



## Side-by-Side Comparison of Federal and State Requirements for Early Childhood Education Services

The *Side-by-Side Comparison of Federal and State Requirements for Early Childhood Education Services* shows key elements of Head Start and Child Care and Development Fund (CCDF) legislation and regulations. The document also can serve as a tool for states to enter state-specific early education program requirements. Once complete, the grid can be used as an at-a-glance resource for identifying differences and similarities among funding sources, as well as a springboard for determining ways to overcome barriers to successful early education partnerships.

State and federal early education leaders may find it helpful to work together in developing the *State Early Education Program* sections. Through discussions of each program's statutory authority, policies and practices, and commonalities and distinctions, participants may recognize new possibilities for collaboration. The process often results in state and federal officials gaining new knowledge and understanding that enables them to make informed policy decisions that shape the future for young children and their families.

The *Comparison* addresses ten general areas:

- ◆ Philosophical Underpinnings
- ◆ Service Requirements
- ◆ Facilities
- ◆ Outcomes and Measures
- ◆ Funding
- ◆ Service Standards/Scope
- ◆ Staffing
- ◆ Technical Assistance/Training Mechanisms
- ◆ Program Review/Monitoring
- ◆ Additional Funding

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U.S. Department of Health and Human Services/Administration for Children and Families (DHHS/ACF)		State Early Education Program			
Head Start <i>Categorical Grant Direct Federal to Local</i>		Child Care and Development Fund (CCDF) <i>Block Grant to State</i>	State Child Care		PreK
<b>→ Philosophical Underpinnings</b>					
<b>Purpose/Mission</b>	social competence/school success for child by enhancing social and cognitive development; family involvement and decision-making key principles to service design and delivery; at least 10% of enrollment must be children with documented disabilities	increase availability, affordability, and quality; focus on parental choice; maximum flexibility for states; strengthen the role of family; improve quality and coordination among programs and coordination of service delivery; respond to families' changing needs; support TANF work provisions; child care to achieve family independence from public assistance			
<b>Key Provisions</b>	Head Start Program Performance Standards services shaped by documented local needs and by local decision-making bodies; individualized case management in all specialty areas (e.g., mental health, nutrition, family services)	parental choice; maximum flexibility to states; minimum 4% on quality (statutory guidance—state decision about priorities); maximum 5% state administrative costs; lead agency—single point of contact which retains overall responsibility for CCDF administration (lead agency can share administration with other entities)—usually a state office			



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<b>→ Service Standards/Scope</b>			
<b>Program Management/Governance</b> Provider ← Community → State	<p><b>provider:</b> parent decision-making body; 51% must be current Head Start parents; representation must reflect program's options/service design and population served</p> <p><b>state and community:</b> no specific requirements</p>	<p><b>provider and community:</b> no specific requirements</p> <p><b>state:</b> public input on plan development—at least one public hearing; coordination with other public and private agencies</p>	
<b>Child Education</b>	<p>developmentally and linguistically appropriate, individualized, integrated, and written curriculum that encompasses all specialty areas and is based on sound child development principles; parents integrally involved in the development of curriculum; minimum of 2 teacher home visits and 2 parent conferences required</p>	<p>no CCDF federal requirements; state decisions—state child care licensing standards or more stringent requirements as lead agency requires</p>	



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<b>→ Service Standards/Scope</b> <i>(continued)</i>			
<b>Child Literacy</b>	demonstrated literacy and numeric skills; specific requirements included in Head Start Act; Head Start programs are required to ensure that children meet certain early literacy measures, including recognizing some letters and associating sounds with written words no CCDF federal requirements; state decisions—state child care licensing standards or more stringent requirements as lead agency requires	no CCDF federal requirements; state decisions—state child care licensing standards or more stringent requirements as lead agency requires	
<b>Disability Services</b>	program disabilities services plan for meeting special needs of children and their families; must designate a disabilities services coordinator; procedures for screening, evaluation/testing, and follow-up; referrals to and collaboration and agreement with local education agency; facility and environment modifications; special education and related services; Individual Education Plan (IEP) for children 3-5; Individual Family Services Plan (IFSP) for children birth-3 and families	no CCDF federal requirements; state decisions—state child care licensing standards or more stringent requirements as lead agency requires	



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<b>→ Service Standards/Scope</b> <i>(continued)</i>					
<b>Transition</b>	procedures for child and family transition into and out of program; coordination with other agencies/schools to ensure the transfer of relevant records and continuity of programming; Early Head Start linkages with local Head Start to provide continuity of services	no CCDF federal requirements; state decisions—lead agency encouraged to coordinate with public education agencies for child care planning and development			
<b>Parent Education, Training, Employment</b>	assist families towards self-sufficiency; parent education in all specialty areas; promote positive family-child interactions; formal and informal networks in the community for education, employment training, and employment services	consumer education information regarding child care choices; lead agency encouraged to coordinate with employment and employment-related state agencies; support for public-private partnerships			
<b>Parent &amp; Community Collaboration</b>	extensive parent/community involvement and decision-making; family partnership strength-based approach; collaboration with other community agencies to prevent duplicative efforts and maximize resources	with regard to plan development—description of coordination and consultation processes regarding plan development—including activities promoting business involvement; description of public hearing process on proposed child care plan			
<b>Family Literacy</b>	parent training; T/TA initiative focused on parent literacy training; Head Start agencies must provide services directly or through referral to other local agencies	no CCDF federal requirements; state decisions—state child care licensing standards or more stringent requirements as lead agency requires			

