



ADMINISTRATION FOR
CHILDREN & FAMILIES  

Strengthening the Early Childhood and School-Age Workforce:

A Tool to Improve
Workplace Conditions, Compensation, and
Access to Professional Development



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About this Tool

Click on the following to find out more about the *Strengthening the EC and SA Workforce tool*:

- ➔ [Purpose](#) ➔ [Audiences](#)
- ➔ [Key Terms and Phrases](#) ➔ [Key Messages](#)
- ➔ [Organizing Framework](#) ➔ [Using this Tool](#)

Purpose

To support the Office of Child Care’s and the Office of Head Start’s priority of a strong early childhood (EC) and school-age (SA) workforce, the PDW Center developed a series of briefs, a guide for planning and implementing, and this tool on targeting workforce investments. These resources are designed to help State/Territory decisionmakers increase and retain a skilled workforce by improving EC and SA professionals’:

1. **Workplace conditions;**
2. **Compensation; and**
3. **Access to professional development (PD).**



This tool highlights strategies that combine supports for positive workplace conditions, increased compensation, and access to PD for the EC and SA workforce. Focusing on these three issues as part of a PD system requires decisionmakers to examine available funding and consider how to best package, stage, and target investments to meet State/Territory goals for the EC and SA workforce. Policymakers and programs can pilot promising practices, move them to scale, and sustain them as part of a **State/Territory aligned PD system**. These efforts will benefit the workforce and enhance services to young children and their families.

Audiences

This tool is for the range of policymakers and other leaders who contribute to building, enhancing, and administering aligned State/Territory PD systems for the EC and SA workforce, specifically including:

- Child Care and Development Fund Administrators and staff;
- Head Start State and National Collaboration Directors, large Head Start/Early Head Start grantees, and other Head Start/Early Head Start leaders;
- EC Specialists in State Departments of Education, Early Intervention and Special Education PD and Technical Assistance (TA) Coordinators, and other leaders in State Departments of Education;
- Representatives from boards of regents or higher education boards, or higher education organizations;
- PD system administrators;
- Child care resource and referral administrators, training organization directors and trainers, higher education institution administrators, EC/child development faculty, and TA organization administrators and providers;
- Head Start/Early Head Start, Child Care, and other EC and SA professional association administrators and staff; and
- Other early education, SA and youth development leaders, and key partners.

See the tool's [Organizing Framework](#) for specific sections designed for you.



Key Terms and Phrases

1. Workplace Conditions

Positive **workplace conditions** support staff retention and allow staff to translate new knowledge and skills into effective practice.

- A stable and supportive work environment sustained by effective management and leadership practices increases job satisfaction and retention.

2. Compensation

Pairing an increase in competency with an increase in **compensation** can help programs retain skilled staff.

- Competitive wages and benefits promote stability in the workforce, include pay commensurate with responsibility level, and qualifications and benefits such as disability and retirement, health insurance, and paid leave.

3. Access to PD

EC and SA professionals must be able to **access PD** to gain new knowledge and skills.

- Several types of supports can help practitioners access training, education, and TA that lead to increased qualifications and progression on career pathways. This includes:
 - Individual workforce supports such as scholarships, stipends, other financial aid, and release time;
 - Program supports like substitute pools, onsite mentoring, and coaching; and
 - System-level supports to provide training and education, credentials and degrees, and articulation agreements.

4. State/Territory Aligned PD Systems

Aligned PD systems consist of interrelated efforts, services, and supports that address the continuum of workforce needs with a common goal of building and sustaining an effective workforce. PD systems include education, training, and TA.

As policymakers and other leaders work to build aligned PD systems, there are an increasing number and variety of stakeholders to consider across:

- Roles—direct service professionals and those who work on behalf of young children and their families;
- Settings—centers, schools, and homes;
- Sectors—Child Care, Head Start/Early Head Start, public preschool/primary education, and early intervention/special education; and
- Related systems—family support, health, and mental health.

Exactly which sectors and systems compose a State/Territory's vision for an aligned PD system depends on its context, including its political and fiscal situation, where and how the PD system fits in its larger EC and SA systems, and its specific PD goals and priorities. A State/Territory's context can dictate the best approach(es) for successful alignment efforts.

5. Readiness

Readiness is a developmental point at which a person, organization, or system has the capacity and willingness to engage in a particular activity.

- Creating readiness for change is a critical component of initiating and scaling-up the use of evidence-based practices and other innovations.
- Proceeding with implementation before an individual or an organization is “ready” to change can lead to both ineffective and expensive implementation efforts. ([Fixsen, Blase, Horner, & Sugai, 2009](#))

Key Messages

- Improving workplace conditions, achieving fair and equitable compensation, and increasing access to PD for the EC and SA workforce requires a combination of strategies.
- It is important to address workplace conditions, compensation, and access to PD in the overall context of quality improvement and broader EC and SA systems.
- Addressing workplace conditions, compensation, and access to PD as part of a PD system requires the examination of available funding and the packaging, staging, targeting, and prorating of investments of those resources.
- Aligned PD systems can help States/Territories reduce duplication, streamline processes, and increase career mobility. Every reduction in cost, time, and attrition makes it possible to target more funding to program stability and staff salaries.
- To raise quality and retain effective educators, States/Territories can combine promising PD and workforce retention strategies at the professional, program, and system levels.
- Innovative policies and initiatives can improve workplace conditions, compensation, and access to PD.
- The management and leadership skills of center administrators and family child care providers are essential to making the most of the current system and to securing a better future for the workforce.
- Standards and policies can set expectations for staff qualifications, salary schedules, and working conditions and define markers for program quality.

Organizing Framework

This tool includes research, definitions, examples, and links to more information in the five major sections described below. Users are encouraged to identify and explore areas of interest and to apply the [Planning and Implementation Guide \(Section 4\)](#) to development and implementation steps.

1 WHY TARGETING INVESTMENTS MATTERS

This section provides background information on the workforce, the systems that support it, and the needs of State/Territory leadership. It provides the research base and rationale for targeted investments and strong policies that support positive workplace conditions, equitable compensation, and access to PD.



What's in it for me?

- ★ **The full range of policymakers and other leaders who contribute to building, enhancing, and administering aligned PD systems** can use this section to better understand the history and needs associated with the EC and SA workforce and the systems that support them. They can also benefit from the overview of related research and promising strategies.

2 FUNDING SOURCES

This section includes a matrix of funding sources that can be used to support practitioner positive workplace conditions, improved compensation, and access to PD. This section also explores ways States/Territories address the need for a well-qualified and fairly compensated workforce through direct funding, leveraging partnerships, shared services, and tax incentives.



What's in it for me?

- ★ **State/Territory or local policymakers, funders, or advisory committee members** can use this section to examine how sectors benefit from and contribute to workforce investments. This section can also inform their recommendations or decisions about combining strategies and prioritizing, staging, and targeting workforce investments.
- ★ **PD system administrators** can use this section to increase their understanding of funding sources and effective strategies to enhance positive workplace conditions, equitable compensation, and access to PD.
- ★ **Professionals that provide PD or other workforce supports** can use this section to learn about State/Territory PD systems and how the PD they provide connects to funding priorities.

3 PROGRAM MANAGEMENT, STANDARDS, AND BUSINESS PRACTICES

This section explores how program management, business practices, and leadership activities contribute to securing and retaining qualified staff and improving workplace conditions. This section also explores requirements for embedding administrative practices and qualifications within program standards to ensure and sustain effective program management and improve program outcomes.



What's in it for me?

- ★ **State/Territory or local policymakers, funders, or advisory committee members** can use the information in this section to examine how sectors benefit from and contribute to investments in enhanced program management practices. This section can also inform their recommendations or decisions about investing in management training, setting licensing and quality rating and improvement system (QRIS) standards for management qualifications and ongoing PD, and supporting higher education capacity to deliver management courses, degrees, and credentials.
- ★ **PD system administrators** can use this section to explore how effective management practices support positive workplace conditions, equitable compensation, and access to PD. This section also provides information about management practices embedded in licensing, QRIS, and other State/Territory and national performance standards.
- ★ **Professionals that provide PD or other workforce supports** can use this section to learn more about how the PD they provide supports management practices that enhance workplace conditions, compensation, and access to PD. This section also explains how the PD they provide links to the PD system and supports meeting licensing, QRIS, and other State/Territory and national performance standards.
- ★ **Direct service program leaders** can use this section to validate how their roles as leaders and managers support program quality and a great workforce.

4 PLANNING AND IMPLEMENTATION GUIDE

This tool outlines a five-step process that can support States/Territories as they move toward system innovation. Developing a comprehensive decisionmaking and implementation strategy requires an effective, aligned approach to supporting the EC and SA workforce's workplace conditions, compensation, and access to PD. This guide offers strategic decisionmaking assistance to State/Territory teams as they consider existing efforts, develop goals, assess their readiness to change, and form and evaluate an implementation plan.



What's in it for me?

- ★ **State/Territory PD system planning and/or implementation team members** can use this section to guide their strategic planning and implementation that supports a skilled and stable workforce qualified to serve in various roles across all sectors of the EC and SA field.

5 STRATEGIC APPROACHES: A STATE STORY

This section describes how West Virginia implemented comprehensive, strategic approaches to improve workplace conditions, compensation, and access to PD. The State story highlights alternative pathways of intentional, multifaceted, and promising approaches to tackling the issues of workplace conditions, compensation, and access to PD one strategic step at a time.



What's in it for me?

- ★ **State/Territory or local policymakers, funders, or advisory committee members** can use this section to explore a concrete example of how a combination of strategies enhances workplace conditions, compensation, and access to PD. This section can also inform their policy recommendations to support the workforce across settings and sectors.
- ★ **PD system administrators and professionals that provide PD or other workforce supports** can use this section to explore how a PD system, training entities, and institutes of higher education work together to align compensation and workplace supports with a continuum of cross-sector PD. This section can also inform their collaborative strategies to meet cross-sector workforce needs.

Using this Tool

Strengthening the EC and SA Workforce is a reference and resource tool. It is not designed to be read from start to finish. Please go directly to sections that are most meaningful to you.

This tool has “clickable” navigation. You can click on any underlined text to move to specific sections of the tool or to external references. You can also use the PDF Bookmarks to go directly to specific sections or subsections of this tool.

- Click on [blue underlined hyperlinks](#) to take you to sections, subsections, or specific references within the tool.
- On the upper right side of the first page of each section, you will find a tan text box with hyperlinked subsection topics. Click on any topic to go directly to that subsection.
- In the introduction of the sections, references to examples are underlined—click on them and they will take you to the full examples.
- All of the in-text citations include hyperlinks to the full citation in the References list for each section.
- Click on the [black underlined hyperlinks](#) to go to referenced external Web sites.
- Click on the Bookmarks tab on the left side PDF navigation to display the bookmark links. The bookmark links mirror the Table of Contents. You can click on a bookmark to go to a specific point of interest.

Reference

Fixsen, D. L., Blase, K. A., Horner, R., & Sugai, G. (2009, February). Scaling-up brief 3: Readiness for change. State implementation & scaling-up of evidence-based practices. FPG Child Development Institute, University of North Carolina at Chapel Hill. Retrieved from <http://files.eric.ed.gov/fulltext/ED507442.pdf>



Section 1

Why Targeting Investments Matters

Click on the following to learn more about why targeting investments to improve workplace conditions, compensation, and access to professional development matters:
➔ [History and Needs](#) ➔ [Quick Facts](#)



What's in it for me?

- ★ **The full range of policymakers and other leaders who contribute to building, enhancing, and administering aligned professional development (PD) systems** can use this section to better understand the history and needs of the early childhood (EC) and school-age (SA) workforce and the systems that support them. They can also benefit from the overview of related research and promising strategies.

History and Needs

Compensation for the EC and SA workforce is among the lowest for work requiring comparable skills in any field. Workplace conditions, compensation, and access to PD affect the recruitment and retention of staff in every role. Direct financial support and technical assistance (TA) to programs (centers and family child care) are needed to augment what parents can afford to pay, stabilize finances, and promote work environments that attract and retain effective educators. For centers to exceed basic requirements for teacher education levels required in State licensing and offer higher compensation, they either need to raise significant additional outside funding or expect a negative annual operating budget ([Mitchell, 2010](#)).

The compensation issue has been among the most difficult of all issues for policymakers and program administrators to tackle. State/Territory leaders struggle to find financial resources to address or sustain compensation efforts while maintaining resources needed to meet other priorities, such as increasing the number of children accessing EC and SA services. These leaders clearly understand the importance of addressing compensation issues. However, the complexity of these issues and the need to address and sustain them systematically continue to be a challenge.

Systems Context

EC and SA professionals have traditionally been served by multiple systems of preparation and ongoing support based on their role, setting, and funding source. EC and SA professionals with the same credentials can receive different compensation based on the programs and sectors in which they work. Financing sources, funder requirements, billing/payment processes, and timing all contribute to disparities in workplace conditions, compensation and benefits, and access to PD.

Through aligned systems, States/Territories can target strategies that combine workplace conditions with the EC and SA workforce's compensation and access to PD.

An aligned State/Territory PD system that provides opportunities for growth from entry through advanced levels enhances education, training, TA, professional progression, and staff retention.

Cross-sector coordination can result in efficient use of public and private funding, reduced duplication in PD offerings, more streamlined PD approval and tracking processes, and increased career mobility.



Every reduction in cost, time, and attrition makes it possible to target more funding to program stability and staff salaries.

It is important to address workplace conditions, compensation, and access to PD in the context of general quality improvement and broader EC and SA systems. Supports and rewards focused on improved program and practitioner quality must have an evidence base and be cost-effective in terms of results and outcomes to the extent that information is available.

In addition to understanding the evidence base behind individual quality improvement initiatives, policymakers and other leaders also need to know how different quality improvement supports combine to impact practitioner skills and stability; classroom quality and program sustainability; and outcomes for children, their families, and communities. Rather than using a single approach to improving workplace conditions, compensation, and access to PD, a combination of strategies may be needed to maximize the impact of workforce investments. An understanding of results, outcomes, and impacts can inform all workforce investments and provide evidence to reinforce and sustain supportive workforce policies.

The Chicken and the Egg: Workforce Data Challenges

Data-driven policymaking increasingly directs national and State/Territory EC and SA quality improvement initiatives. Strategic investments in proven, effective initiatives or promising strategies are critical, especially with limited or decreasing fiscal resources. State/Territory/local leaders need to know the basics about the workforce to assist with planning, development, and enhancement at all levels. Leaders need to know:

- ★ Who the workers are;
- ★ Where they work;
- ★ What qualifications and PD they have and need;
- ★ If their needs are being met; and
- ★ If PD systems and workforce initiatives are improving their practice and increasing job satisfaction and retention.

However, the nation and most States/Territories do not have a solid picture of the demographics and needs of the workforce. Without the ability to demonstrate an accurate baseline for the workforce, it is difficult to measure the effectiveness of initiatives or strategies that address retention. Efforts to gather workforce data strive to bridge State/Territory agencies and higher education systems, while complying with Federal regulations such as the Federal Education Rights Privacy Act. The different ways workforce data is collected further complicates this issue. Workforce data may be collected using differing processes, ongoing or point-in-time collections, or through verified or self-reported means with samples and targeted populations.

Multiple entities collecting data include:

- ★ PD initiatives and registries, child care resource and referral agencies;
- ★ Licensing, school districts, and other regulatory bodies;
- ★ Corporate, multisite employers;
- ★ Higher education institutions and other research organizations;
- ★ Unions;
- ★ Accreditation systems (national and regional);
- ★ Quality Rating and Improvement Systems; and
- ★ Federal agencies.

A high-quality, coordinated, documented, and accessible workforce data system can answer leaders' questions related to the characteristics of the workforce. State/Territory and national momentum is growing for the improvement and development of EC and SA workforce data systems.

- ★ The Office of Planning, Research and Evaluation (OPRE), part of the Administration for Children and Families, commissioned a historic national survey on the workforce: [The National Survey of Early Care and Education \(NSECE\)](#). The survey results provide a nationally representative portrait of early care and education teachers and caregivers working directly with young children in center-and home-based settings. The NSECE results include new details on workforce demographics such as age, education, experience, attitudes toward children and parents, wages/benefits, bilingual skills, and age of children in care.
- ★ OPRE supports the Quality Initiatives Research and Evaluation Consortium (INQUIRE). A group of INQUIRE members developed the [INQUIRE Data Toolkit](#) to support effective data collection and the use of common data elements to answer important policy and reporting questions. The toolkit includes two components: (1) a Linkages Guide and (2) a Dictionary of Common Data Elements.
- ★ [The Child Care and Development Fund \(CCDF\) State/Territory Plan preprint](#) requests that States and Territories provide information on access to the data elements related to qualifications for teachers or caregivers within a given program in the context of overall program quality. Through the CCDF State/Territory plan submission and reporting processes, grantees are asked about their capacity to provide data on the current child care workforce and performance measures related to PD and workforce improvement. Data points requested by the Office of Child Care include the size of the child care workforce, demographic characteristics of practitioners or providers working directly with children, records of individual teachers or caregivers and PD specialists and their qualifications, number of scholarships awarded, number of credentials and degrees conferred annually, number of individuals receiving bonuses or other financial rewards or incentives, and completion or attrition rates for training/TA and degree programs.

- ★ The Head Start Program Information Report (PIR) must be completed by all programs funded by the Federal government to operate Head Start and Early Head Start programs. Each grantee and each delegate agency must complete a separate PIR. Separate reports must be completed for Head Start and Early Head Start programs. Data on programs, staff and qualifications, and child and family services are collected annually through Head Start's enterprise reporting system. Among the data reported are staff by type; qualifications for child development staff, family and community partnership staff, and education and family services staff; salary by education level; and turnover.
- ★ The Race to the Top—Early Learning Challenge grant required applicants to respond to questions about the number and percentage of EC practitioners moving up State career lattices and achieving State and national credentials. The applicants were asked to address public reporting of aggregated data on EC educator development, advancement, and retention. Winning States are also asked to track retention of the EC workforce.
- ★ According to the National Registry Alliance, at least 33 States have developed workforce registries. These States have contributed significant resources to registry development primarily using their CCDF quality dollars, and their systems have the potential to collect and link unified data on the EC and SA workforce across all sectors and settings.
- ★ As a subgroup of the Early Childhood Data Collaborative, the Center for the Study of Child Care Employment led an effort to create consistency in the data collected on the EC and SA workforce. This group has made significant progress in data alignment by developing a listing and summary of similar data categories collected across registries, Teacher Education and Compensation Helps (T.E.A.C.H.) Early Childhood[®], and the National Association for Child Care Resource and Referral Agencies (NACCRRRA, now Child Care Aware[®]). Subgroup participants included NACCRRRA, the National Registry Alliance, Child Care Services Association, and the National Association for the Education of Young Children.
- ★ National partners are working together to inform potential revisions to early education and child care workforce descriptions in the Standard Occupational Classifications for the Bureau of Labor Statistics and categories for the U.S. Census Bureau's data collection efforts.



Innovation Is Required

The EC and SA workforce compensation issue cannot be fully resolved until the overarching financing issue for the EC and SA care and education delivery system is addressed. However, strategies are currently in play that have improved workplace conditions, compensation, and access to PD. The examples included in this tool—both proposed and implemented—show that innovative policies and programs can have a positive impact on workplace conditions and compensation and increase access to PD.

In light of the previously described data challenges, this tool shares some examples that have a limited evidence base. These examples are promising practices that may be successful and will contribute information to an emerging evidence base related to workplace conditions, compensation, and access to PD. While our national and State/Territory data and data systems are being strengthened, new initiatives and strategies can and should intentionally include measurable outcomes.

Innovation can challenge existing approaches and investments and inform repurposing and repackaging. When considering innovations, policymakers and other leaders can support readiness to change, systems intervention, and performance assessment that demonstrate positive outcomes while building, enhancing, and administering an aligned State/Territory PD system. These leaders can learn from and build on the examples in this resource. Policymakers and programs can pilot promising practices, move them to scale, and identify ways to sustain them as part of aligned PD systems. By addressing staff competency and retention, aligned PD systems and workforce initiatives can contribute to strong, consistent, nurturing relationships that foster positive early learning and development experiences for all young children.

Quick Facts

EC and SA Workforce Facts

- ★ The EC workforce is comprised of about 1 million center-based teachers and caregivers, 1 million paid, home-based teachers and caregivers, and an additional 2.7 million unpaid home-based teachers and caregivers.
- ★ Center-based teachers and caregivers earn a median hourly wage of \$10.60. Preschool teachers' median hourly wage is \$11.90, while infant/toddler caregivers' median wage is \$9.30.
- ★ In 2012, about three-fourths of center- and home-based teachers and caregivers reported that they had some form of health insurance.
- ★ Fifty-three percent of center-based teachers and caregivers have college degrees; 35.5% have bachelor's or graduate/professional degrees.
- ★ Center-based teachers and caregivers working full-time have a median early childhood education (ECE) experience of 14 years and only 4% have less than 1 year of experience ([NSECE, 2013](#)).

Addressing PD and retention for the EC and SA workforce has positive benefits for society. Investments in the workforce increase job creation, program quality, effective practice, and positive outcomes for children. These investments promote a combination of promising strategies that address PD and workforce retention at individual professional, program, and system levels. The following key facts summarize how investing in this workforce supports both quality and outcomes.

Investment in high-quality EC and SA programs is smart economic development.

- ★ Participating in high-quality EC programs can increase children's kindergarten readiness ([Denton Flanagan & McPhee, 2009](#)), reduce public expenditures on remedial programs ([Weiss, 2010](#)), and raise future lifetime earnings ([Bartik, 2011](#)).
- ★ A new dollar spent in the EC sector translates to a broader statewide economic impact of at least \$2.00. For each new job created in this sector, the broader statewide impact is 1½ jobs ([Warner, 2009](#)).
- ★ The Federal Reserve Bank of Minnesota estimated that investment in a high-quality preschool programs and enrichment through third grade resulted in a 16% return rate (ratio of money gained in relation to money invested), with 80% of the benefits accruing to society at large, not just to the individual child ([Grunewald & Rolnick, 2003](#)).

High quality requires an effective EC and SA workforce.

- ★ Critical factors in the quality of early learning programs are the educators' characteristics—including education, specialized training, and attitudes about their work and children—as well as aspects of their work environment, such as low ratios of children to staff, small group sizes, and adequate compensation ([Shonkoff & Phillips, 2000](#)).
- ★ Higher levels of staff education and training—especially with an EC focus—are associated with better quality in the early learning environment ([Tout, Zaslow, & Berry, 2005](#)).
- ★ Sensitive, warm, and frequent educator–child interactions promote EC learning and prosocial development ([Tout et al., 2005](#)).

Attainment and application of critical knowledge, skills, and dispositions can improve EC and SA educator effectiveness.

- ★ Key competencies include knowledge about children's growth and development; ability to develop good relationships with families; use of appropriate child assessment strategies to guide curriculum; content knowledge in academic areas; and commitment to engaging in collaborative learning and reflective practices ([National Association for the Education of Young Children \[NAEYC\], 2009a](#)).
- ★ Effective EC and SA teachers have the skills and supports to translate knowledge into practical solutions in their interactions with children and families ([NAEYC, 2009b](#)).
- ★ The leadership of the center director plays an important role in encouraging PD and creating a supportive work environment ([Rohacek et al., 2010](#)).

Workforce turnover is detrimental to promoting stable, consistent relationships between educators, young children, and their families.

- ★ Relationships are the building blocks of EC development; continuity of care promotes social-emotional development, especially among infants and toddlers in nonparental care ([Shonkoff & Phillips, 2000](#)).
- ★ High turnover rates negatively impact teacher-child relationships, the global quality of programs, and the supply of quality EC programs ([Cassidy, Lower, Kintner-Duffy, Hegde, & Shim, 2011](#)).
- ★ Forty percent of the afterschool workforce turns over annually ([US Government Accountability Office, 2012](#)).

To raise quality AND retain effective educators, States/Territories can combine promising PD and workforce retention strategies at [professional](#), [program](#), and [system](#) levels.

