



**CHILD CARE AND DEVELOPMENT FUND PLAN FOR:**

North Dakota

**FFY 2010-2011**

This Plan describes the CCDF program to be conducted by the State/Territory for the period 10/1/09 – 9/30/11. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

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Public reporting burden for this collection of information is estimated to average 162.5 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.

**Form ACF 118 Approved OMB Number: [INSERT NUMBER] expires [INSERT DATE]**

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## AMENDMENTS LOG

### CHILD CARE AND DEVELOPMENT FUND PLAN FOR: NORTH DAKOTA FOR THE PERIOD: 10/1/09 – 9/30/11

Lead Agencies must submit plan amendments within 60 days of the effective date of an amendment (§98.18 (b)).

**Instructions for Amendments:**

- 1) Lead Agency completes the first 3 columns of the Amendment Log and sends a photocopy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

**Note:** This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

## PART 1 ADMINISTRATION

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

### 1.1 Lead Agency Information (as designated by State/Territory Chief Executive Officer)

Name of Lead Agency: **North Dakota Department of Human Services (NDDHS)**  
Address of Lead Agency: **State Capitol, 600 East Boulevard Ave, Department 325, Bismarck, ND 58505-0250**  
Name and Title of the Lead Agency's Chief Executive Officer: **Carol Olson, Executive Director**  
Phone Number: **701-328-2538**  
Fax Number: **701-328-1545**  
E-Mail Address: **dhseo@nd.gov**  
Web Address for Lead Agency (if any): **<http://www.nd.gov/dhs/>**

### 1.2 State/Territory Child Care (CCDF) Contact Information (day-to-day contact)

Name of the State/Territory Child Care Contact (CCDF): **Linda Elstad**  
Title of State/Territory Child Care Contact: **Child Care Subsidy Administrator**  
Address: **State Capitol, 600 East Boulevard Ave, Department 325, Bismarck, ND 58505-0250**  
Phone Number: **701-328-4603**  
Fax Number: **701-328-1060**  
E-Mail Address: [lelstad@nd.gov](mailto:lelstad@nd.gov)  
Phone Number for CCDF program information (for the public) (if any): **701-328-2232**  
Web Address for CCDF program information (for the public) (if any):  
<http://www.nd.gov/dhs/services/financialhelp/childcare.htm/>

Name of the State/Territory Child Care Contact (CCDF): **Linda Jagielo**  
Title of State/Territory Child Care Contact: **Early Childhood Services Administrator**  
Address: **State Capitol, 600 East Boulevard Ave, Department 325, Bismarck, ND 58505-0250**  
Phone Number: **701-328-4809**  
Fax Number: **701-328-3538**  
E-Mail Address: [ljagielo@nd.gov](mailto:ljagielo@nd.gov)  
Phone Number for CCDF program information (for the public) (if any): **701-328-2316**  
Web Address for CCDF program information (for the public) (if any):  
<http://www.nd.gov/dhs/services/childcare/>

### **1.3 Estimated Funding**

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2009 through September 30, 2010. (§98.13(a))

CCDF: **\$9,541,031**  
Federal TANF Transfer to CCDF: **\$500,000**  
Direct Federal TANF Spending on Child Care: **\$500,000**  
State CCDF Maintenance of Effort Funds: **\$1,017,036**  
State Matching Funds: **\$1,855,656**  
Total Funds Available: \$13,413,723

### **1.4 Estimated Administration Cost**

The Lead Agency estimates that the following amount (and percentage) of Federal CCDF and State Matching Funds will be used to administer the program (not to exceed 5 percent): \$670,686.62(5%). (658E(c) (3), §§98.13(a), 98.52)

### **1.5 Administration of the Program**

**1.5.1** Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5.1 – Activities & Services to Improve the Quality and Availability of Child Care, Quality Targeted Funds and Set-Aside?

- Yes.
- No. If no, use **Table 1.5.1** below to **identify** the name and type of agency that delivers services and activities. If more than one agency performs the task, identify all agencies in the box under “Agency,” and **indicate** in the box to the right whether each is a non-government entity.

