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. 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.

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. 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)) Section 3.1 asks the State/Territory to identify and describe the components of both the licensing and CCDF health and safety requirements, indicate which providers are subject to the requirements, and describe compliance and enforcement activities. (658E(c)(2)(F), §98.41)

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.

Effective Date: 01-OCT-11

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

☑ Yes.
☐ No.

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

b) **Provide a brief overview** of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory. At a minimum, describe whether the State/Territory's licensing requirements serve as the CCDF health and safety requirements.

All child care providers and programs that are licensed in Maine must meet the baseline health and safety requirements as governed within the child care rules for family and center based programs.

Health and safety requirements are in place for individuals providing care and programs that fall outside of the licensed providers. In brief, the programs and/or individuals are required to sign and submit a health and safety agreement with the Department. Individuals and/or programs must complete or certify that all individuals in the environment where care is provided have satisfactorily passed background checks (CPS, BMV and SBI). The location in which the care is being provided must also meet baseline safety for unlicensed locations, this is done by ensuring that a fire marshall has inspected Recreational Program locations and legal unregulated providers must use a public water supply or verify the water has been tested.

c) 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. Within each CCDF category of care, please identify which types of providers are exempt from licensing in your State/Territory in the chart below.

CCDF Category of Care	CCDF Definition (§98.2)	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 exempt from licensing in your State/Territory. For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs Recreational Program means a non-residential program for children between six and twelve years of age, inclusive, operated by a community-based program that meets staff-to-child ratios requirements and performs criminal history, motor vehicle and child abuse/neglect background checks.
Group Home Child Care N/A. Check if your State/Territory does not have group home child care. ☑	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes are exempt from licensing: N/A
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. **Reminder** - Do not check 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.	Describe which types of family child care home providers are exempt from licensing: Legal, Unregulated child care provider means an individual must be 18 years of age and not be living in the child's home or be a member of the child's family. No person or entity can operate a Family Child Care in their own residence for more than 2 children, who are unrelated to the provider, without a certificate from the Maine Department of Health and Human Services authorizing such operation.

In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. **Reminder** - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing: *In-home Child Care Provider* means a Child Care Provider who is 18 years of age or older and cares for children within the child's home. The provider may be a relative, but not be a member of the child's family or live in the child's home. In-home care is provided in a child's home by a Child Care Provider hired by the Parent and can not provide care for more than two (2) children This type of care is not regulated by the State; however, for the purposes of CCDF payment, the Child Care Provider must meet the background check requirements and other health and safety requirements as set forth in 7.03

 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/ 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:**
☑

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

*Source: National Resource Center for Health and Safety in Child Care and Early Education. (2003) Stepping Stones to Using Caring for Our Children: National Health and Safety Performance Standards, 2nd Ed. Health Resources and Services Administration, Maternal and Child Health Bureau. Available online: http://nrckids.org/stepping

Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care

Do the licensing requirements include **child:staff ratios and group sizes?** If yes, specify age group, where appropriate:	☑ Child:staff ratio requirement: 1:4 6 week-1 yr, 1;4, 1:5 1yr-2.5 yr, 1:7 2.5-3.5 yr, 1:8, 1:10 3-not yet school age 5, 1:13 school age 5-15 yrs	☐ Child:staff ratio requirement:	☑ Child:staff ratio requirement: one provider alone may care for: 4 infants and toddler or 3 infants and toddlers, plus 3 preschool children plus 2 school age children, or 8 preschool children plus 2 school age children or 12 school age children	☐ Child:staff ratio requirement:
	☑ Group size requirement: 8 (6 week-1 yr), 12 or 10 (1 yr-2.5 yr), 21 (2.5-3.5 yrs), 24 or 20 (3 yr-not yet school age 5), n/a school age 5-15	☐ Group size requirement:	☑ Group size requirement: infants and toddlers 8, preschool through school age 12, school age 12, infant through school age 12 total, no more than 6 infants and toddlers	☐ Group size requirement:
	☐ No requirements.	☑ No requirements.	☐ No requirements.	☑ No requirements.

Do the licensing requirements identify specific experience and educational **credentials for child care directors?**	☑ High school/GED	☐ High school/GED	☐ High school/GED	☐ High school/GED
	☑ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)
	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential
	☑ Associate's degree	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree
	☑ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree
	☐ No credential required for licensing	☑ No credential required for licensing	☐ No credential required for licensing	☑ No credential required for licensing
	☑ Other:	☐ Other:	☑ Other:	☐ Other:
	Requirements change depending on size of program, experience is also required		Staff member must be certified in CPR	

Do the licensing requirements identify specific experience and educational **credentials for child care teachers?**	☑ High school/GED	☐ High school/GED	☐ High school/GED	☐ High school/GED
	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)	☐ Child Development Associate (CDA)
	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential	☐ State/ Territory Credential
	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree	☐ Associate's degree
	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree	☐ Bachelor's degree
	☐ No credential required for licensing	☑ No credential required for licensing	☑ No credential required for licensing	☑ No credential required for licensing
	☑ Other:	☐ Other:	☐ Other:	☐ Other:
	Demonstrate ability to comply with laws, ability to provide safe and compassionate services, history of honest and lawful conduct			

Do the licensing requirements specify that directors and caregivers must attain a specific number of **training hours per year?**			
☐ At least 30 training hours required in first year	☐ At least 30 training hours required in first year	☐ At least 30 training hours required in first year	☐ At least 30 training hours required in first year
☐ At least 24 training hours per year after first year	☐ At least 24 training hours per year after first year	☐ At least 24 training hours per year after first year	☐ At least 24 training hours per year after first year
☐ No training requirement	☑ No training requirement	☐ No training requirement	☑ No training requirement
☑ Other: 18 hours of training per year for individuals working 20 hr a week or less, 30 per year for those working 20 or more hours a week	☐ Other:	☑ Other: 12 hours per year, not including CPR training	☐ Other:

e) Do you expect the licensing requirements for child care providers to change in FY2012-2013?

Describe:

☑ No.

3.1.2. 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)

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

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

The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☑ Diapering policy and procedures	☑	☐	☐	☐
☑ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☑
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☑ Other. Describe: Provider must have first aid kit (Section 13.4 in Rules)	☐	☑	☐	☐

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

The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☑ Fire inspection	☑	☑	☐	☐
☐ Building inspection	☐	☐	☐	☐
☐ Health inspection	☐	☐	☐	☐

☑ Inaccessibility of toxic substances policy	☑	☑	☐	☐	
☑ Safe sleep policy	☑	☑	☐	☐	
☑ Tobacco exposure reduction	☑	☑	☐	☐	
☑ Transportation policy	☑	☐	☐	☐	
☑ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☑	
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐	
☑ Other. Describe: Water testing	☐	☑	☐	☐	

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))

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	CPR (Child Care Centers)	None	There must be present at all times a staff member in each child care facility who is currently certified in CPR.