SUPPORT PROFESSIONALS

State/Territory systems that address funding mechanisms and support administrators, teachers, family child care providers, ancillary staff, and paraprofessionals will help programs retain qualified personnel and, moreover, ensure that early learning and development needs of children and families are met. Securing and sustaining adequate compensation and a positive workplace prevents personnel turnover and subsequent high fiscal and quality costs to families and programs. Low wages, lack of benefits, and poor work environments contribute to turnover, especially in under-resourced EC and SA programs.

- ★ Wages are closely tied to educational attainment in ECE as they are in the overall U.S. economy; however, wages for college-educated ECE teachers and caregivers are much lower than for comparably educated workers in the overall economy ([NSECE, 2013](#)).
- ★ The NSECE indicated that wages were lowest for those with no more than a high school diploma or some college. They were substantially higher—about \$2 an hour, or \$4,000 more a year—for teachers and caregivers with 2-year associate’s degrees, and much higher for those with at least a 4-year degree ([NSECE, 2013](#)).
- ★ Educational attainment and wages are highest for school-sponsored, center-based programs, next highest for other centers with Head Start funding, and lower for other ECE centers or those with public pre-K funding ([NSECE, 2013](#)).
- ★ Low child care wages make it difficult for child care professionals to afford increased formal education or credentials ([Ackerman, 2006](#)).
- ★ Low wages undermine program quality because they increase turnover rates, which exceed 50% in some States ([Ackerman, 2006](#)).
- ★ Staff members who are happy in their jobs provide better care and are better practitioners ([Organisation for Economic Co-operation and Development, n.d.](#)).



Promising strategies to enhance skills of professionals and increase retention include the following:

- ★ **Provide scholarships and supports.** Financial supports help individuals access and successfully complete specialized EC development education or training. The vast majority of States that have T.E.A.C.H. Early Childhood[®] scholarship and wage incentive projects report less than a 10% turnover rate among 2-year associate degree scholarship recipients ([Child Care Services Association, 2012](#)).
- ★ **Supply ongoing and onsite coaching and mentoring.** TA methods like coaching and mentoring appear more likely to change teacher practice than traditional workshops ([Campbell & Milbourne, 2005](#)), sharpen family child care providers' skills, and increase the providers' sensitivity to children ([Bromer, Van Haitsma, Daley, & Modigliani, 2008](#)).
- ★ **Offer competitive salaries or financial incentives linked to qualifications and skills.** Strategies offering compensation parity and rewarding increased qualifications can attract and retain staff in centers ([Torqued, Raikes, & Huddleston-Casas, 2007](#); [Boyd & Wandschneider, 2004](#); [Park-Jadeite, Golin, & Gault, 2002](#)). For example, the WAGE\$[®] initiatives report turnover rates from 0–12% among participants ([Child Care Services Association, 2012](#)).
- ★ **Establish health insurance, paid leave, and disability and retirement benefits.** A combination of one or more of these benefits has been linked to EC workers' intention to stay in the field ([Cornille, Mullis, Mullis, & Shriner, 2006](#); [Holochwost, Demott, Buell, Yannetta, & Amsden, 2009](#)).

STABILIZE PROGRAMS

State/Territory EC and SA policy makers and other leaders can prioritize investments that enhance program stability; address funding mechanisms and payment processes that support adequate staffing and programming; and support program standards that ensure professionally prepared staff and effective business practice. Most EC and SA programs operate on a fee-for-service basis and do not have access to the per-child State funding of public schools and universities or to private donations. Expenditures on wages and benefits typically account for about 80% of a child care center's budget ([Oliveira, 2003](#)).

Parents cannot afford to pay what it costs to offer compensation competitive with public schools.

- ★ CCDF guidance recommends that parents with low incomes not be required to pay more than 10% of their income toward subsidized child care ([Administration for Children and Families, 1998](#)).
- ★ The average cost of full-time infant care (ranging from \$4,650 in Mississippi to \$18,200 a year in the District of Columbia) exceeds 10% of a State's median income for a two-parent family in 40 States ([National Association of Child Care Resource and Referral Agencies, 2011](#)).

Quality suffers when programs are financially unstable or poorly managed.

- ★ Observed quality levels tend to be lower in centers where directors report higher levels of financial strain ([Rohacek et al., 2010](#)). More expensive program features, such as low ratios and small group sizes, are important to increase job satisfaction ([Cassidy et al., 2011](#)) and to ensure the quality and safety of the work environment.



Promising strategies to increase retention and stabilize programs include the following:

- ★ **Improve directors' administration and leadership skills** ([Rohacek et al., 2010](#)) and **methods of proactively managing turnover** ([Cassidy et al., 2011](#)). Program leaders with these skills are better fiscal managers and promote increased staff stability.
- ★ **Explore how individual or business tax credits/deductions can help finance programs, leverage additional private investment, and create incentives for EC programs to offer high-quality services** ([Stoney & Mitchell, 2007](#)). Tax credits give parents an incentive to choose high-quality early learning programs and create a market demand to which programs respond. Tax credits can also ease the financial burden of investments that providers must make to reach a level of quality that entitles parents to a tax credit. Finally, tax incentives for private industry create opportunities for businesses and employers to invest in their workforce by contributing to the quality of EC and SA care choices in their community.
- ★ **Partner with shared service alliances, family child care staff networks, or similar initiatives to promote economies of scale within EC and SA programs.** These economies give programs additional fiscal flexibility which allows them to increase staff compensation and improve workplace conditions, thus increasing staff satisfaction and retention ([Stoney, 2004](#)).

COORDINATE BETWEEN SYSTEMS

EC and SA leaders can better coordinate efforts by working across sectors to create an aligned PD system. PD priorities and resources are attached to each of the major system sectors, including Child Care, Early Head Start, Head Start, prekindergarten, public schools, and early intervention. Cross-sector coordination can result in efficient use of public and private funding, reduced duplication in PD offerings, more streamlined PD approval and tracking processes, and increased career mobility. **Every reduction in cost, time, and retraining makes it possible to target more funding to program stability and staff salaries.**



Promising strategies to align PD initiatives and coordinate systems include the following:

- ★ **Build on and coordinate with other PD system efforts.** North Dakota increased the capacity of its child care resource and referral system to deliver training accessible anywhere by partnering with the national Aim4Excellence™ and Minnesota Eager-to-Learn online training program. The program also links onsite TA and financial incentives to completion of training that leads to credentials. In 2011, Minnesota used general revenue funds to pay for the program, which was started with funding from the American Recovery and Reinvestment Act of 2009.
- ★ **Examine usage/uptake of allocated funds for PD and workforce compensation and conditions.** Washington used data from its Managed Education and Registry Information Tool (MERIT) system to plan for expansion of the State's Early Achievers Opportunity Grants program and the Washington Scholarships program for State-approved training and degrees. The State is also using MERIT data to develop a recommended statewide salary scale to promote adequate compensation for the workforce.
- ★ **Repackage resources to target a combination of the supports and financial assistance that individual professionals and programs need to change practice and improve quality.** Delaware is enhancing its scholarship and bonus program by targeting resources to programs serving a large percentage of children with high needs. Wage supplements are linked to educational attainments and program quality level. Program standards recognize incremental salary schedules. Program administrators receive TA to implement a wage scale, support program quality, and improve practice.

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Section 2

Funding Sources

Click on the following to find out more about funding strategies and approaches to improve workplace conditions, compensation, and access to professional development:

- ➔ [Funding Matrix](#)
- ➔ [Direct Funding](#)
- ➔ [Leveraging Partnerships](#)
- ➔ [Shared Services](#)
- ➔ [Tax Incentives](#)



What's in it for me?

- ★ **State/Territory or local policymakers, funders, or advisory committee members** can use this section to examine how sectors benefit from and contribute to workforce investments. This section can also inform their recommendations or decisions about combining strategies and prioritizing, staging, and targeting workforce investments.
- ★ **Professional development (PD) system administrators** can use this section to increase their understanding of funding sources and effective strategies to enhance positive workplace conditions, equitable compensation, and access to PD.
- ★ **Professionals that provide PD or other workforce supports** can use this section to learn about State/Territory PD systems and how the PD they provide connects to funding priorities.

Introduction

This section provides an overview of levels, sources, and uses of current funding for the early childhood (EC) and school-age (SA) workforce. It includes a matrix of funding resources often used to support better working conditions, improved compensation, and practitioner access to PD, and specific State examples.



Details of What I Will Find in This Section

Examples in this section combine multiple approaches to improve and stabilize the workforce. For instance, Growing Child Care [North Dakota](#) combined easy access to free training, individual PD planning, onsite consultation, scholarships to complete training that leads to credentials, and financial supports for facility and programming improvements using a one-time investment in funding from the American Recovery and Reinvestment Act (ARRA). [Delaware's](#) Compensation, Retention, and Education Awards (CORE) funded by Race to the Top—Early Learning Challenge (RTT-ELC) includes a compensation initiative tied to the State's career lattice. The initiative also increases compensation for staff working in programs in the State's Quality Rating and Improvement System (QRIS) levels 3–5. The initiative targets those serving a high density of children receiving child care assistance.

This section is organized by the following sources of funding strategies and approaches:

- A [Funding Matrix](#) of information on federal funding available to States/Territories or to programs within States/Territories. Includes the [State example](#):
 - [Illinois'](#) EC Programs Sources of Funding.

- [Direct Funding](#) strategies that support program supports for workplace conditions, , individual wage and benefit supports, and access to PD. [State examples](#) include:
 - [Delaware's](#) Compensation, Retention, and Education Awards;
 - Growing Child Care in [North Dakota](#);
 - [Washington's](#) Scholarships, Early Achiever Opportunity Grants, and Career Lattice Participation and Education Awards; and
 - REWARD [Wisconsin](#) Stipend Program.

- [Leveraging Partnerships](#) and blending/Head Start/ Early Head Start/Child Care/prekindergarten funding to enhance workplace conditions and provide professional salaries and benefits. [State examples](#) include:
 - [Illinois'](#) Preschool for All and Illinois' Early Childhood Collaboration;
 - [New Jersey's](#) Department of Education-Funded Preschool Program; and
 - [Vermont's](#) Early Education Initiative Grants.

- [Shared Services](#) that use combined purchasing power and economies of scale to reallocate funds for staff and program quality improvement. [State examples](#) include:
 - [Virginia's](#) Infant/Toddler Family Day Care; and
 - [Washington's](#) Sound Child Care Solutions.

- [Tax Incentives](#) that encourage parents to choose high-quality programs, reward early learning programs for achieving and maintaining quality, and promote investment in program quality improvements by the private sector. [State examples](#) include:
 - [Louisiana's](#) School Readiness Tax Credits; and
 - [Maine's](#) Child Care Investment Tax Credit.



The State examples included in Direct Funding, Leveraging Partnerships, Shared Services, and Tax Incentives subsections specify the **Area(s) Addressed** (Workplace Conditions, Compensation, and/or Access to PD) and provide an overview **Description** (including eligibility and focus on workplace conditions and compensation). They also describe:

Innovations



PD and Other System Linkages



Lessons Learned and Promising Practices



Background

According to a U.S. Government Accountability Office (GAO) report issued in 2012, 37 State survey respondents indicated that, from 2007 to 2010, States spent:

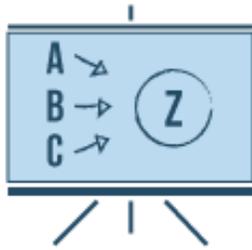
- \$848 million on inservice training, coaching, and mentoring (37 States; 60% of total expenditures);
- \$259 million on scholarships (34 States; 20% of total expenditures);
- \$172 million in wage supplements (18 States; 12% of total expenditures); and
- \$17 million on registries (27 States; less than 1% of total expenditures)

([U.S. Government Accountability Office, 2012, p. 25](#)).

The GAO report reveals the federal Child Care and Development Fund (CCDF) and State governments fund most (40% each) of the investments in workforce quality improvement activities. Other sources of funding included the Individuals with Disabilities Education Act (IDEA) and Title I, Head Start/Early Head Start, and other federal funding and private funding sources. Furthermore, the report indicates that the majority of funding (60% of total expenditures) supports inservice training and other PD activities, including mentoring and coaching. Of total expenditures, 20% funds scholarships, and only 12% supports wage supplement strategies ([U.S. Government Accountability Office, 2012, p. 27](#)).

While these statistics and participation reports provide a snapshot of investments and the people they touch, they do not reveal the most effective ratio of investments in scholarships, training, wage supplements, and management skill-building. The statistics and reports also do not explain how to prioritize and sequence the implementation of these investment strategies and how to shift the ratio of investments over time to achieve the greatest results. Awareness is the first step. This section provides examples of funding sources and State investments.

Strategic Decisions



[Section 4—Planning and Implementation Guide](#) provides five suggested steps for decisionmaking as State/Territory planning and implementation teams move towards systems innovation. All of the steps in this guide are important for State/Territory planning and/or implementation teams' discussions and work. Guide steps specifically relevant to funding decisions include:

- An initial step of scanning current initiatives and investments related to the EC and SA workforce. One of the four key components in this scan targets funding level and sources to establish a detailed map of system investments and options for repackaging investments to achieve desired goals.
- A step to determine the fit and feasibility and readiness to change once goals and desired outcomes are determined. This step's [Consideration of Required Changes](#) can help teams focus on specific targets and potential combinations of resources and investments.



Funding Matrix

The following matrix provides information on federal funding available to States/Territories or to programs within States/Territories. The matrix lists guidelines, restrictions, and funding requirements related to staff wages, benefits, PD, program quality, and other approved uses for each funding source. Most of the information in this matrix is taken from a 2012 GAO report ([U.S. Government Accountability Office, 2012, p. 21](#)).

Policymakers and other leaders can use these funds to support workplace conditions, compensation, and access to PD and to encourage a defined outcome (such as worker quality) or a new innovative approach. In addition, these public sources of funding may supplement parent fees; State/Territory general revenue allocations or awards; foundation and business sector grants and awards; and other program-level fundraising used to support workplace conditions, compensation, and access to PD.

Please note there are other sources of federal funding not included in the following matrix. The source and type of funding depend on the goals, target audience, and the organization that is requesting funding. A free, searchable database of federal funding opportunities is available at http://www.financeproject.org/fedfund_search.cfm. Users can search by use of funds, federal agency, type of funding, who can apply, and matching requirements.

Table 1. Funding Matrix

Examples of Federal ECCE Programs and Activities to Improve Worker Quality			
Agency	Program	Funding requirements	Types of early childhood care and education (ECCE) worker quality improvement uses
U.S. Department of Health and Human Services (HHS)	CCDF	At least 4% of awarded grants must be used for program quality improvement activities, which can include ECCE worker quality improvement activities.*	<p>Program quality improvement includes workforce training and wage supplementation. States may use these funds:</p> <ul style="list-style-type: none"> • To build State PD systems and QRIS; • To train infant and toddler caregivers on topics such as sudden infant death syndrome; and • For scholarships and wage supplementation to individuals. For example, funds have gone to the Teacher Education and Compensation Helps (T.E.A.C.H.) Early Childhood® Project, which provides scholarships for child care workers to attend college classes related to child development. <p>Child Care, Head Start/Early Head Start and pre-K programs can benefit from CCDF funding because the funding of quality improvement occurs at the state system level. This means that the State’s ECCE workforce benefits from high quality training, scholarship, technical assistance and other State PD system investments made with CCDF quality funds.</p> <p><i>For more information see: http://www.acf.hhs.gov/programs/occ/about/what-we-do</i></p>

Examples of Federal ECCE Programs and Activities to Improve Worker Quality			
Agency	Program	Funding requirements	Types of early childhood care and education (ECCE) worker quality improvement uses
HHS	Head Start and Early Head Start	From 2.5% to 3% must be used to fund training and technical assistance (TA) activities, some of which is reserved for Early Head Start programs. Additional funds are reserved for improving program quality.	<p>TA and program quality improvement funds may be used for multiple worker improvement activities, including improving staff qualifications, implementing career development programs, wage supplementation, and scholarships. HHS has provided Head Start/Early Head Start funds for:</p> <ul style="list-style-type: none"> • Training one staff member per grantee to use Head Start’s Classroom Assessment Scoring System to promote instructional quality; and • Wage supplementation and scholarships, such as a 2009 one-time program that helped grantees meet degree requirements. <p>Child Care and pre-K programs can benefit from Head Start and Early Head Start funding by collaborating with Head Start/Early Head Start programs in the delivery of full or part day services to eligible children and families. Child Care and pre-K programs can also benefit from PD offerings hosted by Head Start/Early Head Start programs, which are often open to community ECCE programs.</p> <p><i>For more information see:</i> http://eclkc.ohs.acf.hhs.gov/hslc/standards/Head%20Start%20Act#640</p>
HHS	Temporary Assistance to Needy Families (TANF)	No specific requirements for amount that must be spent on ECCE worker or quality improvements.	<p>States may use up to 30% of their TANF funds for CCDF, which may then be used for all CCDF-eligible expenditures, including PD activities, increasing payment rates to better compensate child care workers, and establishing or enhancing incentives for providers who attain accreditation.</p> <p>Child Care, Head Start/Early Head Start and pre-K programs can benefit from TANF funding because the funding can be used to augment the State’s CCDF quality improvement activities such as training, scholarship and technical assistance initiatives. Additional funds from TANF help to extend the capacity of a State’s quality initiatives to expand access to more of the State’s ECCE workforce.</p> <p>For more information see: http://www.acf.hhs.gov/programs/ofa/programs/tanf</p>

Examples of Federal ECCE Programs and Activities to Improve Worker Quality			
Agency	Program	Funding requirements	Types of early childhood care and education (ECCE) worker quality improvement uses
U.S. Department of Education (ED)	Programs under the Individuals with Disabilities Education Act (IDEA), especially Part D	No specific requirements for amount that must be spent on ECCE worker or quality improvements.	<p>IDEA’s Part D provides some funding for improving quality of ECCE workers, including for PD and training. For example, IDEA funding has been used for:</p> <ul style="list-style-type: none"> • Credentialing programs, such as the Combined Priority for Personnel Preparation grants, to increase the number and quality of workers credentialed to serve infants, toddlers, and children with disabilities; and • Training using such funds as Paraprofessional Pre-Service Program Improvement Grants, which support enhancing program curricula in early intervention, EC special education, and EC paraprofessional programs. <p>Child Care, Head Start/Early Head Start and pre-K programs can benefit from IDEA’s Part D funding to support PD for ECCE workers when IDEA funds are used at the system level. For example, funding of higher education institutions to provide increased access to ECCE PD. IDEA’s Part D funding at the program level can benefit Child Care and Head Start/Early Head Start when these programs collaborate to provide Public pre-K programming.</p> <p><i>For more information see:</i></p> <ul style="list-style-type: none"> • IDEA General: http://idea.ed.gov/ • IDEA Part D: http://idea.ed.gov/explore/view/p/%2Croot%2Cstatute%2CI%2CD%2C654%2C

Examples of Federal ECCE Programs and Activities to Improve Worker Quality			
Agency	Program	Funding requirements	Types of early childhood care and education (ECCE) worker quality improvement uses
ED	Improving the academic achievement of the disadvantaged (Elementary and Secondary Education Act Title I)	No specific requirements for amount that must be spent on ECCE worker or quality improvements.	<p>Title I funds can be used:</p> <ul style="list-style-type: none"> • For training on effective teaching practices, PD that aligns with State content standards, or coaching for preschool teachers in public elementary schools with high numbers of children from low-income families; and • In conjunction with other funding such as Head Start/Early Head Start. <p>Child Care, Head Start/Early Head Start and pre-K programs can benefit from Title I funding when funding is used to support ECCE PD for programs providing pre-K in collaboration with local public schools. Through these collaborations, training and TA provided by local school systems can be made available to ECCE workers across the collaboration partners.</p> <p><i>For more information see:</i> http://www2.ed.gov/programs/titleiparta/index.html</p>

Examples of Federal ECCE Programs and Activities to Improve Worker Quality			
Agency	Program	Funding requirements	Types of early childhood care and education (ECCE) worker quality improvement uses
ED	21st Century	Up to 1% is reserved for national activities.	<p>21st Century funding reserved for national activities can include TA and training to improve the quality of the afterschool programs workforce. For example, Education hosts a 21st Century program institute each summer that includes TA. Additionally, States may use up to 3% of the funds for their own TA, which can include PD and ECCE worker quality improvement activities.</p> <p>Child Care, Head Start/Early Head Start and pre-K programs can benefit from 21st Century funding of PD for the afterschool workforce when 21st Century programming is offered in collaboration with a child care, Head Start/Early Head Start or pre-K program. Through these collaborations, training and TA provided by 21st Century can be made available to ECCE workers across the collaboration partners.</p> <p><i>For more information see:</i></p> <ul style="list-style-type: none"> • 21st Century, National Programs: http://www2.ed.gov/policy/elsec/leg/esea02/pg53.html • 21st Century, State Grants: http://www2.ed.gov/policy/elsec/leg/esea02/pg52.html • 21st Century Community Learning Centers: http://www2.ed.gov/policy/elsec/leg/esea02/pg55.html

*The Child Care and Development Block Grant Act of 1990 requires a minimum of 4% of CCDF funds be used to improve the quality of child care and other additional services to parents (42 U.S.C § 9858 et seq.). Since 2000, the annual appropriations law has required the use of specified amounts of CCDF funds for targeted purposes, including quality expansion, infant and toddler quality, SA, and resource and referral. When including these targeted funds, States are required to expend about 7% of their allotment on quality activities, but States regularly report spending more than the required amount on these activities. In Fiscal Year 2012, States reported spending 12% (\$1 billion) of total federal and State expenditures on quality activities, including workforce quality improvement activities ([US Department of Health and Human Services, 2012](#)). FY 2012 CCDF Allocations (Based on Appropriation) is available at http://www.acf.hhs.gov/sites/default/files/occ/final_allocations_2012.pdf. CCDF State Expenditure Data for 2012 is available at <http://www.acf.hhs.gov/programs/occ/resource/expenditures-overview-for-fy-2012-all-appropriation-years>.

FUNDING MATRIX STATE EXAMPLE



Illinois EC Programs' Sources of Funding

The following information was retrieved from the Illinois Early Childhood Collaboration Web site (<http://ilearlychildhoodcollab.org/wp-content/uploads/2012/09/Early-Childhood-Education-Matrix-Update-June-2012.pdf>) on February 3, 2014.

The following table lists Illinois' EC programs and the sources of funding used to support each program. While each State has different types of EC programs and a variety of funding sources, this example shows typical uses of federal and general revenue funding for a range of programs.

Table 2. Childhood Collaboration: Early Childhood Program Matrix

Illinois Early Childhood Collaboration: Early Childhood Program Matrix	
Program	Funding sources
Head Start, Early Head Start	Federal Administration for Children and Families, Head Start Bureau; 25% nonfederal share requirement
Illinois Department of Children and Family Services Child Care	State general revenue and federal Title IV-E
Illinois Department of Human Services (IDHS) Child Care	Federal CCDF; State general revenue; family co-payments
IDHS Early Intervention	Federal Department of Education, Office of Special Education; Medicaid Title XIX and Title XXI; State general revenue; family fees
Illinois State Board of Education (ISBE) Preschool for All	State Early Childhood Block Grant
ISBE Early Childhood Special Education	IDEA funds based on child count; State general revenue and local funding
ISBE Title 1	Federal funding under No Child Left Behind Act
ISBE Prevention Initiative	State Early Childhood Block Grant

Direct Funding

Introduction

States/Territories have invested in a variety of strategies to support the EC and SA workforce. These include investments in scholarship and wage incentive programs for individual practitioners, tiered subsidy reimbursement linked to QRIS that includes staff requirements and salary schedules, and credential training programs to improve management skills and teacher practice while providing financial incentives to the center or family child care home.

The following examples of direct funding include strategies currently in use, initiatives just being implemented through RTT-ELC funding, and examples no longer in place. The practices included in these examples offer the promise of positive and enduring results. However, to succeed, implementation science principles should be applied to these practices and data must be used to measure progress. The examples—proposed, current, and defunct—can inform strategic decisionmaking regarding workplace conditions, compensation, and access to PD.

