

Developing Measures of Child Care as a Support to Employment and Self-Sufficiency

Prepared for the Roundtable
on Performance Measures of Child Care and Employment
September 14-15, 2006

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**Submitted
August 25, 2006**

This paper was prepared under Contract # HHSP233200500198U with the Administration for Children and Families, U S Department of Health and Human Services. The content of the paper does not represent the official views of the Office of Planning, Research and Evaluation of the Administration for Children and Families, U.S. Department of Health and Human Services.

Introduction

The Child Care Bureau (CCB) of the Department of Health and Human Services (DHHS) is currently undertaking efforts to develop a performance measure of child care as a work support that would allow them to monitor the Child Care Development Fund's (CCDF) goal of helping low-income families become self-sufficient through access to affordable, quality child care that meets their needs.

The objective of this paper is to provide roundtable participants with an overview of the current state of data on child care as a support to employment and economic self-sufficiency in order to facilitate discussion and identify potential next steps. This paper begins with a discussion of federal policies related to child care subsidies and government performance measures. This section is intended to outline the type of data and measures that are needed when developing performance measures, and, more generally, to provide the policy context for why such performance measures are needed. Within this framework, we then outline key features that are needed in a performance measure of child care as a support to employment and economic self-sufficiency and possible approaches to its development. In the third section, the paper presents a brief summary of what research tells us about child care as a support to employment, and the relationship between child care subsidies and employment outcomes. Next, the paper reviews the data available at the national, state, and local levels through surveys and administrative data systems. This section then presents and reviews some issues to consider when evaluating the appropriateness of datasets to construct a performance measure of child care as a work support. Key aspects of available administrative and survey data are also reviewed. Within this context, the final section presents potential next steps and issues for roundtable participants to consider while formulating their recommendations.

The roundtable seeks to build upon and continue the work CCB has been involved in to develop performance measures to monitor CCDF's program goals by bringing together key stakeholders from varying perspectives. Among the goals of the roundtable is to identify appropriate and clearly articulate indicator(s) to track the effectiveness and performance of CCDF. And, more broadly, to identify indicators that can demonstrate the relationship between child care subsidies and low-income working families' employment patterns.

It is also hoped that the roundtable will serve to evaluate the appropriateness of existing data sets to develop such measures. An additional and equally important goal of the roundtable is to bring light to alternative data sets or measures, in particular those collected at the state or local level, which are already known or reported to CCB. For example, CCB is interested in learning about state required performance measures that may be appropriate for use at the national level. It is important to emphasize, at the start of this paper, that CCB is open to all possibilities including those not discussed in this paper.

Note to the reader: The terms “performance measure” and “performance indicator” are used interchangeably in this paper, as are the phrases “child care as a support to employment and self sufficiency” and “child care as a work support”.

I. Measuring Child Care as a Work Support: Relevant Policies and Background

President’s Management Agenda: Beginning in summer 2001, President Bush announced his government-wide performance management agenda. The *President’s Management Agenda* (PMA) brought a renewed focus on government performance and accountability of federal programs. As part of the PMA, President Bush articulated five major initiatives:

1. Strategic Management of Human Capital;
2. Competitive Sourcing;
3. Improved Financial Performance;
4. Expanded Electronic Government; and
5. Budget and Performance Integration.

The most relevant to the roundtable is the fifth initiative: Budget and Performance Integration, or BPI. BPI is the process of “ensuring that performance is routinely considered in funding and management decisions, and that programs achieve expected results and work toward continual improvement.”(Office of Management and Budget, n.d.)

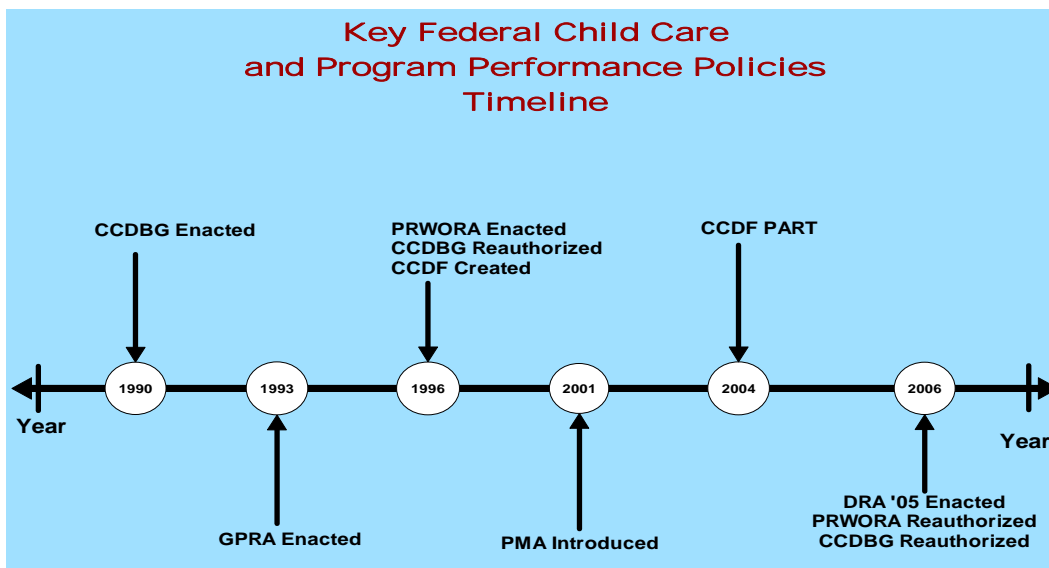
Picking up from the Government Performance and Results Act (GPRA) (discussed below), this renewed emphasis on “program accountability and results” has been felt throughout the entire federal government. Government agencies are required to report program goals, performance measures, and results through their 1) annual budget justifications to the President and the Congress; 2) the Program Assessment Rating Tool (PART) review administered by the Office of Management and Budget (OMB) (discussed below); and 3) the Government Scorecard. The Government Scorecard is a system whereby federal departments must meet certain targets for their annual performance measures. Departments are rated on a Red, Yellow, or Green rating system, with Green being the highest level. This rating system has funneled down to lower levels of government. In DHHS, for example, each Agency has its own quarterly scorecard.

While for years agencies have been publicly reporting their performance, OMB has only recently taken a more focused approach to ensure that agencies report performance *outcomes*, rather than *outputs*, and demonstrate program *efficiency*. OMB has most recently defined efficiency in terms of cost effectiveness, or the unit cost of achieving the intended program outcome. All of these efforts are intended to accomplish two main objectives: 1) inform program management and 2) inform the budget process. Hence, federal agencies are facing ever increasing pressures to develop performance measures that can fairly and accurately indicate program progress.

To fully understand the policy context for this roundtable, a review of previous performance management and child care policies is necessary.

Government Performance and Results Act of 1993: Passed by Congress and signed into law by President Clinton, the Government Performance and Results Acts of 1993 (GPRA) demonstrated a bipartisan, two-branch agreement to ensure government was not wasting tax-payer dollars and programs were doing what they were intended to accomplish. GPRA (P.L. 103-62) required of federal agencies two key performance documents. First, the Five-Year Strategic plan includes the agency mission, long-term strategic goals, and an explanation of how these goals will be accomplished. Second, the Annual Performance Plan and Performance Report includes the annual performance goals and related performance measures and the factors involved in meeting (or missing) the annual and long-term goals.

Also noteworthy is that the law defines several terms that the roundtable will be using throughout the two days. These include “outcome measure,” “output measure,” “performance indicator,” and “performance goal.” As defined by GPRA: ‘outcome measure’ means an assessment of the results of a program activity compared to its intended purpose; "(3) 'output measure' means the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner; "(4) 'performance goal' means a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate; and "(5) 'performance indicator' means a particular value or characteristic used to measure output or outcome (GPRA, P.L. 103-62).



Child Care and Development Block Grant Act of 1990: When GPRA was enacted, the act that authorized block grants to the states for child care assistance was only two years old. The Child Care and Development Block Grant (CCDBG) program was authorized in the Omnibus Budget Reconciliation Act of 1990 (P.L. 101-508), through the Child Care and Development Block Grant Act, and signed by President George H. W. Bush. Unlike other federally funded social services programs¹, CCDBG did not articulate certain performance measures, outcomes, indicators, etc. Furthermore, it was not until 1995, when CCB was created within the Administration on Children, Youth, and Families (ACYF), that a single federal agency had command of all federal financial assistance for child care. Prior to this time, the Child Care Division within ACYF administered and monitored the CCDBG, while the Office of Family Assistance administered the At-Risk, Title IV-A, and Transitional Child Care Assistance programs. Thus, two separate offices were reporting on similar programs with presumably separate performance measures. It was not until the late 1990's that performance measure development at the federal level really began. CCB worked with ACYF's Office of Planning, Research, and Evaluation, OMB, and the states to develop ways to measure program performance.

Personal Responsibility and Work Opportunities Reconciliation Act of 1996: Enacted as an "end to welfare as we know it" the Personal Responsibility and Work Opportunities Reconciliation Act of 1996 (PRWORA, P.L. 104-193) replaced the entitlement program Aid to Families with Dependent Children (AFDC) with the state block grant program, Temporary Assistance for Needy Families (TANF). TANF reauthorized CCDBG and also combined all other existing federal assistance for child care into one mandatory funding stream through changes to Title IV of the Social Security Act of 1965. The Administration for Children and Families (ACF) designated these two funding streams, discretionary and mandatory, CCDF. The primary goals of CCDF are to 1) help low-income families become self-sufficient through access to affordable, quality child care that meets their needs; and 2) improve the quality of child care for all families (Public Welfare, 2002a; 2002b). The roundtable will be focusing on the first of these two goals.