	First Aid (Child Care Centers)	None	There must be present at all times a staff member in each child care facility that is currently certified in first aid.
	Training on infectious diseases (Child Care Centers)	None	None
	SIDS prevention (i.e., safe sleep) (Child Care Centers)	None	None
	Medication administration (Child Care Centers)	None	None
	Mandatory reporting of suspected abuse or neglect (Child Care Centers)	None	None
	Child development (Child Care Centers)	None	None
	Supervision of children (Child Care Centers)	None	None
	Behavior management (Child Care Centers)	None	None
	Nutrition (Child Care Centers)	None	None
	Breastfeeding (Child Care Centers)	None	None
	Physical activity (Child Care Centers)	None	None
	Working with children with special needs or disabilities (Child Care Centers)	None	None
	Emergency preparedness and response (Child Care Centers)	None	Fire drill and other emergency procedures
	Other. (Child Care Centers) Describe: None	None	None
Group Home Child Care	CPR (Group Home Child Care)	N/A	N/A
	First Aid (Group Home Child Care)	N/A	N/A
	Training on infectious diseases (Group Home Child Care)	N/A	N/A

	SIDS prevention (i.e., safe sleep) (Group Home Child Care)	N/A	N/A
	Medication administration (Group Home Child Care)	N/A	N/A
	Mandatory reporting of suspected abuse or neglect (Group Home Child Care)	N/A	N/A
	Child development (Group Home Child Care)	N/A	N/A
	Supervision of children (Group Home Child Care)	N/A	N/A
	Behavior management (Group Home Child Care)	N/A	N/A
	Nutrition (Group Home Child Care)	N/A	N/A
	Breastfeeding (Group Home Child Care)	N/A	N/A
	Physical activity (Group Home Child Care)	N/A	N/A
	Working with children with special needs or disabilities (Group Home Child Care)	N/A	N/A
	Emergency preparedness and response (Group Home Child Care)	N/A	N/A
	Other. (Group Home Child Care) Describe: N/A	N/A	N/A
Family Child Care Providers	CPR (Family Child Care Providers)	Prior to being issued a Family Child Care Certificate, the applicant must receive certification in CPR.	Providers must maintain certification in CPR.
	First Aid (Family Child Care Providers)	Prior to being issued a Family Child Care Certificate, the applicant must receive certification in First Aid.	Providers must maintain certification in First Aid.

	Training on infectious diseases (Family Child Care Providers)	None	None
	SIDS prevention (i.e., safe sleep) (Family Child Care Providers)	None	None
	Medication administration (Family Child Care Providers)	None	None
	Mandatory reporting of suspected abuse or neglect (Family Child Care Providers)	None	None
	Child development (Family Child Care Providers)	None	None
	Supervision of children (Family Child Care Providers)	None	None
	Behavior management (Family Child Care Providers)	None	None
	Nutrition (Family Child Care Providers)	None	None
	Breastfeeding (Family Child Care Providers)	None	None
	Physical activity (Family Child Care Providers)	None	None
	Working with children with special needs or disabilities (Family Child Care Providers)	None	None
	Emergency preparedness and response (Family Child Care Providers)	None	None
	Other. (Family Child Care Providers) Describe: None	None	None
In-Home Child Care Providers	CPR (In-Home Child Care Providers)	None	None
	First Aid (In-Home Child Care Providers)	None	None
	Training on infectious diseases (In-Home Child Care Providers)	None	None

	SIDS prevention (i.e., safe sleep) (In-Home Child Care Providers)	None	None
	Medication administration (In-Home Child Care Providers)	None	None
	Mandatory reporting of suspected abuse or neglect (In-Home Child Care Providers)	None	None
	Child development (In-Home Child Care Providers)	None	None
	Supervision of children (In-Home Child Care Providers)	None	None
	Behavior management (In-Home Child Care Providers)	None	None
	Nutrition (In-Home Child Care Providers)	None	None
	Breastfeeding (In-Home Child Care Providers)	None	None
	Physical activity (In-Home Child Care Providers)	None	None
	Working with children with special needs or disabilities (In-Home Child Care Providers)	None	None
	Emergency preparedness and response (In-Home Child Care Providers)	None	None
	Other. (In-Home Child Care Providers) Describe: None	none	None

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 <u>any</u> health and safety requirements as described in 3.1.2a-c, as appropriate.

☑ Relative providers are subject to certain requirements.

Describe the different requirements:

Relative provider are required to comply with and sign an unregulated child care Health and Safety Checklist.

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

www.maine.gov/dhhs/dlrs/licensing-rules

3.1.3 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 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 3.1.3a through 3.1.3e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

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

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

☐ No.

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits

☑ Center-Based Child Care	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☐ Once Every Two Years
	☑ Other.	☑ Other.
	Describe: One prior to issuing license	Describe: One unannounced visit between 6 and 18 months after issuance of license during the time of the current license.
☑ Group Home Child Care	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☐ Once Every Two Years
	☑ Other.	☐ Other.
	Describe: One prior to issuing license	Describe:
☑ Family Child Care Home	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☐ Once Every Two Years
	☑ Other.	☑ Other.
	Describe: One prior to issuing license	Describe: One unannounced visit during the term of the certificate between 6 and 18 months of issuance of certificate

☐ In-Home Child Care	☐ Once a Year	☐ Once a Year
	☐ More than Once a Year	☐ More than Once a Year
	☐ Once Every Two Years	☐ Once Every Two Years
	☐ Other.	☐ Other.
	Describe:	Describe:

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

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

☐No.

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	☑ Yes.
	Describe: Prior to issuing a Family Child Care Certificate, the applicant must take part in six hours of approved training in operation of a Family Child Care Program.
	☐ No.
	☐ Other.
	Describe:

Licensing staff has procedures in place to address violations found in an inspection.	☐ Providers are required to submit plans to correct violations cited during inspections.
	☐ Licensing staff approve the plans of correction submitted by providers.
	☐ Licensing staff verify correction of violation.
	☑ Licensing staff provide technical assistance regarding how to comply with a regulation.
	☐ No procedures in place.
	☐ Other.
	Describe:
Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	☑ Provisional or probationary license
	☑ License revocation or non-renewal
	☐ Injunctions through court
	☐ Emergency or immediate closure not through court action
	☐ Fines for regulatory violations
	☐ No procedures in place.
	☐ Other.
	Describe:

The State/Territory has procedures in place to respond to illegally operating child care facilities.	☐ Cease and desist action
	☐ Injunction
	☐ Emergency or immediate closure not through court action
	☐ Fines
	☐ No procedures in place.
	☑ Other.
	Describe: When a report of an illegally operating child care facility is made, Licensing has the option of looking into the report of such operation. The Division of Licensing and Regulatory services has the authority to shut down any such operation.
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	☑ Yes.
	Describe: 7.1 A person aggrieved by the Department's decision to take any of the following actions, or to impose any of the following sanctions, may request an administrative hearing to refute the basis of the Department's decision. 7.2 A request for a hearing must be made, in writing, to the Director of the Division of Licensing and Regulatory Services, and must specify the reason for the appeal. A request must be mailed within ten working days from receipt of the Department's decision
	☐ No.
	☐ Other.
	Describe:

c) Describe what types of licensing violations, if any, would make a provider ineligible to participate in CCDF:

d) 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. Please **also provide a brief overview** of the State/Territory's process for conducting background checks for child care. For example, describe what types of violations would make providers ineligible for CCDF, funding for background checks, and the process for providers to appeal background check findings.