Scholarships and other financial supports enhance access to PD. When the EC and SA workforce have access to evidence-based PD, participation and transfer of PD content can result in improved classroom practice and adult–child interactions. Supports can also increase access to PD focused on program business practices and personnel management for directors, family child care providers, and TA specialists. When these types of PD, which improve administrative and classroom practices, are combined with compensation enhancement strategies, improvements in wage, benefit, and working conditions at the program level are more likely. When combined PD and compensation enhancements are woven into early education systems, significant and sustainable changes are possible. Linking and embedding these strategies and supports into all existing or planned QRIS, subsidy, and comprehensive education improvement efforts like RTT-ELC can create the greatest opportunity to improve compensation and identify sustainable funding models.

The following State examples are included in this subsection:

- [Delaware's](#) RTT-ELC funded Compensation, Retention, and Education Awards (CORE)
 - Combines career lattice-based compensation, retention, and recruitment awards with QRIS in high-need communities;
- Growing Child Care [North Dakota](#)
 - Used ARRA funds to enhance access to PD for staff and directors, support child care resource and referral (CCR&R) PD capacity, and provide incentives for participating programs;
- [Washington's](#) Scholarships and Early Achievers Opportunity Grants
 - Increases access to PD through scholarships and program and employer bonuses; links grants to complete college coursework with employment at set wages;
- REWARD [Wisconsin](#) Stipend Program
 - Awards annual incremental wage supplements based on career lattice levels.

DIRECT FUNDING: FOUR STATE EXAMPLES



Delaware's Compensation, Retention, and Education Awards (CORE)

The following information was retrieved from the Delaware Department of Education's Web site (http://www.daeyc.org/?page_id=543) on February 3, 2014 and from Evelyn Keating, Program Manager, Delaware Office of Early Learning on February 19, 2014.

AREA ADDRESSED

✓ Compensation



DESCRIPTION

The Delaware Association for the Education of Young Children (DAEYC) administers the Compensation, Retention, and Education (CORE) Awards in collaboration with the Delaware Office of Early Learning (OEL). OEL funds the CORE Awards through its RTT-ELC grant. The purpose of CORE is to provide financial incentives to reward, attract and retain highly qualified educators in programs participating in Delaware Stars for Early Success, the State QRIS. CORE Awards are targeted to programs serving large populations of high-need children in eight priority areas across the State. The initiative offers three awards to eligible individuals and/or programs: Educational Attainment, Retention, and Recruitment.

Eligibility

DAEYC awards the **Educational Attainment** and the **Retention** CORE Awards directly to individuals.

- Individuals who attain up to two EC credentials are eligible for the **Educational Attainment** CORE Award if they are:
 - Employed by a licensed early care and education center or family/large family child care program serving children birth through 5, at Star 3 or higher in Delaware Stars for Early Success; and
 - At Step 4 or above on the Delaware EC Career Lattice.
- Individuals are eligible for one CORE **Retention** Award a year if they:
 - Are employed by a licensed early care and education center or family/large family child care program serving infants, toddlers and/or preschoolers, at Star 3 or higher in Delaware Stars for Early Success;
 - Work a minimum of 30 hours a week providing direct education and care for children birth through 5 years for at least twelve months or during the entire program year; and
 - Are at Step 7 or above on the Delaware EC Career Lattice.

Individuals *and* programs are eligible for the **Recruitment CORE Awards**.

- Individuals are eligible for one **Recruitment CORE Award** a year if they:
 - Were recruited and employed by a licensed early care and education center or large family child care program serving children birth through 5, at Star 3 or higher in Delaware Stars for Early Success;
 - Have worked at the program for at least six months and are still currently employed there;
 - Work a minimum of 30 hours a week providing direct education and care for children birth through 5 years for at least twelve months or during the entire program year; and
 - Are at a Step 7 or above on the Delaware EC Career Lattice.
- Programs are eligible for one **Recruitment CORE Award** a year for each employee they hire and retain that meets the eligibility requirements specified above, *and* if they:
 - Are a licensed early care and education center or large family child care program at Star 3 or higher in Delaware Stars for Early Success.

Workplace Conditions and Compensation

The CORE Awards provide the following financial incentives.

- **Educational Attainment Awards** for eligible professionals working 30 or more hours a week
 - At Career Lattice Step 4: \$1,500 one-time bonus
 - At Career Lattice Step 5: \$2,000 one-time bonus
 - At Career Lattice Step 6: \$2,500
 - At Career Lattice Step 7: \$3,000
 - At Career Lattice Steps 8-10: \$5,000, one-time bonus
 - 1st Credential: \$500, one-time bonus
 - 2nd Credential: \$500, one-time bonus

Note: Professionals at Steps 6 and 7 are eligible for multiple year awards, based on their continued successful educational attainment and progress to the next step on the career lattice
- **Educational Attainment Awards** for eligible professionals working 20-29 hours a week
 - At Career Lattice Step 4: \$750
 - At Career Lattice Step 5: \$1,000
 - At Career Lattice Step 6: \$1,250
 - At Career Lattice Step 7: \$1,500
 - At Career Lattice Steps 8-10: \$2,500
 - 1st Credential: \$250
 - 2nd Credential: \$250

- **Retention Awards** for eligible professionals at Step 7 or higher on the career lattice
 - \$2,000 annual supplement, if employed by a program at Star 3 in Delaware Stars for Early Success
 - \$2,400 annual supplement, if employed by a program at Star 4 in Delaware Stars for Early Success
 - \$3,100 annual supplement, if employed by a program at Star 5 in Delaware Stars for Early Success
- **Recruitment Awards** for eligible professionals at Step 7 or higher on the career lattice
 - \$1,000 at 6 months of continuous employment
- **Recruitment Award** for eligible programs with staff at Step 7 or higher on the career lattice
 - \$1,500 program supplement, for programs at Star 3 in Delaware Stars for Early Success
 - \$1,800 program supplement, for programs at Star 4 in Delaware Stars for Early Success
 - \$2,300 program supplement, for programs at Star 5 in Delaware Stars for Early Success

INNOVATION



Delaware's CORE Awards program provides financial incentives to staff and programs for meeting a combination of requirements. Technical assistance including career advising is also available to CORE Awards recipients to help them map and continue their professional growth. Awards target programs and the workforce serving high-need children, in eight geographic areas within the State.

CORE Awards are among the strategic priorities of the Office of Early Learning (OEL), established in 2012, to improve its early learning and child development services and systems for young children. The focus is on improving outcomes and school readiness for children who are from low-income homes, have disabilities, or are dual language learners.

PD AND OTHER SYSTEM LINKAGES



Delaware designed this initiative to fit within and enhance other State systems. To determine CORE eligibility, Delaware uses CCDF program subsidy information to identify programs serving populations with higher needs. Financial incentives for educators within these programs are tied to their Career Lattice level, an essential part of the State's PD system. CORE Awards are also directly linked to and support the State QRIS since individuals must work in programs that participate in that system and attain a Stars level of 3 or above.

LESSONS LEARNED/PROMISING PRACTICES



Delaware's aligned systems approach provides valuable lessons to guide States/Territories in packaging compensation and program awards that combine child and family, teacher, and program eligibility requirements. Data from this program will help the State understand how staff qualifications, compensation, and program quality combine to effect child outcomes for the most vulnerable children.

- Delaware began distributing the CORE Educational Attainment Awards in fall 2013, with a total of \$3.8 million awarded to 1,337 early childhood professionals.
- CORE Retention and Recruitment Awards will be distributed in spring 2014.
- The State plans to make changes to the Educational Attainment Awards in fall 2014.



Growing Child Care North Dakota

The following information was retrieved from North Dakota's CCR&R Web site (<http://www.ndchildcare.org/training/online/> and http://www.ndchildcare.org/file_download/05a5cde5-da1a-4254-811e-19393da739d2 and http://www.visionwestnd.com/documents/6GrowingChildCare2012InterimProgress_web.pdf) on February 3, 2014.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Access to PD



DESCRIPTION

To address North Dakota's child care shortages, in 2009, the North Dakota legislature passed House Bill 1418, which appropriated \$3.6 million in ARRA funds to establish a statewide recruitment, training, and retention initiative. In 2011, the North Dakota State legislature appropriated \$3.1 million in State general funds to continue the work of the Growing Child Care initiative to provide access to high-quality, affordable training that supports child care licensing standards and leads to a child care credential for the State's child care workforce of approximately 4,800.

Funding through the Growing Child Care North Dakota initiative made it possible for North Dakota Child Care Resource and Referral (ND CCR&R) to expand the number of child care training courses available online. State funding also made it possible for ND CCR&R to offer 136 hours of online courses at no charge. Child care providers who had difficulty using technology had the option to work one-on-one with ND CCR&R trainers and consultants. The

providers received help in getting online and acquiring technology skills as they built their child care skills.

Eligibility

Applicants had to be licensed in family, group or center-based child care and be willing to:

- Participate in ND CCR&R Easy Reach online training (minimum of 40 hours);
- Receive onsite consultation with ND CCR&R staff for the 10 months following the training; and
- Participate in formal observations and assessments.

Priority for participation was given to programs that:

- Served infants and met CCR&R's defined proven community needs;
- Were willing to serve children with special needs;
- Were willing to serve children in the Child Care Assistance Program; and
- Were able to double existing infant capacity if they were applying as an expansion project.

Workplace Conditions and Compensation

Supports for qualifying centers included:

- \$8,000 to \$9,000 in resources and equipment from approved vendors to enhance the facility and programming;
- Personalized support from CCR&R EC, health, and business consultants;
- Environment evaluations of infant, toddler and preschool classrooms based on national standards;
- Opportunity for the center director to earn Aim4Excellence™ national credentials;
- Opportunity for three center staff members to earn the Child Development Associate (CDA) Credential™; and
- Free online training and PD planning for all staff.

Supports for newly licensed centers included:

- Up to \$9,000 for eight new or substantially expanded child care centers statewide through the spring of 2013 to help organize and plan the child care business;
- Help in creating a business plan;
- Consultation on location, program arrangement, equipment needs, curriculum planning, health and safety, working with families;
- The possibility of scholarships for the Center Director Credential; and
- Free training through the CCR&R online training center.

Supports for qualifying family child care providers included:

- Up to \$1,250 for family child care providers and \$1,800 for group home providers in resources and materials from approved vendors;
- Personalized support and PD planning from CCR&R consultants;
- Environmental assessment of the program based on national standards; and
- Free training through the CCR&R online training center.

Supports for newly licensed family/group child care providers included:

- \$800 in resources and materials from approved vendors to help launch a child care business;
- Free business support to help providers get started and be successful;
- Free training through CCR&R's online training center; and
- Free personalized support from CCR&R consultants to help set up the environment and develop a program that supports children's early learning and healthy development.

INNOVATION



Growing Child Care used one-time investments (ARRA funds) to design a combined a package of training and TA supports and incentives for child care center directors and staff to attain credentials and improve program quality. Current and prospective family child care providers were also eligible for a package of supports and incentives to learn about program assessment, enhance their quality of care, and participate in training to achieve PD goals. TA was aligned with individual PD goals and QRIS program improvement plans.

PD AND OTHER SYSTEM LINKAGES



Completion of specified CDA Credential™ and Aim4Excellence™ trainings results in credentials and facilitates movement along a career lattice. Credentials are linked to staff requirements for the QRIS. A State college partnered with Aim4Excellence™ to offer a director credential for in-State credit. Scholarships and TA support the training; attainment of credentials results in incentives. Participation rates have been tracked over time and continue to inform investments.

LESSONS LEARNED/PROMISING PRACTICES



North Dakota worked to align quality standards included in the Growing Child Care initiative with other ongoing State quality efforts to increase providers' awareness of the quality standards. Packaging of supports—increased training capacity, increased access to training, financial incentives, professional recognition, and individualized TA—was so successful that the State has continued these initiatives. Building on existing training programs, both national and State, has resulted in more workers having professional credentials without incurring initial development costs.



Washington's Scholarships, Early Achiever Opportunity Grants, and Career Lattice Participation and Education Awards

The following information was retrieved from the Web sites of the Washington State Department of Early Learning (<http://www.del.wa.gov/requirements/professional/financial.aspx>), ChildCare Aware of Washington (<http://www.childcarenet.org/providers/scholarships/general-scholarship>), and the Washington State Board of Community and Technical Colleges (http://www.sbctc.ctc.edu/college/s_opportunity_grants.aspx) on February 3, 2014, and from Juliet Morrison, Assistant Director for Quality Practice and Professional Growth and Angela Abrams, Professional Development Administrator, Washington State Department of Early Learning, February 13, 2014.

AREAS ADDRESSED

- ✓ Compensation
- ✓ Access to PD



DESCRIPTION

Washington supports early childhood professionals to meet their PD goals with three programs that link increased PD to financial incentives. There are two ongoing results-based scholarship and grant programs: 1) Washington Scholarships (implemented by the Washington State CCR&R Network) and 2) Early Achievers Opportunity Grants (implemented by the Washington State Board of Community and Technical Colleges). A third initiative, Washington's Career Lattice Participation and Education Awards (Table 3), offers awards to professionals who join the State's workforce registry (Managed Education and Registry Information Tool [MERIT] system), and advance in the Washington State Career Lattice.

Funding

- 1) The Washington Scholarships' funding covers coursework for participants working toward their CDA Credential™, Early Childhood Education (ECE) certificate, Washington Stackable Certificates, Associate of Arts/Applied Science degree in ECE at a Washington State community or technical college, and BA in ECE at any Washington State college offering an ECE program.
- 2) The Early Achievers Opportunity Grant funding covers coursework for participants working towards their Associates of Arts degree in ECE or completion of Washington Stackable Certificates at participating Washington State community or technical colleges.
- 3) Washington's Career Lattice Participation and Education Awards are funded by Washington State RTT-ELC grant funds. The awards range from \$150 - \$500 depending on the career lattice placement level.

Eligibility

Washington Scholarships

To be eligible, a provider must meet the following criteria:

- Work at least an average of 20 hours per week in a child care facility (center or family child care home) that participates in Early Achievers, the State's QRIS;
- Have worked for the current center or family child care facility for 3 months or more;
- Be a Washington resident; and
- Plan to pursue a CDA Credential™, ECE certificate, Stackable Certificates, or Associate Degree in ECE at a Washington State community or technical college.

Early Achievers Opportunity Grant

Eligibility requirements for the Early Achievers Opportunity Grant include:

- Employed for at least 3 months in a program that participates in Early Achievers and work a minimum of 10 hours per week/40 hours per month;
- Washington resident student as defined by law; and
- Maintain at least a 2.0 grade point average.

Washington State Career Lattice: Participation and Education Awards

Participants are placed on the career lattice based on at least one of the following criteria (see Table 3 for additional details):

- Employment in a licensed or certified child care facility;
- State-approved training in the Washington core competencies; and
- Verified education (coursework, certificates, credentials and degrees).

Workplace Conditions and Compensation

Washington Scholarships

For child care center staff and family child care providers, Washington Scholarships cover:

- 100% of tuition for AA degrees, \$6,000 annually for BA degrees;
- 100% of book reimbursements up to \$1,000 a contract year; and
- \$300 bonus for completing a scholarship contract.

Participating child care centers:

- Must schedule paid release time with the employee and receives release time payments at \$11.00 an hour up to three hours a week; and
- Must provide a \$300 bonus or a 1.5% raise to the employee who completes a scholarship contract.

Early Achievers Opportunity Grant

Eligible students can receive funding up to \$4,000 per year not to exceed 52 credits annually. Awards may cover tuition and fees and up to \$1,000 per year for books and supplies. Students may also receive tutoring, career advising, college success classes, emergency child care, and emergency transportation.

Washington State Career Lattice: Participation and Education Awards

Washington offers a one-time participation award for joining MERIT, developing a professional record, and being placed on the State’s career lattice; and two types of education awards (being piloted from January 2013 to June 2014):

- Pre-existing educational information—any educational qualifications achieved prior to January 2013 that contribute to initial placement on the career lattice; and
- Movement on the career lattice—educational achievements that result in movement to a higher step on the career lattice.

Table 3. Washington State Career Lattice: Education Awards

Washington’s Career Lattice Level Awards			
Career Lattice Level	Required Educational Qualifications	Award Amount	Career Opportunities
2	<ul style="list-style-type: none"> • High school or equivalent and 20 hours of basic Washington State Training and Registry System (STARS) training, or • 2 college credits in “Basics of Child Care” course 	\$150	<ul style="list-style-type: none"> • FCC Owner/Primary Provider • CCC Lead Teacher • School-Age Lead Teacher • Montessori Student Intern
5	<ul style="list-style-type: none"> • Completion of 1 Center on the Social and Emotional Foundations for Early Learning (CSEFEL) training module for infant/toddler or preschool and Initial State ECE Certificate (12 credits), or • CDA Credential™, or • Apprentice Journey-level Associate I 	\$150	<ul style="list-style-type: none"> • Head Start Teacher Assistant • ECEAP Assistant Teacher • CCC Director • CCC Program Supervisor • Montessori I/T or ECE Teacher
6	<ul style="list-style-type: none"> • Completion of 2 CSEFEL training modules for infant/toddler, or • Completion of 2 CSEFEL training modules for preschool and short-term State ECE Certificate (20 credits) 	\$150	
7	<ul style="list-style-type: none"> • Completion of 3 CSEFEL training modules for infant/toddler (I/T) or preschool and State Credential in ECE (47 credits), or • Montessori Accreditation Council for Teacher Education (MACTE) accredited I/T, or ECE Teacher Credential, or • Association Montessori International (AMI) I/T (A to I) or ECE (Primary) diploma 	\$200	

Washington's Career Lattice Level Awards			
Career Lattice Level	Required Educational Qualifications	Award Amount	Career Opportunities
9	<ul style="list-style-type: none"> ECE or related Associate degree with 30 or more approved ECE or school-age college credits, or Associate degree with MACTE accredited I/T or ECE Teacher Credential, or Associate degree with AMI I/T or ECE, or Apprentice Journey Level Associate II 	\$300	<ul style="list-style-type: none"> ECEAP Lead Teachers ECEAP Family Support Specialist Head Start Lead Teacher (alternative pathway) Apprentice Trainer Montessori I/T or ECE Teacher
12	<ul style="list-style-type: none"> ECE or related Bachelor's degree with 30 or more approved ECE or school-age college credits, or BA with MACTE accredited I/T or ECE Teacher Credential, or BA with AMI I/T or ECE diploma 	\$400	<ul style="list-style-type: none"> Head Start Teachers Head Start/ECEAP Education Coordinators CC Licensor Intermediate Trainer Montessori I/T or ECE Teacher
15	<ul style="list-style-type: none"> Master's or higher degree in any field with 30 or more approved ECE or school-age college credits at any level of coursework, or MACTE accredited I/T or ECE Teacher Credential, or AMI I/T or ECE diploma 	\$500	<ul style="list-style-type: none"> ECE College Instructor/Professor Advanced Trainer Montessori I/T or ECE Teacher

INNOVATION



The integration of the career lattice into the State registry, the MERIT system, allows for the strategic implementation of practitioners' PD plans and encourages their participation in the State PD system. The Career Lattice Participation and Education Awards pilot phase ends June 2014. Starting July 2014, Washington will launch an updated Career Lattice and structure for education verification and educational awards.

PD AND OTHER SYSTEM LINKAGES



MERIT is an efficient system to track ongoing education and training. It is a tool for professionals to share qualifications with current and future employers. Data from MERIT can be used as verification of training and education for other quality initiatives such as Early Achievers QRIS.

Washington workforce data will assist with the statewide expansion of Early Achievers, effective targeting of resources to meet diverse PD needs, and will encourage movement on the career

lattice. Additionally, workforce data collected through MERIT will help the State plan the expansion of scholarship dollars awarded through the State's Early Achievers Opportunity Grants program and the Washington Scholarships program for State-approved training and degrees that align with the career lattice. Finally, the MERIT data will help develop a recommended statewide salary scale that ensures adequate compensation for the workforce.

Washington's Core Competencies include an education and training matrix that establishes a foundation for the career lattice and defines a career development pathway. The lattice serves professionals ranging from those who meet minimum licensing standards up to those who have obtained advanced degrees. Professionals with advanced degrees in the field may serve as administrators, mentors, and professors of higher education. A key goal for the career lattice is to include all early learning programs. The career lattice reflects opportunities available in licensed child care, the Early Childhood Education and Assistance Program—Washington's CCDF subsidy program and Head Start/Early Head Start programs—in addition to other roles that support family engagement, higher education, and community-based training. The career lattice includes 15 levels. Each lattice level is divided into five education benchmarks that align with the levels in the Core Competencies.

LESSONS LEARNED/PROMISING PRACTICES



Washington built on an existing data system and a results-based scholarship and grants programs to expand participation and address compensation via the career lattice. The career lattice is aligned with both EC and SA competencies. Because information from the data system is available to QRIS and other quality initiatives, it is unnecessary to provide it multiple times to multiple parties. In addition, the system generates trend data to help inform local and State decisionmaking.





REWARD Wisconsin Stipend Program

The following information was retrieved from the Wisconsin Early Childhood Association's (WECA) Web site (<http://www.wecanaeyc.org/reward/index.php>) on February 3, 2014.

AREAS ADDRESSED

- ✓ Compensation
- ✓ Access to PD



DESCRIPTION

The REWARD Wisconsin Stipend Program is a compensation and retention initiative for members of the EC workforce. Based on their educational attainments and longevity in the field, individuals receive incremental yearly salary supplements.

The goals of the program are to:

- Increase compensation of EC professionals;
- Reward and retain professionals who have attained education specific to the field;
- Encourage continued education;
- Reduce turnover; and
- Improve the quality of care received by Wisconsin children.

Financial support for this program originates from federal CCDF Block Grant funding. The funding is part of the Wisconsin State budget. Every 2 years, the funding for this program is decided through a legislative process, including the Senate, Assembly, and Governor. Once it secures funding, the State Department of Children and Families (DCF) administers the funds. WECA administers the REWARD Wisconsin Stipend Program.

Eligibility

To be eligible for a REWARD Wisconsin stipend, a worker must meet the following requirements:

- Employment
 - Be employed by a certified or licensed family child care program, licensed child care center, or any Head Start/Early Head Start program;
 - Work at least 20 hours per week;
 - Work at least 5% of the time in an EC classroom, either directly with children or in supervision and support of staff;
 - Live and/or work in the State of Wisconsin; and
 - Earn \$16.50 dollars an hour or less.

- Experience
 - Have worked for present employer for 3 current and continuous years; or
 - Have 6 years of experience in regulated child care programs, as documented by the Registry.
- Education
 - A Registry Certificate: Certificates issued after 1/1/2009 are preferred, but Certificates issued between 1/1/2006 and 1/1/2009 will be accepted. Certificates issued prior to 1/1/2006 will not be accepted.
 - If the Registry Certificate was issued after 1/1/2009, the applicant must be at a Registry Level 9 or above to apply.
 - If the Registry Certificate was issued between 1/1/2006 and 1/1/2009, the applicant must be at a Registry Level 6 or above to apply.

Workplace Conditions and Compensation

Individuals who meet all the eligibility requirements receive stipend amounts based on their registry level, as detailed in the following table.

Table 4. REWARD Wisconsin Stipend Amount by Registry Level

REWARD Wisconsin Stipend Amount by Registry Level			
17-Level registry career ladder (Certificate issued after 1/1/2009)		Former 14-level registry career ladder (Certificate issued between 1/1/2006 and 1/1/2009)	Stipend amount
Registry Level 9	Is equivalent to	Registry Level 6	\$200
Registry Level 10	Is equivalent to	Registry Level 7	\$250
Registry Level 11	Is equivalent to	Registry Level 8	\$300
Registry Level 12	Is equivalent to	Registry Level 9	\$500
Registry Level 13	Is equivalent to	Registry Level 10	\$600
Registry Level 14	Is equivalent to	Registry Level 11	\$800
Registry Level 15, 16, and 17	Is equivalent to	Registry Level 12, 13, 14	\$900

INNOVATION



A statewide committee makes decisions for the REWARD Wisconsin Stipend Program. More than 50% of the members are direct care providers. Additional members of the committee include representatives from the DCF, the Registry, and other statewide organizations.

