children with continuous quality educational experiences, enhanced*

*Head Start services and wrap-around child care that meets parent work needs. The field test expanded its use of 12-month, protected eligibility slots beyond Head Start to include the 22 early learning and child development programs that achieved the first Oregon Program of Quality (OPQ) designations.*

**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.)

Effective Date: 01-OCT-13

**Goal #1:**

*Align rules, policies, and definitions across programs and agencies, prioritizing those that promote positive child outcomes*

**Goal #2:**

*Goal 2 Increase quality for culturally appropriate care that meets the needs of the family through outreach and supports*

**Goal #3:**

*Provide options to help ensure access to quality rated programs for children who are at-risk and from low-income and culturally diverse populations*

**Goal #4:**

*Review special populations' subsidy to align with statewide goals and policies*

## PART 3

### Health and Safety and Quality Improvement Activities

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

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

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

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

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

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

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety

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

Effective Date: 01-OCT-13

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:

NA

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

*Yes, the state's licensing requirements serve as the CCDF health and safety requirements.*

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

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



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

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory <i>Serves 13 children or more or 12 or fewer children if located in a commercial building</i>	Describe which types of center-based settings are exempt from licensing in your State/Territory. <i>Operated by school district, political subdivision or government entity and preschools that operate four hours or less.</i>
Group Home Child Care  N/A. Check if your State/Territory does not have group home child care.  <input type="checkbox"/>	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes settings are subject to licensing <i>Care for no more than 16 children and are located in a building constructed as a single family dwelling. In Oregon, this category of care is called Certified Family Child Care Home.</i>	Describe which types of group homes are exempt from licensing: <i>Providers who care for children from one family, three or fewer unrelated children not counting their own, occasional care (70 days or less per year).</i>

Family Child Care	<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.  <b>Reminder</b> - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are subject to licensing  <i>Care for more than three children from more than one family at any one time.</i></p>	<p>Describe which types of family child care home providers are exempt from licensing:  <i>Those who provide care: in the home of the child to children related by blood, marriage or adoption for three or fewer children (not including provider's own children) to children from one family (not including provider's own children) 70 or fewer hours per year (occasional care)</i></p>
In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child's own home.  <b>Reminder</b> - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input 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  NA</p>	<p>Describe which types of in-home child care providers are exempt from licensing  <i>All in-home child care providers are exempt from licensing.</i></p>

**Note:** In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's:**



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

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

For each indicator, check all requirements for licensing that apply, if any.				
Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input checked="" 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)

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

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.	<input type="checkbox"/> Yes, Child: staff ratio requirement.
Infant ratio (11 months): 1:4	Infant ratio (11 months): 1:4 (up to 24 months)	List ratio requirement by age group: No more than 2 under 24 months; 1:6 preschool, includes any children under 24 months with 4 school age	List ratio requirement by age group: NA
Toddler ratio (35 months): 1:5 (up to 35 months)	Toddler ratio (35 months): 1:10	<input type="checkbox"/> No ratio requirements.	<input checked="" type="checkbox"/> No ratio requirements.
Preschool ratio (59 months): 1:10 (59 months or kindergarten)	Preschool ratio (59 months): 1:10	<input checked="" type="checkbox"/> Yes, Group size requirement.	<input type="checkbox"/> Yes, Group size requirement.
<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.	<input checked="" type="checkbox"/> Yes, Group size requirement.	<input type="checkbox"/> Yes, Group size requirement.
<input checked="" type="checkbox"/> Yes,	<input checked="" type="checkbox"/> Yes,	<input type="checkbox"/> No group size requirements.	<input checked="" type="checkbox"/> No group size requirements.
Group size requirement Infant group size (11 months): 8	Group size requirement Infant group size (11 months): 12	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Toddler group size (35 months): 10	Toddler group size (35 months): 12	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
Preschool group size (59 months): 20	Preschool group size (59 months): 12	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.
<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.	<input type="checkbox"/> No group size requirements.

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

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input checked="" type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	One year experience in the age group taught OR a CDA OR 30 quarter college credits in early childhood education.		One year experience as a family child care provider or experience in a center-based setting.		NA

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

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input checked="" type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	One year experience in the age group taught OR a CDA OR 30 quarter college credits in early childhood education.		One year experience as a family child care provider or experience in a center-based setting		NA		NA

Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year
	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year
	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement
	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:
		15 training or education hours per year.		15 training or education hours per year.		8 training or education hours per two year period.