The Licensed child care providers have their background checks done through the Division of Licensing and Regulatory Services prior to being issued a licencese to run a child care program. DLRS reviewes the following:
Criminal history reports, out of home abuse investigation reports adn child protection reports must be optained for each individual applicant, staff member or volunteer in a child care setting.

Below are the standards the lead agency uses for unregulated child care providers:
The Legal, Unregulated Child Care Provider and all adults residing in the home will be required to sign release forms permitting the Department to obtain annual background checks from Child Protective Services (CPS), State Bureau of Identification (SBI), and Department of Motor Vehicles (DMV).

7.03.5   Child Care Subsidy payments will not be initiated until satisfactory background checks are completed on all adults residing in the household. Payments are not made retroactively.

7.03.6   Unsatisfactory results of a CPS, DMV and/or SBI background check or clearance will disquali Child Care Provider for eligibility in the voucher program. *Unsatisfactory* is defined by one or more of the following actions.

 A conviction for any Class A crime (as defined by State statute) or its equivalent.

A conviction within the last ten (10) years for any Class B or C crime or its equivalent that involved the use of force.

A conviction for any crime within the last ten (10) years that resulted in time served in a correctional facility.

A conviction for any crime in the last ten (10) years that jeopardized the health and safety of a minor.

More than one conviction within the last three (3) years based on an action which would be deemed detrimental to the welfare of a child.

A conviction of drug trafficking.

A conviction for an OUI or Driving to Endanger within the last three (3) years. The Department may approve Child Care Subsidy if another adult in the household (not the Child Care Provider) is found to have this conviction and he or she signs a written agreement not to drive the children receiving a Child Care Subsidy.

More than one OUI conviction, with the latest conviction in the last five (5) years.

Three (3) or more convictions in the last five (5) years for speeding in excess of twenty (20) miles per hour over the speed limit by the Child Care Provider or anyone designated to drive the children in care. The Department may approve Child Care Subsidy if the Child Care Provider signs a written agreement not to drive the children in his or her care.

A suspended driver's license at the time of application by the Child Care Provider or anyone designated to drive the children in care. The Department may approve child care if the Child Care Provider signs a written agreement not to drive the children in his or her care.

A substantiated finding of child abuse or neglect by the Department.

7.03.7   Although the State Bureau of Identification record check should reveal criminal history, the Department may log onto the state sex offender list to ensure that a Child Care Provider or a household member is not registered as a sexual offender.

Payments to Legal, Unregulated Child Care Providers will be issued to the Child Care Provider.

7.03.9 The Legal, Unregulated Child Care Provider must have lived in State of Maine for at least six months prior to applying to be a provider.

7.03.10 If the Legal, Unregulated Child Care Applicant has lived in another State within last 5 years, the applicant is required to indicate what States they have lived in so that a background check can be done in those States as required by policy (7.03.4).

☐ No.

CCDF Categories of Care	Types of Background Check	Frequency

☑ **Center-Based Child Care** Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers: All staff and volunteers	☑ Child Abuse Registry	☐ Initial Entrance into the System
		☑ Checks Conducted Annually
		☐ Other. Describe:
	☑ State/Territory Criminal Background	☐ Initial Entrance into the System
		☑ Checks Conducted Annually
		☐ Other. Describe:
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System
		☐ Checks Conducted Annually
		☐ Other. Describe:
	☐ Sex Offender Registry	☐ Initial Entrance into the System
		☐ Checks Conducted Annually
		☐ Other. Describe:

☐ **Group Child Care Homes** Who is subject to background checks for group homes? For example, provider, non-provider residents of the home:	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe:
	☐ State/Territory Criminal Background	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe:
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe:
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe:

Family Child Care Homes		
☑ **Family Child Care Homes** Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home: Provider	☑ Child Abuse Registry	☐ Initial Entrance into the System
		☑ Checks Conducted Annually
		☐ Other. Describe:
	☑ State/Territory Criminal Background	☐ Initial Entrance into the System
		☑ Checks Conducted Annually
		☐ Other. Describe:
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System
		☐ Checks Conducted Annually
		☐ Other. Describe:
	☐ Sex Offender Registry	☐ Initial Entrance into the System
		☐ Checks Conducted Annually
		☐ Other. Describe:

In-Home Child Care Providers	Child Abuse Registry ☑	Initial Entrance into the System ☐
In-Home Child Care Providers ☑ Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home: All adult residents in the home where the care is provided	☑ Child Abuse Registry	☐ Initial Entrance into the System
		☑ Checks Conducted Annually
		☐ Other. Describe:
	☑ State/Territory Criminal Background	☐ Initial Entrance into the System
		☑ Checks Conducted Annually
		☐ Other. Describe:
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System
		☐ Checks Conducted Annually
		☐ Other. Describe:
	☐ Sex Offender Registry	☐ Initial Entrance into the System
		☐ Checks Conducted Annually
		☐ Other. Describe:

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? (658E(c)(2)(E), §98.40(a)(2)):

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

☑ Yes.
Describe:

Resource and Referral Agencies inform parents of their right to request licensing status and complaints from the Division of Licensing and Regulatory Services.

☐ No.

3.1.4 Describe the State/Territory's policies for effective enforcement of the CCDF health and safety requirements.

Effective Date: 01-OCT-11

For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described above for licensed providers, please describe the health and safety enforcement measures in place. Include in this description whether and how the State/Territory uses on-site visits (announced and unannounced) and background checks and any other enforcement policies and practices for the health and safety requirements.

For all participants not subject to the enforcement of procedure above are required to: 1) sign and submit a Unregulated Child Care Health and Safety Checklist: this list covers 14 topics related to the health and safety of the care of children; 2) assure in writing that children in the subsidy program are age-appropriately immunized; 3) water analysis reports are required for any provider not using a public water supply; 4) providers and all adults residing in the home must successfully pass annual background checks from CPS, SBI and BMV; and, 5) additionally any unregulated provider serving children that are accessing home visiting services will receive one visit annually from a trained home visitor. During this visit a review of the Health and Safety Checklist will occur and technical assistance will be provided to support the provider in his/her ability to meet these expectations on the checklist.

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

☑ Yes.
Describe

All children participating in the home visiting program will have an Ages and Stages Developmental Screening conducted in accordance with the child's age by a trained home visitor. The results of the screening will be discussed with the parent, and with the child care provider during the annual visit by the home visiting staff at the child care site.

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

The screening is conducted by a trained professional either on site with the child and parent present, or in the parents home and results are reviewed on site at the child care location by a trained home visitor.

☐ No

☐ Other.

Describe

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

This is done during the visit with the trained home visitor. Technical assistance is offered to the provider. Referrals and work with other community partners is also offered.

☐ No

☐ Other.

Describe

☐ No

☐ Other.

Describe

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

<div align="right">Effective Date: 01-OCT-11</div>

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

☑ Number of licensed programs.
Describe (optional):

☐ Numbers of programs operating that are legally exempt from licensing.
Describe (optional):

☑ Number of programs whose licenses were suspended or revoked due to non-compliance.
Describe (optional):

☐ Number of injuries and fatalities in child care as defined by the State/Territory.
Describe (optional):

☑ Number of monitoring visits received by programs.
Describe (optional):

☑ Caseload of licensing staff.
Describe (optional):

☐ Number of programs revoked from CCDF due to non-compliance with health and safety requirements.
Describe (optional):

☐ Other.
Describe:

☐ None.