PD AND OTHER SYSTEM LINKAGES



WECA administers the REWARD Wisconsin Stipend Program. The amount individuals receive is based on their educational achievements, demonstrated to the REWARD program through a Registry Certificate.

Individuals receive a Registry Certificate from the Registry, after submitting their work history, educational completions (both credit-based and continuing education hours), and professional contributions. The certificate shows which level an individual has achieved on the Recognition System. It also shows other information, such as the number of years a person has been in the field and the positions the person is qualified to hold.

To receive a REWARD stipend, an individual must first apply to the Registry to receive a Registry Certificate. Then, the individual must apply to the REWARD program.

Wisconsin Young Star QRIS staff qualifications require credit-based coursework, which is verified by specific levels of the Wisconsin Registry, for those who work in child care programs.

LESSONS LEARNED/Promising practices



Recent studies show a strong link between the knowledge and skill level of a practitioner and the quality of care provided. As a result, Wisconsin DCF is investing in initiatives that help support the educational development of child care providers.

Leveraging Partnerships

Introduction

Partnering, blending, or braiding funding can be part of a strategic approach to attract and retain qualified staff. Child care, Head Start/Early Head Start, and pre-K programs are regulated and funded in different ways, which can lead to differences in salaries and benefits. Partnering across sectors, coordinating services, or securing multiple funding streams can be part of an effective strategy, at the State/Territory, local, and/or program level, to provide professional compensation and a positive work environment for qualified staff.

Although partnerships are also a form of direct funding to improve workplace conditions and increase compensation, the examples in this subsection all focus on the combination of services or funding streams—at the State/Territory, grantee, or program level—as a mechanism to fund well-qualified staff. Head Start State and National Collaboration Offices can provide information and TA to encourage partnerships among the various sectors within a program, a community, or a State.

RTT-ELC provides incentives for States/Territories to improve program quality and the workforce through State-level coordination and alignment. The federal partnership between the U.S. Department of Health and Human Services and the U.S. Department of Education, which created RTT-ELC, fosters parallel relationships within States. The work of the winning States will reveal promising practices for future partnerships and models to address compensation.

The following pages describe current examples of State-level or State-supported partnerships that provide or contribute to funding for competitive salaries in programs that combine multiple services. The examples include:

- **Illinois** Preschool for All and Illinois Early Childhood Collaboration
 - Multiple sources of funding, grants and contracts, and regulatory language support competitive compensation for qualified staff.
- **New Jersey** Department of Education-funded Preschool Program
 - Administrative code requires comparable workplace conditions, competitive salaries and benefits, salary schedules, and flexibility in funding.
- **Vermont** Early Education Initiative Grants
 - State statute defines which community partnerships are eligible to provide EC services and identifies salaries and benefits as allowable costs of direct service.



LEVERAGING PARTNERSHIPS: THREE STATE EXAMPLES



Illinois Preschool for All and Illinois Early Childhood Collaboration

The following information was retrieved from the Web sites of the Illinois State Board of Education (ISBE) (<http://www.isbe.net/earlychi/preschool/default.htm>) and the Illinois Early Childhood Collaborative (<http://ilearlychildhoodcollab.org/programs/dhs-collab-program/application-form/>) on February 3, 2014.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation



DESCRIPTION

Illinois' public pre-K program provides funding to school- and community-based programs to serve children, ages 3 to 5, who have risk factors that may leave them unprepared for school entry by age 5. Preschool for All can be delivered as part of a partnership involving Child Care and/or Head Start. Illinois has implemented policies that support these partnerships, which make it possible for agencies to offer high-quality, comprehensive, year-round services for young children and their families.

Illinois Preschool for All

The Illinois Preschool for All competitive grant program awards an average of \$3,000 per child per year to provide a 2.5-hour education program for children ages 3 to 5. The ISBE makes awards both directly to local school districts and to community-based child care programs. School districts may also subcontract with community-based programs, family child care networks, and Head Start programs. The program must provide a ratio of 1 adult to 10 children. The competitive grant awards are made to entities that propose to meet program components. The components related to staff eligibility are listed below.

Illinois Preschool for All: Eligibility

Illinois' public pre-K program provides competitive grants to school- and community-based programs to address the school-readiness of children, ages 3 to 5. Preschool for All can be delivered as a stand-alone program or a partnership with Child Care and/or Head Start.

Illinois Preschool for All: Workplace Conditions and Compensation

Programs participating in the Illinois Early Childhood Collaboration are able to combine funding from multiple sources to hire teachers with EC teacher certification who work beyond the

required 2.5-hour day of Preschool for All. The programs offer salaries commensurate with those of local school districts.

The staff requirements in the grant set expectations that apply to all programs offering Preschool for All, including child care and Head Start centers.

- All teaching staff providing instruction must hold a 04 certificate (bachelor's degree, plus EC teacher certification).
- Noncertified staff must meet the requirements in the administrative code by July 1, 2014. To receive approval to serve as a teacher aide, an individual must:

- (1) Present evidence of having completed 30 semester hours of college credit at a regionally accredited institution of higher education; or
- (2) Pass the ParaPro test offered by the Educational Testing Service with at least the score identified by the State Board of Education in consultation with the State Teacher Certification Board; or
- (3) Pass the Work Keys test offered by ACT® with at least the score identified by the State Board of Education in consultation with the State Teacher Certification Board.

- Staff role descriptions are clear, detailed, and appropriate to support a quality preschool educational program.
- Administrators and all program staff are knowledgeable and experienced in operating high-quality EC programs.

The grant also addresses staff PD. Proposals must describe a clear, thorough, and well-detailed staff development plan for all staff by:

- Assessing the development needs of the staff and developing goals to meet those needs;
- Providing ongoing support that will enable the staff to achieve these goals; and
- Addressing issues of language and cultural diversity within the program.

DESCRIPTION

Illinois Early Childhood Collaboration

The Child Care Collaboration Program was created to facilitate high-quality collaboration between child care programs receiving Child Care Assistance Program (CCAP) funding and other EC providers and/or funding streams. CCAP is Illinois' Child Care Development Fund subsidy program. The collaboration program is enabled by Child Care Administrative Rule.

Illinois Early Childhood Collaboration: Collaboration Models

- **Two or More Center-Based Agencies.** Collaborative arrangements are made between separate Child Care programs and Head Start/Early Head Start and/or Child Care and

the ISBE Early Childhood Block Grant (ECBG) programs in which center-based services are provided for all programs in one location. One agency does not receive all or both types of funding in this model; rather, separate agencies work together to provide services to the same children.

- **EC Providers and Family Child Care Homes or Networks.** Collaborative arrangements are made between Child Care programs and Head Start/Early Head Start or Child Care and ISBE ECBG programs using individual family child care homes or home networks in which family child care home services are provided for all programs in one location. One agency does not necessarily receive all or both types of funding in this model.
- **One EC Provider, Two or More Types of Funding.** One provider braids Child Care and Head Start/Early Head Start and/or Child Care and ISBE ECBG funding to deliver either center-based or family child care home services in one location. CCAP funding combined with other types of funding can be provided via a certificate or a contract.

Illinois Early Childhood Collaboration: Eligibility

Any profit or nonprofit EC center or licensed family child care home that is:

- Receiving or eligible to receive Illinois Department of Human Services (IDHS) CCAP funding via a contract **or** the certificate program **and** is
 - Engaged in collaboration with either Head Start/Early Head Start and/or the ISBE ECBG programs (pre-K, Preschool for All, or some Prevention Initiative programs); and
 - Serving children receiving services through the collaboration in one location.

To be eligible, generally, the program/source of funding collaborating with CCAP must cover a portion of the day, not just auxiliary services such as parental training and home visits. Only CCAP slots are eligible for this program.

The following providers are not eligible to apply for the IDHS Child Care Collaboration Program:

- Providers using only one type of funding (IDHS CCAP, Head Start/Early Head Start, or ISBE ECBG) to serve children. Providers must have a current collaboration in place to be eligible.
- Providers that move collaboration children from one location to another during the day. Eligible collaborative services must be provided in one location/facility.

Illinois Early Childhood Collaboration: Workplace Conditions and Compensation

The benefits of becoming an approved Child Care Collaboration include the ability to take advantage of child care assistance rule exceptions that support continuity of care for children, stable enrollment for programs, and positive work environments for staff. These rule exceptions apply to families determined eligible for CCAP services; annual redetermination of family eligibility; a 90-day job loss grace period; and indefinite eligibility for families whose current Temporary Assistance for Needy Families Responsibility & Service Plan specifies the child or family's participation in the collaboration.

INNOVATION



Illinois takes multiple approaches to support partnerships that strengthen program quality and financial stability. The State agencies and offices involved deploy rules, funding, requirements, TA, and messaging to stabilize programs, increase quality, and provide access to programs.

The Preschool for All competitive grant is open to both school districts and community-based programs. It encourages coordination and partnerships at the local level and provides funding commensurate with the public schools. It also requires staff to meet the same qualifications regardless of setting and provides funding for staff hiring.

The Illinois Early Childhood Collaboration requires applicants to demonstrate how the collaboration improves program quality. Programs may provide examples such as staffing improvements, enhanced curriculum, educational experiences, outcomes for children, comprehensive services/family engagement, and/or compliance with additional quality standards, such as Head Start Program Performance Standards, Illinois Early Learning Standards, National Early Childhood Program Accreditation, or National Association for the Education of Young Children accreditation standards.

PD AND OTHER SYSTEM LINKAGES



Staff members in all of the partnerships are eligible to participate in Illinois Gateways to Opportunity, the State PD system, to access training, credentials, scholarships, and wage incentives. Illinois Gateways career lattice and credentials recognize and support the staff positions within the partnerships. In addition, both Head Start and the pre-K program bring additional training, TA, and other resources to the partnering programs. All partnership programs are also eligible to participate in the QRIS, which includes tiered reimbursement.

LESSONS LEARNED/PROMISING PRACTICES



Partnerships have been fostered through the administrative bodies of both the pre-K program and CCAP. The ISBE ECBG, including Pre-K/Preschool for All, is authorized by Illinois School Code. Several sections of the Illinois Administrative Code cover the Pre-K/Preschool for All's general responsibility to coordinate with other programs in the same service area, including Head Start. The Illinois Early Childhood Collaboration is enabled by Child Care Administrative Rule, which governs the CCAP. These partnerships and the funding mechanisms that support them are essential to the financial well-being and quality of many large and small EC programs in the State.

The partnerships support adequately funded full-day, full-year comprehensive programming. The partnerships also make it possible to access scholarships, wage incentives, TA, PD offerings, and higher child care assistance rates. The combination of funding and additional financial supports makes it possible to enhance program quality and recruit, retain, and reward highly qualified staff. The result is secure employment for skilled practitioners; stable and effective programs; and supportive, consistent, and engaging services for children and their families.



New Jersey's Department of Education-Funded Preschool Program

The following information was retrieved from the New Jersey Department of Education (DOE) Division of Early Childhood Education (DECE) Web site (<http://www.nj.gov/education/ece/index.html>) on February 3, 2014.

AREAS ADDRESSED

- ✓Workplace Conditions
- ✓Compensation



DESCRIPTION

The New Jersey DOE provides funding for preschool programs, including those operated by the local school district and those operated by “contracted private providers,” such as Head Start programs and other community-based child care programs. The State provides the following guidance for private providers regarding the budget and reported expenditures. These excerpts provide information on salaries and benefits for teaching staff, family workers, and directors.

The focus of the DECE is to enhance the social, emotional, physical, and academic development of New Jersey’s children—preschool through third grade—by providing leadership, resources, and PD in support of high-quality EC programs within a comprehensive, collaborative program.

Eligibility

Licensed private providers and Head Start programs may subcontract with a school district, if they agree to and meet all of the requirements for providing a high-quality preschool program. Specifically, subcontractors must:

- Be a private provider within the meaning of N.J. Administrative code (N.J.A.C.) 6A:13A-1.2 or a local Head Start/Early Head Start agency.
- Be licensed by the Department of Children and Families, Office of Licensing, as a child care program.
- Operate pursuant to the requirements stated in the Elements of High Quality Preschool Programs (N.J.A.C. 6A:13A et seq.), the Manual of Requirements for Childcare Centers (N.J.A.C. 10:122-1.1), and the terms of this Agreement ([New Jersey Department of Education, Division of Early Childhood Education, n.d.](#)).

Workplace Conditions and Compensation

Teachers

Salaries for certified teachers, teacher assistants, and floating teacher assistants represent compensation for 10 months. A provider may offer teachers the option of having their school calendar year compensation paid over a period of 12 months. A provider may also offer this option for payment to teacher assistants and floating teacher assistants.

Substitute Teachers and Substitute Assistant Teachers

Providers may hire a full-time employee to serve as a permanent teacher substitute. This employee must hold at least a substitute teacher credential. Funding budgeted for teacher and/or assistant teacher substitutes may also be used for substitutes for floating teacher assistants.

Family Workers

For those providers operating during the full calendar year, the family worker position is a 12-month position with a 40-hour workweek including a 1-hour paid lunch each day. The family worker's 12-month salary must be prorated to the DOE funding for 200 days only. The remainder of the salary is charged to Department of Human Services (DHS) funding. For those providers operating during only the school calendar year, the family worker position should still be a 12-month full-time position (funded 200 days by DOE and 45 days by DHS).

Preschool Center Directors

DOE funding supports director salaries. Providers must prorate director salaries based on documented income from other sources as applicable (DHS, Head Start/Early Head Start, infant/toddler classrooms, and/or tuition-based preschool classrooms). Exceptions to a provider's standard proration for support costs are permitted in cases where the provider and the district have agreed, based on reasonable and customary costs and verifiable documentation that DHS funding is not sufficient to cover the provider's standard proration for these line items. In this case, the district will work with the provider to approve an increase in the percentage of costs covered by DOE funding. It is recommended that salary payments for directors be in line with the director's salary scale, unless otherwise approved by the district. DOE funding may not be used for costs of infant/toddler or noncontracted Head Start or tuition-based preschool classrooms.

Benefits and Pensions

All benefit expenditures must be based on a written, uniform policy based on an equitable standard of distribution, such as years of service or education, within each class of employee. Providers must obtain waivers from any staff member choosing to opt out of benefit coverage. Waivers must be signed annually.

Teaching Staff

Providers must offer full-year health benefits to all teaching staff. Benefit package expenditures may also include vision, prescription, dental, life insurance, and pension contributions (including administrative fees associated with 401K programs). The average of the total cost of the benefits for all teachers and teacher assistants in contracted classrooms generally should not exceed the average of the total cost of the benefits for district preschool teachers and teacher assistants.

Providers may (but are not obligated to) charge a copay for benefits. If a provider does assess a copay, in no case may the copay equal more than the percentage of salary assessed of district teachers, for a single or family plan, whichever is applicable, unless otherwise approved by the district and the DOE. In addition, the average cost of a provider's benefits for teaching staff may not exceed the average cost for district teaching staff benefits, regardless of whether any copay is charged. Providers must follow district policies regarding benefits for any part-time teaching staff. If district policy allows teaching staff to choose cash in lieu of benefits, providers may allow this option for their teaching staff. Providers must follow district policy as to the amount allowed.

Group insurance, social security contributions, unemployment contributions, and disability contributions must be expensed as payroll taxes and must not be included in the average benefit cost.

Nonteaching Staff

Providers must offer benefits for staff filling all nonteaching positions paid from their district-approved provider planning budget workbook. It is recommended that benefits be offered at a cost of up to 15% of an individual's approved salary. The average of the total cost of the benefits for all nonteaching positions associated with contracted preschool classrooms generally should not exceed the average of the total cost of benefits for district preschool teaching staff.

INNOVATION



The budgets of contracted private providers address salaries and benefits for all roles serving the preschool program, with payment processes and benefit options comparable to those offered by the local school district. Contracted private providers are funded at levels that support salary schedules comparable to those of school districts. Contracted providers are also required to participate in the U.S. Department of Agriculture Food and Nutrition Service Child and Adult Care Food Program, which not only ensures healthy meals for the children, but also provides additional income and training support for the contracted providers. Where the provider and the district have agreed, based on reasonable and customary costs and documentation that DHS funding is not sufficient to cover the provider's costs, the district offers flexibility to increase the percentage of costs funded by DOE.

PD AND OTHER SYSTEM LINKAGES



Due to a decrease in amounts received from DHS for wrap-around care, DOE is establishing opportunities for greater flexibility with providers' district-approved DOE funding. Exceptions to a provider's standard proration for support and indirect costs will be permitted in cases where the provider and the district have agreed, based on reasonable and customary costs and verifiable documentation, that DHS funding is not sufficient to cover the provider's standard proration for these line items. In this case, the district will work with the provider to approve an increase in the percentage of costs covered by DOE funding for affected allowable indirect/support budget line items. DOE funding may not be used for costs of infant/toddler or noncontracted Head Start/Early Head Start or tuition-based preschool classrooms.

LESSONS LEARNED/PROMISING PRACTICES



New Jersey initiated the EC program in response to a State Supreme Court ruling that required the State to provide preschool services to children and families in school districts with high concentrations of children with multiple risk factors. Based on the court ruling, these districts became known as “Abbott” districts and the preschool program as the “Abbott” program. Following the success of the program, the School Funding Reform Act of 2008 revised preschool funding.

The decisions in the Abbott cases have resulted in frequent litigation and a fragmented system of funding under which limited resources cannot be distributed equitably to all districts where at-risk children reside, instead dividing the districts sharply into Abbott and non-Abbott categories for funding purposes without regard to a district’s particular pupil characteristics and leading to needlessly adversarial relationships among school districts and between districts and the State. ([School Funding Reform Act of 2008, NJ A500 Roberts, Vas., 2008](#))

The Reform Act resulted in access to funding by all school districts that serve preschool children defined as “at-risk,” which was expanded to include all children eligible for the free and reduced-lunch program ([School Funding Reform Act of 2008, NJ A500 Roberts, Vas., 2008](#)).





Vermont Early Education Initiative Grants

The following information was retrieved from the Vermont Department of Education's Web site (http://education.vermont.gov/new/html/pgm_earlyed.html) on February 3, 2014.

AREAS ADDRESSED

- ✓ Compensation
- ✓ Access to PD



DESCRIPTION

In 1987, the Vermont legislature established the Early Education Initiative (EEI) grant program to provide early education opportunities for 3 and 4 year-olds who are at risk. Vermont recognizes “at-risk” to include children across a range of developmental, economic, social, geographic, and home circumstances.

EEI applicants must demonstrate how the program will operate, explain the intended outcomes and populations served, discuss family involvement, and provide a budget. Applicants are expected to describe which partners—school districts and/or community-based agencies—have been involved in the proposal application and how their services will be coordinated during project implementation.

Eligibility

Community child care centers, registered family providers, school districts, tax exempt organizations serving children and families, and public agencies such as Head Start and parent-child centers may be the lead agency for EEI grants. However, all proposals must be collaborative and developed by representatives from at least one school district (or supervisory union) and one community program.

Workplace Conditions and Compensation

The range for EEI grant requests is \$10,000–\$30,000. Funding is contingent on legislative approval. EEI grant funds may be used only for direct services. Funds may be used to pay tuition for eligible children to attend community EC programs or for salaries and benefits for direct service personnel (e.g., teachers, paraeducators), food, supplies and materials, facilities (not to exceed 10% of the grant), transportation, staff travel, parent support program, and PD.

INNOVATION



The provisions of the law that created this State-funded grant program include: (1) Prioritizing areas in the State with few opportunities for early education; (2) Providing developmentally appropriate, experiential learning opportunities in home and/or group settings; (3) Valuing parent involvement and input; and (4) Developing programs that result from collaborations between school districts and community organizations.

PD AND OTHER SYSTEM LINKAGES



PD can be supported at the individual or program level through the EEI grants. The EEI grants strengthen partnerships by requiring applicants to partner with at least one school district and community organization to support prekindergarten services for at-risk children.

TA is also available to applicants on program-related issues, application logistics, and partnering topics. TA and funding for creating and/or strengthening partnerships between community-based programs and public schools are available through the Vermont Community Preschool Collaborative (VCPC).

LESSONS LEARNED/PROMISING PRACTICES



The EEI program is built on the premise that the best place for preschool programming is where children are. Because many of their parents are working, over 70% of Vermont's 13,000 preschool-aged children are in some form of child care. Vermont's pre-K funding law is complex, but the result is that the State will fund existing partnerships between school districts and high-quality child care programs to provide preschool services. Community collaborations that plan to apply for EEI funding can receive support and TA from VCPC. VCPC is a fund of the Vermont Community Foundation that provides TA and startup grants to help establish and expand public school/child care partnerships.

Shared Services

Introduction

The following information was retrieved from the Alliance for Early Childhood Finance's Web site (<http://www.earlychildhoodfinance.org/shared-services>), as well as from the Opportunities Exchange Web site (<http://www.opportunities-exchange.org>), on February 3, 2014.

A shared services alliance is a community-based partnership comprising small businesses (whether nonprofit or for profit) within an industry or sector that work together to share costs and deliver services in a more streamlined and efficient way. By participating in an alliance, small businesses can become stronger, more accountable, more financially sound and efficient, and better equipped to offer affordable, high-quality services.

Shared services alliances centralize some of the administrative, operational, and outreach needs to allow businesses to redirect resources toward providing high-quality services, recruiting and retaining qualified staff, and offering PD opportunities, such as cohorts of staff working on credentials. While there are many ways of trying to eliminate redundancies in an organization, alliances commonly help small, independent businesses use the purchasing power of a larger organization. Examples of services that can be shared include human resources or accounting services. While one program may not need full-time staff, collectively, programs can retain staff with this expertise at a reasonable cost.

BENEFITS

Shared services can decrease expenses and increase revenues, improve business practices, and make a program more financially stable. These financial benefits can produce revenue that can help programs hire and retain well-qualified staff and improve program quality in other ways. Through an annual membership fee, alliances may also provide support staff such as nurses and/or mentor teachers. In some cases, access to these staff can help a program achieve a higher QRIS rating with corresponding supports, incentives, and/or higher reimbursement rates. Alliances also typically have grant-writing staff whose skills and experience can help a program submit competitive applications for additional resources ([Mitchell, 2010](#)).

SAVINGS

The cost savings to alliance members vary by framework, services available, number of partners, and type of service provider. The way the savings are used also varies by individual provider, the services and supports available through the alliance, and the needs of the program. The tables below provide examples of potential costs savings by line item. It can be assumed that the savings could be reallocated to salaries, benefits, or improved working conditions. The tables show two very broad examples; these are representative of potential savings and do not reflect a certain center or care provider.

The following center budget assumes that the participating centers were high-quality programs. Most were nationally accredited and/or had staffing patterns that reflected a strong commitment to quality programming and management.

Table 5. Shared Services: Anticipated Savings to a Small-Sized Center

Shared Services: Anticipated Savings to a Small-Sized Center with 20 Full-Time-Equivalent Children, Assumed to Be Starting in a Strong Managerial and Quality Position		
Expenses	Before alliance	After alliance
Teaching staff	\$92,000	\$92,000
Administrative staff	\$45,000	\$11,000
Food and supplies	\$13,500	\$12,000
Accounting/legal/insurance services	\$3,500	\$0
Other operations	\$5,000	\$4,000
PD	\$2,000	\$0
Total	\$161,000	\$119,000
Savings to center		\$42,000

Cost savings for administrative staff will vary between alliance structures. In this example, centers participating in the alliance share a director, who is at each site only part time and conducts the administrative tasks for all of the centers ([Mitchell, 2010](#)).

Table 6. Shared Services: Anticipated Savings to Five Medium-Sized Centers

Shared Services: Anticipated Savings to Five Medium-Sized Centers with Approximately 65 Full-Time-Equivalent Children per Site, Assumed to Be Starting in a Weak Position with High Turnover and Quality Problems	
Expenses	Anticipated Savings
Personnel: Administration	Average savings \$37,000 per center in reduced wages/benefits for center director
Benefits (health, retirement)	Some savings due to larger pool
Food & supplies	Approximately 20% discount (savings \$1,000–\$3,000)
Accounting and legal	All accounting/legal costs eliminated at sites; provided centrally (savings \$3,000–\$10,000)
Repairs & maintenance	Access to central maintenance (savings \$1,000–\$2,000)
Estimated savings per site	\$42,000–\$52,000

Cost savings are mostly due to the centralized director position. In this example, however, revenues per center are also expected to increase. The initial savings can be directed toward improving the quality of the center and staff PD, perhaps increasing the rating level, which will increase the center revenue in the following years ([Mitchell, 2010](#)).