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

Yes.

Describe:

*The Lead Agency is currently in the process of a review of all regulations and rules with the intent of updating and revising complete sections of the rules for center and family-based child care.*

No.

### 3.1.2 Enforcement of Licensing Requirements

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

services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

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

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

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year	<input checked="" type="checkbox"/> Once a Year
	<input type="checkbox"/> More than Once a Year	<input type="checkbox"/> More than Once a Year
	<input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once Every Two Years
	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Other.
	Describe: <i>Renewal follow-up if necessary</i>	Describe: <i>Investigate complaints if needed</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 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>Renewal follow-up if necessary</i>	<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>Investigate complaints if needed</i>
<input checked="" type="checkbox"/> Family Child Care Home	<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>Renewal follow-up if necessary</i>	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: <i>Investigate complaints if needed</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: NA	<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: NA

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.

<p><b>Licensing Procedures</b></p>	<p><b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.</p>
<p>The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.</p>	<p><input checked="" type="checkbox"/> Yes.</p> <p>Describe:  <i>Child Care Provider Overview, which describes basic licensing rules, application for license process, and short presentation on child care resource and referral services, and the federal child and adult care food program. The Overview is three hours in length.</i></p> <p><input type="checkbox"/> No.</p> <p><input type="checkbox"/> Other.</p> <p>Describe:  NA</p>
<p>The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.</p>	<p><input checked="" type="checkbox"/> An on-site inspection is conducted.</p> <p><input type="checkbox"/> Programs self-certify.</p> <p>Describe:  NA</p> <p><input type="checkbox"/> No procedures in place.</p> <p><input type="checkbox"/> Other.</p> <p>Describe:  NA</p>

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



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



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



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



No procedures in place.



Other.

Describe:

NA

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



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

NA

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



Cease and desist action



Injunction



Emergency or immediate closure not through court action



Fines



No procedures in place.



Other.

Describe:

NA

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



Yes.

Describe:

*A facility can request an informal internal agency review called a findings review, for any complaint finding or observed noncompliance noted in their record. A facility can request a contested case for the following actions taken on their license: imposition of a civil penalty, suspension or revocation of their license. An individual can request a contested case hearing if their application for enrollment in the central background registry is denied, suspended or revoked.*



No.



Other.

Describe:

NA

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

Yes.If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency

No.

<b>CCDF Categories of Care</b>	<b>Types of Background Check</b>	<b>Frequency</b>	<b>Who is Subject to Background Checks?</b>
--------------------------------	----------------------------------	------------------	---

<input checked="" type="checkbox"/> <b>Center-Based Child Care</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <i>Checks are conducted quarterly.</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 type="checkbox"/> Other. NA
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: <i>Checks are conducted quarterly.</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 type="checkbox"/> Other. NA
	<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>Checks are conducted quarterly.</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 type="checkbox"/> Other. NA
	<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>FBI checks are done based on out of state residency or multisource offender status.</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 type="checkbox"/> Other. NA
	<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>FBI checks are done based on out of state residency or multisource offender status.</i>	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff

		<input type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Volunteers
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Other.
		<input checked="" type="checkbox"/> Other.	NA
		Describe: <i>Oregon gets sex offender information from the child abuse registry and state background checks that are done on all potential providers or other persons that will have contact with children in care.</i>	

<input checked="" type="checkbox"/> <b>Group Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	<i>All</i>
	<input checked="" type="checkbox"/> State/Territory Criminal Background	Describe: <i>Checks are conducted quarterly.</i>	
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	<i>All</i>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	Describe: <i>Checks are conducted quarterly.</i>	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	<i>All</i>
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Provider
		Describe: <i>FBI checks are done based on out of state residency or multisource offender status.</i>	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Initial Entrance into the System	<i>All</i>
		<input type="checkbox"/> Checks Conducted Annually	





Other.

Describe:

*Oregon gets sex offender information from the child abuse registry and state background checks that are done on all potential providers or other persons that will have contact with children in care.*

<input checked="" type="checkbox"/> <b>Family Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	<i>All</i>
		Describe: <i>Checks are conducted quarterly.</i>	
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Other.	<i>All</i>
		Describe: <i>Checks are conducted quarterly.</i>	
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	<i>All</i>
		Describe: <i>FBI checks are done based on out of state residency or multisource offender status.</i>	
<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider	
	<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.	
		<i>All</i>	



Other.