PRWORA had significant and lasting effects on the federal child care assistance programs. First, by implementing work participation requirements of beneficiaries, TANF highlighted the pressing need of child care as a work support for low-income families. Second, it put pressure on the states to invest in child care as federal penalties for states not meeting their work participation rates were authorized, as well as the required Maintenance of Effort of state expenditures. Third, and relevant to this roundtable, it provided for one major child care assistance program that could be evaluated based on performance. Eight years later, CCDF would have to demonstrate

¹ For example, the Child Support Enforcement program has performance requirements written into law that dictate the federal financial incentives (and penalties) states will receive. States are held accountable for paternity establishment, order establishment, current obligations collected, and arrearages collected. TANF also requires statutory performance measures (and goals) for states, such as the state work participation rates for single and two-parent families. (P.L. 104-193; P.L. 109-171)

how well it meets its goals of helping low-income families become self-sufficient through child care assistance and improving the quality of child care through the PART review.

Program Assessment Rating Tool: The PART review was introduced by OMB in 2002 as a way to put teeth in the GPRA law. The U.S. Government Accountability Office (GAO), formerly the General Accounting Office, found that while GPRA laid the foundation for performance-based management, much work was yet to be accomplished.² According to OMB, a PART review “helps identify a program’s strengths and weaknesses to inform funding and management decisions aimed at making the program more effective,”(Office of Management and Budget, 2006), consequently supporting both GPRA and BPI. OMB is in the fifth year of a five-year cycle to assess all federal programs.

PART is a set of questions divided into four sections, first answered through a program self-assessment and later through a review conducted by an OMB examiner. These four sections are:

1. Program Purpose and Design,
2. Strategic Planning,
3. Program Results and Management, and
4. Program Results and Accountability.

The review is an intensive process that can take up to several months to complete. Throughout the review, program administrators negotiate with OMB on program findings and recommendations. Ultimately, OMB provides the final level of assessment. The program is given a percentage rating, based on program findings. This rating corresponds to a descriptive rating: Effective, Moderately Effective, Adequate, Ineffective, and Results Not Demonstrated. These ratings, along with findings from the review and OMB recommendations, are publicly available at an OMB-supported website, www.Expectmore.gov. To inform federal budget decisions, agencies are required by OMB to include “PART scores” in the performance section of the budget justification to the President and the Congress.³

The Child Care and Development Fund PART: CCDF underwent a PART review in 2004, and results of the review were presented in time for consideration of the FY 2006 Federal budget. CCB completed the PART review as a cross-division, collaborative process, led by Associate Commissioner Shannon Christian. In the end, OMB rated CCDF “Moderately Effective,” with a score of 81% out of 100%.⁴

² See, for example, “Results-Oriented Government GPRA Has Established a Solid Foundation for Achieving Greater Results,” (2004), “Managing For Results Using GPRA to Assist Oversight and Decision-making,” (2001), and “Managing For Results Continuing Challenges to Effective GPRA Implementation,” (2000) at www.gao.gov

³ See, for example, http://www.acf.hhs.gov/programs/olab/budget/2007/cj2007/sec1_comb_ov_2007cj.pdf.

⁴ See <http://www.whitehouse.gov/omb/expectmore/summary.10002140.2005.html> for CCDF’s PART review findings.

In response to the PART question whether the program demonstrated adequate progress in achieving its long-term performance goals, OMB's answer was "Small Extent." OMB recommended further development of a long-term performance indicator and independent research demonstrating the relationship between receipt of child care subsidies and low-income, working families' employment patterns.

Since the PART review was completed in 2004, CCB has been working with stakeholders to develop an appropriate long-term performance measure for CCDF. These efforts, and accompanying challenges, are described in the following sections. Ultimately, this roundtable is the continuation of these efforts.

Deficit Reduction Act of 2005: TANF was reauthorized through the Deficit Reduction Act of 2005 (DRA, P.L. 109-171), enacted at the beginning of 2006. The law also extended the CCDF *mandatory* funding stream through FY 2010. Among the most significant changes, the law revises the TANF caseload reduction credit, requiring most States to raise participation in work activities among TANF families⁵. It also required States to begin counting families receiving assistance through separate State programs as part of the work participation rate. Additionally, the law required HHS to issue regulations to further define work activities and what types of activities can be counted toward meeting work participation standards.

Beyond the push for government results through the PMA, DRA has put even more pressure on the states to meet their TANF performance goals. Consequently, the need to provide child care assistance as a work support is ever more pressing. CCB is working closely with the Office of Family Assistance to help states meet these new challenges. In order to do so, a long term performance measure of CCDF that can inform management decisions is extremely critical and necessary

II. Developing a Performance Measure of Child Care as a Support to Employment and Economic Self-Sufficiency: What is Needed?

The ability to track the relationship between child care and employment outcomes for low-income families is now increasingly salient since DRA increased state work participation rates for TANF families and moved the baseline for determining the caseload reduction credit from 1995 to 2005. Appropriate data are needed to answer critical questions such as to what extent child care subsidies are helping low-income families move from welfare to work. Performance measures are needed to answer these questions and, more broadly, to monitor the effectiveness of subsidy programs and policies.

As one step in addressing these issues and in developing needed performance measures with which to track and monitor program effectiveness, CCB seeks to gather

⁵ Specifically, DRA updated the baseline for calculating the caseload reduction credit from Federal Fiscal Year 1995 to Federal Fiscal Year 2005. The caseload reduction credit reduces the 50% (single parent family) and 90% (two-parent family) work participation standards by one percentage point for each 1% decline in the caseload.

data to monitor the effectiveness of CCDF as a support to employment and economic self-sufficiency (see also CCDF GRPA/PART Measures handout included in packet).

There are several possible approaches to developing a performance measure of child care as a work support. As noted above, performance measures could be developed to track the effectiveness of CCDF programs in supporting recipient's path to employment and self-sufficiency. Or, they can be defined more broadly, to measure how child care is a work support for low income families.

Performance measures can be constructed using administrative or survey data or both. They can be developed at the child or family level or, alternatively, at the state level. At the child or family level, a performance measure could be developed to track the number of low-income families for whom subsidies has served as support to employment or to compare the length of employment spells by subsidy status, to list some examples. Alternatively, a state level indicator, for instance, could monitor the percentage of families across states for which child care is a barrier to employment or the number of states with policies aimed at enhancing child care as a work support.

Over the last several years, CCB has explored several possibilities to develop a performance measure of child care as a work support. Exploratory work has been conducted using data available from TANF administrative data sources, as well as data from the National Household Education Survey (NHES) and the National Survey of Children's Health (NSCH). (NHES is conducted by the National Center for Education Statistics of the U.S. Department of Education and NSCH is sponsored by the Maternal and Child Health Bureau.)

This exploratory work has revealed limitations of varying degrees with each of the possibilities examined thus far, in particular with the NHES and TANF administrative datasets. Insufficient sample size to support analysis of some key groups (e.g., such as low-income families and families receiving subsidies), as well as inconsistent question wording across survey administrations in the child care work support items were identified as the main limitations of the NHES. In the case of TANF administrative data, a measure to monitor the percentage of TANF families with children that are exempt from work participation because child care is unavailable was identified. However, the data could not be validated nor did the available data allow for demonstration of improvement over time. Of the three possibilities explored thus far, the NSCH is the most promising. Using data from the NSCH it is possible to develop an indicator of the percentage of low-income⁶ families who have experienced job changes due to problems

⁶ As noted above, states have discretion in setting income eligibility levels, and thus there is variability in the income groups that are served across states. Households with income below 150% of the federal poverty line is often used as a proxy for CCB's target income group given state variability. This income group represents those households that are most likely to be eligible to receive subsidies. Households with income below 150% of the federal poverty line also encompass a wide spectrum of families of interest to CCB, including those families eligible to be receiving subsidies, those receiving subsidies, and those not currently eligible but at risk of becoming eligible. It is worth noting that a recent report by GAO found that only 9 states set their eligibility limits below 150% of the federal poverty line. Nineteen states set eligibility limits between 150-199% of the federal poverty line, 18 states set it between 200% and 249%,

with child care. Although the NSCH is the most promising of the data sets explored thus far, there are several key disadvantages to using the dataset to develop a performance measure including a lack of data on subsidy receipt and child care as work support for families with older children. The findings and lessons learned from these exploratory steps are discussed in greater detail throughout the paper to illustrate issues to consider and highlight known limitations and advantages.

The datasets and measures explored thus far by CCB represent just some of the possibilities. Other measures and datasets may be more appropriate. Indeed, a central goal of the roundtable is to identify (1) a or a set of performance measure(s) of child care as a support to employment and economic self-sufficiency and (2) dataset(s) most appropriate to develop such a measure.

Ideally, data for a performance measure of child care as a support to employment and self sufficiency would be:

- Nationally representative, and, if possible, given variability across states in child care subsidy programs, representative at the state level;
- Collected repeatedly across years in order to monitor change over time;
- Collected from key groups including low-income families receiving TANF benefits, as well as those who are eligible to receive TANF benefits and those leaving TANF, and, more generally, families with income below 150% of the federal poverty line;
- Derived from a dataset(s) that provides access to other key information that can be used to monitor and evaluate performance goals, such as subsidy receipt, employment status (including data on part-time vs. full-time employment, stability, and wages), and family or household income;
- Available for one or more aspects of child care barriers including cost, access, flexibility, and subsidy receipt; and
- Available at the family and child level *or* state level .