FUNDING

Determining how to start an alliance is complex. Startup toolkits and readiness assessments are available to help guide the process (see <http://www.Earlychildhoodfinance.org>, <http://www.earlylearningventures.org>, and <http://www.opportunities-exchange.org>). Service alliances require startup funding, often from participating agencies or another community funder, and usually take several years to become self-sustainable. Providers that are part of the alliance usually contribute through annual membership fees.

Generating the operating revenue needed to establish and sustain quality ECE programs has never been easy—and in a recession economy, it is becoming even more difficult. To be sustainable, ECE managers must tap and blend many funding streams, deal with multiple public and private agencies, and effectively market their services to families ([Stoney, 2009](#)).

Shared services can provide a structure that enables organizations with common needs to share costs. A handful of ECE leaders are creating and testing business models, or shared platforms, that enable center- and home-based programs to offer high-quality services and succeed as small businesses ([Stoney, 2009](#)).

The following pages describe two State examples of shared services models:

- [Virginia's](#) Infant/Toddler Family Day Care; and
- [Washington's](#) Sound Child Care Solutions.



SHARED SERVICES: TWO STATE EXAMPLES



Virginia's Infant/Toddler Family Day Care

The following information was retrieved from the Infant/Toddler Family Day Care's (ITFDC) Web site (<http://www.infanttoddler.com>), as well as from the Opportunities Exchange Web site (<http://www.opportunities-exchange.org>), February 3, 2014.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Access to PD



Description

ITFDC is an alliance of family child care homes that has managed the fiscal, administrative, and PD tasks for its network of care providers in northern Virginia since 1983. Examples of the shared services include providing contracts, invoicing for and disbursing child care fees to EC educators, liability insurance, approval of family child care homes under the system license, marketing of family child care homes, CCR&R, and issuing 1099s.

Eligibility

Provider applicants must have completed high school (in the United States or another country) or have a GED. In addition, to become an ITFDC provider, an applicant must have completed the following:

- Training classes (4–6 weeks)—Child Development, Safety, Professionalism, and Parent Communication/Interview;
- Complete CPR and first aid training;
- Work with a mentor to learn about child care (40 hours);
- A criminal history background checks (all household members 18 years and older) and a child protective services background checks (all household members 14 years and older);
- A TB test (all household members 18 years and older); and
- A reference check.

Workplace Conditions and Compensation

Participating providers agree to become members in a joint venture (which is considered a partnership for tax purposes), which then contracts with ITFDC to handle fiscal management. This relationship is contractually structured and operates as follows:

- A shared bank account (the Family Day Care Provider's Account) is established for all family day care revenues and other such associated fees.
- Providers who participate in the network and the families they serve agree to have all revenues deposited in this account. (This agreement is legally binding and is included in the Family Day Care Referral and Services Contract signed by ITFDC and the providers, as well as in the Policies and Procedures Contract signed by parents.)
- ITFDC agrees to administer the Family Day Care Providers Account (and is referred to as "the Agent" in the contract). This responsibility includes collecting fees from parents and paying the providers bimonthly. ITFDC is also responsible for collecting bad debts and encourages parents to use electronic debit options to pay fees.
- Two family child care providers, who are elected annually by the providers and agree to serve as coagents in overseeing the Family Day Care Providers Account, act on behalf of all participating providers.
- ITFDC hires an accountant and other staff to perform necessary fiscal management tasks.
- Participating providers agree to pay ITFDC an administrative fee. Currently, this fee is 16.5% of the providers' parent fees.
- ITFDC is permitted to use any interest earned on deposits in the Family Day Care Providers Account to help defray administrative expenses. ITFDC raises additional third-party funding to help cover the cost of the support services it offers to network providers.
- ITFDC annually prepares Form 1065, Return of Partnership Income, for the Internal Revenue Service.

Members of ITFDC are required to complete 16 hours of PD per year. All training classes are free to ITFDC partners and available to the public for a fee. Training is offered on a range of topics, from developmental milestones to marketing and negotiation. ITFDC also provides support for those working towards higher credentials.

INNOVATION



ITFDC provides resource and referral services for multiple Northern Virginia counties, helps guide individuals through the licensing process, and sponsors caregivers who are interested in participating in the U.S. Department of Agriculture Food and Nutrition Service (USDA/FNS) Child and Adult Care Food Program (CACFP). These services are available for providers with State License, voluntary registration and county approved homes in Alexandria, Arlington, Fairfax, Loudoun and Prince William. These programs are free for the providers.

PD AND OTHER SYSTEM LINKAGES



ITFDC is a USDA/FNS CACFP sponsor, CCR&R agency, and PD provider. ITFDC recruits, screens, trains, mentors, and approves family child care homes in Alexandria, Arlington, Fairfax, Loudoun and Prince William counties. Family child care providers are encouraged to complete the Infant Toddler Certificate at Northern Virginia Community College and/or the CDA Credential™.

LESSONS LEARNED/PROMISING PRACTICES



ITFDC's approach provides supports to family child care providers to alleviate administrative costs, navigate licensing processes and the USDA/FNC CACFP. In addition, participating providers receive access to annual PD opportunities and access to mentors/coaches. The ITFDC also serves as a Staffed Family Child Care Network—a strategy that research shows to have promise. Findings from a study by the Erikson Institute on staffed family child care networks and family child care quality reveal several network attributes associated with quality (e.g., use of formal quality assessment tool, high-frequency visits—10 times in 6 months—to family child care homes focused on working with children and onsite training at the network for providers) ([Bromer, Van Haitsma, Daley, & Modigliani, 2009](#)).



Washington's Sound Child Care Solutions

The following information was retrieved from the Sound Child Care Solutions (SCCS) Web site (<http://www.soundchildcare.org>) on February 3, 2013.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



DESCRIPTION

SCCS of Seattle, Washington, is a shared services organization created in 2007. SCCS provides a structure for high-quality, stable child care centers to share administrative functions to streamline and strengthen business practices while retaining their community and family identities. The SCCS shared services model provides the structure for centers to support early learning, administer good business practices, and invest resources in improved program quality.

Eligibility

High-quality EC centers willing to share business functions and PD through a centralized nonprofit operations structure may be eligible to join the organization or begin a sister consortium.

Workplace Conditions and Compensation

The economic strength of being part of a larger organization enables participating centers to weather economic and enrollment ebbs and flows, and affords the flexibility to take advantage of new opportunities. It allows for greater attention to the teaching and learning process beyond just meeting standards. Through an aligned approach, PD Directors can focus on teacher practice and classroom-level quality improvement.

- SCCS invests in teachers as the key to children’s success.
 - Many teachers have regular, ongoing support from a mentor teacher.
 - The benefits package for teachers includes medical, dental, vision, retirement, and transit passes where needed.
 - The substitute pool (called the “relief squad”) provides consistency for children and systematic support for teachers to pursue PD.
- SCCS works together with and between centers to continually strengthen culturally relevant, antibias practice in the classroom.
- All of the centers maintain Eco-Healthy certification.
- SCCS is able to receive some financial discounts through the member organization for business functions like liability insurance, payroll, benefits management, banking, and purchasing of goods and services.

INNOVATION



SCCS is committed to ensuring that at least 25% of the consortium-wide slots will be reserved for low-income children. Part of the savings from joint operations will be channeled into a scholarship pool, which will be organized so that each center may have two budget line items: contributions to a scholarship pool on the expense side and drawing from the scholarship pool on the income side. Each center will contribute enough to the pool to ensure that 25% of its slots can be filled by children funded by the Washington child care subsidy program, Working Connections, covering the gap between reimbursement and tuition. Over the long run, the centers are hoping to collectively raise scholarship funds in a variety of ways to cover the gap if low-income children can fill more than 25% of the slots.

Most high-quality, accredited centers in Seattle have long waiting lists. Low-income families often need child care immediately and can’t wait for space to become available. With a large number of centers and a financially viable strategy to serve low-income families, SCCS plans to hold some slots open for low-income families.

PD AND OTHER SYSTEM LINKAGES



SCCS centers meet or exceed program accreditation standards. The business model is designed to ensure that children eligible for a child care subsidy have the benefit of high-quality programs. SCCS maintains a substitute pool that serves all the participating programs.

LESSONS LEARNED/PROMISING PRACTICES



In 2006, the Kellogg Foundation Linking Economic Development and Child Care project, funded by the Kellogg Foundation and others, awarded its sole Venture grant to SCCS funding startup for implementation of the consortium. In 2010, SCCS secured 75% of the \$300,000 necessary to go to scale. It is currently seeking the remaining implementation funding, negotiating joining agreements with new centers, and testing the basic shared services model with six chapters. SCCS serves more than 300 children a day; 9 of the 20 classrooms are dual language (English with Spanish, Somali, or Vietnamese). Full implementation funding will allow SCCS to serve 750–1,000 children by the end of 2014.

- Currently, SCCS maintains a teacher turnover rate of 10% compared to the 30% industry average.
- All SCCS centers meet or exceed accreditation standards set by the National Association for the Education of Young Children.

Tax Incentives

Introduction

Some States have used tax incentives to encourage high-quality programs, reward the EC and SA workforce, and give parents an incentive to select high-quality programs for their children. Most of the current tax incentives are designed to help parents pay for the cost of care while working. More recently, tax credits have been used to encourage parents to choose higher quality care. In these cases, the tax incentive is available or increases only if higher quality care, such as a program enrolled in a QRIS, is used. Such tax incentives do not directly benefit the program's finances, but they do make it more likely for full enrollment to be maintained. They also promote public awareness of the value of higher quality care and may encourage programs to recruit and retain higher quality staff.

This subsection includes examples of tax incentives in [Louisiana](#) and [Maine](#) that promote improved program quality, increased compensation, and improved working conditions through tax incentives that benefit the program and staff. The Louisiana tax credit for teachers and directors is essentially a wage supplement (or salary bonus) for child care teachers and directors and does not depend on the teacher or director owing taxes. These refundable credits are provided directly to child care teachers and directors based on their education and training. The Maine tax credit, designed as a business incentive, is based on an annual amount spent on verified quality improvements. The tax credit varies based on the type of ownership of the business.

TAX INCENTIVES: TWO STATE EXAMPLES



Louisiana's School Readiness Tax Credits

The following information was retrieved from the Quality Start Child Care Rating System Web site (<http://www.qrslouisiana.org/child-care-providers/school-readiness-tax-credits>) on February 3, 2014.

AREAS ADDRESSED

- ✓Workplace Conditions
- ✓Compensation



DESCRIPTION

School Readiness Tax Credit for Centers

In Louisiana, child care centers participating in Quality Start, the State QRIS, receive a refundable tax credit based on the number of stars they earn and on the number of children they serve in the CCDF Child Care Assistance Program or in the Department of Children and Family Services (DCFS) foster care program. These School Readiness Tax Credits (SRTCs) are designed to help promote the quality of child care in Louisiana. The credit is available to both for-profit and nonprofit centers.

School Readiness Tax Credit for Centers: Eligibility

All licensed child care centers are eligible to receive the SRTC each year if they:

- File a tax form;
- Document that they serve children who are in Child Care Assistance Program (CCAP) or are foster children in the custody of the DCFS; and
- Document that they are participating in Quality Start.

The center must receive the initial QRIS rating by December 31 of the first year of participation to be eligible for the SRTCs. In all subsequent years, the QRIS rating as of July 1 is the rating used to determine the SRTC.

School Readiness Tax Credit for Centers: Workplace Conditions and Compensation

The tax credit for nonprofit and for-profit centers is a per child credit that varies by the QRIS level of the center. Eligible children include those in CCAP or foster care. The refundable credits provide the center with additional income, which can be used to support quality and enhance wages. The following table shows the amount of per child tax credit at each star level.

Table 7. School Readiness Tax Credit Amount by Quality Rating Level

SRTC Center Tax Credit Amount by Quality Rating Level	
Quality rating of child care facility	Tax credit per eligible child
Five stars	\$1,500
Four stars	\$1,250
Three stars	\$1,000
Two stars	\$750
One star or not participating in Quality Start	\$0

DESCRIPTION

SRTCs for Teachers and Directors

The SRTCs for teachers and directors are essentially a wage supplement (or salary bonus) for child care teachers and directors and are not dependent on whether the teacher or director owes taxes. These refundable credits are provided directly to child care teachers and directors based on their level of education and training. The wage supplements are linked to the Louisiana early care and education career ladder. The amount of the credit varies, with higher credits for increased education and training.

SRTCs for Teachers and Directors: Eligibility

Child care teachers and directors are eligible if they work for at least 6 months at a licensed, center-based early care and education program that participates in Quality Start and they have enrolled in the State early care and education practitioner registry.

SRTCs for Teachers and Directors: Workplace Conditions and Compensation

The refundable tax credits for center teachers and directors vary by the type of qualification the staff member holds. These credits serve as a bonus or wage incentive for those who participate in the registry and work in a program rated by Quality Start. The following table indicates the amount of annual tax refund for the various teacher and director qualifications.

Table 8. School Readiness Tax Credit Amount by Staff Qualification

SRTC Teacher and Director Tax Credit Amount by Staff Qualification	
SRTC levels	Amount of refundable SRTC
Director I or Level I Staff	\$1,606
Director II or Level II Staff	\$2,141
Director III or Level III Staff	\$2,676
Director IV or Level IV Staff	\$3,212

DESCRIPTION

SRTCs for Businesses

Two types of SRTCs are available for businesses/employers:

- A refundable state tax credit based on a percentage of the “eligible expenses” incurred in support of child care centers participating in Quality Start; and
- A refundable state tax credit for donations made to CCR&R agencies.

The tax credits are available to both for-profit and nonprofit businesses and are not dependent on the business owing State income or corporate franchise taxes. The amount of the tax credit is based on the star rating of the center. Business expenses eligible for the tax credit include construction, renovation, or expansion of a child care center; purchase of equipment for a center; maintaining or operating a center; and the cost to subsidize child care for employees.

SRTCs for Businesses: Eligibility

All businesses are eligible to receive the tax credit. A business is defined as any for-profit or not-for-profit entity and includes sole proprietors (as long as the individual is not acting in his/her personal capacity), partnerships, limited liability corporations, and corporations. The SRTC is not available to individuals who make donations.

Eligible expenses for businesses include:

- Funds for the construction, renovation, expansion, or major repair of an eligible child care facility, for the purchase of equipment for such facility, or for the maintenance and operation of such facility, not to exceed \$50,000 in expenses per tax year; and/or
- Payments made to an eligible child care facility for child care services to support employees, not to exceed \$5,000 per child per tax year; and/or
- The purchase of child care slots at eligible child care facilities, which are actually provided or reserved for children of employees, not to exceed \$50,000 per tax year.

SRTCs for Businesses: Workplace Conditions and Compensation

The business tax credit is an incentive for businesses to support child care facilities that participate in Quality Start. Child care facilities can use the support provided by businesses to improve the work environment or the quality of the program or to help stabilize funding for the center. The following table shows the percentage of business expense eligible for the tax credit based on the quality rating of the child care center.

Table 9. Tax Credit Amount by Quality Rating of Child Care Supported

Tax Credit Amount by Quality Rating of the Child Care Center Supported	
Quality Rating of Child Care Facility	Percentage of Eligible Expense
Five stars	20%
Four stars	15%
Three stars	10%
Two stars	5%

INNOVATION



The Louisiana legislature passed a unique package of tax credits known as the SRTCs, which became effective in 2008. The SRTCs directly benefit child care centers and the children, families, and communities they serve. The package includes wage supplements for center teachers and directors, child care center tax credits, tax credits for businesses that support child care programs, and parents—all based on the Quality Start rating of the program.

PD AND OTHER SYSTEM LINKAGES



In addition to the tax incentives, State reimbursement rates for children in the CCAP are increased based on the rating level of a center. Tiered bonus payments based on the star rating are automatically issued after the end of each calendar quarter to qualified licensed centers that care for children receiving CCAP or children in foster care. The payment is equal to a percentage of all payments from DCFS for services provided by the center, according to the following schedule:

- One Star Level—No bonus
- Two Star Level—3% bonus
- Three Star Level—8% bonus
- Four Star Level—13.5% bonus
- Five Star Level—20% bonus

LESSONS LEARNED/PROMISING PRACTICES



Louisiana's SRTC provides an incentive for nonprofit and for-profit centers to participate in the State QRIS and move towards higher quality and for directors and teachers to participate in the State registry and seek employment in programs that participate in the QRIS. Incentives like Louisiana's SRTC promote EC program participation in State quality initiatives and foster high-quality programs for children and their families. The SRTC provides incentives to every community member impacted by child care programs—making both the tax credits and quality program efforts crucial for stakeholders to sustain.



Maine's Child Care Investment Tax Credit

The following information was retrieved from the Maine Department of Health and Human Services Web site (<http://www.maine.gov/dhhs/ocfs/ec/occhs/businesssupport.htm>) on February 3, 2014.

AREA ADDRESSED

✓ Compensation



DESCRIPTION

The Child Care Investment Tax Credit was created to assist for-profit providers as they invest in their centers or homes to improve the quality of child care provided. The credit is also intended to promote investments in quality child care by the private sector. Maine small businesses, private corporations, or other industries whose employees use local child care programs can invest in the quality of those local programs and receive a tax credit for doing so. Similarly, corporations that provide onsite child care services will qualify for this tax credit if they invest in significant improvements in the quality of their onsite child care programs.

Eligibility

Individual Taxpayers

To qualify for the tax credit, applicants need to have spent \$10,000 in 1 year. For example, if you are an applicant that spent \$10,000 during 2001 on expenses certified as significantly improving the quality of child care services, you will receive a \$1,000 tax credit each year for 10 years and a \$10,000 credit at the end of the 10-year period.

Corporation, Financial Institution, Partnership, LLC, S Corporation, Estate, or Trust

These entities can receive a tax credit of 30% of the expenses certified as quality improvements up to 30% of \$30,000. For example, if you were certified for a \$7,000 expense, you would receive a \$2,100 credit that year.

The credit may not reduce the tax otherwise due below zero. Any unused portion of the credit may be carried over to the following year or years until exhausted.

Workplace Conditions and Compensation

The Maine Office of Child and Family Services certifies whether or not an investment contributed significantly to quality child care services. According to the State, ongoing expenses to maintain the quality improvement are not eligible as a tax credit for that year. However, incremental expenditures that expand or improve child care services beyond those required for the initial quality child care certification may qualify. Implementing a salary schedule that rewards staff for meeting qualifications that count toward a higher quality rating, might qualify. The Maine Office of Child and Family Services determines the criteria for quality improvement.

INNOVATION



Maine's use of tax credits extends beyond an investment in parents' choice of quality child care or a child care program's quality improvement efforts. It encourages the private sector to play a role in supporting high-quality child care. Encouraging local employers, small businesses, and corporations that choose Maine as their place of operation to invest in quality child care promotes shared responsibility for work-life issues. Private employers' support of stable and high-quality child care is critical to attracting and maintaining their workforce, while at the same time improving the working conditions of EC practitioners.

PD AND OTHER SYSTEM LINKAGES



Maine's quality tax credits are tied to its QRIS, Quality for ME. Programs receive tiered reimbursement as they increase their step levels in Maine's QRIS. Credits for parents and the private sector are linked to programs at Step 4 of Quality for ME. These programs must achieve national accreditation, employ staff at a certain level in the Maine Roads to Quality Registry, and have lead teachers who have taken the Maine Roads to Quality training on implementing the State early learning guidelines. In these ways, Maine has linked its tax credits to both the quality improvement and PD system in the State.

LESSONS LEARNED/PROMISING PRACTICES



Maine's quality tax credit model demonstrates quality child care program sustainability through private sector return on investment. The approach rewards individuals and businesses when they support high-quality programs. The tax credit is a promising approach to marrying business and EC investments that produce optimal child and family outcomes.

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Section 3

Program Management, Standards, and Business Practices

Click on the following to find out more about program standards, management and business practices that can improve workplace conditions, compensation, and access to professional development:

- ➔ [Directors Hold the Keys to Quality](#)
- ➔ [Program Standards and Measures](#)



What's in it for me?

- ★ **State/Territory or local policymakers, funders, or advisory committee members** can use the information in this section to examine how sectors benefit from and contribute to investments in enhanced program management practices. This section can also inform their recommendations or decisions about investing in management training, setting licensing and quality rating and improvement system (QRIS) standards for management qualifications and ongoing professional development (PD), and supporting higher education capacity to deliver management courses, degrees, and credentials.
- ★ **PD system administrators** can use this section to explore how effective management practices support positive workplace conditions, equitable compensation, and access to PD. This section also provides information about management practices embedded in licensing, QRIS, and other State and national performance standards.
- ★ **Professionals that provide PD or other workforce supports** can use this section to learn more about how the PD they provide supports management practices that enhance workplace conditions, compensation, and access to PD. This section also explains how the PD they provide links to the PD system and supports meeting licensing, QRIS, and other State and national performance standards.
- ★ **Direct service program leaders** can use this section to validate how their roles as leaders and managers support program quality and a great workforce.

Introduction

This section explores how program management, standards, business practices, and leadership activities contribute to securing and retaining qualified staff and improving workplace conditions. This section also explores strategies to sustain these practices. Embedding administrative practices and qualifications in program standards, including regulatory, QRIS, and contractual requirements, can ensure implementation of effective program management practices across settings and sectors in a consistent and enduring manner.



Details of What I Will Find in This Section

The following pages describe the importance of program and business practices, leadership activities and strategies, and standards for securing and retaining qualified staff and improving workplace conditions.

This section includes the following topics:

- ➔ Information, research, and strategies for change related to how [Directors Hold the Keys to Quality](#), and their role in supporting positive workplace conditions, equitable compensation, and access to PD.
- ➔ The role of [Program Standards and Measures](#) in program management and leadership to support workplace conditions, compensation, and access to PD.

Background

Business and personnel practices play a critical role in a program's ability to provide a positive working environment, pay professional salaries and benefits, and support staff PD. The unique set of skills needed to hire and support qualified staff, work with families, establish an engaging learning environment, and manage a complex budget is an important component of director and family child care credentials, and other measures of administrative practices and competencies. The management and leadership skills of center administrators and family child care providers must be addressed to: make the most of the current early childhood (EC) and school-age (SA) system funding sources and processes; and to secure a better future for the workforce and the children and families served.

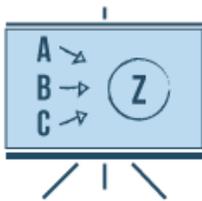
In *Understanding Quality in Context: Child Care Centers, Communities, Markets, and Public Policy*, the authors found that a director's management skills and attitudes can affect workplace conditions and financial resources available for salaries and benefits ([Rohacek et al., 2010](#)). The following factors can inform policymaking and investments to improve program quality, including workplace conditions, compensation, and access to PD.

Policies promote effective early learning program business practices when they:

- ★ Build on program standards: "In the view of directors, standards set important minimums, leveled the playing field among programs, and helped directors make decisions and explain those decisions to staff and parents" ([Rohacek et al., 2010](#)).
- ★ Address multiple factors that influence quality.
- ★ Identify obstacles to quality improvement.
- ★ Tackle resource constraints: "[I]t is not just the level of revenue that matters to centers, it is also how effectively directors minimize their financial stress through effective management of revenue and related constraints. TA [technical assistance] providers can help directors improve their financial management skills and identify opportunities to maximize revenue or in-kind resources" ([Rohacek et al., 2010](#)).
- ★ Recognize the role directors' leadership skills and belief systems play in shaping quality.

- ★ Help directors establish and improve supports for teachers. Research points to the importance of targeting leadership and exploring individual readiness to change as approaches to improving outcomes for children and families ([Rohacek et al., 2010](#)).