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

None

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.

As part of the Child Care Data Capacity Grant, we are utilizing a predictive model to collect data on the number and type of licensing violations that programs in the QRS and those not in the QRS have had in the past 2 years.

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. 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 of 3.1. 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?)

The goal for the upcoming biennium in regards to the programs that manage the CCDF Plan and the licensing and health and safety systems in Maine are to: 1) develop a stronger more collaborative working relationship, and to enhance the sharing of information, as well as to reduce duplication of efforts to support the early childhood system by more clearly defining program roles and responsibilities; and, b) through the support of the Child Care Research Partnership, the Lead Agency will utilize a predictive research model that uses administrative licensing data to analyze if programs enrolled in the State of Maine's QRS are more or less likely to have compliance issues with licensing regulations.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines include the expectations for what children should know (content) and be able to do (skills). The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These guidelines are voluntary in that States/Territory are not mandated to develop such guidelines or implement them in a specified manner.

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

Effective Date: 01-OCT-11

☑ 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.maine.gov/education/fouryearold/documents/infantsandtoddlersguidelines.pdf

Which State/Territory agency is the lead for the early learning guidelines?
Collaboration between Department of Education and Department of Health and Human Services

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

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	☑	☑	☐
Social and emotional development	☑	☑	☐
Approaches to learning	☐	☑	☐
Logic and reasoning (e.g., problem-solving)	☑	☐	☐
Language development	☑	☑	☐
Literacy knowledge and skills	☐	☑	☐
Mathematics knowledge and skills	☐	☑	☐
Science knowledge and skills	☐	☑	☐
Creative arts expression (e.g., music, art, drama)	☐	☑	☐
Social studies knowledge and skills	☐	☑	☐
English language development (for dual language learners)	☐	☐	☐
List any domains not covered in the above:	☐	☐	☐
Other. Describe:	☐	☐	☐

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

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	☐	☐	☐
Parents using child care more broadly	☐	☐	☐
Practitioners in child care centers	☑	☑	☐
Providers in family child care homes	☑	☑	☐
Practitioners in Head Start	☑	☐	☑
Practitioners in Early Head Start	☑	☐	☑
Practitioners in public Pre-K program	☑	☑	☑
Practitioners in elementary schools	☐	☐	☐
Other. List:	☐	☐	☐

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

☐ To define the content of training required to meet licensing requirements
☑ To define the content of training required for program quality improvement standards (e.g., QRIS standards)
☑ To define the content of training required for the career lattice or professional credential
☐ To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
☑ To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
☐ To develop State-/Territory -approved curricula
☐ Other.
List:

☐ None.

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

☑ Cross-walked to align with Head Start Outcomes Framework
☑ Cross-walked to align with K-12 content standards
☐ Cross-walked to align with State/Territory pre-k standards
☐ Cross-walked with accreditation standards
☐ Other.
List:

☐ None.

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

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

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

Requirement of progams in QRS at step 2 or higher

b-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?
☑ Yes.
Describe:

As part of *Quality for ME*, Maine Early Care and Education Rating System

Authentic Assessment:

Evidence is collected on children's development in the following areas:

- Social/Emotional
- Cognitive
- Physical (gross and fine motor) development
- Communication

Examples of evidence include children's work, observations, interviews with families, audio tape, video tape, photographs. This evidence is incorporated in curriculum planning.

For programs serving infants and toddlers, the observations are linked to Supporting Maine's Infants and Toddlers- Guidelines for Learning and Development and for programs serving children 3-5 years, the observations are linked to Maine's Early Childhood Learning Guidelines which are used as a guide for planning

☐ No

☐ Other.
Describe:

None

b-2) If yes, is information on child's progress reported to parents?
☑ Yes.
Describe:

As part of *Quality for ME*, Maine Early Care and Education Rating System

Parent/Family Involvement:

Parents are offered at least 2 parent conferences a year to discuss the child's progress, behavior, social and physical needs. (NAEYC 7.B.01-06)

Parents of infants and toddlers are provided with written daily communication about their child's day. (NAEYC 7.B.05)

☐ No

☐ Other.
Describe:

None

☐ No

☐ Other.
Describe:

None

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

☐ Yes.

Describe:

None

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

☐ Yes.

Describe:

None

☐ No

☐ Other.

Describe:

None

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

☐ All children.

Describe:

None

☐ Samples of children.

Describe:

None

☐ Other.

Describe:

None

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

☐ Yes.

Describe:

None

☐ No

☐ Other.

Describe:

None

☑ No

☐ Other.
Describe:

 None

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

 None

☑ No

☐ Not applicable. State does not have an SLDS.

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

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

☑ Number/percentage of child care providers trained on ELG's for preschool aged children.
Describe (optional):

Maine Roads to Quality Registry

☑ Number/percentage of child care providers trained on ELG's for infants and toddlers.
Describe (optional):

Maine Roads to Quality Registry

☑ Number of programs using ELG's in planning for their work.
Describe (optional):

QRS sample for portfolio reviews

☐ 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?

As part of *Quality for ME*, Maine Early Care and Education Rating System

Learning Environment/Developmentally Appropriate Practices:

Step 3 Standards:

The Early Childhood Learning Guidelines and/or Infant/Toddler Learning Guidelines are on site, available to staff and are referenced during
curriculum planning.

50% of lead teachers (per program site) working with children ages 3-5 have completed the training on implementing curriculum based on Maine's Early Childhood Learning Guidelines.

Step 4 Standards:

Each classroom with 3-5 year olds has a lead teacher who has completed the training on implementing curriculum based on Maine's Early Childhood Learning Guidelines.

4. Maine's Early Childhood Learning Guidelines are consistently used to guide the development of an age appropriate curriculum for children ages 3-5.

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.

Continue to monitor implementation and used as a guide, as well as to support to the developmentally appropriate assessment process of children birth to five.

Work with key stakeholders throughout the State of Maine to review current Guidelines and develop a work plan to utilize scientific research to update the domains within the Guidelines.

3.2.8 Goals for the next Biennium -

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

- **To develop a framework that looks at State approved assessment and curriculum that align with our Guidelines.**
- **To develop a strategic plan that effectively measures the readiness of children as they enter kindergarten.**
- **To develop a process to including the use of the State of Maine's Infant/Toddler and Early Learning Guidelines in parent training or family support programs.**

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

Effective Date: 01-OCT-11

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.

Quality for ME, Maine Early Care and Education Rating System

- *Quality for ME* is a system for licensed child care providers to have their quality assessed on a 4-step rating scale. Every step is an important quality measure based on the following eight standards:

- Licensing history
- Learning environment
- Program evaluation
- Staff development
- Administrative policies and procedures
- Family involvement
- Community resources
- Child Observations

- The purpose of the *Quality for ME* system is to:

- Give individuals a simple tool to help recognize and choose quality child care.

- Give Maine child care programs help in improving their quality.

- Help Maine measure how well supports to child care programs are working.

- To join other states across the nation in measuring and supporting quality child care for families.