These and other related issues that are key in identifying appropriate measures and data vehicles to construct a performance measure that will meet the needs of CCB are discussed in greater detail below in Section III.

Section III. Child Care as a Support to Employment and the Linkages between Child Care Subsidies and Employment Outcomes: A Summary of What We Know⁷

The results of recent studies that have explored the ways in which child care functions as a support to employment among key groups of interest of CCB, including current and former TANF recipients and low-income families, are summarized in this

and 5 states set it between 250 to 300% of the federal poverty line (United States Government Accountability Office, 2005). Focusing performance measures on families with income below 150% of poverty line is appropriate since many states do not serve all income eligible applicants and/or give priority to TANF families (i.e., those with lower income).

⁷ See also Schaefer et al. (2006) for a more detailed review.

section. Also reviewed are studies that have examined the linkages between child care subsidies and employment outcomes. It is important to note that to-date most studies that have examined child care as a work support have done so from the perspective of how a *lack* of child care is an obstacle or barrier to becoming or staying employed.

Prevalence of Child Care Barriers: The costs, availability, stability, and quality of child care are often reported by parents as a barrier to employment. Among TANF recipients across six states, for example, child care problems were found to be more prevalent than transportation or housing problems (Hauan and Douglas, 2004).⁸ The percentage of TANF recipients across these six states reporting problems with child care ranged from a low of 27% among those living in South Carolina to a high of 41% among those living in Maryland. Moreover, child care barriers were the only structural barrier found to be associated with a lower likelihood of employment, after controlling for other factors such as human capital and personal or family problems. Over one-third (38%) of TANF recipients who were not currently employed reported child care problems, compared with approximately one-quarter of those who were currently employed. In a separate study of single-parent TANF leavers in eight states⁹, the percentage reporting child care as a barrier to work ranged from a low of 15% in South Carolina to a high of 40% in Illinois.

Child care problems also appear to constrain the employment options and career trajectories of working parents. For example, among subsidy-eligible parents in Washington state, over half reported that they were unable to work certain shifts, close to one-third reported they worked fewer hours, and one-fifth reported having turned down a job because of child care responsibilities (Miller and Hu, 1999). Similarly, in Florida roughly 20% of TANF leavers reported that child care problems had led them to change jobs or to find a new line of work (Crew & Eyerman cited in Lee, George et al., 2004).

Analyses of the NSCH performed as part of the exploratory work to develop measures of child care as a work support echoes these findings. The analyses suggest that child care barriers, while more common among the TANF population and low-income families, are experienced by families of all income groups. According to NSCH, the percentage of *all* children under the age of 6 whose parents had to quit a job, not take a job, or greatly change their job because of child care problems ranged from a low of 5% in North Dakota to a high of 17% in Florida in 2003. Nationally, approximately 1 in every 10 children (11%) had parents who experienced such child care related job problems. Among those living in families with income below 150% of the federal poverty line, 15% reported having quit, changed or not taken a job because of child care problems compared to 9% of those living in families with income above 150% of poverty (Lippman, Guzman, et al., Memo to I. Martinez-Beck, March 24, 2006).

⁸ The six states included in the ASPE funded study of TANF caseloads are Colorado, District of Columbia, Illinois, Maryland, Missouri and South Carolina.

⁹ The ASPE funded TANF leaver study includes Arizona, District of Columbia, Georgia, Illinois, Iowa, Massachusetts, Missouri, and South Carolina.

Linkages Between Child Care and Employment: The results of numerous studies also indicate that child care subsidy receipt is associated with improved employment outcomes. Child care subsidies are linked to higher rates of employment (Lemke, Witt et al., 2001; University Consortium on Welfare Reform, 2003; Witte and Queralt, 2003) and are correlated with longer, sustained employment spells (Gennetian, Crosby et al., 2002; Meyers, Peck et al., 2002; Lee, George et al., 2004) and shorter unemployment spells (Ficano, Gennetian et al., 2006), as well as higher wages (Schexnayder, Schroeder et al., 1999; Danziger, Ananat et al., 2004). These findings have been replicated across multiple (though not all) states, data sets, and methods (Zaslow, Halle et al., 2006). For example, the results of several studies of state and local administrative data indicate that increases in state level grants for child care increase the likelihood that current and former welfare recipients are employed (Queralt, Witte et al., 2000; Lemke, Witt et al., 2001). Likewise, using simulation models based on national data from Survey of Income and Program Participation (SIPP), Connelly and Kimmel (2003) find that child care subsidies decrease welfare receipt by 28% and increase the likelihood of employment by approximately 25% for single mothers. In the three states examined by Lee et al. (2004), child care subsidies were found to lower the probability of labor force exits by substantial amounts ranging from 25% in Massachusetts to 43% in Illinois. Results from the Women's Employment Study, which followed a panel of welfare recipients from an urban county in Michigan, indicates that subsidies increased the monthly earnings of recipients by 105% (Danziger, Ananat et al., 2004). Subsidies also appear to help working parents juggle work and family demands. A study of low-income mothers in Philadelphia finds that those who receive subsidies were 21% less likely to experience child care related work problems than those not receiving subsidies. However, an analysis of 21 welfare programs finds inconsistent patterns in the relationship between subsidy receipt and reports of job-related problems (Gennetian, Crosby et al., 2002). There is also some evidence to suggest that the benefits of subsidies may be strongest for single mothers, those with less education, and those receiving TANF (see Ficano, Gennetian et al., 2006; Schaefer, Kreader et al., 2006).

Together these studies provide evidence that subsidies are helping to transition families from welfare to work and may play a key role in the road to economic self-sufficiency. However, it is important to note that causal direction has not yet been established. Indeed, it is possible that the relationship is bi-directional or that other factors associated with both employment and subsidy receipt are driving the observed relationship (Miller, 2005). Simultaneity issues are also likely to be present as decisions to find employment and apply for subsidies may be made jointly (see Danziger, Ananat et al., 2004). Moreover, the magnitude of the effect, if any, of subsidies on employment may be modest, in particular compared to other factors such as low education or limited work skills (see Schaefer, Kreader et al., 2006; Zaslow, Halle et al., 2006).

Section III: A Review of National, State, and Local Survey and Administrative Data: What Do We Have Available?

Appendices A and B contain copies of the ACF 800 and 801 forms (along with their definitions) that are used by states to report data to CCB about the children and

families served through CCDF grants. The PRWORA requires that states provide disaggregated data on children and families receiving assistance from the DHHS every quarter, and aggregate data every six months (Committee on Ways and Means U.S. House of Representatives, 1996, p. 47). The ACF-800 forms provide unduplicated counts of children and families served by CCDF grants annually, payment methods, the number of child care providers receiving CCDF funding by type of care, consumer education methods, and information about pooling of funding sources (Child Care Bureau, 2003 p. 15). ACF-801 forms provide data at the case-level on children and families served monthly and include data on family demographics, income, co-payments, and type of setting used (Child Care Bureau, 2003).

As seen in the Summary Measures Tables included in the packet of materials, a total of 8 national, 13 state, and 2 local surveys were identified to include one or more questions that collect data on child care as a support to employment or, more generally, child care related work problems. The surveys were identified in a variety of ways including library search engines and Internet searches, and a review of the literature including published journal articles, research briefs, and technical reports produced by research organizations and government agencies (for example see (United States Government Accountability Office, 2001). Data collection has ended for some of the surveys included in the summary measures table. These surveys are included to generate ideas about potential wording for questions on child care as a work support, as well as to inform the evaluation of other surveys.

Together, the administrative forms and survey tables serve as a *starting* point to evaluate the state of data on child care as a support to employment and to consider the extent to which current data may be suitable for creating a performance indicator for CCDF, whether changes are needed in existing administrative data sets or surveys to meet that need, or whether new questions need to be added to existing surveys or administrative data collection efforts.

It is important to note that the list of survey questions is not exhaustive, in particular at the state or local level. It is also possible that states collect other data and measures through their individual administrative systems that are not currently reported to CCB. It is hoped the roundtable will expand the list of survey questions and identify additional data collected through state administrative systems that can be used to develop performance measures of child care as a work support.

Issues to Consider: In weighing the potential data sources and measures for the development of a performance indicator of child care as a work support, the following issues may be considered. We begin with a discussion of issues that are relevant in evaluating both administrative and survey data, and conclude with a review of some issues more directly relevant to survey data.

1. Unit of analysis: An important consideration in constructing a performance measure is having data at the appropriate level of analysis. As noted above, data to construct a performance measure of child care as a work support should be available

either at the child, parent, or family level. Or, alternatively at the state level if, for example, a measure on the number of states with policies that aim to provide child care as work support is desired.

Also important to consider are the implications that selecting a particular unit of analysis will have on the types of questions that can be addressed and the type of data that can be reported. For example, administrative systems or survey questions that collect data on the extent to which child care assistance for a *focal* child helps to support work activities underestimate the extent to which child care acts as a work support from the perspective of parents with multiple children.

2. Repeated measures: A primary goal of a performance measure is to track change and program performance and effectiveness over time. Thus, a measure is needed for which data are collected using identical question wording, response categories, or definitions (in the case of administrative data systems), and are administered in an identical manner repeatedly over time, ideally in frequent or regular intervals.