**Table 1.5.1: Administration of the Program**

Service/Activity	Agency	Non-Government Entity (see Guidance for definition)	
Determines individual eligibility:			
a) TANF families	County TANF Social Services Agency	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b) Non-TANF families	County non-TANF Social Services Agency	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Assists parents in locating care	Lakes & Prairies and Lutheran Social Services Child Care Resource & Referral (CCR&R)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Makes the provider payment	County Social Services enter the payment into the system, checks mailed by lead agency	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Quality activities	Lakes & Prairies and Lutheran Social Services Child Care Resource & Referral	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Other:		<input type="checkbox"/> Yes	<input type="checkbox"/> No

**1.5.2. Describe** how the Lead Agency maintains overall internal control for ensuring that the CCDF program is administered according to the rules established for the program (§98.11).

**The lead agency is the North Dakota Department of Human Services. The Child Care Subsidy Administrator and Early Childhood Services Administrator write the policy and county offices are required to administer the subsidy and quality functions in the same manner. North Dakota Century Code 50-11.1-07, Service Chapter 620-01, N.D.C.C. §50-01.2-00(3) and §50-01.2-02-2(1) govern the relationship between the Lead Agency and counties.**

**The Early Childhood Services Administrator writes the policy and contracts for North Dakota’s Child Care Resource and Referral Networks. The CCR&R’s administer the parent referral process and quality activities accordingly. North Dakota Century Code 50-11.1-11 and Service Chapter 620-01 govern the Lead Agencies relationships with the CCR&R’s.**

**The ECS Administrator meets, at minimum, quarterly with the directors of the CCR&R’s. These meetings are for the purpose of discussing progress and**

completion of contracted work, to bring up new information or concerns, and to adapt the work plan or contract if necessary. The ECS Administrator receives unsolicited reports from licensors and ECS regional Supervisors regarding the CCR&R work in the field and is copied on all their provider newsletters and provider alerts. As North Dakota is a small, in population, state, CCR&R staff members and both CCDF Administrators often find themselves on the same ND early childhood planning committees, work groups, or taskforces. This allows for addition observation of CCR&R contract work. Lastly, the ECS Administrator is in weekly contact with the CCR&R directors to discuss many issues or to ask for assistance on projects.

### **Subsidy**

**Child Care Subsidy Administrator supervises county eligibility workers by writing and maintaining program policy, reimbursement rates, and the sliding fee schedule. The lead agency also provides training which includes new worker training and experience worker training on new policies, changes in policy, changes in rates, and sliding fee scale and outreach information for the counties such as brochures and posters.**

**Child Care Subsidy Administrator meets with Regional Representatives to explain policy at least three times a year at field staff to explain old policy and new policy. Regional Representatives in turn provide new and old policy training and assistance to counties bimonthly. Regional Representatives assist in review (unofficial) of cases to determine where there may be errors to prevent errors. Regional Representatives also call the state office when they have questions they can not answer and need to discuss with Child Care Subsidy Administrator.**

**A sampling plan has been developed to select CCAP payments for review each year. The Child Care Subsidy Administrator completes the reviews and contacts the county directly about the results and the results are shared with the Regional Representatives. The results of the review are shared with the county as the reviews are completed. The results of the statewide review are presented to County Directors Association and the Regional Representatives. Additional training by state staff will take place by email, IVN, on-site training or on the web when needed to clarify policy.**

**When the Child Care Subsidy Administrator reviews a case file and there are errors in the case file for nonpayment, overpayment, and or underpayment the county eligibility workers are asked to explain how the errors arose. The errors could have been caused by placing incorrect figures in the application system, incorrect figures for income, deductions, number in the household, age, and/or children. Regional Representatives, county supervisors, and county directors are contacted by Child Care Subsidy to resolve issues if the county eligibility worker is not able to explain the reason for the error. County eligibility workers are allowed to explain to the Child Care Subsidy**

**Administrator why they believe the case is correct. If the county eligibility worker is correct the case file error is no longer noted.**