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→ Service Standards/Scope <i>(continued)</i>			
<b>Family Services</b>	family services/home visits; comprehensive family services including substance abuse counseling; family-focused home visits; family goal setting through an individualized partnership agreement process; strength-based case management with enrolled families; emergency/crisis assistance; mental health services	no CCDF federal requirements; state decisions	
<b>Health Services Policy</b>	45-day comprehensive screening requirement (vision, hearing, medical, dental, nutritional, developmental, mental health); ensure full immunization; follow-up and treatment; individualized case management	state must certify standards in effect to protect health and safety of children; must comply with all applicable state/local health and safety requirements; children must be age-appropriately immunized (options allowed for particular exemptions/state immunizations schedules apply); encourages the link between child care and health care	
<b>Nutrition Services</b>	meals and snacks in part day=at least 1/3 child's minimum daily requirements; meals and snacks in full day=1/2 to 2/3; follows USDA requirements; must consider nutritional, community, and family/child data; services of a qualified nutritionist/registered dietitian required; comprehensive education for children and families; individualized case management for child/family	no CCDF federal requirements; state decisions	



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<b>→ Service Standards/Scope</b> <i>(continued)</i>			
<b>Mental Health Services</b>	licensed mental health specialist requirements; child mental health assessment; referral and follow-up; individualized case management	no CCDF federal requirements; state decisions	
<b>→ Service Requirements</b>			
<b>Family Eligibility/Income</b>	federal poverty guidelines annually updated and based on the consumer price index; family eligibility includes receipt of TANF services; permits 10% enrollment of over-income families	family income must not exceed 85% (state may have a lower income requirement) of state median income for family of same size; parents must be working or in a job training program; state defines requirements by such programs	
<b>Child Eligibility – Age, Citizenship, and Alien Status</b>	EHS—prebirth-3; Head Start—3-5; local program required to develop child/family selection criteria based on local needs; at least 10% of enrollment must be children with documented disability	ages 0-13 (state option to serve children up to 19 if mentally or physically incapable of caring for selves); 70% of children must be TANF recipients or transitioning off TANF; alien status United States Department of Justice (USDOJ) regulations apply; parents must be working or in job training/vocational education program	



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<b>→ Service Requirements</b> <i>(continued)</i>					
<b>Eligibility Periods/Duration</b>	EHS—prebirth-3; once determined income-eligible, the child is served for the duration of EHS; income determined for acceptance in Head Start—3-5; once determined income-eligible, child eligible for 2 years	no specific CCDF requirement; state has flexibility to establish its eligibility process and may establish a different eligibility period for children in collaborations between Head Start, Early Head Start and State PreK or CCDF child care than generally applies to CCDF-funded children			
<b>Length of Day/Year and Service Options</b>	different requirements per program option—part-day center-based requirement (minimum 3.5 hrs/day; 160 days/year); home based req. (1.5 hour weekly parent home visit and 16 child and family socializations per yr); combination option (2 to 3 center days/wk and 8-16 home visits/year); family child care—regs pending	in-home child care (limitations may be imposed by lead agency); no CCDF federal requirements; state decisions 4 categories of care: center-based; group home; family child care; in-home care			
<b>→ Staffing</b>					
<b>Qualifications/Training Requirements</b>	teacher ECE—AA/BA or CDA; 50% of center-based teachers by year 2003 must have AA/BA or advanced degree; staff competencies specified; all teaching staff working with EHS children are considered teachers; training required in all specialty areas; a program staff development/training plan required	no CCDF federal training requirements; state decisions—state child care licensing standards apply; teachers must be at least 18 years old			

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<b>→ Staffing</b> <i>(continued)</i>					
Teacher/Child Ratio		2 paid staff per class; 3 year olds—15-17 per class; 4 and 5 year olds—17-20 per class (double session ratios: refer to reg 1306:34); infant and toddler—1:4 ratio and maximum group size—8	no CCDF federal requirements; state decisions—state child care licensing standards or more stringent requirements as lead agency requires		
Staff Development		annual staff performance reviews to identify training needs and to improve staff competencies	no CCDF federal requirements; state decisions		
<b>→ Facilities</b>					
New Construction/Renovation		requires grantee to secure financing; allowed with prior federal approval and detailed application	prohibits use of funds for construction and major renovation; may make funds available for minor facility alterations to assist providers in meeting licensing standards		
Health and Safety Standards		state/local licensing standards apply	state must set standards for all categories of care; state/local licensing standards apply and must address prevention and control of infectious disease, building safety, and minimum health and safety training		