3. Population coverage: CCDF is limited by law to serving children at or below 85% of a state's median income. Often it is the case that states set their CCDF eligibility limits below this ceiling.¹⁰ Thus, it is essential that the data set used to construct a performance measure of child care as a work support capture low-income families, including those most likely to be eligible to receive subsidies and other assistance (e.g., below 150% of the federal poverty level), as well as those who are at risk of needing assistance (e.g., the working poor). In the case of surveys, it is also important to consider the population or groups that receive the questions related to child care as a work support, and in the case of administrative data sets whether information on child care work support is collected for *all* families. In some surveys, for example, the child care questions are not asked of all survey respondents (e.g. nonemployed parents, parents of older children, etc.), thereby limiting the groups for whom data are available. Likewise, it is possible that administrative data sets are designed to collect data on child care work supports for only those receiving certain types of aid, such as child care subsidies.

4. Aspects of child care as a work support covered: As alluded to in the review of recent research findings, child care can act as a work support in a variety of ways. Child care assistance can act as a support to employment by reducing the cost of child care, increasing the availability and access to and quality of child care or range of child care options, to name a few. Accordingly, for its study of TANF caseloads, the Office of the Assistant Secretary for Planning and Evaluation (ASPE) recommended that states include questions that address three aspects of child care, including: (a) the degree to which child care interferes with the ability to work or participate in work, school, or training; (b) child care situations that cause problems with work, school or trainings; and (c) problems with the cost, quality and reliability of child care (Kovac, Dion et al., 2002)¹¹. Administrative data systems collect data on why a family is using child care

¹⁰ States have discretion in setting income eligibility limits within federal guidelines.

¹¹ Again, it is worth noting that the questions are worded from the perspective of a deficit model rather than from the perspective of the ways in which child care acts as a support to employment.

subsidies, which may be helpful in addressing the first set of issues identified by ASPE, but lacks information on the other types of issues. In general, given space constraints few surveys collect data on all three aspects.¹²

5. Data on other key measures: While data on child care as a work support are critical, it is also important that data be available for other measures such as employment and income. Such data can be useful (1) in the case of surveys to identify those families most likely to be served or eligible to receive CCDF programs; or (2) in the case of both administrative data and state surveys, to construct comparisons groups.

Moreover, just as *how* we define child care as a support to employment through question wording is important to the types of data that can be produced and the types of questions that can be answered (see discussion below), it is important to consider how we define other key measures. For example, measures of income and employment should be sensitive enough to identify key income groups and reflect eligibility rules. Also of concern is the extent to which the wording of employment questions in national surveys captures the complex nature of employment patterns among low-income families (see also discussion below on the NSCH measures). Families transitioning off TANF, for example, often experience turbulent employment trajectories with many (often interrupted) spells of employment of varying duration (Acs, Loprest et al., 2001; Hotz and Scholz, 2002). Given the focus of CCDF, data on work status (part or full-time) or hours of employment per week, type of child care, and subsidy receipt, may also be useful.

5. Question type: The survey questions identified in the measures table use different question types or approaches to collect data on child care as it relates to employment. These different approaches or question types likely produce different findings (see ASPE staff 2003), and the appropriateness of their use is, in part, dependent on the goals of the survey and/or question.

Although these issues are raised within the context of surveys, they can also be useful in evaluating the types of data that are or can be collected from administrative data systems. (As alluded to in the research reviewed in section III, surveys have historically collected, and worded questions to capture data on the ways in which child care acts as a barrier to employment and economic self-sufficiency. For simplicity, the language in this section reflects this perspective.)

The questions summarized in the tables use one of five types of question structure or approaches (see also (Kovac, Dion et al., 2002):

¹² The first aspect is typically captured by survey questions that ask respondents whether they had to quit work, pass up a job offer, miss work or were unable to look for work because of child care problems. The second type is captured with survey questions that are more focused in nature, for example, about problems with obtaining child care for infants or children with special needs. The third type, included in most surveys listed in the measures tables, address the number, cost, and quality of arrangements a family is (currently) using.

- *Main problem:* In this type of question, respondents are typically provided a list of options, one of which includes a reference to either child care problems in general or to a specific type of child care problem such as affordability or availability of child care. Data collected through this type of question produces useful information about the biggest or most salient barrier to employment from the perspective of respondents, and thus may be particularly useful in identifying policy priorities. However, research indicates that many parents face multiple challenges to entering and staying in the workforce, in particular those from low-income families (Acs, Loprest et al., 2001). Thus, this type of question approach will not capture the complexity or spectrum of problems faced by parents. Moreover, because respondents are asked to choose *one* from a set of potential problems, this question structure will underestimate the extent to which child care problems interfere with work or are a barrier to employment for those who face multiple problems.
- *List of problems:* The “list of problems” approach is similar to the “main problem” approach, with one main difference. Respondents are able to select more than one problem from a list of options provided. Accordingly, this question type addresses some of the problems noted with the “main problem” question structure. However, it is important to note that for both the main and list problem approach, other concerns are present. For example, the length of the list of problems and its ordering may be important in respondent recall and response formation. Respondents may not read or listen through the entire list of options or recall all potential choices when making a response selection. In addition, while list approaches are useful in detecting the presence of the problem, data on the magnitude of the problem are missing. Last, data quality derived from list type questions is dependent on the extent to which the options provided include issues or problems of importance to respondents.
- *Independent direct reports of presence of problem:* This type of question collects information similar to those in the main or list approach but does so in one of two ways: 1) through a single question on child care barriers or, 2) through a series of questions on different aspects of child care barriers. An example of the first approach is in the NSCH, where respondents are asked, “Did you or anyone in the family have to quit a job, not take a job or greatly change your job because of problems with child care for [CHILD]?” An example of the second approach is found in the Washington State survey, which collected data on whether the respondent had problems with their subsidy, paying their child care provider, other problems with their child care provider, or their or their partner’s job or work schedule because of child care. Because the questions are administered separately and in some cases are clustered together with other child care questions, recall and processing may be facilitated. (Research suggests that placing questions on a similar topic together may increase the salience of the issue, trigger recall, and facilitate the processing of information (Bradburn, Sudman et al., 2004; Groves, Floyd et al., 2004)). Questions that include a series

of questions to capture different aspects of child care barriers may offer particularly rich data. However, this advantage needs to be weighed against the cost and space needed to administer such a series of questions. Moreover, for purposes of constructing a performance measure on child care barriers, questions tapping into child care as a barrier more broadly may be preferable than those that tap into some but not all aspects of child care.

- *Open-ended:* Open-ended questions are not typically used because of the costs associated with the coding of responses. However, they are noted here because of their use in some state surveys and because of the potential problems associated with their use. An example of an open-ended question used to collect data on child care barriers can be found in the New Hope study, “What is the main reason you quit this job or stopped working ...” The main benefit of this approach is that data are collected in the respondents’ own words about the type of problems or challenges they face, some of which may not be included in predetermined response options, as noted above. However, in addition to the costs that are associated with the coding of responses, research indicates that open-ended questions may be problematic for respondents with lower levels of education and may result in higher levels of missing data than other question types (Schuman and Presser, 1981; Schaeffer and Thomson, 1992).
- *Frequency or magnitude of problem:* As the name suggests, this type of question collects data on how frequently the problem occurs or the extent to which the problem is an issue. The Minnesota Survey includes examples of both types of questions: “I rely on my caregiver to be flexible about my hours. (Never, Rarely, Sometimes, Usually or Always)” and “How difficult is it for you to deal with child care problems that arise during work hours (Always difficult, Usually, Sometimes, Rarely difficult, It’s never difficult)”. One of the advantages to this type of question is that it includes a response option for “Never” or its equivalent, and thus collects data on both the presence and magnitude of the problem. On the other hand, it is unclear how data collected through such response scales can be easily or objectively translated into a performance measure. For example, it is unclear whether and how reports of child care problems of varying magnitude should be combined to create an overall indicator of child care barriers.

Advantages and Disadvantages to Constructing a Performance Measure Based on Surveys or Administrative Data: Within the framework of the issues raised above, we now consider the advantages and disadvantages associated with administrative and survey data for the development of performance measures of child care barriers. It should be known that CCB has no preference toward either type of data source, and will pursue whichever course is determined during the roundtable to provide an appropriate performance measure.

Advantages of Administrative data sets: The main advantages to using administrative data to construct a performance measure of child care as a support to employment and economic self-sufficiency include:

- *Collected on a regular basis and publicly available:* Federal regulations require that states collect administrative data on families served through programs on a (1) regular basis, and (2) that such data be made publicly available.
 - Administrative data are available on either a quarterly or yearly basis, in contrast to survey data, which are available for select periods or collected on 2- to 4- year cycle.
- *Allow for the recording of short-term changes and real-time analyses:* The availability of administrative data collected on a continuous basis increase the likelihood that short-term shifts are recorded and that real-time analyses of programs and policies can be carried out.
 - Such real-time analyses can help to quickly inform policy decisions and readily flag needed changes in programs (Meyers, Peck et al., 2002).
- *Available at the national and state level:* Administrative data are available for all 50 states, and data on territories and tribes are also collected.
 - Measures can be constructed to track performance at the national and state level—an important benefit given state variability in program design and implementation.
 - Administrative data can be also used to develop a performance measure at the family, child, or state level.
- *Cost-effective:* Using administrative data can be a cost-effective approach to develop performance measures of child care as a work support.
 - Since the data are publicly available and the infrastructure needed to collect and report data has already been developed, it may be worthwhile and cost-effective compared to developing new data collection efforts to use or enhance existing administrative data systems.
 - However, the use of administrative data will likely require coordination across states to ensure that data are collected using similar definitions and methods or to develop appropriate linkages across administrative data systems (see also discussion below).