### **Quality**

**North Dakota has a state-supervised, county-administered system.**

**The Early Childhood Services Administrator programmatically supervises Early Childhood Services Regional Supervisors and county child care licensing workers by writing and maintaining program rules and policies for the child care licensing system. Direct supervision of Early Childhood Services Regional Supervisors is the responsibility of the eight Regional Human Services Center Directors. Direct supervision of the county child care licensors is the responsibility of the county directors.**

**The counties are not branches of the North Dakota Department of Human Services (lead agency). The relationship is governed by North Dakota Century Code. Roles and responsibilities are identified in program policy and procedure manuals. Regional Supervisors for Early Childhood Services (State Licensing Staff) who work with and monitor county licensors. County Reimbursement for licensing costs from the CCDF monies is contingent upon compliance with North Dakota Century Code, Administrative Code and Program Policy and Procedures.**

**The Early Childhood Services Administrator conducts regular conference calls and meetings to monitor work and provide updated licensing information to the Regional Supervisors for Early Childhood Services.**

**The Regional Supervisors for Early Childhood Services provide training and technical assistance to counties concerning program issues. They meet on a regular basis with county licensing staff to monitor work and to provide updated licensing information.**

**The Early Childhood Services Administrator contracts with Lutheran Social Services and Lakes & Prairies Community Action Agency to provide Child Care Resource and Referral services. The Early Childhood Services Administrator works with CCR&R to ensure the development and delivery of services for the following initiatives as they pertain to child care services**

- **Consumer Education**
- **Healthy Child Care**
- **Early Learning Guidelines**
- **Early Childhood Professional Development**
- **Emergency Preparedness**
- **Infant Toddler Services**

**The Early Childhood Services Administrator receives quarterly and semi-annual reports from CCR&R, meets with CCR&R Directors at least three times per year and participates in monthly conference calls to monitor contracted services.**

**The Early Childhood Services Administrator writes and issues a Request for Proposals (RFP) every four years for Child Care Resource and Referral Services. The last time a RFP was issued was in May of 2009.**

**1.5.3. Describe** how the Lead Agency ensures adequate personnel, resources, systems, internal controls, and other components necessary for meeting CCDF reporting requirements (658K, §98.67, §§98.70 & 98.71, §§98.100 to 102), including the Lead Agency's plans for addressing any reporting deficiencies, if applicable. At a minimum, the description should address efforts for the following reporting requirements:

**a) Fiscal**

**The North Dakota Century Code (50-06-06.11. Child care provider payments. Within the limits of federal regulations, the department of human services, at the election of the early childhood facility, shall directly pay early childhood facilities monthly under child care assistance programs administered by the department. 50-06-20. Programs funded at state expense - Interpretation. 1. The state shall bear the cost, in excess of the amount provided by the federal government, of: a. Except as provided in section 50-24.1-14, services provided under chapter 50-24.1; b. Benefits provided under subsection 19 of section 50-06-05.1; c. Supplements provided under chapter 50-24.5 as basic care services; d. Services provided under chapter 50-09 as child care assistance) gives North Dakota the authority to operate the Child Care Assistance Program. Appropriations for the program are approved by the Legislative Assembly.**

**Fiscal Administration provides a monthly Child Care Assistance report to the Public Assistance Director and the Child Care Subsidy Administrator. The report details caseload, expenditures, and appropriations for Child Care Assistance subsidized programs which include non-TANF recipients, TANF recipients, Diversion Assistance recipients, and Crossroads recipients. The reports are used to monitor usage and fund utilization under the subsidized programs. Fiscal Administration properly records, monitors, and accounts for all CCDF transactions in the State's accounting software system. The accounting system is in compliance with federal, state, and local laws and regulations. North Dakota Department of Human Service was heavily involved in the design and development of the accounting system to assure accountability of all programs**

administered by the department. Fiscal Administration personnel have the necessary knowledge and expertise to ensure expenditures are properly spend and accounted for.