Describe:

*Oregon gets sex offender information from the child abuse registry and state background checks that are done on all potential providers or other persons that will have contact with children in care.*

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>In-Home Child Care Providers</b>	<b>Child Abuse Registry</b>	<b>Initial Entrance into the System</b>	<b>Provider</b>
<input checked="" type="checkbox"/> <p>N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)</p>		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>

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

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

*Costs associated with background checks is approximately \$64 and includes administrative costs such as printing, postage, and Oregon State Police fees. In addition, there are staffing costs associated with processing background checks, reviewing results, suitability determinations, legal orders and hearings.*

d-2) Who pays for background checks:

*Individuals pay \$3 towards the cost of a basic background check with an additional fee for fingerprint based FBI checks. CCDF funds subsidize the full background check cost.*

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

*The Lead Agency does not enroll applicants who have an open law enforcement or child welfare (child abuse) case. If the open case results in a conviction, the Lead Agency will request information and conduct a suitability determination in the same manner as it does with all applicants who have a conviction or founded child welfare case at the time of application.*

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

*All applicants have the right to a contested case hearing.*

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

*Oregon conducts both announced and unannounced visits to all types of regulated child care.*

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

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Yes.

Describe:

*The Lead Agency has a public website that is available 24/7. Parents can call the Lead Agency and get licensing status and compliance history on any provider.*

No

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

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

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

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

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

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

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))

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



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

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	<i>Required training</i>	<i>Required training</i>

	CPR	<i>Required training</i>	<i>Required training</i>
	Medication Administration Policies and Practices	<i>NA</i>	<i>NA</i>
	Poison Prevention and Safety	<i>NA</i>	<i>NA</i>
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<i>NA</i>	<i>NA</i>
	Shaken Baby Syndrome and abusive head trauma prevention	<i>NA</i>	<i>NA</i>
	Age appropriate nutrition, feeding, including support for breastfeeding	<i>NA</i>	<i>Required training; does not include support for breastfeeding</i>
	Physical Activities	<i>NA</i>	<i>Required training</i>
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<i>NA</i>	<i>NA</i>
	Recognition and mandatory reporting of suspected child abuse and neglect	<i>Required training</i>	<i>NA</i>
	Emergency preparedness and planning response procedures	<i>NA</i>	<i>NA</i>
	Management of common childhood illnesses, including food intolerances and allergies	<i>NA</i>	<i>NA</i>
	Transportation and child passenger safety (if applicable)	<i>NA</i>	<i>NA</i>
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	<i>NA</i>	<i>NA</i>

	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	<i>NA</i>	<i>Required training</i>
	Supervision of children	<i>NA</i>	<i>Required training</i>
	Behavior management	<i>NA</i>	<i>Required training</i>
	Other	<i>Required training</i>	<i>Required training</i>
	Describe: <i>NA</i>		
<b>Group Home Child Care</b>	First Aid	<i>Required training</i>	<i>Required training</i>
	CPR	<i>Required training</i>	<i>Required training</i>
	Medication Administration Policies and Practices	<i>NA</i>	<i>NA</i>
	Poison Prevention and Safety	<i>NA</i>	<i>NA</i>
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<i>NA</i>	<i>NA</i>
	Shaken Baby Syndrome and abusive head trauma prevention	<i>NA</i>	<i>NA</i>
	Age appropriate nutrition, feeding, including support for breastfeeding	<i>NA</i>	<i>Required training (does not include breast feeding)</i>
	Physical Activities	<i>NA</i>	<i>Required training</i>
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<i>NA</i>	<i>NA</i>
	Recognition and mandatory reporting of suspected child abuse and neglect	<i>Required training</i>	<i>NA</i>

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

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

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

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

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:

***Only License Exempt Home and Relative care providers that are receiving ERDC subsidy payments must attest to meeting basic health and safety requirements and complete a background check. In addition, all License Exempt Home and Relative providers serving DHS families with subsidies must complete a mandatory DHS orientation.***

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

[http://www.employment.oregon.gov/EMPLOY/CCD/Rules\\_Summary.shtml](http://www.employment.oregon.gov/EMPLOY/CCD/Rules_Summary.shtml)

**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. *Providers self-declare on the provider listing form that they meet all health and safety requirements. DHS may request evidence of compliance.*