Key disadvantages associated with using administrative data to construct a performance measure of child care as a support to employment include:

- *Not fully representative of programs' target population:* The full spectrum of families targeted by programs is not captured since administrative data are only collected for families being served.
 - Most notably missing in administrative data sets are families who are eligible but do not apply to receive TANF or subsidy assistance (United States Government Accountability Office, 2001).
 - Also missing, in the case of subsidy administrative records, are families who are not employed, in school, or in training. This is problematic for a variety of reasons. First, families who are not employed may have similar child care

needs as employed families. Second, families who are recorded in subsidy administrative records, in part, because of their employment status may differ in important ways such as work skills, motivation, etc., which may also be related to how they benefit from child care subsidies.

- *Variability across states in definitions of key concepts:* There is some variability in the ways in which states define common concepts such as “employment” and “household income” (Hotz and Scholz, 2002; Grobe, Weber et al., 2003; Lee, George et al., 2004). This variability hampers the ability to make data comparisons across states.
- *Variability in how and when families are tracked:* There is also variability across states in how families are tracked through administrative data systems (United States Government Accountability Office, 2001; ASPE Staff, 2003).
 - For example, some states begin tracking individuals at point of first contact with welfare agencies; other states begin tracking families once their applications are completed or eligibility is established.
- *Accuracy and completeness of administrative data:* Though progress has been made, the accuracy and completeness of administrative data, in particular at the case-level, varies across states (see Child Care Bureau, 2003).
- *Data are lacking to explore the process and dynamics of child care as a work support:* Since administrative data sets are designed for programmatic purposes, there is a lack of information to allow users to better understand the process and dynamics characterizing the transition from assistance to self-sufficiency.

Survey data sets: Key advantages in using survey data to construct performance measures of child care as a work support are:

- *Allow performance to be examined for a broader population:* Survey data can provide information on the population eligible to receive services, not just on those who are already receiving services.
 - The large sample size and the breadth of the target population, in particular in national surveys, are qualities that are particularly attractive in the development of performance measures.
 - Many national surveys are representative of the U.S. adult population, thus compared to administrative data sets, the national surveys can provide data for a wider range of families including those with low-income, those receiving assistance and those eligible to receive assistance.
 - Such data can allow us to develop performance measures that address broader questions of how programs and policies are helping all low-income families. If data on receipt of assistance are also available, survey data can also be used to consider performance of CCDF more directly.

- *Repeated Cross-sectional data:* Repeated cross-sectional studies such as NHES, and NSCH, to name a few, are ideal for the development of performance measures in that they offer data over time on the same measures, as long as question wording does not change and the data are representative of the population at each administration (see also discussion below on limitations of longitudinal data sets).
- *Provide access to data on measures of child care as work support:* Survey data can provide a snapshot of the prevalence of child care a barrier to employment (given current wording of survey questions) or the number or percentage of families for whom child care assistance acts a support to employment (in cases where data on child care subsidy receipt, for example, are available) at the national or state level (e.g., NHES, NSCH, National Survey of American Families (NSAF)).
- *Comparability:* Because the same questions are asked of all survey respondents, data in national surveys are comparable across states, unlike in the case of administrative data sets. However, with two exceptions (NSCH and NSAF), data available from national surveys are not representative at the state level, and NSAF data at the state level are only available for selected states and years (see also (United States Government Accountability Office, 2001).
- *Cost effectiveness:* As in the case of administrative data, using *existing* survey data to construct a performance measure of child care as a support to employment is a cost-effective strategy.
 - Using existing survey data allows CCB to conserve funding that would otherwise be spent on *new* data collection efforts. Given limited research resources, the development of a performance measure of child care as a work support may not be possible without the use of existing administrative data or existing survey measures.
 - Alternatively, it maybe worth considering the possibility of working with state or federal statistical agencies or administrative systems to add or revise questions or data collection points in existing data frames. Or, in the case of national surveys, supplemental sample design and size to increase the statistical power and representativeness of survey samples, in particular for low-income families or families receiving assistance.
- *Flexibility:* Surveys are, to some degree, flexible. Questions can be reworded or added across multiple survey administrations if problems are detected or if policy changes take place.
 - However, this flexibility may also mean that data for the same question are not available across time. Consistency in question wording or lack thereof, is an important consideration. Ideally performance measures should be based on identical measures over time, so that change can be attributed to a change in the responses to the same question, rather than a change to the question wording.

Important disadvantages of survey data for the development of performance measures of child care as a work support include:

- *Difficulty in defining key concepts:* The flexibility that surveys offer in the design and wording of questions present challenges in how to define key concepts and develop questions that accurately capture the underlying concept in ways that facilitate respondent recall and are interpreted as intended.
 - As one example, in administrative databases subsidy receipt is not an ambiguous event since it is tied to a dispersal of funds and is defined and recorded at the program level. In contrast, there is reason to suspect that there are problems with the quality of data on subsidy receipt that are collected from surveys. For example, recipients may not distinguish between child care subsidies and TANF (Snyder, Bernstein et al., 2006), and thereby underreport subsidies. Likewise, parents whose subsidy payments are made directly to their child care center or whose subsidy application was facilitated by their child care provider may be less likely to report about their subsidy.
 - In addition, while several surveys, such as NHES, SIPP, NSAF, and the Early Childhood Longitudinal Study –Birth Cohort (ECLS-B,) collect data on child care subsidy and participation in other government assistance programs, the wording of such questions produces data that make it difficult to link subsidy receipt to specific individuals or child care arrangements (see also Giannarelli’s discussion paper on subsidy receipt data collection).
- *Long-term representativeness of longitudinal data:* In the case of longitudinal surveys such as the ECLS-B or SIPP, unless their samples are continually replenished, they are not ideal for performance measures because they are no longer representative of the population after initial data collection.
- *Depth and range of data:* The depth or range of data available from surveys, for example, may be of concern in the development of performance measures. Given the costs of administering surveys, there is limited space to include questions that go beyond the surveys’ main goals and priorities. Few surveys collect data on the various components needed to construct a performance measure or have data available for key issues for which policymakers and program managers may wish to examine performance measures.
 - For example, while some surveys have measures on work supports, they may be lacking measures on subsidy receipt or child care utilization. Important exceptions include NHES and NSCH (see discussion below). Other exceptions include several of the welfare reform and program evaluation studies, in particular at the state level.
- *Variability in state surveys:* The lack of comparability in survey populations, key concepts, and question wording across state surveys currently hinders the ability

of analysts to develop a national picture of child care barriers from state level data (United States Government Accountability Office, 2001).

- For instance, each state that participated in the ASPE funded TANF leaver studies designed and implemented its own questionnaire (Acs, Loprest et al., 2001). Likewise, while the ASPE funded TANF caseload study conducted in six states use the same questionnaire, definitions for key concepts varied across states (ASPE Staff, 2003).
- Moreover, most state level evaluation studies are no longer being fielded and none offer data for all 50 states.

Summary of what has been learned exploring currently available datasets:

Administrative data systems: As noted above, the ACF 800 and 801 forms are the main sources of administrative data on the number of families and children served through the CCDF block grant. While no direct measure of child care as a work support is available from administrative data, data are available on why families are using subsidies, such as employment, training, and education.

Also available are data on the percentage of TANF families with children that are exempt from work participation because child care is unavailable. Exploratory analyses by CCB of these data indicate that most states reported few families as having qualified for the work exception due to child care; the percentage typically did not exceed 5% in most states. Further exploration raised concerns about the accuracy of the data, in particular since the data could not be easily validated. Moreover, it would be difficult to demonstrate improvement over time given the low rates observed. These concerns have led CCB to conclude that TANF data on work exemptions are not appropriate for the creation of a performance measure on child care as work support.

Other possibilities include recent collaborative efforts across states to link the administrative subsidy data systems with state unemployment insurance records and TANF files in order to track families across program services. For example, using data from unemployment records, families falling within CCDF income-eligibility parameters, regardless of whether they apply for aid, can be identified. In addition, data from unemployment records allow for the continuous tracking of families once they exit programs (Lippman, personal communication with state grantees from CCB meeting on GPRA measures, April 26, 2006). Indeed some states (such as Wisconsin and Oregon) are tracking recipients using unemployment data.

One key measure which can be obtained through the linkage of child care subsidy, unemployment, and TANF data is the length of employment. Using linked administrative data, for example, Lee et al. (2004) find that the average employment spell for subsidy recipients in the three states they examined is longer compared with those not receiving subsidies. For example, in Illinois median employment duration was 26 months among subsidy recipients compared with 9 months among those who did not receive subsidies (Lee, George et al. 2004). Likewise, several of the state grantees of the

ASPE funded TANF leavers, applicant and caseload studies, linked administrative data, unemployment insurance records, and surveys to examine employment rates of TANF applicants and divertees (ASPE Staff, 2003). In general, the results of these studies indicate that employment rates and earnings significantly declined just prior to application or diversion, and then increased slightly but consistently in the following year (ASPE Staff 2003). These studies also found declines in program receipt such as Medicaid and food stamps in the year following TANF diversion or application. The findings of the studies should be interpreted with caution as definition of key concepts varies across grantees and, in some cases (e.g., earnings) by data source (e.g., survey vs. administrative data).