ACF-696 – North Dakota’s financial report to ACF for the Child Care and Development Fund is completed by Fiscal Administration and reviewed by the Director of Public Assistance before each submission of the report to ACF.

ACF-800 - Overview of Annual Aggregate Data Reporting for States and Territories is a collaborative effort by Fiscal Administration, Child Care License Administrator, and Child Care Subsidy Administrator. The Child Care Subsidy Administrator takes responsibility for collection of the data necessary to complete the form and enters the information on the Child Care Bureau’s website.

**b) Data**

The Information Technology Department (ITD) has been assigned to follow the North Dakota Century Code 54-59 regarding planning and compliance for technology. North Dakota has developed their own internal control strategies and mechanisms for addressing issues related to CCDF. In order to receive access to the application system for child care assistance, a county director must complete required forms. Requests go through the ITD and ITS security personnel. Specific and individual signs-on are given to each individual and level of access is determined based on need; some county eligibility workers can only inquire on a case and others can enter information to authorize payments. Signing into the supersession requests a password in addition to the signon. Passwords must meet standards and must be changed in accordance with standards. Passwords are required to be changed every 90 days. If an individual attempts to access the system with an incorrect password, the individual is locked out of the system after three tries. These attempts are recorded by ITD systems. The application system records who accesses the system and when. Eligibility and state staff are provided the Administrative Procedure Manual 449-05 which addresses protecting system information.

ITD has also developed reporting requirements by investing in information technology to assist in eligibility determination and reporting. Responsibilities assigned to ITD in North Dakota Century Code include:

- Establish guidelines for agency technology plans, review, and approve agency information technology plans.
- Prepare and distribute the statewide information technology plan.
- Coordinate information technology systems and services with higher education and political subdivisions.
- Review the information technology management of executive branch agencies.
- Develop statewide information technology policies, standards, and guidelines.

- **Review and approve the lease, purchase, or contractual acquisition of information technology services or equipment.**

**ITD developed reporting requirements by investing in information technology to assist in eligibility determination and reporting. They have established guidelines for agency technology plans, review and approve agency information technology plans. (See web site [www.nd.gov/ep/steps](http://www.nd.gov/ep/steps)). They prepare and distribute the statewide information technology plan. (See web site [www.nd.gov/ep/state](http://www.nd.gov/ep/state)). They have developed statewide information technology policies, standards, and guidelines. (See web site <http://www.nd.gov/ea/standards/>). ITD has policies, procedures, and regulations governing their role in the application systems (see <http://www.nd.gov/itd/software/> and <http://www.nd.gov/ea/standards/>).**

**ACF-801, case-level data is compiled and submitted to Child Care Bureau by Information Technology Systems. The Child Care Subsidy Administrator upon receipt reviews the ACF-801 – Summary Data Assessment Report and Detail Data Assessment Report. The Child Care Subsidy Administrator determines the course of action necessary to make corrections identified on the report. Further information may be found at <http://www.nd.gov/itd/planning/>**

**c) Error Rate**

**North Dakota case record review of Child Care Assistance subsidy payments is based on the CCDF methodology. Determining errors focuses on client eligibility and employs a case record review process to determine whether child care subsidies were properly authorized and correct payments made. Using this type of review allows the state to identify the types and sources of errors. North Dakota uses a random number plan that Information Technology Systems has developed.**

**Verification processes are available to the county eligibility workers for Child Support through the state Child Support office. The “TECS” system which is a SNAP (Food Stamps), Medicaid, and TANF system also provides verification of the birthdates for the eligible children. Plans are to gain access to the interface with Vital Statistics to also verify birthdates.**

**Experienced worker training will be held one to two times a year to address areas of concern identified by county eligibility workers which are causing problems for them. When case files are reviewed and errors are found after training, they will know how to correct the underpayments or overpayments. New policy and policy changes will be addressed to reduce errors. Child Care Subsidy Administrator will, on the areas that cause the most errors, provide examples of error for county eligibility workers to look at. Training will also include information regarding CCDF statistics so they understand that the information they place in the system on each case has to be accurate.**