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

*Unannounced site visits are conducted to investigate provider fraud complaints when appropriate*

b) Describe whether the Lead Agency uses background checks

*Background checks are required for the provider, anyone who supervises a child, all members of the household age 16 and over and anyone who visits the home during the hours care is provided who may have unsupervised access to a child in care. Providers must complete a listing form to be approved for DHS payment and include information for everyone subject to a background check. All individuals must sign the form to authorize the checks.*

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:

*Providers self-declare on the provider listing form that they meet all health and safety requirements. DHS may request evidence of compliance.*

No

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

*OAR 461-165-0180 outlines the eligibility requirements for child care providers to receive subsidy payment from DHS. This includes health and safety standards such as background checks, standards for the home, supervision of children and protection from infectious diseases, compliance with state and federal laws related to child safety systems and seat belts in vehicles, bicycle safety, and crib standards under 16 CFR 1219 and 1220, placing infants to sleep on their backs, etc.*

*Providers are also required to report changes regarding themselves and everyone subject to a background check such as arrests, convictions and involvement with Child Protective Services. They must also report any new persons in the home and new address. This may result in a new background check.*

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..

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Yes.  
Describe

*Oregon is currently beginning development of trainings to support the adoption of the Ages and Stages Questionnaire (ASQ).*

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

NA

No

Other.  
Describe

*Oregon is currently beginning development of trainings to support the adoption of the Ages and Stages Questionnaire (ASQ).*

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

NA

No

Other.  
Describe

*Oregon is currently beginning development of trainings to support the adoption of the Ages and Stages Questionnaire (ASQ).*

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

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

NA

- No  
 Other.  
Describe

*Oregon is currently beginning development of trainings to support the adoption of the Ages and Stages Questionnaire (ASQ).*

### **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)).

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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):

*Lead Agency keeps this data.*

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

Describe (optional):

*Lead Agency collects this data as recorded programs; license-exempt facilities must be recorded with the Lead Agency by statute.*

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

Describe (optional):

*Lead Agency collects this data.*

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

Describe (optional):

*Lead Agency collects this data for licensed facilities. DHS collects this data for children in subsidized, license-exempt care.*

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

Describe (optional):

*Lead Agency collects this data for licensed facilities.*

Number of monitoring visits received by programs.

Describe (optional):

*Lead Agency collects this data.*

Caseload of licensing staff.

Describe (optional):

*Lead Agency collects this data.*

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

Describe (optional):

*Lead Agency collects this data.*

Other.

Describe:

NA

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?

*All licensed facilities must complete an annual or biennial health and safety inspection for 100 percent compliance with health and safety regulations.*

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.

*None at this time*

### **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.)

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**Goal #1:**

*Review and improve Oregon Administrative Rules for Licensing Standards.*

**Goal #2:**

*Align rules, policies and definitions across types of licensed care.*

**Goal #3:**

*Improve the alignment of state licensing regulations and Head Start/Oregon Pre-K requirements toward an aligned system of monitoring.*

**Goal #4:**

*Explore development and incorporation of a key risk indicator model into the current licensing and quality rating system.*

**NEW!**

CCDF has a number of performance measures that are used to track progress for key

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



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

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

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

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



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

If yes, insert web addresses, where possible:

<http://www.ode.state.or.us/search/page/?id=1408>

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

Oregon Department of Education

#### **3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply**



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

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Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above: NA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe: NA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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	Information Dissemination	Voluntary Training	Mandatory Training
--	---------------------------	--------------------	--------------------

Parents in the child care subsidy system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. List: The Early Learning Guidelines are embedded and covered in the Oregon Registry - Core Body of Knowledge - in the childhood care and education professional development system.	<input checked="" type="checkbox"/>	<input checked="" 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.

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- 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:

NA

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.

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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:

NA

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.

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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:

*Oregon PreK and programs at a 4 or 5 star level.*



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

Yes.

Describe:

*The QRIS program standards also require programs to use the assessment to individualize instruction for children.*

No

Other.

Describe:

NA

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

Yes.

Describe:

*Oregon Pre-K and 4 or 5 star are expected to communicate child progress to parents.*

No

Other.

Describe:

NA

No

Other.

Describe:

NA

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:

*Effective fall 2013 all Kindergarten children will be assessed.*

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

Yes.

Describe:

*Yes, the assessment includes measures in the domains of early literacy, early math, approaches to learning, selfregulation, and social emotional.*

No

Other.  
Describe:

NA

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

All children.

Describe:

***The Oregon kindergarten assessment will be used with all entering kindergarteners starting in fall 2013.***

Samples of children.

Describe:

NA

Other.