While these collaborative efforts offer much promise in better understanding the role that subsidies and TANF play and their relation to employment outcomes, the linking of multiple data sets within and across states requires a great deal of resources in terms of staff, time, and dollars. These efforts also suffer from logistical constraints, most notably the difficulty in creating comparable data structures and definitions across states (see also Lee, George et al. 2004; Grobe, Weber et al. 2003). However, future efforts can benefit from the infrastructure and methodology developed thus far, as well as the lessons learned from earlier efforts. CCB's five data capacity state grantees and others have written several reports that document the potential in linkage of administrative systems and guidelines for constructing linked databases (Meyers, Peck et al., 2002).

Also warranting further exploration is the possibility that states collect additional data either through their subsidy or TANF programs that may be useful in the construction of a performance measure on child care as a support to employment but that are not currently reported to CCB. States that are currently collecting such data can serve as a useful model in expanding efforts to the national level and in identifying "best measures" and "approaches." State required performance measures that are currently unreported offer another potential source of data that can be used to develop performance measures at the national level.

National Survey Data: As noted above, Child Trends has been working with CCB to explore ways to develop a performance measure of child care barriers through available national survey data.

Of the currently available national surveys, the NSCH appears to be the most promising. Data available from NSCH can be used to develop an indicator of the number of working families with income below 150% of the federal poverty line (or low-income families) who report job changes due to problems with child care. In addition to a measure on child care barriers, the NSCH has questions on household income and employment (see also discussion above). Although no direct data on subsidy receipt are available from the NSCH, data on some forms of cash assistance such as TANF, WIC and food stamps are collected. Since NSCH is designed to be representative at the state and national level, indicators can be constructed at the state or national level—an important advantage given state discretion in establishing subsidy eligibility rules and variability in the population served. Moreover, the NSCH offers sufficient cases to

support analysis by income level, employment, participation in any child care, and receipt of any cash assistance (Lippman, Guzman, et al., Memo to I. Martinez-Beck, March 24, 2006). An important limitation of the NSCH, however, is that its employment variable is at the household level and refers to full time employment for 50 out of 52 weeks of the year—a threshold that may be too high to capture employment among many, and perhaps especially low-income families (see also discussion on page 7-8). Last, it is important to note that the unit of analysis of NSCH is children, and child care questions are only asked for children ages 0-5. In contrast, CCDF serves children through the age of 13, and up to the age of 19 in cases children with disabilities.

Survey questions from NHES also appear promising. Data from NHES are available at the national level for key variables, such as income and subsidy receipt. However, the reliability of estimates is an issue for several important subgroup combinations (e.g., living in poverty and attending school or training). NHES also includes a direct measure of child care barriers. However, the wording of the child care questions has varied across surveys. For example, in 1995 and 2001, NHES included the following question, “Does (your main arrangement) cover all the hours that you are at work or in school or training?” In 2001 and 2005, parents were asked “Would you be working outside of the home if you could find acceptable and affordable child care?” (See summary measure table for additional measures appearing in the NHES.) Analyses of the NHES questions on child care also suggest less than optimal psychometric properties, including low test-retest reliability (Lippman and Guzman, personal communication with Chris Chapman, January 12, 2006).

Three additional points about the NHES questions are worth noting: (1) Data are collected from both mothers and fathers and on employment, school attendance, and participation in training programs—an advantage not available in other national surveys. (2) Data on child care barriers are collected in reference to a focal child, and thus, as noted above, will likely underestimate child care barriers from the perspective of parents (this is also the case for the NSCH). (3) Though both employed and nonemployed parents are asked about child care barriers in the NHES, the wording of the question differs by employment status. In short, while it may not be possible to construct a performance measure of child care barriers to employment using data currently available from NHES, given the advantages of NHES it may be worthwhile investing in the development of a child care barrier question and/or in supplementing its sample size to further bolster the analytical power of data on low-income households.

Child Trends’ analyses of survey data also revealed problems with the cell size in key subgroups for the Current Population Survey (CPS), and SIPP. In addition in both the CPS and SIPP, questions were not asked of all respondents at risk of experiencing child care barriers, most notably the nonemployed. While the NSAF and the Survey of Program Dynamics (SPD) include an oversample of low-income families and were designed to monitor the impacts of welfare reform, and thus would be ideal to in addressing how child care supports are helping low-income families, data collection for both surveys ended in 2002.

State Surveys: The variability across existing state surveys currently limits their appropriateness in the use of constructing national level performance measures. As noted above, the wording of child care barrier questions, sample design, and data collection periods differs across and within state surveys (Acs, Loprest et al., 2001; United States Government Accountability Office, 2001). It is possible, however, that through partnerships at the state and federal level, comparability in measures may be improved and that a wider range of measures may become available in subsequent administrations of existing surveys. However, it is important to also note that several key state level studies designed to monitor the impacts of TANF reform and its programs are no longer slated for additional data collection.

IV. Thoughts and Questions for the Roundtable: Where Do We Go From Here?

Below are some issues to consider for the roundtable. This list is intended to generate ideas and facilitate discussion. CCB hopes that the roundtable will stimulate discussion from varied perspectives on promising performance measures, approaches, and data platforms, as well as opportunities to collaborate across disciplines.

Defining Performance Measures: Participants are asked to consider how performance is *defined* for CCDF and family self sufficiency/employment via child care generally. Specifically, decisions about the following should be considered:

- *For whom are we measuring performance?* Performance measures on child care as a support to employment can be developed for a variety of populations such as CCDF participating and nonparticipating families or TANF and non-TANF families or low-income families, or, alternatively, states. The population on which performance measures are developed will shape the types of questions that can be addressed. Central to the decision on the population for whom measures should be based is the issue of whether performance measures should be limited to the population directly being served by programs or used to monitor the effectiveness among the policy's target audience, irrespective of program participation.
- *What outcome do we want to measure?* Among the possibilities that are currently being explored by some states and researchers, is the length of employment spells among subsidy recipients and non-recipients. As discussed above, decisions about which aspect(s) of child care as a work support (e.g., costs, access, etc.) to measure are also needed. Also interrelated is the aspect of employment that is focused on in the performance measure. For example, child care assistance can act as a support to *becoming* employed, *staying* employed, or *earning* higher wages. A second related issue is when or at which point(s) in the "employment-cycle" should data be collected. For instance, families can be captured at different points in time ranging from at risk of going on TANF to gainfully employed. Should there be a focus on one, multiple, or all time points?
- *At what level should the performance measures be developed?* This question consists of several parts. For example, decisions need to be made about whether

performance measures should be developed at the national level to track the effectiveness of programs at the family or child level. Or, alternatively, at the state level to track the percentage of states with a specific type of policy, for instance, or the percentage of families in each state receiving child care assistance.

How is performance measured?: Once decisions about how best to *define* performance measures of child care as a support to employment are made, decisions are needed about how it should be measured. Among the aspects included in this decision are: (1) which data vehicle(s)—administrative and/or survey—is best suited to develop performance measures of child care as a work support; and (2) which survey questions or data from administrative records should be used to construct the performance measures. In arriving at these decisions it is important to keep in mind the key elements needed to construct a performance measure of child care as a work support:

- Repeated measures
- Measures available in regular and frequent intervals
- Nationally or state representative cross sectional data
- Data available to support analysis of key groups, such as low-income families, CCDF or TANF participants
- Data available at the child, parent or family, or state level
- Data available to capture one or more aspects of child care as a work support

Participants are asked to consider:

- Which surveys or administrative data sources have the most promise as a vehicle for a repeated performance measure?
- Which question or series of questions, data or data points in administrative systems are most appropriate to construct a performance measure to monitor the CCDF's goal of helping low-income families become self-sufficient through access to affordable, quality child care that meets their needs?
- What strategies or possibilities are available to address known limitations of existing administrative databases and surveys?
- Given participants' expertise and knowledge, which approaches are most feasible and realistic? For example, how feasible is it to replicate current isolated efforts which link state administrative data systems (such as unemployment and subsidy receipt) in all states?

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Appendix A

II. ACF-800 Form

CHILD CARE AND DEVELOPMENT FUND ANNUAL AGGREGATE REPORT FOR SERVICES PROVIDED FROM _____ THROUGH _____										OMB Approval Number: 0970-0150 Expires: 08/31/2006				
Complete Name of Grantee Address: Contact Person, Phone, email:	(A) TOTAL	CATEGORY/TYPE OF CHILD CARE												
		CARE PROVIDED BY A LICENSED OR REGULATED PROVIDER IN A					CARE PROVIDED BY A LEGALLY OPERATING PROVIDER (LICENSE CATEGORY UNAVAILABLE IN A STATE OR LOCALITY) IN A							
		(B) Child's Home	(C) Family Home	(D) Group Home	(E) Center	(F) Relative	(G) Non- Relative	(H) Relative	(I) Non- Relative	(J) Relative	(K) Non- Relative	(L) Center		
1. Number of families receiving child care services														
2. Number of children receiving child care services														
Payment Methods:														
3. Number of children served through grants or contracts														
4. Number of children receiving child care services through certificates and/or cash														
5. Of children served through certificates, number of children served through cash payments														
6a. Number of child care providers receiving CCDF funding by type of care														
6b. Total licensed capacity in centers and homes (No longer collected as of FFY 2003)	N/A	N/A		N/A	N/A									
7. Estimated number of families receiving consumer education														
How is the estimated number of families receiving consumer education determined?														