**Training on specific error findings will be presented during field staff meetings which are scheduled between each training session. Regional Representatives who attend these meetings will train county eligibility workers, on a one to one basis, on findings and solutions by reviewing policy with the county eligibility workers when they visit their county. The further review of policy will prevent errors.**

**Child Care Subsidy Administrator will continue to check the Child Care application system to determine if there are any other changes that can be made to prevent errors and insure that the application system continues to work correctly for proper payments. Child Care Subsidy Administrator will monthly go in and use the test system to make sure that the system is making correct payments.**

**Steps have been taken by the Child Care Subsidy Administrator to reduce error rate by adding an alert to the Child Care payment system. An alert has been added to insure that before the county eligibility workers add a case to the system that the application has been signed and dated. An alert has been added to the system to insure that before a bill is paid that the billing form has been signed and dated.**

**The North Dakota payment system has been changed so calculations of payments are automated in the system by June 1, 2009. An excel worksheet (which has been used in the past to determine amount of payment was transferred to the Child Care system) may be used as a check against the system to assure the calculations are correct. This process will eliminate the errors caused by transferring information from the worksheet to the Child Care payment system.**

**A narrative section will be added into the Child Care payment system so the county eligibility workers may explain how Child Care authorizations are calculated, changes in the family household, and any changes in income that would affect the certificate provided to the parent and the provider.**

**Child Care reviews will continue to be conducted on an ongoing basis with immediate feedback to county eligibility workers. Child Care Subsidy Administrator will conduct case file reviews monthly rather than annually. In addition, improper payments of underpayments or overpayments will be monitored to assure corrections are made. The outcome of the reviews will be used to determine training needs and possible system enhancements.**

**Child Care Subsidy Administrator will share error findings with county eligibility workers after a review is completed. Form SFN 790, “Child Care Assistance Review Form,” and SFN 440, “North Dakota Child Care Assistance Program Action Required Form,” will be used to identify the errors. Form SFN**

440 has been developed to inform the county eligibility workers and supervisors of the result of the case review so this can be shared with other county eligibility worker to reduce errors. This form also provides information about how to correct the error.

The entire Child Care Assistance manual is being rewritten to provide clear policy guidance to county eligibility workers. The Child Care Assistance policy manual will be updated to clearly define the requirement of acting on known information in the case file – earned and unearned income, etc. Examples in the policy manual will provide better understanding of policy and reduce errors. New rates and sliding fee scale will be provided in the manual to reduce errors. Child Care Assistance policy will reflect all new changes in the program.

The new worker training will provide training to new county eligibility workers to prevent errors that may occur because of misunderstanding of policy. The training will also include how to use the application system. Child Care Subsidy Administrator has identified areas that cause errors and will be sure that there is extra training in these areas. A comprehensive training manual for policies and system will provide a handbook when county eligibility workers have questions and are not able to contact the Child Care Subsidy Administrator directly. Experienced worker training will be held one to two times a year to address areas of need identified by county eligibility workers which are causing problems for them.

## 1.6 Funds Used to Match CCDF

**1.6.1** Will the Lead Agency use public funds to meet a part of the CCDF Match requirement pursuant to §98.53(e)(1)?

Yes, **describe** the activity and source of funds: \_\_\_\_\_

No.

**1.6.2** Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2)?

Yes. If yes, are those funds: **(check one below)**

Donated directly to the State?

Donated to a separate entity or entities designated to receive private donated funds?

a) How many entities are designated to receive private donated fund?

b) **Provide** information below for each entity:

Name:

Address:

Contact:

Type:

No.

**1.6.3** During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

Yes (**respond to 1.6.5**), and:

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

b) (\_\_\_\_ %) Estimated percentage of the MOE requirement that will be met with Pre-K expenditures. (Not to exceed 20%.)

c) If the Lead Agency uses Pre-K expenditures to meet more than 10% of the MOE requirement, **describe** how the Lead Agency will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

No.