- Through *Quality for ME,* the Early Childhood Division collaborates with multiple partners in order to provide an organized and seamless support network for licensed child care providers. These range from:

Resource Development Centers (RDC's): Currently comprised of eight regional sites throughout the state, the RDC's maintain a referral database; provide resource materials, newsletters, technical assistance, scholarships and training to the childcare community.

Child Care Plus ME: The project works to ensure that all infants, preschoolers, and young children–including children with challenging behaviors and children with medical, physical, and developmental disabilities–have an opportunity to be cared for and educated in high quality, inclusive schools and community child care settings.

Infant Toddler Initiative: This initiative assists in securing resources for infant-toddlers, assist with training and technical assistance to ensure programs are inclusive, high quality, and meet the needs of this population of children.

Afterschool Network: This network assists in securing resources to help develop new after-school programs, assist with training, and technical assistance to ensure programs are inclusive, high quality, and meet the needs of children, families and communities.

Maine Roads to Quality: This program works to promote the quality of early care and education, addresses the training and education needs of all early care and education professionals in addition to developing multiple ways for professionals to achieve their career goals,

University of Maine and Muskie School for Public Service: Their joint project is to evaluate the impact of the *Quality for ME* system and to investigate how CCDF funds help to improve the quality of care and to explore how evidence from child assessment from infant and toddlers are used to improve programs.

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-11

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

☐ Ratios and group size

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

Describe:

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

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

- ☐ Children with special needs as defined by your State/Territory
- ☑ Infants and toddlers
- ☑ School-age children
- ☐ Children who are dual language learners
- ☐ None

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

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

Describe:

☐ Not linked.

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

☐ Programs that meet State/Territory pre-k standards are able to meet all or part of the

quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)

☑ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)

☑ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)

☐ Other.
Describe:

☐ None.

3.3.2 Element 2 - Supports to Programs to Improve Quality

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

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
☑ Attaining and maintaining licensing compliance	☑	☑	☑
☑ Attaining and maintaining quality improvement standards beyond licensing	☑	☑	☑

☑ Attaining and maintaining accreditation	☑	☑	☑
☑ Providing targeted technical assistance in specialized content areas:			
Health and safety	☑	☑	☑
Infant/toddler care	☑	☑	☑
School-age care	☑	☑	☑
Inclusion	☑	☑	☑
Teaching dual language learners	☐	☐	☐
Mental health	☑	☑	☑
Business management practices	☑	☑	☐
Other. Describe:	☐	☐	☐

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

☑ Program improvement plans
☑ Technical assistance on the use of program assessment tools
☐ Other.
Describe:

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

☑ Yes.
Describe:

1. Quality for ME Waiver System

Quality for ME Wavier Policy

I.   Definition

a.   For the purposes of the Quality Rating System, a waiver is a document or formal statement of the voluntary surrendering of a known right.

II.   Purpose

a.   The objective of a waiver is to indicate an intention to disregard the minimum requirements of *Quality for ME*, Maine's Early Care and Education Rating System as detailed in the application manual. This understanding allows;

i.   a provider to accept CCDF subsidy funding for children in their care,

ii.   receive support from their local Resource Development Center,

iii.   receive technical assistance (TA)
III.   Eligibility

a.   In order for a provider to become eligible for a waiver they must qualify within one of two categories;

i.   The program is licensed for less than 12 months and is in compliance with licensing regulations or

ii.   The program is licensed for less than 12 months due to moving to a new location and is in compliance with licensing regulations.

b.   All program staff must be enrolled in Maine Roads to Quality (MRTQ).

IV.   Process

a.   If a provider is eligible within one of the two categories, the provider has the right to apply for a waiver.

b.   A waiver applications must be requested from the Early Childhood Division.

c.   Upon receiving the completed waiver application, the Early Childhood Quality Specialist will review the content of the application and with the use of the *Waiver Assessment Tool,* determine if a program has meet the requirements to be granted a waiver.

d.   A decision on the provider's status of being granted a waiver will be mailed to the provider within 10-15 business days of the receipt of the provider's application.

e.   Waivers are authorized for one year from the program's license anniversary date.

f.   If a provider is granted a waiver, the provider will sign an agreement of conditions for participation as set forth by the Department of Health and Human Services, Early Childhood Division.

g.   As stipulated in the provider agreement, it is the responsibility of the provider to apply for *Quality for ME* after their license anniversary date.

h.   For a *new program licensed less than 12 months*, if a program is granted a waiver, it is a mandatory requirement that the program have contact with their local RDC Education Specialist and developed a
TA plan to aide them in preparing to enroll in *Quality for ME* upon one year of their approved waiver
date.

i.   For a *program that has moved to a new location and licensed less than 12 months*, if a program is granted a waiver, it is at the discretion of the Early Childhood Quality Specialist that the program have

contact with their local RDC Education Specialist and developed a TA plan to aide them in building on the quality in their setting.

j.   The RDC Education Specialist will send a copy of the TA plan to the Early Childhood Quality Specialist.

V.   Decision Making

a. Program's licensed for less than 12 months and is in compliance with licensing regulations:

i.   Upon receiving the completed waiver application, the Early Childhood Quality Specialist will review th content of the application and with the use of the *Waiver Assessment Tool,* determine if a program has meet the requirements to be granted a waiver.

ii.   The *Waiver Assessment Tool* is developed to look at benchmarks within the applicants information that align with National Association for the Education of Young Children (NAEYC) Developmentally Appropriate Practices (DAP) and the Division of Early Childhood's (DEC) Recommended Practices, Indicators of Quality Management Strategies and that the provider's action plan to prepare for the requirements of *Quality for ME* upon their eligibility for the quality rating system is appropriate.

b. Program's licensed for less than 12 months due to moving to a new location and is in compliance with licensing regulations.

i.   Upon receiving the completed waiver application, the Early Childhood Quality Specialist will review th content of the application and with the use of the *Waiver Assessment Tool-new location,* determine if a program has meet the requirements to be granted a waiver.

ii.   The *Waiver Assessment Tool-new location* is developed to look at benchmarks within the applicant's information that:

a. Align with National Association for the Education of Young Children (NAEYC) Developmentally Appropriate Practices (DAP) and the Division of Early Childhood's (DEC) Recommended Practices

b. Indicators of Quality Management Strategies

c. Years in existence

d. Years accredited

e. Staffing qualifications

f. Quality assurance goals for the coming year

g. Professional development structure

VI.   Application in *Quality for ME*

a.   After a provider's waiver has expired, the provider is responsible for completing an application in the *Quality for ME* system.

b.   It is the Early Childhood Division's responsibility to assure that a waiver grantee applies into *Quality*

for ME no less than 2 weeks after their waiver expires.

c.   The Early Childhood Quality Specialist has the right to extend any provider's waiver based on information submitted or obtained when deemed appropriate.

i.   If a provider is granted an extension, the provider will have 4-6 weeks to enroll in *Quality for ME* from the date that the extension was approved, unless the Early Childhood Quality Specialist determines that a longer period of time is warranted.