Describe:

NA

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

Yes.

Describe:

NA

No

Other.

Describe:

***There are four intended purposes for the Statewide Kindergarten Assessment: (1) Provide baseline local and statewide information to communities, schools, and families to ensure all early learners are ready for kindergarten; (2) Provide essential information on all children as they enter kindergarten to inform K12 educators on students' strengths and needs; (3) Identify achievement gaps early; and (4) provide the statelevel perspective on where kindergarten students are today so that we can measure progress in the years to come.***

No

Other.

Describe:

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

Yes.

Describe:

*The kindergarten assessment information is included in the statewide longitudinal data system.*

No

Not applicable. State does not have an SLDS.

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

Effective Date: 01-OCT-13

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

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

Describe (optional):

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

Describe (optional):

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

Describe (optional):

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

Describe (optional):

Other.

Describe:

None.

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

*Lead Agency is guided in policy and governance by the Early Learning Council, a subsidiary council of the Oregon Education Investment Board (OEIB). OEIB's 2013-15 strategic plan calls for common aligned learning standards for P-20. For early learning, the strategic plan calls for aligned early learning standards with the Common Core and development of structures for implementation.*

*As Oregon develops training specific to the ELG we will be able to track the number of practitioners who have attended identified ELG training.*

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

*Oregon's Quality Rating and Improvement System monitors the implementation of the early learning guidelines beginning at the three star level with the implementation of a curriculum that has demonstrated it meets the desired outcomes of the early learning guidelines. Additionally, the Oregon Department of Education monitors all state pre-kindergartens implementation through review of meeting Head Start Performance Standards.*

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

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

Effective Date: 01-OCT-13

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

*Develop training on early learning guidelines that is available to practitioners to support children's school readiness.*

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

Effective Date: 01-OCT-13


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

- Early Learning Council*
- Oregon Education Investment Board*
- Oregon Department of Education*
- Child Care and Education Coordinating Council*
- Portland State University, Center for Career Development in Childhood Care and Education*
- Western Oregon University, Teaching Research Institute, Center on Inclusion*
- Oregon State University, College of Health and Human Sciences, Office of Family Policy*
- Oregon Child Care Resource & Referral Network*
- Local child care resource & referral agencies (6 community colleges, 1 education service district, 1 university, 2 local governments, 3 non-profits)*
- Oregon Department of Human Services, Child Care Programs*
- Oregon Council on Developmental Disabilities, Inclusive Child Care Program*
- Oregon Health Authority*
- Head Start Collaboration Office*
- Oregon Association for the Education of Young Children*
- Oregon After School for Kids*
- The Oregon Community Foundation*
- Children's Institute*
- Oregon Head Start Association*
- Child care providers - AFSCME, SEIU*

### 3.3.1 Element 1 - Program Standards

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

Effective Date: 01-OCT-13

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

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

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

Describe:

*Compensation data is collected for contextual purposes; these items are not included in QRIS program standards. Accreditation will be used within the QRIS to document some of the standards.*

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:

NA

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:

NA

None.

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

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

Effective Date: 01-OCT-13

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



None. **skip to 3.3.3.**

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

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:

NA

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

- Yes.
- Describe:

*Targeted technical assistance is built into the QRIS system and is connected with a program's quality improvement plan and request for a Quality Improvement Specialist to help them move forward on the QRIS.*

- No
  - Other.
- Describe:


NA



### 3.3.3 Element 3 - Financial Incentives and Supports

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.4.**


Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input 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 type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input 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>Contracted slots for certain Head Start or Oregon Program of Quality programs. Oregon differentiates between licensed, license-exempt and enhanced-rate providers.</i>  <i>Oregon has differentiated rates for licensed (center and home), license exempt (enhanced), and license exempt (basic) child care programs. Oregon is field testing contracted slots in Oregon Programs of Quality and Head Start, but this is not part of the QRIS at this time.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
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### 3.3.4 - Element 4 - Quality Assurance and Monitoring

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.5.**

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

<input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS)  Describe, including frequency of assessments. <i>Required for programs to achieve a 5 star level on the QRIS.</i>	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes  Describe, including frequency of assessments. NA	<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 21st Century Learning Center programs  Describe, including frequency of assessments. <i>QRIS uses a portfolio system for programs to provide evidence in meeting quality standards. The portfolio is reviewed by trained review teams.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other.  Describe: 1 NA	<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:


*Will use national standards of Head Start Performance Standards, NAEYC, NAFCC and ACSI for those Early Learning and Development Programs (ELDP) that have demonstrated meeting national standards and articulate comparable standards and rigor as appropriate.*

None.