**1.6.4** During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirements? (§98.53(h))

Yes (**respond to 1.6.5**), and

a) (\_\_\_\_ %) Estimated percentage of the Matching Fund requirement that will be met with pre-K expenditures. (Not to exceed 30%.)

b) If the State uses Pre-K expenditures to meet more than 10% of the Matching Fund requirement, **describe** how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

No.

**1.6.5** If the Lead Agency indicated “yes” to 1.6.3 or 1.6.4, **describe** Lead Agency efforts to ensure that pre-K programs meet the needs of working parents: (§98.53(h)(2))

**1.6.6** Will the Lead Agency use any other funds to meet a part of the CCDF Match requirement pursuant to §98.53(e)(1)?

Yes, **describe** the activity and source of funds:

No.

## **1.7 Improper Payments**

**1.7.1** How does the Lead Agency define improper payments?

**An improper payment is any payment that should have not been made or that was made in an incorrect amount according to policy. Incorrect amounts are overpayments and underpayments (including inappropriate denials or service). An improper payment includes any payment that was made to an ineligible recipient or for an ineligible service. Improper payments also are duplicate payments and payments for services not received.**

**1.7.2** Has your State implemented strategies to prevent, measure, identify, reduce, and/or collect improper payments? (§98.60(i), §98.65, §98.67)

Yes, and these strategies are:

**North Dakota has implemented the following elements to correct causes of improper payments**

**New worker training has never been completed before and it will be done on yearly basis or two times a year if needed. A new policy manual is being developed and training will take place in July or August of 2009. The new worker training will provide training to new county eligibility workers to prevent errors that may occur because of misunderstanding of policy and the**

**use of the application system. New county eligibility workers will be provided with information about the most common errors that have occurred in the last federal review or the most recent reviews found by the Child Care Subsidy Administrator. County eligibility workers will be able to identify those errors and reduce the number of errors. Child Care Subsidy Administrator will share the number of errors that have occurred.**

**Child Care Subsidy Administrator has identified areas that cause errors and will be sure that there is extra training in these areas. A training manual for policies and system will provide a handbook will provide answer to questions to county eligibility workers are not able to contact the Child Care Subsidy Administrator, Representative or immediate supervisor.**

**Experienced Worker Training will be use to address areas of need indentified by county eligibility workers and to address error findings to reduce errors. County eligibility workers will be provided with information about the most common errors that have occurred in the last federal review or the most recent reviews found by the Child Care Subsidy Administrator. County eligibility workers will be able to identify those errors and reduce the number of errors. Child Care Subsidy Administrator will share the number of errors that have occurred.**

**Child Care Subsidy Administrator will train heavily on the areas that cause the most errors and provide examples of errors for county eligibility workers to look back on to reduce errors.**

**Training on specific error findings will be presented during field staff meetings to identify recent errors that are currently causing problems. Regional Representatives will train county eligibility workers on findings and solutions by reviewing policy manual with the county eligibility workers when they visit their counties bimonthly. Child Care Subsidy Administrator will share the number of errors that have occurred.**

**Review of the policy when the Regional Representative go to the counties will reduce and prevent errors. Error findings and solutions will be discussed during experienced worker training.**

**Child Care Subsidy Administrator will continue to check application system to determine if there are other changes that can be made to prevent errors. Ensure that the application system continues to work correctly for proper payments. Child Care Subsidy Administrator will go in monthly and check system to make sure it is working correctly. This step will eliminate the transferring of information from an excel spreadsheet which will reduce and prevent errors.**

**Alerts in the system will remind the county eligibility workers that applications need to be signed and dated to prevent errors.**

**Child Care Assistance policy manual will be updated to clearly define the requirement of acting on known information in the case file – earned and unearned income, etc. Examples in the policy manual will provide better understanding of policy and reduce errors. New rates and sliding fee scale will be provided in the manual to reduce errors. Child Care Assistance policy will reflect all new changes in the program and clearly define the requirement of acting on known information in the case file.**