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<b>→ Technical Assistance/Training Mechanisms</b>					
<b>Funding Resources</b>		nationally and regionally-based cooperative agreements/grants (Quality Improvement Centers) funded by ACF/Head Start Bureau; local grantee staff development funds with approved plans	T/TA national contracts including assigned state specialists from National Child Care Information Center (NCCIC); CCDF set aside of no less than 4% for state to address quality issues which may include T/TA		
<b>Audience</b>		Head Start community is target audience; can include greater early education community	general public; early care and education communities; child care administrators/lead agencies; parents		
<b>Topics</b>		includes all program specialties/issues	priorities determined by each state administrator		
<b>→ Outcomes and Measures</b>					
<b>Outcomes and Measures</b>		specifies child outcomes and indicators for regular Head Start (3-5 year olds) for demonstrating literacy, language, mathematics development, science, creative arts, social and emotional development, approaches to learning, and for physical health and development	developing criteria by which to measure progress toward improving affordability, accessibility, and quality of child care		



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<b>→ Program Review/Monitoring</b>					
<b>Program Monitoring</b>	annual program self-assessment; federal review every 3 years (legislative provision-Section 641A(c)(2)(D)); requirement for ongoing local oversight systems	US DHHS reviews/approves lead agency's two-year state plan; lead agency required to monitor its programs and services			
<b>Fiscal Monitoring</b>	included in federal review; annual audit reports	lead agency (state) submits annual audit reports & quarterly financial reports to DHHS; lead agency oversees the expenditure of funds of its (child care providers) sub-grantees and contractors			
<b>Monitoring Activities</b>	<i>site</i> : comprehensive onsite team approach for both program self-assessment and federal monitoring <i>desk</i> : annual federal Program Information Report (PIR) provides quantitative data on program services and specifications	<i>desk</i> : lead agency must submit a quarterly case-level report of monthly family case level data of families receiving CCDF services			
<b>Accreditation Systems Accepted</b>	federal Head Start monitoring; must meet performance standards for continual funding	no CCDF federal requirement; state decisions			
<b>State Licensing</b>	centers must meet state's requirements	state must have in effect child care licensing requirements			



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<b>→ Funding</b>					
<b>Per Child Cost</b>	national FY01 average cost per child: \$6,439 (3–5 year old), \$9,643 (0–3 year old); cost varies widely by program option/design and geographic area; amounts reflect Head Start federal grant only	state must determine rate by conducting an analysis of market rate and considering equal access			
<b>Entities Eligible for Funding</b>	non-profit, for-profit, and public agencies	state lead agency has broad authority to administer the program; lead agency may identify (with written agreement) other private or public local agencies to implement the program			
<b>Rules on Supplanting Funds or Order of Funding</b>	USDA nutrition program first source/order; local programs encouraged to seek and maximize local, state, public, and private support	funds for maintenance of effort (MOE); lead agency’s plan must specify funds (macro-level estimates) allocated for direct services, quality activities, and administration			
<b>Mechanisms (Grant, Contract period)</b>	grant award to local entity (3-year period); annual renewals and proposal submissions; EHS competitive RFPs awarded to local entities (5-year grant with annual renewals)	block grant to state; US DHHS must approve plan and any amendments within established time frames			



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<b>→ Funding</b> <i>(continued)</i>			
<b>Fee Policies</b>	fee collection permitted for services provided by non-Head Start partner to support full-day, year-round program; no fee for Head Start services	expectation that a state establish mechanism for parent fee collection; lead agency can waive fees on a case-by-case basis for families at or below poverty and for children in protective services	
<b>Non-Federal Share/ Match Requirements</b>	grant requires a 20% non-federal match—cash and/or in-kind services which reflect those costs normally budgeted for Head Start services	state must specify its Maintenance of Effort (MOE)—non-federal matching funds can consist of state appropriations for child care to lead agency, private donations, and preK funds (meeting specified requirements)	
<b>→ Additional Funding</b>			
<b>Expansion Grants</b>	periodic competitive federal expansions to local grantees as appropriated by Congress; grantees must demonstrate ability to collaborate and participate with other programs to offer full-day/year-round care	additional funding to lead agency as appropriated by Congress	
<b>Opportunities for Statewide Initiatives</b>	Administration for Children and Families/Head Start Bureau grant to state for collaboration efforts; supplements designated for particular efforts periodically available	no additional funding: CCDF final rule encourages lead agency to explore and support linking the Head Start comprehensive model with child care; encourages coordination with housing agencies	



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→ Additional Funding <i>(continued)</i>			
Discretionary Funding	COLA and/or program improvement funds often issued yearly	earmarked discretionary grants when appropriated by Congress (limited)	

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