☐ No
☐ Other.
Describe:

3.3.3 Element 3 - Financial Incentives and Supports

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

Effective Date: 01-OCT-11

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
☐ Grants to programs to meet or maintain licensing	☐	☐	☐
☑ Grants to programs to meet QRIS or similar quality level	☑	☑	☐

☑ One-time awards or bonuses on completion of quality standard attainment	☑	☑	☐
☑ Tiered reimbursement tied to quality for children receiving subsidy	☑	☑	☐
☐ On-going, periodic grants or stipends tied to maintaining quality	☐	☐	☐
☑ Tax credits tied to meeting program quality standards	☑	☑	☐
☐ Other. Describe:	☐	☐	☐

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-11

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

		☑	☐
☑ **Environment Rating Scales** (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. The Universities of Southern Maine and Maine at Orono are conducting an evaluation of the implementation of Maine's child care quality rating system. The purpose of the evaluation is to describe the similarities and differences between similar programs at each of Maine's four steps of quality standards. For example, this evaluation will answer questions like, "Are Step One family child care programs the same or different than family child care programs at Step Four?" This type of study is referred to as a validation study of the Maine QRS standards by program type. University researchers collect survey data from child care program staff and from parents. In addition, research staff conducts on site observations using the Environmental Rating Scales for each type of program. Finally, information from the providers' self assessment on the standards is also used in the analysis. Programs are randomly selected for the evaluation and interim findings are shared with state agency leadership and other early care and education stakeholders in Maine. Dependent upon the pace of enrollment into the study, it is expected that the full sample will be complete no later than July 2011.	☑ Infant/Toddler ☑ Preschool ☑ School-Age	☑	☐
☑ **Classroom Assessment Scoring System (CLASS)** Describe, including frequency of assessments. Through the Child Care Research Partnership with the Department of Health and Human Services, the University of Southern Maine is conducting a longitudinal, implementation evaluation. The evaluation design consists of monitoring outcomes at the program, family and child levels. Program level measures include direct classroom observation using two instruments; the ECERS-R environmental rating scale and the CLASS, both are pre-school age classroom measures. These are used as classroom/teacher progress measures, the CLASS focusing on the quality of instruction with classroom activities intended to support cognitive development. The ECERS-R focusing on global quality and overall developmentally appropriate child care practices.	☑	N/A	☐
☐ **Program Administration Scale (PAS)** for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments.	☐	☐	☐

☐ 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.	☐	☐	☐
☑ Other. Describe: *As part of the Quality for ME system, the Early Childhood Quality Specialist completes a sample of randomly selected reviews of program portfolios for licensed providers who are assigned a Step 2-4 rating. The purpose of these visits is to validate the self-report information the licensed program submits in the Quality for ME application.*	☑	☑	☐

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:

As part of the Quality for ME system, the Early Childhood Quality Specialist completes a sample of randomly selected reviews of program portfolios for licensed providers who are assigned a Step 2-4 rating. The purpose of these visits is to validate the self-report information the licensed program submits in the Quality for ME application.

☐ None.

3.3.5 - Element 5 - Outreach and Consumer Education

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

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

Web based tools

☐ No. If no, **skip to 3.3.6.**

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

☑
Print

☐
Radio

☐
Television

☑
Web

☑
Telephone

☑
Social Marketing

☐
Other.

Describe:

☐
None.

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

None

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-11

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:

licensed or certified providers

☑

Participation is mandatory for:

any licensed provider receiving CCDF subsidy payments

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

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

☐ State/Territory is in the development phase
☐ State/Territory has no plans for development

☐
Other.

Describe:

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

☑
Child care centers

☐
Group child care homes

☑
Family child care homes

☐
In-home child care

☐
License exempt providers

☑
Early Head Start programs

☑
Head Start programs

☑
Pre-kindergarten programs

☑

School-age programs

☐

Other.

Describe:

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

Effective Date: 01-OCT-11

please describe:

The State of Maine will develop a strategic plan to support Family, Friend and Neighbor (FFN) providers throughout the State of Maine.

This strategic plan will utilize:

1. The Maine FFN Child Care Logic Model
2. Supporting Family, Friend and Neighbor Child Care Report, 2009

The desired objective of this delivery system is to:

Develop opportunities for regular communication with FFN caregivers and families who use FFN care.

Improve public knowledge of the role of FFN care in serving Maine's families and children and of the opportunities to
support it.

Develop or adapt materials to provide information to families and FFN caregivers on supporting children'
development and school readiness.

Open information and educational opportunities to FFN caregivers.

Explore how public and private programs can provide supplies and equipment to FFN caregivers to improve health,
safety, and educational opportunities for children.

Explore how FFN care can be supported through Maine's early care and education through *Quality for ME.*

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

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:

We have developed a web-based Quality Rating System (QRS) application to assess child care programs by combining self-report by child care provider, administrative data collected by the state child care licensing bureau, administrative data collected by the state professional development registry, and requirements of child care and school age accreditation systems. Linking to administrative data is designed to substantially relieve the burden on child care providers and Head Start programs participating in QRS and to increase reliability and validity. The state requires licensed programs receiving CCDF subsidy to enroll in QRS; enrollment by other programs is voluntary. The web-based measure of child care quality includes self-assessments in eight areas: compliance history/licensing status, learning environment/developmentally appropriate practice, program evaluation, staffing and professional development, administrative policies and procedures, parent/family involvement, family resources, and authentic assessment. The web-based application gives providers immediate feedback on quality overall and in each of the eight subscales, along with specific recommendations on how to move up to the next step of quality. We have conducted on-site observations (Environmental Rating Scales - ERS) of a random selection of programs enrolled in QRS to validate the web-based measure of quality.

☑

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

Describe:

Through the web-based Quality Rating System (QRS) application.

☐

Program scores on program assessment instruments.

List instruments:

Describe:

☐
Classroom scores on program assessment instruments.

List instruments:

Describe:

☑
Qualifications for teachers or caregivers within each program.

Describe:

Maine Roads to Quality Registry

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

Describe:

MACWIS (computer management system used by the Child Care Subsidy Program caseworkers)

☑
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:

Scholarships via Maine Roads to Quality
Mini grants via Maine Roads to Quality
Stipend reports

☐
Other.

Describe:

☐
None.

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

The University of Southern Maine and DHHS have conducted a joint project, initially funded through the federal US DHHS Child Care Bureau, has focused on the conduct of applied research and the development of enhanced data capacity related to government funded child care programs and services. The activities related to this project are outlined below and grouped into inter-related areas:

- Information developed for decision making from select analyses of federal/state childcare subsidy programs;
- Implementation and maintenance of a web based data system located at the University which generates information regarding the status of the Quality Rating System – findings to guide improvement of the quality of licensed childcare settings;
- Monitoring of the quality of select QRS providers including comparisons between providers receiving government subsidies and those that do not;
- Development of an inclusive statewide coalition for defining the child care research agenda for Maine and for conducting prioritized research projects;
- Resources and support to stay current in field of expertise.

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.

To implement and maintain an internal web based system in support of QRS evaluation, observation and reporting activities.

To complete a validation study in order to assess the current quality improvement system Step Levels; ERS, parent questionnaire and staff questionnaire.

To support providers with implementation of QRS and QRS related evaluation activities (e.g., support to enroll via online application and support with data collection activities).

To support providers with implementation of QRS and QRS related evaluation activities (e.g., support to enroll via online application and support with data collection activities).

To explore enhancement of current data set through the addition of data from Maine Revenue Services specific to parental use of tax credits, conditional on approval of Maine Revenue Services.