### 3.3.5 - Element 5 - Outreach and Consumer Education

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

Effective Date: 01-OCT-13

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

Yes. If yes, how is it used?



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



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



Searchable database on the web



Voluntarily, visibly posted in programs



Mandatory to post visibly in programs



Used in marketing and public awareness campaigns



Other.

Describe:

*House Bill 4165 established QRIS. Oregon is moving towards expanded parent education on choosing child care in an easily to understand and accessible format. Voluntary posting in programs is part of the QRIS field test; plan to do more after QRIS field test is completed.*

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

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

Print

Radio

Television

Web

Telephone

Social Marketing

Other.

Describe:

NA

None.


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

*The local child care resource and referral agencies have resources to provide information to families when they call for referral information and also have choosing child care information available on the state website. Local CCR&Rs that have populations of diverse families provide information in their home language and provide referrals to meet specific cultural and linguistic needs. Local CCR&R websites can be accessed through the Central Coordination website at <http://oregonccrr.com/local-ccrr-map/>.*

*The Lead Agency uses the Oregon Education Investment Board's Equity Lens ( <http://www.ode.state.or.us/superintendent/priorities/final-equity-lens-draft-adopted.pdf>), which embraces "a unified public education system in Oregon that meets the diverse learning needs of every pre-K through postsecondary student and provides boundless opportunities that support success."*

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

Effective Date: 01-OCT-13

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

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



Participation is voluntary for:

All licensed programs are automatically on the QRIS. Movement up the levels of QRIS is voluntary.



Participation is mandatory for:

na

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:

na

 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:

Any program that is licensed is eligible to participate in QRIS.

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

Effective Date: 01-OCT-13

**please describe:**

*The Lead Agency contracts with a Child Care Quality Improvement Coordinator to provide quality improvement activities for targeted groups of providers, specifically for providers of children in care at high school-based teen parent programs and at alcohol and drug treatment programs. Quality improvement activities include ensuring programs are moving up the QRIS and professional development registry.*

*Current legislation provides a dialogue between SEIU and the Lead Agency regarding quality improvements for license exempt homes and relative care. A demonstration project is underway to provide Play and Learn curriculum to six provider cohorts including urban, rural and multi-lingual providers.*

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

Effective Date: 01-OCT-13

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



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

Describe(optional)

NA



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

Describe(optional)

NA



Program scores on program assessment instruments.

List instruments:

**QRIS Portfolio**

Describe(optional)

**QRIS Portfolio**



Classroom scores on program assessment instruments.

List instruments:

**CLASS**



Describe(optional)

*At the 5 star level*



Qualifications for teachers or caregivers within each program.

Describe(optional)

*Oregon Registry Online, Child Care Regulatory Information System*



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

Describe(optional)

*Federal report ACF 801, Oregon Department of Human Services ERDC program.*



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



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

Describe(optional)

*Oregon Program of Quality contracted slots, Oregon Department of Human Services, ERDC enhanced rate.*



Other.

Describe:

NA



None.

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

## ***Number of programs that have achieved a designation beyond licensing***

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.

*As part of Oregon Race To the Top grant both a process evaluation and a validation study will be used for the QRIS.*

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

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

Effective Date: 01-OCT-13

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

***Create a supply of quality early care and education and after school programs by implementing a Quality Rating Improvement System (QRIS)***

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

***Develop an intentional plan for quality improvement of programs serving children and families from diverse cultures and low-income communities***

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

***Support an evidence-based approach for improvement of license-exempt settings so children enter school ready for kindergarten***

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

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

self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

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

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

Effective Date: 01-OCT-13

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

*Early Learning Council*

*Oregon Education Investment Board*

*Oregon Coalition for Quality Teaching and Learning*

*Child Care and Education Coordination Council*

*Professional Development Committee and subcommittees*

*Portland State University, Center for Career Development in Childhood Care and Education*

*Western Oregon University, Teaching Research Institute, Center on Inclusion*

*Oregon State University, College of Health and Human Sciences, Office of Family Policy*

*Oregon Child Care Resource & Referral Network*

*Local child care resource & referral agencies (6 community colleges, 1 education service district, 1 university, 2 local governments, 3 non-profits)*

*Oregon Department of Human Services, Child Care Programs*

*Oregon Council on Developmental Disabilities, Inclusive Child Care Program*

*Oregon Health Authority, Public Health Division*

*Oregon Department of Education, Early Learning Division*

*Head Start Collaborative Office*

*Oregon Association for the Education of Young Children*

*Oregon After School for Kids*

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

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

Effective Date: 01-OCT-13



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

Yes

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

Other.