Appendix A

Below, Indicate Methods Used on a Regular Basis:		
8. Information to subsidized families concerning the choice of a certificate or grant/contract	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	
9. Resource and referral counseling	Y <input type="checkbox"/> N <input type="checkbox"/>	
10. List of legally operating child care providers	Y <input type="checkbox"/> N <input type="checkbox"/>	
11. Brochure, booklet or written material about types of care and quality of care	Y <input type="checkbox"/> N <input type="checkbox"/>	
12. Checklist of health and safety concerns	Y <input type="checkbox"/> N <input type="checkbox"/>	
13. Copies of child care regulatory information	Y <input type="checkbox"/> N <input type="checkbox"/>	
14. Familiarization with child care provider complaint policies (any method)	Y <input type="checkbox"/> N <input type="checkbox"/>	
15. Mass media such as: television, radio, internet sites, billboards, etc.	Y <input type="checkbox"/> N <input type="checkbox"/>	
16. Other (Please explain in next field)	Y <input type="checkbox"/> N <input type="checkbox"/>	
If other is indicated please explain		

Appendix A

Grantee:
Contact Person, Phone & email:

17. Is this report based on pooled CCDF and non-CCDF funds? Y N

18. If this report is based on pooled CCDF and non-CCDF funds, what is the percent of funds which are CCDF? _____%

<p>19. If this report is based on pooled CCDF and non-CCDF funds, please indicate which funds are included in the pool.</p>	<p>CCDF Funds: Do you include Pre-K funds as part of Match or MOE:</p> <p style="padding-left: 40px;">Y <input type="checkbox"/> N <input type="checkbox"/> State funds used to match Federal funds?</p> <p style="padding-left: 40px;">Y <input type="checkbox"/> N <input type="checkbox"/> MOE funds?</p>	<p>Non-CCDF Funds:</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Title XX</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> State-only child care funds</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Welfare to Work</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Title IV-B or Title IV-E</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Private/donated funds</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Food Stamp child care funds</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Non-compulsory school funds</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> TANF funds not transferred into Discretionary Fund</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> HUD child care funds</p> <p>Y <input type="checkbox"/> N <input type="checkbox"/> Other _____</p>
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20. State or Territory conducts routine unannounced inspections of regulated child care providers. **(No longer collected as of FFY 2003)** N/A

21. Please enter explanatory comments regarding any of the data elements as appropriate. **(Optional)**

22. Please attach any reports, materials, information developed as a result of the use of CCDF quality funds. **(Optional)**

Appendix B

ACF Administration for Children and Families	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES	
	Administration on Children, Youth and Families	
	1. Log No. ACYF-PI-CC-01-02	2. Issuance Date: April 12, 2001
	3. Originating Office: Child Care Bureau	
	4. Key Words: Child Care and Development Fund	
Revised ACF-801 Case-Level Reporting Form		

- To** State and Territorial Lead Agencies administering child care programs under the Child Care and Development Block Grant (CCDBG) Act of 1990 as amended, and other interested parties.
- References** The CCDBG Act of 1990 as amended by the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (P.L. 104-193) and the Balanced Budget Act of 1997 (P.L. 105-33); 45 CFR 98; Information Memorandum Log No. ACYF-IM-CC-97-01, ACYF-IM-CC-97-02 and ACYF-PI-CC-98-01. Relevant Technical Bulletins are located on the Child Care Bureau Web site at the following address:
www.acf.dhhs.gov/programs/ccb/report/formhelp/techbull/index.htm.
- Purpose** To inform States and Territories of the reauthorized and modified collection of case-level Child Care and Development Fund data (ACF-801). The form and instructions (definitions) are attached.
- Background** Case-level child care program information for the Child Care and Development Fund (CCDF) is required by Section 658K of the CCDBG Act as amended by PRWORA and as modified by the Balanced Budget Act of 1997.
- Reauthorized Form** The Office of Management and Budget (OMB) has extended authorization for ACF-801 Form through March 31, 2003.
- The reauthorized form includes one new data element: Number in Eligible Family (Item 16). State reports must include this element for the reporting period beginning with the month of January 2002. States should not attempt to report Item 16 before January 1, 2002 because the Federal system must be modified to accept the new item.

Appendix B

Revised Instructions	The instructions are revised to incorporate needed clarifications including some that have been made in Technical Bulletins. The revised instructions also discuss the need for Unique State Identifiers in cases where parents have chosen not to provide Social Security Numbers. (See ACYF-PI-CC-00-04, issued on October 27, 2000.) This is necessary to ensure that cases can be unduplicated for reporting purposes in accordance with the statute governing the Child Care and Development Fund. (The Act, 658K(a)(B)(2)(E)) If a case has neither a Social Security Number nor a Unique State Identifier, the data related to that case cannot be processed.
Due Dates for the Case Level Disaggregate Report	Case-level data is collected monthly and reported quarterly. Reports are due 60 days after the end of each quarter. States and Territories may submit case level data monthly instead of quarterly. If they choose to submit the data monthly, the report is due 90 days after the reported month.
Who Must Report	All Lead Agencies in the United States, the District of Columbia, and Territories (including Puerto Rico, American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) are responsible for completing the ACF-801.
Penalties	The statute provides that the Secretary may sanction a Lead Agency for non-compliance with any requirement of the CCDF program. (CCDBG Act, Section 658I(b)(2)(B)) The regulations provide that the Secretary may impose a penalty of not more than four percent of the Discretionary Funds for a Fiscal Year, if it is determined that a Lead Agency has failed to implement a provision of the Act, the regulations, or the Lead Agency's biennial Plan. (§ 98.92(b)(2)) States failing to provide reports may be subject to this penalty. (63 FR 39980)
Additional Information Required	<p>1) Information on Pooling (if applicable) If a grantee pools its CCDF funds (i.e., includes other funding, such as Title XX, State-only funds not used for MOE or Match, or other funds not used for Match), it must report the percentage of funds that are provided by CCDF on the ACF-800 Form. The Child Care Bureau will calculate the percentage of each data element attributable to CCDF.</p> <p>2) Sampling Plan All States and Territories that submit a sample of their records must have a sampling plan that has been approved by their Regional Administrator. Sampling plans were required to be submitted to Child Care Bureau by February 28, 1998. If there are anticipated changes to the existing sampling plan, e.g., switching from submitting a sample to submitting full population data or vice versa, the Child Care Bureau should be notified 60 days in advance.</p>
Reporting Burden	No change is expected in the reporting burden for collecting the information on the ACF-801 Form. Collection of the information for the ACF-801 is expected to average 20 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

Appendix B

Data Uses	The case-level administrative information received through this collection provides the means to analyze and evaluate the CCDF program and the extent to which States are assisting families in addressing child care needs. This collection will provide ACF with the information necessary to make its biennial report to Congress, address national child care needs, offer technical assistance to grantees, meet performance measures, assess performance for the TANF High Performance Bonus for Child Care, and conduct research.
Electronic File Transfer Method for Transmitting the Case Level Data File	<p>The case-level report must be submitted electronically to ACF via Connect:Direct (C:D). For all 50 States and the District of Columbia, the Social Security Administration computer center serves as a gateway when transmitting the data file to the National Institutes of Health computer center. C:D provides the security when transmitting confidential data. States should contact the Child Care Automation Resource Center for information on the C:D contacts.</p> <p>It is acceptable for Territories to submit their data file on a diskette.</p>
Notification	Upon receipt of the case-level data file, the Federal system will process the data and generate summary and detail assessment reports. The two report files will automatically be transmitted via C:D to the State. The summary assessment report is sent via e-mail to the State Lead Agency and the appropriate Regional Office staff. This serves as a notification that the data file has been received.
Child Care Information Systems Technical Assistance	The Child Care Bureau has awarded a contract for information systems technical assistance and development to the Anteon Corporation. The Child Care Automation Resource Center is part of that contract. The Center assists CCDF grantees with their questions and concerns related to information systems. Assistance for completing the ACF-801 Form is available weekdays from 9:00 a.m. to 5:00 p.m. (Eastern Time). The telephone number is: (877) 249-9117.

Reporting Problems	<p>Lead agencies that have problems complying with the statutory reporting requirements should contact the Department for technical assistance.</p> <p>Questions should be directed as follows:</p> <p>Child Care Bureau: Joseph Gagnier: 202-205-8455</p> <p>Technical Assistance: Child Care Automation Resource Center: Toll Free (877) 249-9117</p>
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James Harrell
Acting Commissioner
Administration on Children, Youth and Families

Appendix B

ACF - 801 Child Care Quarterly Case Record Form		OMB #: 0970-0167	Expires: <u>03-31-2003</u>
Head of Family Receiving Assistance			
1. Reporting Period	Month: __ __ Year: __ __ __ __		
2. Unique State Identifier (required in absence of SSN#)	____ _		
3. Social Security Number (optional)	____ - ____ - ____		
4. FIPS Codes	State: __ __ County: __ __ __		
5. Single Parent	__		
6. Reason for Receiving Care	__		
7. Total Monthly Child Care Copayment by Family	\$ __, __ __ __		
8. Month/Year Child Care Assistance to the Family Started	Month: __ __ Year: __ __ __ __		
9. Total Monthly Family Income for Determining Eligibility	\$ __ __, __ __ __		
Family Income Sources			(Y/N)
10. Employment Including Self-Employment			__
11. Cash or Other Assistance Under Title IV of the Social Security Act (TANF)			__
12. State Program for Which State Spending Is Counted Towards TANF MOE			__
13. Housing Voucher or Cash Assistance			__
14. Assistance Under the Food Stamps Act of 1977			__