To disseminate research findings; "State of the State of Childcare Report", Policy Briefings, Journal articles and presentations at state / regional / national conferences

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?

- **Monitoring the access to quality care for parents/children in low income families**
- **Investigate access to child care for low income families, consider quality of settings**
- **Identify resources for programs to improve quality**
- **Investigate what types of supports are working so that programs can include children with special needs**
- **Develop better information concerning parental perceptions of quality and how parents choose child care settings**
- **Apply results from the QRS validation study to evaluate current Standards which encompasses the 5 key elements of quality improvement systems; in addition to identify areas for change and or improvement based on scientific research.**
- **Identify opportunities for additional data linking; consider linking to K-12 data systems.**
- **Continue our evaluation of the CLASS and ERS systems to monitor outcomes over a period of time to investigate research based tools and how they support providers in their Child Care settings.**
- **Determine how to better reflect the importance of the relationship between a provider and the child, whether it is through the current research or future research**

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

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

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

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

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

- Maine DHHS, Office of Child and Family Services, Early Childhood Division
- University of Southern Maine, Maine Roads to Quality
- University of Maine, Muskie School of Public Service
- University of Maine at Orono
- Resource and Referral System

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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

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

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

☐ Other.
Describe:

http://muskie.usm.maine.edu/maineroads/pages/ckt.htm

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:

MRTQ CORE KNOWLEDGE TRAINING

Starting Your Core Knowledge Portfolio (3 Hours) This training introduces the Core Knowledge Training Program, its uses in professional development and how the portfolio can transform training into college credit. Basic information includes procedures for documenting learning, orientation to the Maine Roads Professional Registry, and tracking hours of training.

Getting Started in Family Child Care (12 Hours) This training introduces the aspects of opening a family child care business in the home. It covers state certification procedures, health and safety practices, working with families, child development, community and professional resources, and business and professional development. (Required by DHHS for obtaining a family child care license.)

Working with School-Age Children and Youth (30 Hours) This training covers the aspects of providing child care for 5-13 year old children in a center-based or a family child care setting. It adheres to the standards and practices outlined for early care and education in the eight core knowledge areas and embeds the Quality Standards and best practices published in "Reaching Potential through Quality Afterschool" (March 2008). This training is also available in a web-based version.

Fostering the Social-Emotional Development and Competence of Young Children (30 Hours) This training focuses on helping all children, not only the children who fit in well, but those with "difficult" behaviors, develop social skills, self confidence and build their social-emotional intelligence. Participants will take an in-depth look at why children act out and how they can work preventively to diminish social difficulties. The content covers building relationships, assessing the environment and curriculum, designing strategies to support children to maintain peer relationships, develop skills to improve self regulation and conflict resolution, and identifying community resources when involving other specialists is needed.

Building Peaceable Nonviolent Early Childhood Settings (6 Hours) This training covers a broad range of topics, including the impact of nonviolent media and toys on children and their play; the influence of a peaceable classroom in counteracting harmful lessons about violence; and how to teach developmentally appropriate conflict resolution skills to children.

Operating a Family Child Care Business (24 Hours) This eight part curriculum is designed to develop and improve basic business management skills. Learning activities and take home action steps encourage participants to practice what they learn to improve the bottom line. Some of the topics are: Balancing Work and Family, Tips on Writing Contracts and Policies, Creative Marketing Ideas, Recordkeeping, Increasing Business Profits, and Growing the Business.

Completing Your Maine Roads Core Knowledge Portfolio (3 Hours) This training covers the higher education guidelines practitioners must meet to submit their portfolio for assessment for college credit. Practitioners will be able to pull together all of the Maine Roads curricula into a document that demonstrates ongoing professional development. This training is required for participants who wish to receive the Maine Roads Core Knowledge Training Program certificate of completion.

☐ None.

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

☐ To define the content of training required to meet licensing requirements
☑ To define the content of training required for program quality improvement standards (as reported in section 3.3)
☑ To define the content of training required for the career lattice or credential
☑ To correspond to the early learning guidelines
☐ To define curriculum and degree requirements at institutions of higher education
☐ Other.
Describe:

☐ None.

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

☑ Cross-walked with the Child Development Associate (CDA) competencies
☐ Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, Head Start SOLAR staff skills indicators)
☐ Cross-walked with apprenticeship competencies
☐ Other.
Describe:

☐ None.

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

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

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

assistants.
Describe:

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

Child Care Leadership Institute

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

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

☐ Other.
Describe:

☐ None.

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

☑ Birth-to-three
☐ Three-to-five
☑ Five and older
☐ Other.
Describe:

☐ None.

3.4.2 Workforce Element 2 - Career Pathways

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

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

☑ Yes.

Describe:

Registry and Career Lattice

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

http://muskie.usm.maine.edu/maineroads/pages/registry.htm

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:

Registry and Career Lattice

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

http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf

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

Child Care Leadership Institute

☑ Technical assistance providers (including mentors, coaches, consultants, home

visitors, etc.).
Describe:

Registry and Career Lattice

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

Registry and Career Lattice

☑ Other.
Describe:

School-age Practitioner Pathway

☐ 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:

☐ None.

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

☑ Voluntary guide and planning resource
☐ Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
☑ Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
☐ Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
☑ Required placement for participation in scholarship and/or other incentive and support programs
☑ Required placement for participation in the QRIS or other quality improvement system

☐ Other.
Describe:

☐ None.

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

☑ Yes.
If yes, describe:

Through the Maine Roads to Quality System structure

☐ 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.

Effective Date: 01-OCT-11

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:

http://muskie.usm.maine.edu/maineroads/index.htm
See website

☐ 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:

http://muskie.usm.maine.edu/maineroads/index.htm

☐ 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
☐ Other.
Describe:

☐ None.

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

☑ Training approval process.
Describe:

Standards to Approve Training:

1. The Training is developed with State of Maine (DHHS) funding or by a recognized national or regional Early Childhood Education organization,

2. The training has a written curricula, clearly defined goals and learning objectives and based upon Maine Early Childhood Core Knowledge areas.

3. The training is delivered by a qualified MRTQ trainer.

4. The training does not duplicate the Maine Roads to Quality Core Knowledge Training curricula,

5. The training curricula must be reviewed by a Training Review Committee (TBD) for content, learning goals and objectives biannually.*

6. The Training curricula's content will identify both the Core Knowledge Areas and CDA Subject area hours that are covered.

7. The Training will be eligible for CEUs, and have the potential to be delivered statewide. It is anticipated that this approved training will also be delivered over a period of time longer than a typical

one to two hour workshop.

8. The Trainer will keep track of participants and attendance and ensure that information will be sent in a timely manner to the Maine Roads to Quality Registry.

Once a Training program has been approved, it will be recognized by the Maine Roads Registry as approved training and become part of the participant's training record.
State approved training that is currently being delivered include: Maine Roads to Quality Child Care Leadership 1 and II, the Maine Humanities Council's Many Eyes, Many Voices, and Peaceable Stories, and the Infant Mental Health Association's Introduction to Infant Mental Health: Issues and Practice.

☑ Trainer approval process.
Describe:

The primary purpose of the Maine Roads to Quality Trainer Registry is to approve trainers who are qualified to train in the Maine Roads Core Knowledge Training Program. Maine Roads Core Knowledge trainers contract with the Centers to deliver training. All trainers are overseen by the RDC Education Specialist. Any trainer holding less than a Master degree must train in a team with the Education Specialist or another approved trainer who holds at least a Master's degree in Early Childhood Education or a related field.