Describe:

NA

If yes, insert web addresses, where possible: <http://www.pdx.edu/occd/core-body-of-knowledge-for-oregons-childhood-care-and-education-profession>

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:

*Inclusion for children with special needs, Understanding and Guiding Behavior*

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:

*Oregon's curricula developed with the Oregon Registry trainer program aligns with CKCs*

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:

NA

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:

NA

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

Describe:

NA

Administrators in centers (including educational coordinators, directors).

Describe:

NA

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

NA

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

NA

Other.  
Describe:

NA

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:

NA

None.

### 3.4.2 Workforce Element 2 - Career Pathways

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

Effective Date: 01-OCT-13



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

Yes.

Describe:

*The Oregon Registry recognizes three pathways for professional development:*

- *A post-secondary degree or certificate pathway*
- *A college course credit pathway*
- *A community based training pathway*

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

Insert web addresses, where possible: [pdx.edu/occd](http://pdx.edu/occd)

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

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

Describe:

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

Describe:

*Building a Better Business Certificate*

Administrators in centers (including educational coordinators, directors).

Describe:

*Director's Credential*

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

Describe:

NA

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

Describe:

*Master, Community and Standardized trainers through the Oregon Registry Trainer Program*

Other.

Describe:

None.

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

Infants and toddlers

Preschoolers

School-age children

Dual language learners

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

Other.

Describe:

NA

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:

NA

None.



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

Yes.

If yes, describe:


*Applicants to the Oregon Registry must submit valid training and/or education documentation (such as college transcripts and/or authentic training certificates) which are verified by Portland State University, Center for Career Development in Childhood Care and Education and evaluated to be awarded a Step on the Oregon Registry. Portfolios of work experience, professional development documentation and written evidence of knowledge are required for an Oregon Registry Credential.*

No.

### 3.4.3 Workforce Element 3 - Professional Development Capacity

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

Effective Date: 01-OCT-13

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

Yes.

If yes, describe:

*The statewide Professional Development Committee, Articulation Work Group, has surveyed all community colleges for available programs including distance learning and accessibility to the childhood care and education workforce.*

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:

*The Access and Outreach subcommittee of the Professional Development Committee conducts a training gaps assessment of available training periodically. In addition, Oregon has a Trainer Program that includes ¿sponsoring organizations¿ who provide training and technical assistance and meet standards of the Trainer Program. OCCD reports on numbers and names of sponsoring organizations quarterly.*

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:

NA

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:

*Required for higher level training*

Trainer approval process.

Describe:

*Oregon Registry Trainer Program*

Training and/or technical assistance evaluations.

Describe:

NA

Other.

Describe:

*Sponsoring Organization process which allows training institutions and organizations to develop and/or sponsor training that is approved by Portland State University, Center for Career Development in Childhood Care and Education.*

None.

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

Yes.

If yes, describe:

NA

No.

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

Yes.

If yes, describe:

*Articulation of community-based training to college credit at 17 of 17 Oregon community colleges. A Step 7 on the Oregon Registry enables a practitioner to receive between nine and 15 community college credits.*

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



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:

*Oregon also invests significant CCDF funding in before and after school care programs in all types of care. The Oregon Registry at the Center for Career Development, Portland State University, offers a School Age Credential for both school- and non-school-based professional and program development for out-of-school-time practitioners and providers. Additionally, there is a training fund for license-exempt providers.*

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:

*Oregon Registry Training Calendar at Portland State University is accessible & provides info about professional development opportunities in the childhood care and education system that is offered by Child Care Resource and Referral agencies and a limited number of other sponsoring organizations.*

No.

Insert web addresses, where possible: [pdx.edu/occd](http://pdx.edu/occd)

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

Scholarships.