Strategic Decisions



[Section 4—Planning and Implementation Guide](#) provides five suggested steps for decisionmaking as State/Territory planning and implementation teams move towards systems innovation. All of the steps in this guide are important for State/Territory planning and/or implementation teams' discussions and work. Step 3: Determine the Fit and Feasibility and Readiness to Change of the guide is specifically relevant to program management and business practices. The purpose of a fit and feasibility analysis is to examine an array of options and assess the degree to which each option, or package of options, could be successfully implemented in the State/Territory. Program standards, management, and business practices are among the options to consider.



Directors Hold the Keys to Quality

Introduction

Directors hold the keys to quality in EC and SA programs. Organizational practices can either support or undermine teaching quality and impact children. Program administrators are responsible for attracting and retaining effective teachers, implementing curriculum, conducting child assessment, and establishing norms of continuous improvement. They also have responsibility for the oversight of operations and fiscal management. However, public policy designed to promote quality in EC programs mostly focuses on teachers and teaching practices, with less attention paid to directors and administrative practices.

The Role of Directors and Administrative Practices

Directors' ability to support and foster development of teachers in their programs, build partnerships with families, establish norms of ongoing quality improvement, and oversee other facets of program operations is directly related to their own level of formal education, experience, and specialized training in both EC education and program administration.

- Directors' level of formal education is a strong predictor of overall program quality ([Ackerman & Sansanelli, 2010](#); [Lower & Cassidy, 2007](#); [Rohacek et al., 2010](#); [Vu, Jeon, & Howes, 2008](#); [Washington, 2008](#); [Whitebook, Ryan, Kipnis, & Sakai, 2008](#)).
- There is a positive relationship between the quality of administrative practices and the quality of the children's learning environment in center-based programs ([Dennis, 2010](#); [Lower & Cassidy, 2007](#); [McCormick Center for Early Childhood Leadership, 2010, Winter](#); [National Center for Children and Families, 2008](#)).
- Directors with higher levels of education and specialized training in program administration are more likely to support the PD of their teaching staff, secure and maintain program funding, and achieve center accreditation ([Ackerman, 2008](#); [Fowler, Bloom, Talan, Beneke, & Kelton, 2008](#); [McCormick Center for Early Childhood Leadership, 2008 Summer](#); [Rous, Grove, Cox, Townley, & Crumpton, 2008](#)).

What We Know About Leadership and Management

Directors who receive leadership and management training specific to EC are more effective. Administrative practices improve when directors receive mentoring or coaching as supplements to training.

- Directors with greater levels of administrative training report significant gains in their level of competence; staff at their respective programs perceive the work climate to be more positive and productive ([Bloom, 2010](#); [Bella & Bloom, 2003](#); [Bloom & Bella, 2005](#); [Mietlicki, 2010](#)).
- A formal curriculum to increase directors' administrative knowledge and skills, coupled with a strong mentoring component emphasizing peer support, results in measurable organizational improvement ([Doherty, 2011](#); [Bloom & Bella, 2005](#)).

- Business training is most effective when it is used in concert with ongoing technical support, is hands on, and meets administrative needs specific to EC settings ([Stoney & Blank, 2011](#)).
- Directors with more training report significant differences in both their self-perceptions as an advocate and in their actions advocating for the EC workforce. They are also more likely to serve in a leadership role in an EC professional organization ([Bella & Bloom, 2003](#); [McCormick Center for Early Childhood Leadership, 2012, Winter](#)).

An administrator credential identifies what an effective director of an EC program needs to know and be able to do. Achieving an administrator credential is linked to more effective administrative practices in community-based EC programs.

- Currently, 28 States define and recognize the administrative competency of center directors by issuing a director or administrator credential. In almost all of these States, the credential is voluntary ([McCormick Center for Early Childhood Leadership, 2012](#)).
- The National Association for the Education of Young Children recognizes 31 administrator credentials in its alternative pathway for meeting director qualifications for program accreditation ([National Association for the Education of Young Children, 2011](#)).
- Directors holding a credential score significantly higher on measures of administrative quality and are more likely to have accredited centers ([Lower & Cassidy, 2007](#); [Fowler et al., 2008](#)).
- The credential level of the director is a predictor of classroom quality ([Vu, Jeon, & Howes, 2008](#)).

Leadership and Strategies for Change

A number of strategies can improve the program management and business practices of EC and SA administrators, which will in turn pave the way for improvements in workplace conditions, compensation, and PD access. The following provides an overview of four strategies that policymakers and other PD system leaders can consider:

1. [Invest in leadership development](#);
2. [Support directors to be reflective business practitioners and systems thinkers](#);
3. [Support directors to develop an organizational climate that promotes continuous quality improvement](#); and
4. [Embed leadership and management requirements in quality improvement initiatives](#).

INVEST IN LEADERSHIP DEVELOPMENT

The role of a director is complex, requiring knowledge and skills in child development and EC and SA education, as well as in administration. While general business training is useful, specialized training in EC and SA administration is more likely to prepare directors to lead successful programs in a cross-sector, mixed-delivery EC and SA system.

SUPPORT DIRECTORS TO BE REFLECTIVE BUSINESS PRACTITIONERS AND SYSTEMS THINKERS

Technical assistance (TA) provided to directors often focuses on their role in supporting teachers and an appropriate learning environment. Several additional issues unique to the administration of EC and SA programs can significantly impact teacher and classroom quality and outcomes for children and families. Directors need to receive TA that helps them address the complexities of program management in the context of aligned systems. Program directors need to understand and manage:

- **Multiple funding streams**—Full-day, full-year early learning programs need to combine multiple funding streams to provide high-quality programming. Child care centers may receive State pre-K and/or Early Head Start/Head Start funding to finance a full-day, full-year program. Extending programming with additional funding helps programs serve the needs of vulnerable children and their families. To allow programs to combine multiple funding streams, efforts are being made at the Federal level to promote an aligned system of early learning and development. Currently, many EC and SA programs operate with a single or limited source of funding. Program directors need training and TA to understand the use of multiple funding streams to support quality programming. Administrators need support to create budgets built on multiple funding streams.
- **Salary or Wage Scales**—Administrators need TA to create transparent salary scales based on objective, professional criteria, and equitable reward systems. Training and TA can provide support to program directors as they develop a career path within their programs that rewards increased qualifications with higher wages. Training and TA can also help ensure that program career paths align with State PD system career lattices and QRIS standards. According to [Talan & Bloom \(2011\)](#):
 - Only 43% of centers have a written salary scale that is transparent (available to all center staff).
 - Approximately 40% of centers provide merit increases in addition to annual salary increases.
- **Staffing patterns**—Aligned systems often require attention to multiple sets of standards or regulations about staffing. Program directors need TA to manage staffing patterns that promote continuity of care, provide care for children within small groups, and reduce staff stress while maintaining adherence to multiple regulatory requirements and budget constraints. Program directors' use of practices that promote continuity of care such as keeping the same groups of children and caregivers together as they transition to older classrooms, offering mixed-age groupings, and staffing to reduce the regrouping of children, contribute to staff stability and reduced stress. Using a staggered staffing pattern is one way to promote continuity of care. It can avoid regrouping of children throughout the day and reduce staff stress.
 - Higher staff–child ratios and smaller group size enhance quality, promote improved developmental outcomes for children, and are related to less stressful working conditions for staff ([Burchinal, Cryer, & Clifford, 2002](#); [Litiens & Taguma, 2010](#); [Torquati, Raikes, & Huddleston-Casas, 2007](#)).
 - Practices that promote continuity of care support staff stability and are associated with positive child outcomes ([Litiens & Taguma, 2010](#)).

- Only 32% of child care centers have staffing plans that provide sufficient classroom coverage so that children are not regrouped at the beginning or end of the day ([Leavitt & Krause-Eheart, 1985](#); [McCormick Center for Early Childhood Leadership, 2010, Spring](#); [Talan & Bloom, 2011](#)).

SUPPORT DIRECTORS TO DEVELOP AN ORGANIZATIONAL CLIMATE THAT PROMOTES CONTINUOUS QUALITY IMPROVEMENT

Teachers' work satisfaction is associated with characteristics of an organizational climate that promotes shared decisionmaking, offers meaningful feedback on performance, and provides opportunities for joint reflection about ongoing PD and supports in the workplace ([Bloom, 2010](#)). Directors need TA to develop supportive learning organizations for teachers that mirror those established for children—individualized, meaningful, hands-on, and participatory—these characteristics of a supportive work climate can lead to lower teacher attrition, and higher quality learning environments for staff and children.

- **Work environment**—The quality of the learning environment for children is directly impacted by the program's capacity to address the human needs of the adults providing their care and education. Administrators may need TA to understand the human resource components of creating a positive work environment.
 - The EC work environment comprises 10 dimensions of organizational climate that staff and administrators can rate using the Early Childhood Work Environment Survey: collegiality, opportunities for professional growth, supervisor support, clarity, reward system, decisionmaking, goal consensus, task orientation, physical setting, and innovativeness ([Bloom, 2010](#)).
 - There is a dynamic relationship among program leadership and management practices, teachers' perceptions of their work environment, and the classroom practices experienced by children ([Bloom, 2010](#); [Lower & Cassidy, 2007](#)).
- **Job Crafting**—Job crafting is when employees design their jobs to align with their own preferences, motives, and passions. Job crafting can be at the individual or collective level. This employee-led configuration of tasks and interactions can foster job satisfaction as well as engagement, resilience, and thriving at work ([Wrzesniewski & Dutton, 2001](#)). Collectively, job crafting in early learning programs appears in the form of group support or communities of practice ([Leana, Appelbaum, & Shevchuk, 2009](#)). Job crafting can also take the form of cognitively changing the job by altering the perception of tasks or thinking about required tasks as a collective whole as opposed to a set of separate tasks ([Berg, Dutton, & Wrzesniewski, 2007](#)).
 - Job crafting is one way center directors can foster a culture that supports stronger social ties and more collaboration among teachers and aides. Supervisory actions, such as providing constructive feedback and being available to discuss particular classroom challenges, can promote collaboration among teachers and aides and thus improve the quality of care ([Leana, et al., 2009](#)). In addition, [Leana et al. \(2009\)](#) found that:
 - Educators can foster resilience, share knowledge, and support their classroom interactions, when given a space to meet and share their experiences.

- Collaborative job crafting by teachers and aides working together is positively and significantly associated with quality of care, perhaps because more information sharing and learning take place when teachers and aides work together.
- Collaborative crafting is particularly important to quality performance for workers with less experience caring for young children. This collaboration may give them a deeper understanding of the relationship between their day-to-day activities and the quality of care and help them to respond better to unpredictable situations.
- Collaborative crafting is closely related to organizational commitment and job satisfaction, which, in turn, are associated with lower turnover. Classroom staff see a positive association between classroom quality and collaborative job crafting.
- **Support for PD**—Teachers who indicate that they receive professional support from their directors are more satisfied with their jobs and show better job performance. Program directors need TA to deliver a range of professional supports including reflective supervision, financing of PD aligned with individual needs and interests, opportunities to self-select training, and regularly scheduled paid time for reflection, preparation, and shared learning with colleagues.
 - EC practitioners who experience little professional support from their directors have lower job satisfaction and perform their teaching and caregiving responsibilities less well than those who receive professional support.
 - A supportive administrator, the use of PD plans, and the number of self-selected trainings attended by teachers had significant positive impact on classroom quality scores as measured by the Early Childhood Environment Rating Scale–Revised and the Early Language and Literacy Classroom Observation Tool.
 - The teaching staff's participation in PD is strongly associated with the quality of administrative practices as measured by the Program Administration Scale[®] ([Ackerman, 2006](#); [Means & Pepper, 2010](#); [Rous et al., 2008](#)).

EMBED LEADERSHIP AND MANAGEMENT REQUIREMENTS IN QUALITY IMPROVEMENT INITIATIVES

Specialized knowledge and skills needed to be an effective administrator—including management and leadership concepts and practices—can be included in State/Territory definitions of director competency. Levels of competency, designed as part of a career pathway, and attainment of credentials can be embedded as standards or requirements in licensing, QRIS, wage incentive, or other quality improvement initiatives. Embedding these requirements or standards in related systems-building efforts ensures that directors have the administrative skills and leadership capacity to support fair compensation and positive working environments for the workforce.

Program Standards and Measures

Introduction

Program standards can be used to establish rules, regulations and expectations for structural and/or process quality. Program efforts to meet established standards help them determine strengths and areas for improvement and may be used to measure quality and program outcomes. Policymakers and other leaders can establish policies that build on standards and promising practices to achieve and sustain desired outcomes. Policies that require the participation of a targeted group can also ensure widespread implementation. For example, a State/Territory may require children’s programs that receive child care subsidies to participate in the QRIS, and the QRIS standards may require documentation of the director’s management skills in the form of a credential. The combination of policy and standards could result in higher quality programs for low-income children that are well managed, able to employ better compensated teachers, and support their growth and retention with positive workplace conditions and increased access to PD.

The development and revision of QRIS provide an opportunity for States/Territories to address workplace conditions, compensation, and access to PD. The tiered quality approach, paired with targeted TA based on process and structural quality indicators, sets the stage for meaningful, improved outcomes for programs, practitioners, and children and their families.

In the report *Staff Preparation, Reward, and Support: Are Quality Rating and Improvement Systems Addressing All of the Key Ingredients Necessary for Change?* ([Austin, Whitebook, Connors, & Darrah, 2011](#)), the authors examine QRIS standards and requirements related to compensation, benefits, and support for PD. They state that “Although 18 QRIS include mention of wages, compensation, and/or benefits, the type of benchmarks varied widely, and closer examination revealed few benchmarks related to improving salary or benefit level. Only two systems [Los Angeles County and Vermont] offer specific guidance on what salary levels should be” ([Austin et al., 2011, p. 2](#)).

This subsection provides five examples of program standards and measures that address the leadership and management skills necessary for successful financial and program administration and effective staff supervision and support. These examples are neither parallel nor comparable, but are included for the field to see the different ways organizations address standards and measures. This subsection also includes a State example of using multiple program standards related to leadership and management.

- [Head Start Act 2007 and Example Head Start Program Performance Standards and Other Regulations](#)
- [Example National Association for the Education of Young Children Program Standards and Accreditation Criteria](#)
- [Program Administration Scale Standards and Criteria](#)
- [Business Administration Scale for Family Child Care](#)
- [Supportive Environmental Quality Underlying Adult Learning](#)
- [Use of Multiple Program Standards: State Example](#)

The examples in this section specify the Area(s) Addressed (Workplace Conditions, Compensation, and/or Access to PD), a summary description of the standards, and links to the standards and/or additional information.



PROGRAM STANDARDS AND MEASURES: FIVE EXAMPLES

Head Start Act 2007 and Example Head Start Program Performance Standards and Other Regulations

The following information was retrieved from the Office of Head Start's Early Childhood Learning and Knowledge Center's Web site at <http://eclkc.ohs.acf.hhs.gov> on February 3, 2014.

The following provides examples of sections of the Head Start Act, the Head Start Program Performance Standards, and other Head Start/Early Head Start regulations that address workplace conditions, compensation, and access to PD. Head Start/Early Head Start provides detailed requirements and expectations for program management. These standards are required for all Head Start/Early Head Start grantees and provide examples of good practice for nongrantees.

HEAD START ACT, AMENDED 2007

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



The Head Start Act includes multiple requirements for program management that support positive workplace conditions, equitable compensation, and staff access to PD. Program administrators, education coordinators, mentor teachers, and others play a key role in this approach. The Act identifies specific requirements that programs must meet to maintain effective teaching staff and high-quality programs. Some examples of how sections in the Act specify PD and workforce related requirements are summarized below.

- Section 642B. Head Start Collaboration; State Early Education and Care includes the requirement that Governors designate or establish a council to serve as the State Advisory Council on Early Childhood Education and Care (State Advisory Council) for children from birth to school entry. Part of the charge of the State Advisory Council includes developing recommendations for statewide PD systems and career development plans for EC program staff and an assessment of the capacity and effectiveness of higher education institutions to support EC educators.
- Section 644. Administrative Requirements and Standards requires Head Start programs to establish policies for salaries, salary increases, travel and per diem allowances, and other employee benefits.
- Section 645A. Early Head Start Programs includes subsections on training and TA and staff qualification requirements. The Act requires the Office of Head Start to provide ongoing training and TA to Early Head Start agencies to support program development, implementation of best practices, and a national network of infant and toddler specialists designed to improve the quality of Early Head Start programs. This section also specifies the qualifications for Early Head Start staff including content in child development of infants and toddlers.
- Section 648. Technical Assistance and Training details that Head Start agencies should collaborate with other State partners to foster effective PD systems. This section includes language about access to credentials and degrees, improving staff qualifications, and program management and implementation.
- Section 648A. Staff Qualifications and Development identifies core knowledge and competencies for staff as well as degree requirements. The requirements for classroom assistants and teachers include credential and degree achievement and documentation of plans as well as continued progress towards the educational requirements. This section also specifies inservice PD requirements and requires programs to ensure that staff receives high-quality PD to meet these rules. Additionally, this section includes requirements for teaching staff supports from mentor teachers and additional staff, such as Head Start education coordinators and curriculum specialists.

HEAD START PROGRAM PERFORMANCE STANDARDS

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Access to PD



The Head Start Program Performance Standards include requirements for personnel policies, program management skills, staff qualifications, training, and development for center and home-based programs. The standards require programs to have specialists who support access to PD and a positive working environment for program staff. These specialists must have expertise in education and child development, health, mental health, nutrition, family and community partnerships, and disabilities. Their qualifications, experience, demonstrated competence, and/or certifications must be appropriate to their roles.

The following two sections in 45 CFR 1301 and 1304 illustrate some of these related program management standards:

- 1301.31 Personnel policies; and
- 1304.52 Human resources management.
- Section 1306 Head Start Program Staffing and Program Requirements provides requirements for staff qualifications and training under Subpart B - Head Start Program Staffing Requirements, 1306.21 Staff Qualification and 1306.23 Training.

2 CFR PART 230, APPENDIX B: SECTION 8— COMPENSATION FOR PERSONAL SERVICES

AREA ADDRESSED

- ✓ Compensation



Nonprofit organizations that receive Head Start/Early Head Start funds must comply with Federal cost principles found at 2 CFR Part 230 (formerly Office of Management and Budget Circular A-122). Grantees are allowed to provide incentive payments to staff related to performance or achievement, but only as part of the incentive program established by the grantee in policy. Training and TA funds may be used for these purposes.

ACF-PI-HS-14-01—FY 2014 HEAD START FUNDING INCREASE

AREA ADDRESSED

✓ Compensation



FY 2014 Head Start Funding Increase Program Instruction [ACF-PI-HS-14-01] to Head Start/Early Head Start grantees states that each grantee can apply for a Cost-of-Living Adjustment (COLA). It also includes details about expected percentage of hourly rate of pay increases and connections to the Head Start pay scales. COLA varies in each fiscal year (FY) and may not always be available depending on federal budgets.

RELATED RESOURCES FROM THE OFFICE OF HEAD START

AREAS ADDRESSED

✓ Workplace Conditions

✓ Compensation

✓ Access to PD



Head Start/Early Head Start provides multiple types of TA to support implementation of requirements, including staff qualifications standards, and effective program management and classroom practice. The following highlights one specific resource focused on compensation.

- The Head Start Wage and Fringe Benefits Comparability Survey Toolbox provides Head Start, Early Head Start and grantee and delegate agencies with instructions on how to conduct wage and fringe benefits comparability surveys. Through the efficient implementation of the survey, local programs will be able to attract and retain qualified personnel and maintain high-quality program operations as required by the Improving Head Start for School Readiness Act of 2007.

Additional resources on program management are available from the Office of Head Start's National Center on Program Management and Fiscal Operations. This center works to strengthen the support of Head Start and Early Head Start program management. By offering national and regional information, training, and resources on successful agency management, the Center contributes to positive outcomes for young children and their families.

Example National Association for the Education of Young Children Program Standards and Accreditation Criteria

The following information is summarized from the National Association for the Education of Young Children (NAEYC) Early Childhood Program Standards and Accreditation Criteria and is used by permission. For further information, see <https://www.naeyc.org/academy/primary/standardsintro>.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



The NAEYC Early Childhood Program Standards and Accreditation Criteria are based on research as well as professional experience. Each standard represents an essential, interlocking element of high-quality programs. Standard 10: Leadership and Management is designed to ensure that programs implement policies, procedures, and systems that support stable staff and strong personnel, fiscal, and program management ([NAEYC, 2007](#)).

10.B.—Management Policies and Procedures includes the criteria that program policies address staff responsibilities, planning time, and training and resources. The criteria specifies that programs use technology-based information management systems and policies to guide staff collection and analysis of data for continuous program improvement processes. Programs are also expected to plan and develop policies to reduce turnover, recruit and maintain a consistently qualified, well-trained staff.

10.E.—Personnel Policies details criteria on written personnel policies that include job descriptions, salary scales, benefits, and incentives for PD participation. Comprehensive benefits (health insurance; employee leave, including sick, vacation, holiday, and personal leave; education benefits; and retirement), or plans to develop them, are part of the criteria in this standard. Standard 10.E. also specifies that PD plans: are drafted by program leaders in collaboration with staff; include credit-bearing courses, which increase staff credentials as possible; and include mentoring, coaching or other TA opportunities.

Program Administration Scale Standards and Criteria

The following information is adapted from the Program Administration Scale ([Talan & Bloom, 2011](#)) and is used by permission. Additional information about the tool is available on the McCormick Center for Early Childhood Web site at <http://mccormickcenter.nl.edu/program-evaluation/program-administration-scale-pas/>.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



The Program Administration Scale (PAS) is an assessment tool designed to measure and improve leadership and management practices in center-based EC programs. The tool comprises 25 items (*standards*). Each standard contains two to four indicator strands (*criteria*) that are measured on a rubric of increasing quality. Each standard and the criteria included in the standard are briefly described below ([Talan & Bloom, 2011](#)).

Supervision and Performance Appraisal considers how staff are supervised and how performance is evaluated at the center. Supervision and performance appraisal also looks at who participates in the process and what criteria are used to evaluate performance. Effective administrative practices include a system to ensure support for teaching staff using classroom observations and ongoing feedback.

Staff Development assesses whether PD opportunities are provided for all teaching, support, and administrative staff; whether the center has a policy requiring a minimum number of staff development hours each year; and whether staff are advised about publicly funded PD opportunities. Effective administrative practices include an individualized model of staff development and a system to promote career development.

Compensation addresses whether there is a written salary scale guiding decisionmaking about employee compensation and to whom it is available. Compensation also assesses whether the salary scale is differentiated by role, education, specialized training, years of experience, and professional credentials. Effective administrative practices include regular salary increases as well as a transparent reward system that is fair and equitable and promotes the professional growth of staff.

Benefits considers the availability and extent of different fringe benefits for staff. Benefits include health insurance, sick/personal days, vacation leave, a retirement plan, and reimbursement for PD expenses. Effective administrative practices include an investment in the comprehensive well-being of staff promoting staff retention.

Staffing Patterns and Scheduling considers whether children are regrouped during the day, the availability of paid teacher planning time, whether staff are ever alone with children, and whether the administrator spends time in the classroom to maintain required ratios. Effective administrative practices include a staffing plan that supports professional planning and preparation time for teachers, ensures adequate classroom coverage at all times, and promotes consistency of care for children and strong relationships with families.

Facilities Management addresses the standard operating procedures for the maintenance of the facility, whether the space meets the needs of adults working in the center, and whether the space supports effective program administration. Effective administrative practices include a system to ensure a safe and well-maintained facility that is equipped to meet the adult needs of teaching, support, and administrative staff.

Risk Management includes the components of a comprehensive risk management plan, how information about children's medical conditions is documented, how emergency drills are implemented, and whether staff members are trained in CPR and first aid. Effective administrative practices include systems to anticipate and respond consistently in different types of emergencies.

Internal Communications addresses the methods used to communicate information to employees, the type and frequency of staff meetings, staff involvement in planning and facilitating meetings, whether records are maintained documenting staff meeting proceedings, and whether the center has a written policy and procedures for conflict resolution. Effective administrative practices promote open and professional communication among staff and distributed leadership through frequent, inclusive, and productive staff meetings.