Registered Trainer Levels
Novice:

• Has 5 years experience in relevant Core Knowledge Area
• Has 12 hours experience training adults
• Is supervised by a Trainer of Record
   Level One:

• Has 12 credit hours in related Core Knowledge Area or a Child Development Associate Credential (CDA)
• Has 5 years experience in relevant Core Knowledge Area
• Has 12 hours experience training adults
• Is supervised by a Trainer of Record
   Level Two:

• Has an Associate Degree (AA or AS) in related Core Knowledge Area
• Has 5 years experience in relevant Core Knowledge Area
• Has 12 hours experience training adults
• Is supervised by a Trainer of Record
   Level Three:

• Has a Bachelor Degree (BA or BS) in related Core Knowledge Area
• Has 5 years experience in relevant Core Knowledge Area
• Has 12 hours of experience training adults
   Level Four:

• Has a Master Degree (MA or MS) in related Core Knowledge Area
• Has 5 years experience in relevant Core Knowledge Area
• Has 12 hours of experience training adults
   Level Five:

• Has a Doctorate (Ph.D. or Ed. D) in related Core Knowledge Area

- Has 5 years experience in relevant Core Knowledge Area
- Has 12 hours of experience training adults

☑ Training and/or technical assistance evaluations.
Describe:

Done through surveys of providers who have received training and technical assistance

☐ Other.
Describe:

☐ None.

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

☑ Yes.
If yes, describe:

Yes. All seven community colleges have articulation agreements with the University of Maine System so that early childhood practitioners may use their coursework from the associates degree toward a four-year degree in the University of Maine System. Campuses negotiate this independently with some having program to program articulation and some offering transcript analysis toward meeting the requirements of the four year degree.

☐ No.

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

☑ Yes.
If yes, describe:

The Maine Roads to Quality Core Knowledge Training (180 hours) can be articulated at any of the Maine Community Colleges for 9 – 12 credits toward and ECE Degree. In addition all of Maine's Community Colleges offer some credit for completion of a CDA. The Maine Roads to Quality Core Knowledge Training can also be articulated into college credit at the University of Southern Maine (a 4 year degree granting institution).

☐ No.

3.4.4 Workforce Element 4 - Access to Professional Development

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

Effective Date: 01-OCT-11

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:

School age

☐ 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:

Training Calendar see website below

http://ecetrainingcalendar.muskie.usm.maine.edu/public/main.aspx

☐ No.

http://muskie.usm.maine.edu/maineroads/pages/ckt.htm

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

☑ Scholarships.
Describe:

http://muskie.usm.maine.edu/maineroads/pages/scholarship.htm

☐ Free training and education.
Describe:

☐ Reimbursement for training and education expenses.
Describe:

☐ Grants.
Describe:

☐ Loans.
Describe:

☐ Loan forgiveness programs.
Describe:

☐ Substitute pools.
Describe:

☐ Release time.
Describe:

☐ Other.
Describe:

☐ None.

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

☑ Yes.
If yes, describe:

Professional Development Career Counseling: As a Maine Roads Registry member, individuals can receive career counseling. It is often difficult to get the information needed to take the next step in professional development. The staff at Maine Roads to Quality and the Education Specialist at the local Resource Development Center can help sort through professional 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:

Maine's Resource Development Center provides Technical Assistance to providers that include but are not limited to:

- Provide telephone, e-mail, and in person technical assistance including collaborative consultation to child care providers related to *Quality for ME*, learning environment and developmentally appropriate practice, program evaluation, staffing and professional development, administrative policies and procedures, parent/family involvement, family resources, authentic assessment, health and safety, and inclusive practices.
- Maintain a resource library for providers. The list of available resources available will be on the RDC web site. The library will include professional development resources and developmentally appropriate curriculum resources.
- Compile and distribute a list of community agencies and programs available to support providers and the children in their care.
- Review technical assistance needs of providers and consult with the Maine Technical Assistance Network as needed to support program goals.

☐ No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce ConditionsDefinition - For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

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

☐ Yes.
If yes, describe:

☑ No.

b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

☐ Yes.
If yes, describe:

☑ No.

c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

☐ Yes.
If yes, describe:

☑ No.

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

☐ Yes.

If yes, describe:

☑ No.

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

Effective Date: 01-OCT-11

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):

Department of Labor

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

Maine Roads to Quality Registry

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

Maine Roads to Quality Registry

☑ Retention rates.
Describe (optional):

Every two years, the state collects information number of staff vacancies, number of staff leaving each position in past twelve months, and the turnover rate. This is based on the *Child Care Workforce Climate Report and Market Rate Analysis of October, 2010.*

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

Maine Roads to Quality Registry

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

Maine Roads to Quality Registry

☑ Number of scholarships awarded .
Describe (optional):

Maine Roads to Quality Reports

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

Resource Development Center Reports, MACWIS

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

Maine Roads to Quality Reports

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

Maine Roads to Quality Reports

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

Maine Roads to Quality Reports

☐ Other.
Describe:

☐ None.

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

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

☑ Yes.

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

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

Direct Care Lattice

http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf

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

Direct Care Lattice

http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf

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

Administrative/Management/Coordination Career Lattice

http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf

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

Family Education and Support Professional Career Lattice

http://muskie.usm.maine.edu/maineroads/pdfs/CareerLattices10.pdf

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

Maine Roads Trainer Registry

http://muskie.usm.maine.edu/maineroads/pages/trainerregistry.htm

☑ Other.
Describe:

Providers in school age programs

☐ 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?

Track the registry levels of the professionals that are enrolled in each of the career lattices in order to
verify these levels as they relate to the Staffing and Professional Development standard within the State
of Maine's quality improvement system.

Track the trainings that individuals receive that are enrolled in the provider registry in order to verify the
benchmarks as they relate to Learning Environment/ Developmentally Appropriate Practice standard
within the State of Maine's quality improvement system.

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.

- Maintain the MRTQ registry to ensure accuracy in data collection and sharing with *Quality for ME* with regard to the training, technical assistance and educational records of providers
- Tracking of professional development benchmarks including Career Lattice Levels, Credentials and ECE degree attainment for early childhood providers in Maine.

3.4.7 Goals for the next Biennium -

Effective Date: 01-OCT-11

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 3.4. 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?

- **Continue to promote and publicize the Provider Registry statewide.**
- **Complete and implement re-design of CKTP to include specialized pathways for providers in the areas of: preschool, director/administrator, and inclusion/diversity**
- **Develop competencies for preschool and inclusionary early childhood practitioners**
- **Collaborate with the Division of Licensing and Regulation on placement for all providers and professionals working in programs that are licensed or certified to be in the MRTQ provider registry.**
- **Complete and implement a re-design of all training approval processes for the training delivery system in the State of Maine.**
- **Complete and implement a re-design of the trainer approval processes for the training delivery system in the State of Maine.**
- **Convert existing curricula into online format in support of redesigned CKTP.**
- **Crosswalk leadership institute curricula with director credential competencies and NAEYC standards for State Director Credential.**