Describe:

*Scholarships funded by the Oregon Community Foundation's Betty Gray Early Childhood Development Endowment Fund are available to all childhood care and education providers based on specific criteria.*

*One scholarship program is administered by Portland State University, OCCD which offers three types of support; community based training, community college coursework and credentials & degree translation. <http://www.pdx.edu/occd/oregon-statewide-scholarship-program-0>.*

*The second scholarship program is administered individually by all 17 of Oregon's community colleges for students who are pursuing a degree or certificate in early childhood education and are committed to a career in that field. This 10-year, \$150,000-per-year program assists 160 to 170 Oregon early childhood students each year. Scholarship amounts and eligibility requirements vary by institution. <http://www.oregoncf.org/grants-scholarships/grants/ready-to-learn/bettygray>*

Free training and education.

Describe:

*Oregon invests into the CCR&R system to provide low or no cost training to practitioners.*

Reimbursement for training and education expenses.

Describe:

*Community Colleges can design the scholarship program to fit the needs of their students and many elect to allow the use of these scholarship dollars towards not only book and tuition but also gas, child care and other expenses not traditionally covered by scholarships.*

Grants.

Describe:

NA

Loans.

Describe:

NA

Loan forgiveness programs.

Describe:

NA

Substitute pools.

Describe:

NA

Release time.

Describe:

NA

Other.

Describe:

***Several communities have established strong partnership with health partners to provide shared training opportunities.***

None.

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

Yes.

If yes, describe:

***Within state designated child care resource and referral agencies, practitioners can access professional development advisors. These professional development advisors use the career lattice and state professional development plans to support practitioners in meeting professional development goals.***

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:

***Oregon offers two statewide training series workshops that include a coaching component to ensure business practices are transferred to the work setting. In addition, Oregon has several "standardized" training curricula that include a coaching component. The Statewide Scholarship Program offers scholarships to participants who attend cohorts that include coaching. Plans are***


*in place to add coaching to other standardized curricula. Also, Oregon's Quality Assurance committee is working on standards for coaches.*

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.


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

Yes.  
If yes, describe:

NA

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:

*Education Awards, funded with Child Care Contribution Tax Credits, are now in the fourth year of implementation. Providers at specific steps on the Oregon Registry, or milestones, can earn cash bonuses of \$100, \$250, and \$500. As of June 30, 2011, over 3,083 providers received \$1,040,050 in Education Awards. As of June 30, 2012, 4313 providers received \$1,442,700 in Education Awards. As of June 30, 2013, 5218 providers received \$1,737,250 in Education Awards.*

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:

NA

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:

NA

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)).

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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):



NA

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

NA

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

NA

Retention rates.  
Describe (optional):

NA

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

NA

Qualifications of teachers or caregivers linked to the programs in which they teach.  
Describe (optional):

NA

Number of scholarships awarded .  
Describe (optional):

NA

Number of individuals receiving bonuses or other financial rewards or incentives.  
Describe (optional):

NA

Number of credentials and degrees conferred annually.  
Describe (optional):

NA

Data on T/TA completion or attrition rates.  
Describe (optional):

NA

Data on degree completion or attrition rates.  
Describe (optional):

NA

Other.  
Describe:

NA

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:

*Licensed providers - mandatory; licensed exempt - voluntary*

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

*Licensed providers - mandatory; licensed exempt - voluntary*

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

*Licensed providers - mandatory; licensed exempt - voluntary*

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

*Training and professional development for mentors, coaches, consultants, home visitors, etc. is tracked on a voluntary basis.*

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

*Trainers within the Trainer Program and CCR&R staff are tracked in Oregon Registry Online on a voluntary basis.*

Other.  
Describe:

NA

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?

*Number of practitioners that have achieved a Step 3 or higher on the Oregon Registry*

*In development for Oregon's CCR&R system: number of active practitioners at each step of the Oregon Registry*

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.

*Oregon's Quality Assurance Subcommittee of the Professional Development Committee is currently working on a comprehensive plan for evaluation of all the Professional Development System components. Concurrently, validation work is happening as part of the Race To the Top grant looking at professional development requirements in the QRIS program standards.*

### **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.)

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**Goal #1:**

*Develop an integrated professional development system across all early childhood and school age programs*

**Goal #2:**

*Increase the number of educators who are trained in the state-adopted Ages and Stages Questionnaire (ASQ) and trained in community referrals*

**Goal #3:**

*Increase the number of early care and education and after school educators who access Oregon's progression of credentials (aligning with Workforce Knowledge and Competency Framework)*

**Goal #4:**

*Increase professional development offerings that reflect the cultural and geographic needs of early care and education and after school practitioners*

**Goal #5:**

*Support an evidence-based approach for improvement of license exempt providers professional development so children enter school ready for kindergarten*