Screening and Identification of Special Needs assesses whether children are screened to identify special needs, whether the screening includes appropriate safeguards to protect against misidentification, and if families and specialists are appropriately involved. Effective administrative practices include a system to ensure collaboration with specialists when children are identified as having special needs.

Assessment in Support of Learning considers how teaching staff assess children's learning and development, whether curriculum planning is aligned with standards for learning and development, and how the results of child assessments are used. Effective administrative practices include instructional leadership to ensure that teaching staff use individual child assessments to improve their teaching practice and that administrative staff use aggregated child assessment data for program planning and evaluation.

Budget Planning focuses on the administrator's involvement in the budget planning process, the components of the operating budget, and whether procedures are in place to ensure adequate cash flow. Effective administrative practices link a program's needs assessment and goal setting to the annual budget planning process and include quarterly cash flow projections to assist in monitoring the organization's financial status.

Accounting Practices examines whether income and expense statements are generated and whether the administrator has access to them, whether there are checks and balances in place to prevent fraud, and whether an independent review of accounting records is regularly

conducted. Effective administrative practices include the administrator's use of quarterly financial statements to monitor the fiscal status of the center.

Program Evaluation addresses the degree to which staff and families are involved in evaluating the program and how these evaluations influence centerwide decisions. Effective administrative practices include a systematic process to ensure that data from family and staff evaluations are used to inform program improvement efforts.

Strategic Planning examines whether the center has a written mission or vision statement as well as a written business or strategic plan; who was involved in the development and/or review of these documents; and how frequently these documents are reviewed. Effective administrative practices ensure the inclusion of multiple stakeholders' perspectives in strategic planning.

Family Communications assesses how families are oriented to the center, the variety of methods used to communicate with families, and the frequency of formal conferences. Effective administrative practices include a system for ensuring open, respectful, and ongoing communication with families that values the families' perspectives and promotes a shared understanding of their children's learning and development.

Family Support and Involvement examines the variety of ways that staff support enrolled families and involve them in the life of the center. Effective administrative practices support active participation by families and is demonstrated by their participation in parent meetings, special events, field trips, routine classroom activities, and governing/advisory committees.

External Communications assesses the variety and quality of marketing and public relations tools utilized by the center. Effective administrative practices include use of a variety of strategies to promote the center's services and to ensure a prompt response to prospective families.

Community Outreach measures the level of involvement of the staff in local community organizations as well as EC professional organizations. It also measures the extent to which the center maintains positive relationships with its immediate neighbors. Effective administrative practices provide support for the administrator and/or staff to be active in community and professional organizations and to build good relations within the local community.

Technological Resources assesses the center's technological resources, including who has access to the Internet and when access is available to teaching staff. Effective administrative practices ensure that multiple, fully functional computers are available for use by teaching and administrative staff.

Use of Technology assesses the use of word processing, spreadsheet, and database applications by administrative staff, the use of technology by teaching staff, and whether teaching and administrative staff have job-specific technology training. Effective administrative practices include a written technology policy that provides staff guidance on the use of social media, email etiquette, personal use of the center's technology resources, digital confidentiality, and use of media releases.

Administrator assesses the level of general education, specialized EC training, specialized management training, administrative experience, and professional contributions of the individual designated as the administrator. Effective administrative practices promote an administrator having a minimum of a bachelor's degree, 24 semester hours of college credit in early childhood education (ECE) or child development, 15 semester hours of college credit in management, 3 years of management experience, and professional contributions.

Lead Teacher assesses the level of general education, specialized EC training, and teaching experience of the individual with the highest professional qualifications who is responsible for the care and education of an assigned group of children. Effective administrative practices promote a staffing pattern that includes a lead teacher regularly assigned in each classroom with a minimum of a bachelor's degree, 30 semester hours of college credit in ECE or child development, and 1 year of experience teaching young children.

Teacher assesses the level of general education, specialized EC training, and teaching experience of each member of the teaching team who shares responsibility with the lead teacher for the care and education of an assigned group of children. Effective administrative practices promote a staffing pattern that includes teachers with a minimum of an associate's degree or 60 semester hours of college credit, 21 semester hours of college credit in ECE or child development, and 1 year of experience teaching young children.

Assistant Teacher/Aide assesses the level of general education, specialized EC training, and teaching experience of each member of the teaching team who is assigned to a group of children and works under the direct supervision of the lead teacher and/or teacher(s). Effective administrative practices promote a staffing pattern that includes assistant teachers/aides who have a minimum of a high school diploma/GED and 3 semester hours of college credit in ECE or child development (or are currently enrolled).



Business Administration Scale for Family Child Care

The following information is adapted from the Business Administration Scale for Family Child Care (Talan & Bloom, 2009) and is used by permission. Additional information about the tool is available on the McCormick Center for Early Childhood Web site at <http://mccormickcenter.nl.edu/program-evaluation/business-administration-scale-bas/>.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



The Business Administration Scale for Family Child Care (BAS) is an assessment tool designed to measure and improve business practices in family child care settings. The tool comprises 10 items (*standards*). Each standard contains three to five indicator strands (*criteria*), which are measured on a rubric of increasing quality. Each standard and the criteria included in the standard are briefly described below (Talan & Bloom, 2009).

Qualifications and PD assesses the educational qualifications, ongoing PD, and peer support of the provider. Effective business practices promote well-qualified providers who are committed to ongoing PD. Well-qualified providers have a minimum of an associate's degree or 60 semester hours of college credit, 15 semester hours of college credit in ECE or child development, and 10 clock hours of business or management training. Providers with a commitment to ongoing PD have 30 or more clock hours of PD each year, plus membership in a family child care association.

Income and Benefits examines whether the provider increases tuition or fees to reflect changes in the cost of living, contracts with parents for days of paid time off, and receives health, retirement, or disability benefits. Effective business practices include a minimum of 5 days of paid leave per year in addition to paid holidays and contribution to a retirement plan each year.

Work Environment considers how well the space of the family child care home meets the needs of the enrolled children, the provider, and the provider's family. This standard also considers the adequacy of office and storage space used for the family child care business. Effective business practices include well-equipped office space and adult-sized seating, as well as natural light, in the child care space of the home.

Fiscal Management examines the availability of a current operating budget, policies, and practices that ensure an adequate cash flow and evidence that standard accounting practices are adhered to and business income and expenses are reported to the Internal Revenue Service. Effective business practices include having a current operating budget, written procedures to protect cash flow, consulting with a qualified tax preparer each year, and claiming available business deductions.

Recordkeeping examines whether the provider keeps track of income received, meals and snacks served to children, caregiving and other business hours worked in the home, and additional business-related expenses. Effective business practices include participating in the Child and Adult Care Food Program, giving families receipts for all payments received, and using the Time-Space Percentage for reporting shared expenses related to the business use of the provider's home.

Risk Management assesses whether the family child care program has written policies and procedures that reduce risk, information displayed about emergency drills and emergency contact information, and whether the program has business liability insurance. Effective business practices include a written risk management plan, written procedures regarding the release of children to persons not authorized on the enrollment form, and comprehensive business liability insurance.

Provider–Parent Communication considers the content of the written contract the provider establishes with families, the completeness of written program policies, and the content of intake forms. This standard is concerned with the enrollment process and the ways the provider communicates with families. Effective business practices include a written contract signed by the provider and enrolling parent(s) or guardian(s), a comprehensive parent handbook, and a multistep enrollment process that promotes shared understanding and trust between the provider and new families as well as a gradual transition for children.

Community Resources examines whether the provider makes information about community resources available to families, facilitates a process for developmental screening of children from birth to age 5, and shares information with families about child-rearing issues. Effective business practices include meeting individually with families to discuss their children's progress as well as hosting a group meeting to discuss child development or child-rearing issues of interest to families.

Marketing and Public Relations evaluates the type and frequency of different external communications tools; how responsive the provider is to calls from prospective clients; and the provider's involvement in local business, civic, and faith-based organizations. Effective business practices include keeping a record of all prospective clients, responding within 1 business day to inquiries, ensuring that the home appears safe and inviting, with evidence of a high-quality learning environment and the provider's active involvement in the local community.

Provider as Employer considers the orientation of new employees; how frequently employees meet with the provider to plan; and whether the provider pays employees at least the minimum wage, withholds Federal taxes, and pays Social Security and Medicare taxes. Effective business practices include: new employees receiving a written job description and written program policies and procedures; new employees meeting children and families before assuming their responsibilities; the provider meeting at least monthly with employees to discuss children's progress and plan activities for the children; and the existence of a written employment agreement or salary scale identifying the criteria on which employees' wages are based.

Supportive Environmental Quality Underlying Adult Learning

The following information was retrieved from the Center for the Study of Child Care Employment, University of California, Berkeley, Web site (http://clpdocs.weebly.com/uploads/9/5/5/4/9554096/cscce_-_sequal_description.pdf and <http://www.irle.berkeley.edu/cscce/wp-content/uploads/2013/08/SEQUAL-1-Pager.pdf>) on February 3, 2014.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



Supportive Environmental Quality Underlying Adult Learning (SEQUAL), developed by the Center for the Study of Child Care Employment at the University of California, Berkeley, is a multipurpose tool for examining and improving the environments in which teaching staff work and learn. The SEQUAL measures the adult learning environment in early care and education center-based settings. It assesses how well the workplace supports teachers and assistant professional growth, learning, and well-being and enables them to continue to develop their knowledge and skills on the job.

TOOL COMPOSITION

The SEQUAL assesses five broad domains of the workplace that support professional growth and high-quality care and instruction. These include:

1. [Teaching Supports](#)
2. [Learning Community](#)
3. [Job Crafting](#)
4. [Adult Well-Being](#)
5. [Program Leadership](#)

Each domain examines the policies, practices, and relationships necessary for a high-quality adult learning environment in early care and education programs.

1. **Teaching Supports** focuses on the presence of and linkages among a center's:

- Curriculum and child assessment frameworks;
- Classroom materials;
- Support services for children and families; and
- Staffing patterns.

2. **Learning Community** examines the opportunities and supports available in the workplace that enable teaching staff to reflect on their teaching and acquire or deepen the knowledge and skills necessary for effective teaching, including:
 - Participating in individual and collaborative PD;
 - Sharing learning with colleagues;
 - Applying learning in practice; and
 - Planning and implementing quality improvements.
3. **Job Crafting** measures teaching staff involvement in decisions about policies and practices, including:
 - Teaching staff's initiative and teamwork; and
 - Input into work organization.
4. **Adult Well-Being** assesses the policies and collegial relationships that support physical and emotional health, including:
 - Compensation;
 - Scheduling and leave;
 - Physical environment for adults;
 - Health management; and
 - Quality of work life.
5. **Program Leadership** examines how administrators, supervisors, and other program leaders support staff's:
 - Teaching practice;
 - Professional growth; and
 - Well-being.

SEQUAL FUNCTIONS IN EC ENVIRONMENTS

A Research Tool

The Center for the Study of Child Care Employment is conducting a series of validation studies on the SEQUAL in several States and in different types of center-based early care and education settings. These studies examine the SEQUAL's relationship to measures of program quality and teacher effectiveness. The goal is for the SEQUAL to assist researchers in understanding the interplay between teacher education, the work environment, and efforts to improve program quality and facilitate children's learning.

An Educational Tool

The SEQUAL can be used in various venues (e.g., college courses, community trainings) to introduce center leaders and PD providers to theories, concepts, and best practices related to promoting teacher growth and development. The SEQUAL can also be used to raise the

awareness of teaching staff about work environments that support their ability to apply what they know and continue to improve their practices.

A Technical Assistance Tool

The SEQUAL provides those working in programs on quality improvement (e.g., mentors working in QRIS or accreditation coaches) with a framework for assessing how the adult work environment supports or impedes teaching practices and provides a guide for helping programs facilitate change.

USE OF MULTIPLE PROGRAM STANDARDS: STATE EXAMPLE



Maryland: Incorporating Head Start Program Performance Standards into QRIS

The following information was retrieved from Maryland Department of Education's Web site (http://www.marylandpublicschools.org/MSDE/divisions/child_care/mdexcels.htm) on February 3, 2014, and from Elizabeth Kelley, Director, Office of Child Care, on February 20, 2014.

AREAS ADDRESSED

- ✓ Workplace Conditions
- ✓ Compensation
- ✓ Access to PD



Maryland EXCELS (EXcellence Counts in Early Learning and School-age Child Care) is a voluntary QRIS. It awards ratings to registered family child care providers, licensed child care centers (Head Start/Early Head Start, Letter of Compliance facilities, SA Only Child Care), and public pre-K programs that meet increasingly higher standards of quality in key areas. The development of the standards, which are aligned with the Head Start Program Performance Standards, build on a long-standing relationship between Child Care and Head Start/Early Head Start. Head Start/Early Head Start is represented on working groups, including those addressing licensing standards, workforce credentialing system, and QRIS development. This long-standing relationship resulted in the alignment of PD and program requirements with the Head Start Program Performance Standards.

The areas and indicators of Maryland EXCELS standards are used to assess the quality levels of participating licensed centers, including Head Start/Early Head Start programs, large family child care, and family child care. The areas assessed are:

- Licensing and Compliance;
- Staffing and Professional Development;
- Rating Scale/Accreditation;
- Developmentally Appropriate Learning and Practice; and
- Administrative Practice and Policies.

The Staffing and Professional Development standards are based on attainment of levels of the Maryland Child Care Credential for providers working in participating programs except for public pre-K. Staff requirements for each type of program are as follows:

- Family and large family child care:
 - Level 2: provider/co-provider, or 60% of lead staff in a large family child care home must hold a Level 2 Maryland Child Care Credential (45 clock hours) or higher, or the equivalent credential training for that level
 - Level 3: provider/co-provider, or 60% of lead staff in a large family child care home must hold a Level 3 Maryland Child Care Credential (90 clock hours) or higher, or the equivalent credential training for that level
 - Level 4: provider/co-provider, or 60% of lead staff in a large family child care home must hold a Level 4 Maryland Child Care Credential (135 clock hours) or higher
 - Level 5: provider/co-provider, or 60% of lead staff in a large family child care home must hold a level 4+ Maryland Child Care Credential (135 clock hours plus additional requirements, including enrollment in degree program) or higher
- Centers:
 - Level 2: Director and at least 60% of lead staff must hold a Level 2 Maryland Child Care Credential (45 clock hours) or higher, or the equivalent credential training for that level
 - Level 3: Director and 60% of lead staff must hold a Level 3 Maryland Child Care Credential (90 clock hours) or higher, or the equivalent credential training for that level
 - Level 4: Director and 60% of lead staff must hold a Level 4 Maryland Child Care Credential (135 clock hours) or higher
 - Level 5: Director and 60% of lead staff must hold a level 4+ Maryland Child Care Credential (135 clock hours plus additional requirements, including enrollment in degree program) or higher
- Public pre-K programs:
 - Level 4: degree and teacher certification
 - Level 5: degree and certification, plus Advanced Professional Certification

Maryland created a standardized “bridge” course that allows staff with the Child Development Associate™ credential to complete the Maryland Child Care Credential. This helps staff in all types of programs meet both the Head Start Program Performance Standards and EXCELS staff qualifications requirements.

In addition, practitioners are eligible for one-time bonuses of \$200, \$300, and \$500 for Levels 1, 2, and 3 credentials, respectively. The Level 4+ credential earns an annual \$600 bonus. The Level 5 credential is an associate’s degree and earns an annual bonus of \$750. The Level 6 credential is a bachelor’s degree or higher and earns a \$1,000 annual bonus. Level 5 and 6 credentials both meet the staff requirements for the highest levels of the QRIS and teacher requirements for Head Start.

Plans include requiring programs to participate in EXCELS for staff to receive all the benefits of the credentialing program. In addition to the credential bonuses, all quality grants, accreditation support, training, and TA will be tied to participation in EXCELS. Beginning January 1, 2015, programs receiving Child Care Subsidy reimbursement must participate in EXCELS.



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Section 4

Planning and Implementation Guide

Click on the following for strategic steps to help target workplace conditions, compensation, and access to professional development:

- ➔ [Initiatives and Investments](#)
- ➔ [Goals and Outcomes](#)
- ➔ [Readiness](#) ➔ [Implementation Plan](#)
- ➔ [Monitor Results](#)

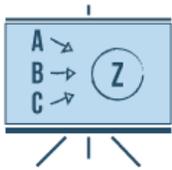


What's in it for me?

- ★ **State/Territory professional development (PD) system planning and/or implementation team members can use this section to guide their strategic planning and implementation that supports a skilled and stable workforce qualified to serve in various roles across all sectors of the early childhood (EC) and school-age (SA) field.**

Introduction

Strategic Decisions



This section is a planning and implementation guide for State/Territory teams as they move towards system innovation. Developing positive workplace conditions, equitable compensation, and an effective, aligned approach to PD access for the EC and SA workforce requires comprehensive decisionmaking and implementation strategies.

Using this guide to support planning and implementation will be most successful if the State/Territory can designate a planning and implementation team(s) and timeline for working through each of the steps. Planning and/or implementation team members should include the full range of policymakers and other leaders who contribute to building, enhancing, and administering aligned PD systems:

- Child Care and Development Fund Administrators and staff;
- Head Start State and National Collaboration Directors, large Head Start/Early Head Start grantees, and other Head Start/Early Head Start leaders;
- EC Specialists in State Departments of Education, Early Intervention and Special Education PD and Technical Assistance (TA) Coordinators, and other leaders in State Departments of Education;
- Representatives from boards of regents or higher education boards, or higher education organizations;
- PD system administrators;
- Child care resource and referral administrators, training organization directors and trainers, higher education institution administrators, EC/child development faculty, and TA organization administrators and providers;

- Head Start/Early Head Start, Child Care, and other EC and SA professional association administrators and staff; and
- Other early education, SA, and youth development leaders and key partners.

Because the PD approaches that States/Territories select will likely require repackaging of existing investments and a move away from “business as usual,” it is important to devote adequate time and resources to decisionmaking and implementation planning. While effective systems change typically takes place over a number of years, establishing incremental steps and progress indicators can help maintain momentum and ultimately achieve the desired goal. It will likely take more than one work session for a planning and implementation team to review and discuss each step. Before using the guide’s considerations, a team should determine if any of these steps have already been started or completed.



Details of What I Will Find in This Section

This guide provides five suggested steps:

- Step 1. Conduct a Scan of Current Initiatives and Investments;**
- Step 2. Develop or Refine the Goals and Outcomes;**
- Step 3. Determine the Fit and Feasibility and Readiness to Change;**
- Step 4. Select an Approach and Develop an Implementation Plan; and**
- Step 5. Implement the Plan and Monitor Results.**

These five steps are built on a readiness for change process framework.

“Readiness” is defined as a developmental point at which a person, organization, or system has the capacity and willingness to engage in a particular activity. Creating readiness for change is a critical component of both initiating and scaling up the use of evidence-based practices and other innovations. Proceeding with implementation prematurely (i.e., before an individual or an organization is “ready” to change) can lead to both ineffective and expensive implementation efforts. “Readiness for change” is something that needs to be developed, nurtured, and sustained. Accountability for creating readiness rests with the implementation team, not with those who are expected or invited to change (Fixsen, Blase, Horner, & Sugai, 2009).

Many of the issues addressed in this guide are interrelated and reflect the complexity of developing an **aligned PD system**.

State/Territory aligned PD systems consist of interrelated efforts, services, and supports that address the continuum of workforce needs with a common goal of building and sustaining an effective workforce. PD systems include education, training, and TA. Exactly which sectors and systems compose a State/Territory's vision for an aligned PD system depends on its context, including its political and fiscal situation, where and how the PD system fits in its larger EC and SA systems, and its specific PD goals and priorities. A State/Territory's context can dictate the best approach(es) for successful alignment efforts.



Step 1. Conduct a Scan of Current Initiatives and Investments

To inform policy decisions, the State/Territory planning and implementation team should begin with a systematic scan of existing data on the status of the EC and SA workforce and current investments across the system. The team can use the results of the scan to understand the status of current investments and approaches and to identify gaps. The comprehensive scan would target four key components:

- A. **Basic data on the workforce;**
- B. **Funding level and sources;**
- C. **Goals and progress indicators for existing initiatives;** and
- D. **Alignment of current initiatives.**

The purpose of addressing each component and the questions that establish baseline estimates of workforce and systems status are described on the following pages.

A. Basic Data on the Workforce

Purpose: Establish baseline estimates of workforce status to identify targets/goals of system approaches.

- What education levels do members of the State/Territory EC and SA workforce have?
 - Are there differences across roles—direct service professionals and those who work on behalf of young children and their families?
 - Are there differences across **settings**?

Settings are where services are provided, including direct and nondirect service programs, organizations, and agencies. Settings and their administration often cross multiple EC and SA sectors and, increasingly, they cross related systems. They also can and often do have a combination of the following characteristics.

 - Public and private;
 - Profit and nonprofit;
 - Faith-based;
 - Community-based;
 - School-based;
 - Home-based;
 - Employer-sponsored; and
 - Licensed and license-exempt.
 - Are there differences across **sectors**?

*The EC and SA system is composed of **sectors**. Sectors are delineated by their discrete funding streams, regulations, and requirements. Because early intervention and special education services cross and serve multiple sectors, they are sometimes described as part of each of these sectors and sometimes described as separate systems. However, for the purposes of discussing and framing intentional PD system alignment, they are defined in this guide as EC and SA primary sectors to underscore their importance, as well as their discrete professional preparation and development history, delivery, and requirements. The EC and SA primary sectors include:*

 - Child Care;
 - Head Start/Early Head Start;
 - Public preschool/primary education; and
 - Early intervention/special education.
 - Are there differences by age group of children in care (e.g., infant/toddler, preschool, SA)?
- What languages are spoken in the workforce? What are the implications for access to training and coursework?
- Is any data available at the State/Territory or community level related to the salaries, benefits, workplace conditions, or turnover rates within the EC and SA workforce by education level or by age group of children served?
- Are there particular projected needs for PD and quality improvement that the State/Territory has identified to best serve its population?
- Is there any additional national data that would be useful to inform State/Territory decisionmaking (e.g., data on compensation by sector or by education level)?

B. Funding Level and Sources

Purpose: Establish a detailed map of system investments and options for repackaging investments to achieve desired goals.

- What Federal, State/Territory, and local funding sources are currently being accessed to pay for PD and quality improvements?
 - What is the current funding level for each PD or related quality improvement system element (e.g., Quality Rating and Improvement System [QRIS], the registry, scholarships for credit courses, training, TA for program improvement, career advising)?
 - What percentage of current investments is used to support improving salaries, benefits, and workplace conditions?
 - Have funding sources or levels changed in the past 5 years? Does the State/Territory expect any changes in the level of funding in the next budget cycle?
 - Are there any current conditions that provide an opportunity to refocus investments to have a greater impact on salaries, benefits, and workplace conditions?
- What Federal, State/Territory, and local funding sources are currently used to pay for access to training and education for the EC and SA workforce?
 - What percentage of current investments supports access to degrees or credentials?
 - What percentage of current investments supports inservice training that is aligned with an individual PD plan or program improvement plan?
 - What is the current funding level for each initiative? Has it changed in the past 5 years? Does the State/Territory expect any changes in the level of funding in the next budget cycle?
- What proportion of State/Territory expenditures to promote PD and reduce turnover is used to support salaries, benefits, and work environment initiatives?
 - Has this proportion changed in the past 5 years?

C. Goals and Progress Indicators for Existing Initiatives

Purpose: Examine the array of existing system activities dedicated to supporting access to PD, compensation, and workplace conditions and the extent to which they are achieving desired goals.

- What are the stated goals and purposes of currently available initiatives to improve access to PD, compensation, and workplace conditions?
- Who is eligible for each initiative (e.g., infant/toddler teachers, pre-K teachers, SA staff, family child care providers)?
- How many participants did each initiative have last year as compared to the total potentially eligible in the workforce?
- How are results and/or outcomes of these initiatives measured? What have the results been in the past 5 years?

D. Alignment of Current Initiatives

Purpose: Examine how existing activities align to incentivize participation and achievement.