Appendix B

15. Other Federal Cash Income Programs (such as SSI)	—
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Head of Family Receiving Assistance (Continued)

16. Number in Eligible Family (Required as of 04/01/02)	— —
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Dependent Children Receiving Child Care Assistance

Child Receiving Care	17. Social Security Number (Optional) OR Unique State Identifier (Required in absence of SSN#)	18. Hispanic or Latino	19. American Indian or Alaskan Native	20. Asian	21. Black or African American	22. Native Hawaiian or Other Pacific Islander	23. White	24. Gender	25. Month/Year of Birth	26. Type of Child Care	27. Total Monthly Amount Paid to Provider	28. Total Hours of Care Provided in Month
Child 1	— — — — — — — —	—	—	—	—	—	—	—	— / — — — —			
Child 1, Provider 1										— —	\$ —, — — —	— — —
Child 1, Provider 2										— —	\$ —, — — —	— — —
Child 2	— — — — — — — —	—	—	—	—	—	—	—	— / — — — —			
Child 2, Provider 1										— —	\$ —, — — —	— — —
Child 2, Provider 2										— —	\$ —, — — —	— — —
Child 3	— — — — — — — —	—	—	—	—	—	—	—	— / — — — —			
Child 3, Provider 1										— —	\$ —, — — —	— — —
Child 3, Provider 2										— —	\$ —, — — —	— — —
Child 4	— — — — — — — —											

Appendix B

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									/				
	Child 4, Provider 1										---	\$ --, ---	---
	Child 4, Provider 2										---	\$ --, ---	---

Appendix B
CHILD CARE AND DEVELOPMENT FUND
ACF-801 CASE-LEVEL REPORTING FORM
Definitions

Head of Family Receiving Assistance

The following elements (items 1-16) refer to the head of the family receiving child care assistance. The "Head of Family Receiving Assistance," is the person for whom eligibility is determined. If the child is considered a family of one (i.e., a protective service case), then all items refer to the child.

1. Reporting Period: The month and year being reported. The report should include information about the families and children who actually received child care services during the reporting month, irrespective of when payment is made for those services.
2. Unique State Identifier: A unique identifying number, up to fifteen characters, assigned by the State to the family receiving child care assistance. States may use alphanumeric characters. The Social Security Number may not be required of families as a condition of eligibility. However, in the absence of the Social Security Number, CCB requires that States use a Unique State Identifier to ensure that cases are unduplicated for reporting purposes in accordance with the Statute governing the Child Care and Development Fund. If a case has neither a Social Security Number nor a Unique State Identifier, the data related to the case cannot be processed.
3. Social Security Number: The Social Security Number of the head of the family. Again, States are reminded that CCDF eligibility may not be denied because a parent chooses not to provide their Social Security Number. (See ACYF-PI-CC-00-04 issued October 27, 2000). In cases in which care is being provided to a child as a family of one, the child's Social Security Number is used for this element.
4. Federal Information Processing Standards (FIPS) Code: The FIPS Code geographic identifier issued by the National Bureau of Standards to designate where the head of the family receiving assistance is residing. A list of all FIPS codes can be found at CCB's Technical Assistance Web site (<http://www.acf.dhhs.gov/programs/ccb/systems/index.htm>) or by contacting the Child Care Automation Technical Assistance Center (1-877-249-9117). This includes a two digit State code and three digit county code.

Appendix B

5. **Single Parent:** A single parent/adult who is legally/financially responsible for and living with a child where there is no other adult legally/financially responsible for the child in that eligible family. If there is someone else in the household who does not have legal/financial responsibility for the child, the legally/financially responsible applicant is still considered a single parent. A one-digit code indicates if the head of the family receiving assistance is single or not.
 - 0 -- No
 - 1 -- Yes
 - 9 -- Not applicable; child is reported as head of household. (If “9” is selected, indicate the Child’s Social Security Number in Item 3).

6. **Reason for Receiving Subsidized Child Care:** The one-digit code indicating the reason for receiving subsidized child care. If more than one category applies, report the primary reason. “Other” should only be used when no other category applies and should not be used to report missing data.
 - 1 -- Employment
 - 2 -- Training/Education
 - 3 -- Both Employment and Training/Education
 - 4 -- Protective Services
 - 5 -- Other

7. **Total Monthly Child Care Co-payment by the Family Receiving Assistance:** The monthly dollar amount the family receiving assistance must pay for child care services for the month being reported (the co-payment assigned by the Lead Agency or its designee).

8. **Date Child Care Assistance to the Family Started:** The numbers for the month and year child care assistance started for the family receiving assistance. If there was a short interruption of up to three months in child care assistance (for reasons such as a vacation or illness) indicate the original month/year the assistance started, rather than when the assistance resumed.

9. **Total Gross Monthly Income:** The total monthly dollar amount received by the family prior to any deductions that may be allowed for determining eligibility and/or co-payments. This includes cash assistance received under TANF or other program but not income disregarded in TANF eligibility determinations. The amount should be rounded to the nearest dollar.

Appendix B

FAMILY INCOME BY SOURCE: Items 10 through 15, sources of income, require a “yes” (1) or “no” (0) answer as they relate to the family receiving assistance for the month being reported. Even if a source of income is disregarded for eligibility determination purposes, the correct answer is “yes” for a family that received income from that source in the reporting month. If, on a case-by-case basis, income is not used to determine eligibility for protective service cases, items 10-15 do not have to be reported for such cases. Item 13, “State program in which State spending is counted toward TANF MOE,” refers to State-funded initiatives that provide assistance to needy families. Lead Agencies will need to consult with their TANF administrative offices to determine which programs are used for TANF MOE since these programs differ from State to State.

10. Employment income, including self-employment.
11. Cash or other monetary assistance under Title IV of the Social Security Act (TANF)
12. State program for which State spending is counted towards TANF MOE
13. Housing voucher or cash assistance
14. Assistance under the Food Stamps Act of 1977
15. Other Federal Cash Income Programs (such as SSI)

16. **NUMBER IN ELIGIBLE FAMILY (New Data Element):** Number of family members upon which eligibility is based. The field size is two (2) with a required value within the range of 1 to 99. The change must be implemented for the reporting period beginning with the month of January 2002.

Dependent Children Receiving Child Care Assistance (One record per child)

These items, 17 through 25, refer to dependent children in the family receiving child care assistance and indicate the demographic characteristics of children receiving care. States and Territories are required to request information about ethnicity and race. However, if a parent refuses to report ethnicity and/or race for their child, the field should be left blank.

17. **Child’s Social Security Number (*Optional*):** Indicate the Social Security Number of the child receiving assistance.

18. **Hispanic or Latino Ethnicity:** Indicate the one digit code for the ethnicity of each child. (Ethnicity should be determined for every child in the family).
0 – No
1 –Yes

RACE OF CHILD (ITEMS 19-23) applies to each child receiving care. Indicate the code for "yes" (1) or "no" (0) for each race listed below. Select yes for as many races as reported by the family. (Each child should have at least one race coded yes.)

Appendix B

19. American Indian or Alaskan Native
20. Asian
21. Black or African American
22. Native Hawaiian or Other Pacific Islander
23. White

24. Child's Gender: Indicate the one digit code for the gender of the child receiving care.
 - 1 - Male
 - 2 - Female

25. Month/Year of Birth: Enter the numbers for the month and year of birth of the child receiving care.

Child Care Provider (One record for each provider for each child)

This group of questions applies to the child care provided to each child. Include all providers receiving subsidies for each child in the family receiving care.

26. Type Of Child Care:

Definitions: Provider types are divided into two broad categories: "licensed/regulated" and "legally operating without regulation." For reporting purposes, a legally operating, unregulated provider is a provider that, if not participating in the CCDF program, would not be subject to any State or local child care regulations. The "licensed/regulated" and "legally operating without regulation" categories each include four types of providers (each State's definition of these terms apply): in-home, family home, group home, and centers. A relative provider is defined as being at least 18 years of age and the grandparent, great-grandparent, aunt or uncle, or sibling (living outside of the child's home) of the child in care. The following codes specify the type of care provided by each provider for each child during the report month.

Codes:

- 01 -- Licensed/regulated in-home child care
- 02 -- Licensed/regulated family child care
- 03 -- Licensed/regulated group home child care
- 04 -- Licensed/regulated center-based care
- 05 -- In-home care provided by a non-relative in a setting legally operating without regulation
- 06 -- In-home care provided by a relative in a setting legally operating without regulation
- 07 -- Family home child care provided by a non-relative in a setting legally operating without regulation

Appendix B

- 08 -- Family home child care provided by a relative in a setting legally operating without regulation
- 09 -- Group home child care provided by a non-relative in a setting legally operating without regulation
- 10 -- Group home child care provided by a relative in a setting legally operating without regulation
- 11 -- Child care center legally operating without regulation
27. Total Monthly Amount Paid to the Provider: For each child receiving care, indicate the total monthly dollar amount (rounded to the nearest dollar) paid or to be paid to the provider for the care of the child. The total monthly amount should include Federal, State, and locally funded amounts as well as the amount the parent is responsible for contributing as the assigned co-pay. (This should not include any other amount the provider may charge the parent in addition to the co-pay determined by the Lead Agency or its designee.)
28. Total Hours of Care Provided in the Month: Indicate the total number of hours of care provided for the reporting period (rounded to the nearest whole number).

The Paperwork Reduction Act of 1995

Public reporting burden for this collection of information is estimated to average 20 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.