- How, if at all, do current initiatives align with each other and with other features of the PD system to improve access to PD, compensation, and/or workplace conditions for the EC and SA workforce? (For example, an aligned combination of initiatives might include scholarships and supports for higher education, onsite TA to support application of new knowledge to practice, QRIS standards, and/or a career lattice to recognize educational attainment.)
- How are current initiatives to improve access to PD, compensation, and/or workplace conditions for the EC and SA workforce aligned with the State/Territory child care subsidy system and payment rates for providers? (For example, higher payment rates go to providers that have staff with credentials or degrees; that use a salary schedule based on qualifications, ongoing PD, and performance; or that conduct an environment assessment that examines compensation, benefits, and support for PD.)
- How are current initiatives to improve access to PD, compensation, and/or workplace conditions for the EC and SA workforce aligned with other priority strategies to improve school readiness and success from birth through age 13, including any place-based and community initiatives in the State/Territory? (For example, training and TA related to implementing early learning and development standards offered to staff across settings and sectors to promote shared understanding of school readiness expectations; community collaborations between public schools and local Head Start/Early Head Start grantees to deliver public pre-K programming ensure equitable compensation for certified teachers across the settings.)



Step 2. Develop or Refine the Goals and Outcomes

In this step, the State/Territory planning and implementation team can review the outcomes of the scan. They can assess the degree to which current approaches are (or are not) meeting their expectations and work toward clarification of the goals and desired outcomes for the workforce.

Goals and Outcomes

Purpose: Define the goal and outcomes as concretely as possible.

- What is the vision for a supported and effective EC and SA workforce in our State/Territory?
- Are there articulated goals and outcomes for PD and quality improvement of the EC and SA workforce?
 - Do they include specific goals for access to PD, equitable compensation, and positive work environments?
- Is there sufficient buy-in and consensus in the State/Territory regarding the goals?
 - If not, is there a vehicle or body that can raise the issue of access to PD, equitable compensation, and positive work environments in order to develop consensus?
- Which stakeholders should be involved in any revision or fine-tuning of State/Territory goals and policy so that revisions include the issues of access to PD, compensation, and work environment?
 - Does the State/Territory have access to these vehicles, bodies, or stakeholders? If not, what partners could engage the needed stakeholders?
- How can this effort be used to unify the field?
- Has there been substantial change in the research since the last PD system plan or evaluation was completed?
- How will success be measured?

Step 3. Determine the Fit and Feasibility and Readiness to Change

Conduct a fit and feasibility analysis to determine what combination of policies and allocation of resources is most likely to achieve the desired goals and outcomes. The purpose of a fit and feasibility analysis is to examine an array of options and assess the degree to which each option, or package of options, could be successfully implemented in the State/Territory. The components of a fit and feasibility analysis include:

- [Identification and validation of need](#)—questions for initial considerations; and
- [Consideration of required changes](#)—key questions for indepth considerations that create readiness for change.

Identification and Validation of Need

Purpose: Ensure that PD system stakeholders understand the aligned approach and are committed to successful implementation.

- Is there consensus among stakeholders that access to PD, equitable compensation, and positive workplace conditions are important investments—for children, families, the workforce, the economy?
- Is the existing evidence on the need for improved access to PD, compensation, and workplace conditions perceived as valid by the various stakeholders in the State/Territory?
- How will the efforts to improve PD access, compensation, and workplace conditions include and serve professionals in all/targeted settings and sectors and fit with other **related systems** and **quality improvement efforts**?

***Related systems** include 1) family support (which may provide parenting education), home visiting, economic supports, and other services and 2) health and mental health, which may provide preventive care, screenings, and supports to access health providers, as well as instructional support.*

*PD systems are an integral part of other **quality improvement efforts** in States and Territories. These efforts may include:*

- *Licensing;*
- *QRIS; and*
- *State/Territory system-building initiatives/plans (e.g., Child Care Development Fund, State Early Childhood Advisory Council, Head Start/Early Head Start, State Early Childhood Comprehensive System Grants, Maternal, Infant, and Early Childhood Home Visiting Grants, Race to the Top—Early Learning Challenge Grant, etc.).*
- What are the unique needs of the infant/toddler and SA community and how will the efforts to improve PD access, compensation, and workplace conditions meet them?
- What are the unique needs of those who provide PD (trainers, TA providers, faculty, and other adult educators), and how will the efforts to improve workplace conditions, compensation, and access to PD meet them?

- How will the efforts to improve PD access, compensation, and workplace conditions “fit” with community values, including the values of diverse cultural groups?
- What additional evidence is needed to promote understanding of PD access, compensation, and workplace condition issues and establish a common, multifaceted solution?

Consideration of Required Changes

Purpose: Identify the specific system components, governance, political, financial, and sustainability issues that are involved in the aligned approach and the changes needed to make the approach operational.

- What combination of system elements is likely to make the greatest impact on access to PD, compensation, and workplace conditions? Is there an evidence base for the programs or services being considered?
- What reallocations of investments, changes in policies, QRIS, licensing standards, or contracts for services are needed to improve access to PD, compensation, and/or workplace conditions for the EC and SA workforce?
- Which combination of investments or system elements is a good fit for the State/Territory?
- What funding resources can be used to improve access to PD, compensation, and/or workplace conditions for the EC and SA workforce?
- If additional funding is required, what additional funding is available and from what sources?
- Upon reviewing articulated State/Territory goals for PD and quality improvement and the data collected in Step 1, are the levels and proportions of investments appropriate to support the goals with regard to access to PD, compensation, and workplace conditions?
- How can the State/Territory move toward achieving effective investment strategies to address access to PD, compensation, and workplace conditions?
- If it is determined that more funding should be dedicated to support access to PD, compensation, or workplace conditions initiatives, to what extent could current resources be reallocated to support State/Territory goals?
- Are there ways of managing current and/or future investments to meet State/Territory goals for improving access to PD, compensation, and workplace conditions (e.g., targeting specific percentages in State/Territory contracts with PD entities toward certain identified topic areas or for certain populations of the workforce)?
- Are there opportunities to integrate expectations for appropriate salaries, benefits, and workplace conditions into a career lattice, QRIS criteria, quality initiatives, and/or the approval process for contracts/grants or vouchers to provide care for low-income children and families in the subsidy system?
- What changes are needed in existing policies, QRIS standards, contracts with vendors, career lattice components, or TA (coaching, consultation, and mentoring) to support an aligned approach to address access to PD, compensation, and workplace conditions?

- What agencies and/or organization(s) are best positioned to implement, grow, and sustain the aligned approach to improving access to PD, compensation, and workplace conditions?
- Which funding sources can be used to sustain innovations?
- What policies and procedures can be developed to sustain initiatives through changes in leadership and political agendas?

Step 4. Select an Approach and Develop an Implementation Plan

In this step, the planning and implementation team selects an approach and develops the implementation plan based on considerations in Steps 1 through 3. The team confirms the approach by delineating the targeted settings, sectors, related systems, and goals to align specific components or the overall PD system. A successful implementation plan will address the management of changes in the system, communications, regular review and monitoring, and data collection and reporting. Key elements of an implementation plan and questions to guide the planning are described below.

Planning for Change

Purpose: Prepare for implementation by ensuring that roles and responsibilities for implementing a new approach are clear and agreed upon by stakeholders.

- Where is the authority for implementing the combination of approaches and reallocation of resources to improve access to PD, salaries, benefits, and/or workplace conditions for the EC and SA workforce?
 - Who will coordinate the work?
 - What cross-agency agreements will need to be in place?
 - How will the work be done and who will manage it?
 - What is the time frame?
 - What is currently in place to support the work?
 - What TA is available?
- Who should be involved in the development?
 - What sectors and related systems?
 - What roles and specialized areas (e.g., adult educators, policymakers, practitioners, researchers, infant/toddler, Head Start/Early Head Start, family child care, SA, special needs/early intervention, schools, etc.)?
 - Members of already existing community/State/Territory advisory or planning groups?
- What are the barriers to involving multiple sectors/related systems and can the challenges be overcome?
- What options exist for implementing a pilot of a comprehensive approach?

Communication Plan

Purpose: Develop an intentional communication and marketing strategy to support implementation.

- Who needs to know about the plans to improve access to PD, compensation, and workplace conditions, what do they need to know, and how will the information be communicated?
 - Representatives of each setting, sector, and related system
 - Policymakers
 - Partners
 - Professionals working directly with young children and their families
 - Program directors/administrators
 - Training and TA providers
 - Professional associations
 - Higher education faculty and administrators
 - Unions
 - Others
- What information products are needed for which audiences?
 - How will opportunities to improve access to PD, compensation, and workplace conditions be marketed to eligible participants and sponsors?
 - How will the priorities set for the initiative (i.e., who is eligible, what are the requirements, what outcomes will be tracked) be shared with stakeholders?
- What is the timeline for testing the comprehensive approach to improve access to PD, compensation, and workplace conditions, and how will it be communicated to stakeholders and potential participants?
- How will stakeholders' feedback be solicited, collected, and incorporated?

Implementation Team

Purpose: Support implementation by creating roles and responsibilities and a plan for regular monitoring of activities. (Also see [Step 5, Implement the Plan and Monitor Results.](#))

- Who should be on the implementation team to guide implementation and ongoing monitoring of the comprehensive approach to improving access to PD, compensation, and/or workplace conditions?
- What infrastructure is needed at the community/State/Territory level to support the comprehensive approach?
- What staff is available to coordinate this work?
- What training and supervision will staff need to coordinate this work?
- What work plan will be developed, and who will oversee the activities in the work plan?

Data Collection and Reporting Plan

Purpose: Develop a data system to support implementation and reporting of progress to funders and to the implementation team. (Also see [Step 5, Implement the Plan and Monitor Results.](#))

- How will the State/Territory team monitor the implementation of the comprehensive approach to improve access to PD, compensation, and/or workplace conditions?
- What indicators of successful implementation will be collected over time?
- What capacity exists to collect, house, and analyze data on access to PD, compensation, and workplace conditions?
- What existing data systems (e.g., registries, licensing, Head Start Program Information Report, child care assistance, education) could be used?
- What new data systems, linkages, or tracking capacity may need to be established?
- How can cross-sector/system privacy issues be addressed?
- What capacity exists for developing regular reporting that can inform the implementation team?
- How will data be used to inform decisionmaking?
- Is an evaluator in place who can conduct analyses to determine if the comprehensive approach is improving retention and quality of programs?



Step 5. Implement the Plan and Monitor Results

In this step, the planning and implementation team assigns tasks and timelines, monitors results, and makes system adjustments as needed. Implementation occurs through assigned roles and responsibilities for specific action steps and a timeline for completion as considered in Steps 1–4. To the extent possible, the implementation plan should build on the information gathered to date and use the results garnered through Step 4 of the considerations. Results from the data collection and monitoring of implementation inform revisions or modifications to activities. Appropriate selection of staff, ongoing TA, and analysis of data to inform decisions can support this process of continuous improvement and help the State/Territory planning and implementation team reflect on lessons learned as the approach is implemented and the PD system matures.

Checking In

Purpose: Develop a process for checking in on implementation activities to date.

- How will the State/Territory team collect information about the progress of implementation activities to date?
- How will the team receive feedback from key stakeholders involved in the implementation of specific initiatives and the overall comprehensive approach, as well as from the recipients of the efforts?
- What process will be used to gather information from evaluation efforts, data systems, and regular reporting from key implementers to inform adjustments needed?

Evaluating

Purpose: Develop a process to reflect on current implementation activities to determine changes needed to meet implementation goals.

- Who will be responsible for reflecting on the information gathered through the established check-in processes? Which stakeholders need to be involved?
- How often should the feedback gathered through monitoring processes be considered?
- What process will the State/Territory team use to evaluate feedback from multiple monitoring activities to make decisions about adjustments to the implementation plan?

Making Adjustments

Purpose: Develop a process for adjusting current implementation activities based on successes and challenges identified in the current implementation plan.

- What threshold will the State/Territory team use to determine that the evidence collected points to a need to adjust or modify implementation activities?
- How will the team implement modifications to its comprehensive approach?
- What parts of the implementation process will need to be revisited to make adjustments? For example, will the adjustment require a new communication plan or an invitation to new stakeholders?
- What process will the team use to ensure that modifications have led to a stronger implementation plan?



Reference

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Section 5

Strategic Approaches: A State Story

Click on the following to learn about West Virginia's approach to improve workplace conditions, compensation, and access to professional development:
➔ [Background](#) ➔ [Applying the Planning and Implementation Guide](#)



What's in it for me?

- ★ **State/Territory or local policymakers, funders, or advisory committee members** can use this section to explore a concrete example of how a combination of strategies enhances workplace conditions, compensation, and access to professional development (PD). This section can also inform their policy recommendations that support the workforce across settings and sectors.
- ★ **PD System administrators and professionals that provide PD or other workforce supports** can use this section to explore a how PD systems, training entities, and institutes of higher education work together to align compensation and workplace supports with a continuum of cross-sector PD. This section can also inform their collaborative strategies to meet cross-sector workforce needs.

Introduction

The final section of this tool highlights West Virginia's Apprenticeship for Child Development Specialist (ACDS) program as an innovative approach to aligning a State PD system to provide career pathways, address compensation, and increase career mobility for the early childhood (EC) and school-age (SA) workforce. West Virginia adapted the U.S. Department of Labor Child Development Apprenticeship Program in its design of the ACDS in 1989. The Child Development Apprenticeship Program has now been adopted in more than 30 States.



Details of What I Will Find in This Section

The West Virginia story highlights alternative pathways of intentional, multifaceted, and promising approaches to tackling the issues of workplace conditions, compensation, and access to PD one strategic step at a time. The [Planning and Implementation Guide \(Section 4\)](#) frames this story and demonstrates how the guide's strategic steps can be used to inform implementation.

- ➔ **West Virginia** has supported credential attainment and corresponding increases in compensation through 20 years of implementation of the ACDS program. Completion of the program results in a nationally recognized certificate from the U.S. Department of Labor and pay increases that correspond with completion of education and on-the-job (OJT) training. The program combines access to an approved training program that articulates to an associate's degree with support from an approved and professionally

trained mentor. Incremental increases in compensation are also part of the ACDS program.

Background

No single approach by States/Territories can address the complex issue of compensation for the EC and SA workforce. The solution to the issue of compensation lies in multiple State/Territory and program level components that impact positive workplace conditions, professional salaries and benefits, and access to credentials and degrees. The current financing structure for programs, including payment processes and sources of revenue, is not sufficient to meet the costs of delivering high-quality children’s programming and retaining highly qualified staff.

State/Territory policymakers and other leaders often use their PD system to address workplace conditions and compensation as opportunities and possibilities arise. Each PD system exists in its unique State/Territory and local context. A PD system may have a long history of progress or may just be beginning its efforts. In either case, the history and context of the State/Territory and localities set the stage for the next steps in implementation.

Strategic Framework

The maturity of State/Territory PD systems, changes in leadership, funding opportunities like Race to the Top—Early Learning Challenge grants, and budget constraints can all influence the strategic approaches leaders take to implement policies and fund activities that improve workplace conditions, compensation, and access to PD. State/Territory teams can use the [Planning and Implementation Guide \(Section 4\)](#) to enhance their strategic planning and implementation process. The guide is built on a readiness for change framework that takes into account the State/Territory/local context.

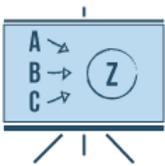
“Readiness” is defined as a developmental point at which a person, organization, or system has the capacity and willingness to engage in a particular activity. Creating readiness for change is a critical component of both initiating and scaling up the use of evidence-based practices and other innovations. Proceeding with implementation prematurely (i.e., before an individual or an organization is “ready” to change) can lead to both ineffective and expensive implementation efforts. “Readiness for change” is something that needs to be developed, nurtured, and sustained. Accountability for creating readiness rests with the implementation team, not with those who are expected or invited to change (Fixsen, Blase, Horner, & Sugai, 2009).

The framework provides a logical sequence, but does not require a methodical step-by-step application; rather the framework guides decisionmaking based upon State/Territory readiness and the opportunities available. In strategic planning, each step is important but some of the steps’ considerations may be more relevant to the task at hand than others. Each planning group may start at a different step, skip a step, or even revisit steps that inform the current PD system work.

Applying the Planning and Implementation Guide to West Virginia's Apprenticeship for Child Development Specialist Program

The following information about the ACDS program was gathered through personal communications with Sherrie Barrett, ACDS State Coordinator, and Natalie Snider, WV STARS State Coordinator; and the West Virginia ACDS Web site (<http://www.wvacds.org>), in January 2014. Additional information about the U.S. Department of Labor Child Development Apprenticeship Program is available at <http://www.doleta.gov/oa/apprentices.cfm>.

Step 1. Conduct a Scan of Current Initiatives and Investments: West Virginia's ACDS Program



Conduct a scan of current initiatives and investments. To inform policy decisions, the State/Territory planning and implementation team should begin with a systematic scan of existing data on the status of the EC and SA workforce and current investments across the system. The team can use the results of the scan to understand the status of current investments and approaches, and to identify gaps.

The ACDS is funded with Child Care and Development Fund quality dollars through the West Virginia Department of Health and Human Resources, and by the West Virginia Department of Education through a contract with River Valley Child Development Services. A State executive council, comprising representatives from local councils, funders, and the Department of Labor, oversees the program.

Apprentices in the ACDS program must complete four semesters of classroom training plus 3,200 to 4,000 hours of OJT, including observation by a mentor, master teacher, or center director. Apprentices often choose to continue their education to complete an associate or bachelor's degree. Graduates of ACDS can have their work applied as college credit for an associate degree at most West Virginia community colleges. There is also a pre-apprenticeship education program operating in the State's high schools. This program implements the educational portion of the ACDS without the OJT component.

The West Virginia State Training and Registry System (STARS) has an agreement with ACDS to track each apprentice's coursework completion, core knowledge information, and progress on the career path. State Apprenticeship Coordinators submit course descriptions and training registration information to West Virginia STARS. Training hours are verified and awarded according to State policy. In addition, West Virginia STARS collects information on each apprentice's job role, program completion status, wage and benefit level, and general workforce information.

Apprentices work in a variety of program settings, including:

- West Virginia's universal pre-K;
- Public school classrooms;
- Head Start/Early Head Start programs;
- Child care centers and family child care homes;
- SA programs;
- In-home family education (home-visiting) programs;
- Early intervention programs; and
- Young or expectant parent programs.

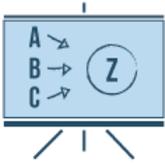
Although the apprenticeship program is just one of West Virginia's investments in the PD system, it has been a primary focus for a number of years and a wealth of data are available.

ACDS Data at a Glance

- ✓ Over 2,000 ACDS apprentices have graduated since it began in 1989.
- ✓ More than 4,000 young children and families have benefitted from staff participation in the ACDS program.
- ✓ 80–90% of apprentices complete the program and receive a nationally recognized certificate from the United States Department of Labor.
- ✓ Although apprentices often receive minimum wage when they enter the program, they receive wage increases ranging from \$.25 to \$2.00 per hour.



Step 2. Develop or Refine the Goals and Outcomes: West Virginia's ACDS Program

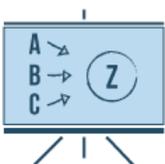


Develop or refine the goals and outcomes. In this step, the State/Territory planning and implementation team can review the outcomes of the scan. They can assess the degree to which current approaches are (or are not) meeting their expectations and work toward clarification of the goals and desired outcomes for the workforce.

Apprenticeship programs combine OJT with theoretical instruction and offer key benefits not normally found in other education and job training programs. For example, apprentices earn a living wage while they are obtaining a credential. Apprentices also work under the guidance of an experienced child care professional. This on-site mentor provides ongoing feedback on job performance.

Another hallmark of apprenticeship is a negotiated wage progression that specifically addresses compensation. West Virginia uses the ACDS as an essential part of its cross sector approach to address compensation and improve workplace conditions. Employers or sponsors register with the State Department of Labor and negotiate an agreement that outlines the apprenticeship sponsor's responsibilities, including wage increases, as well as the minimum qualifications for participation in the program. In addition, completion of the ACDS program opens the door to other professional opportunities because it aligns with West Virginia's licensing, Head Start, and pre-K requirements.

Step 3. Determine the Fit and Feasibility and Readiness to Change: West Virginia's ACDS Program

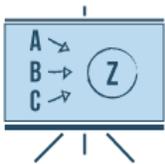


Determine the fit and feasibility and readiness to change. Conduct a fit and feasibility analysis to determine what combination of policies and allocation of resources is most likely to achieve the desired goals and outcomes. The purpose of a fit and feasibility analysis is to examine an array of options and assess the degree to which each option, or package of options, could be successfully implemented in the State/Territory.

Because an executive council that includes local representation oversees the ACDS program, local councils are supported to recruit students and work to tailor the State ACDS to meet local needs. Apprenticeship training is attractive to a mix of EC students ranging from experienced professionals to new students entering the field, though most apprentices would be considered nontraditional students by higher education standards. Many begin the program hesitant about college attendance and come to find that the apprenticeship approach provides a doable stepping-stone to higher education. Most people choose the apprenticeship model because it offers the complete package: more peer-to-peer contact, access to a higher level of training, opportunity for sharing and collaborating, and an opportunity to practice what they learn on the job.



Step 4. Select an Approach and Develop an Implementation Plan: West Virginia's ACDS Program



[Select an approach and develop an implementation plan.](#) In this step, the planning and implementation team selects an approach and develops the implementation plan based on considerations in Steps 1 through 3. The team confirms the approach by delineating the targeted settings, sectors, related systems, and goals to align specific components or the overall PD system. A successful implementation plan will address the management of changes in the system, communications, regular review and monitoring, and data collection and reporting.

The ACDS can be customized to accommodate differing employment situations and local needs. The ACDS offers scholarships to pay for books during the four-semester program. Those apprentices who completed/are completing the program and wish to continue their education can apply for additional higher education scholarships targeted to ACDS graduates.

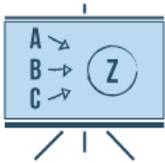
A new apprentice generally begins the program at Level 2 on West Virginia's career path and may progress as follows:

- After completing three semesters of training, the apprentice qualifies for Level 3.
- After completing four semesters of training, the apprentice qualifies for Level 4.
- After completing the entire program, the apprentice qualifies for Level 5.

A trained mentor or master teacher oversees each OJT experience. The mentors meet with their apprentices regularly to review required documentation and provide support. They also observe the apprentices with the children, provide feedback, and offer additional resources as needed. Mentors must have a degree in early education or meet the requirements for Level 5 on the State's career path. Often, ACDS graduates return to serve the program as mentors.

ACDS also meets the needs of its EC partners. For example, pre-K and Head Start regulations require apprenticeship courses to be held during the regular workweek in accordance with union contracts. Additionally, core knowledge and competencies and key elements of the State's PD system are integrated into the ACDS curriculum through an instructor's academy planning process that includes ACDS trainers.

Step 5. Implement the Plan and Monitor Results: West Virginia's ACDS Program



Implement the plan and monitor results. In this step, the planning and implementation team assigns tasks and timelines, monitors results, and makes system adjustments as needed. Implementation occurs through assigned roles and responsibilities for specific action steps and a timeline for completion as considered in Steps 1–4. To the extent possible, the implementation plan should build on the information gathered to date and use the results garnered through Step 4 of the planning and implementation process. Results from the data collection and monitoring of implementation inform revisions or modifications to activities. Appropriate selection of staff, ongoing TA, and analysis of data to inform decisions can support a process of continuous improvement and help the State/Territory planning and implementation team reflect on lessons learned as the approach is implemented and the PD system matures.

According to State Apprenticeship Coordinator Sherrie Barrett, “Child care directors find that those teachers participating in ACDS perform better in the classroom than teachers with college coursework but no hands-on experience. The OJT component provides the opportunity to practice; it increases skill levels and improves retention.”

The West Virginia apprenticeship approach has been especially effective in rural parts of the State with populations that do not follow traditional pathways to higher education. Combining college-based classroom training, OJT, mentoring, and a wage progression increases positive outcomes for both the apprentices and the young children they serve.



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