**Child Care Subsidy Administrator will conduct case file reviews monthly rather than annually. Child Care Subsidy Administrator will share error findings with county eligibility workers immediately after a review is completed with a copy of the review form SFN 790 and the “North Dakota Child Care Assistance Program Action Required Form” which will let them know immediately identify where an error was discovered. An additional form, Form SFN 440, has been developed to immediately inform the county eligibility workers and supervisors of the result of the case review so this can be shared with other county eligibility worker to reduce errors. This form also provides information about how to correct the error.**

**Completion of monthly reviews will provide Child Care Subsidy Administrator with information to be able to measure the number of reviews that are incorrect and provide training to reduce those errors. Monthly reviews will allow the Child Care Subsidy Administrator to quickly know if the system is causing problems or there are specific areas of training that need to be completed.**

**County eligibility workers will be encouraged to do reviews of other county eligibility worker’s cases and share the results of those reviews with supervisors and other county eligibility workers.**

**A new system of collecting overpayments has been started this year. County eligibility workers who are not able to collect overpayments from parents or providers will call the state office and report overpayments. The state now has personnel collecting overpayments. When personnel cannot obtain the overpayment then a collection agency is contacted to try to obtain the overpayment.**

**North Dakota plans to reduce improper payments from 27% to 12% by identifying the causes of the errors and training to prevent the errors.**

**New rules for providers and consequences will be established now that the North Dakota legislature has allowed Child care Assistance to develop a Century code.**

PLAN FOR CCDF SERVICES IN: North Dakota  
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- No. If no, are there plans underway to determine and implement such strategies?
- Yes, and these planned strategies are: \_\_\_\_\_
- No.

PLAN FOR CCDF SERVICES IN: North Dakota  
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## PART 2 DEVELOPING THE CHILD CARE PROGRAM

### 2.1 Consultation and Coordination

**2.1.1** Lead Agencies are required to *consult* with appropriate agencies and *coordinate* with other Federal, State, local, tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

**Indicate** the entities with which the Lead Agency has a) **consulted** and b) **coordinated** (as defined below), by checking the appropriate box(es) in Table 2.1.1.

*Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State Plan. **At a minimum, Lead Agencies must consult with representatives of general purpose local governments (noted by the asterisk in the chart below).**

*Coordination* involves the coordination of child care and early childhood development services, including efforts to coordinate across multiple entities, both public and private (for instance, in connection with a State Early Childhood Comprehensive System (SECCS) grant or infant-toddler initiative). **At a minimum, Lead Agencies must coordinate with** (1) other Federal, State, local, Tribal (if applicable), and/or private agencies responsible for providing child care and early childhood development services, (2) public health (including the agency responsible for immunizations and programs that promote children’s emotional and mental health), (3) employment services / workforce development, (4) public education, and (5) Temporary Assistance for Needy Families (TANF), and (6) any Indian Tribes in the State receiving CCDF funds (noted by the asterisks in the chart below).

**Table 2.1.1 Consultation and Coordination**

Agency	a) Consultation in Development of the Plan	b) Coordination with Service Delivery
Representatives of local government	<input checked="" type="checkbox"/> *	<input checked="" type="checkbox"/>
Other Federal, State, local, Tribal (if applicable), and/or private agencies providing child care and early childhood development services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Public health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Employment services / workforce development	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
Public education	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
TANF	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *

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Agency	a) Consultation in Development of the Plan	b) Coordination with Service Delivery
State/Tribal agency (agencies) responsible for:		
State pre-kindergarten programs	<input type="checkbox"/>	<input type="checkbox"/>
Head Start programs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Programs that promote inclusion for children with special needs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other (See guidance):	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**\* Required.**

**For each box checked in Table 2.1.1, (a) identify** the agency(ies) providing the service and **(b) describe** the consultation and coordination efforts. Descriptions must be provided for any consultation or coordination required by statute or regulation.

**Representatives of local government**

- County directors and county child care licensors participate on the Early Childhood Services State Team. This team consults on regulation, policy, and child care initiatives.
- County child care licensors coordinate with Early Childhood Services Regional Supervisors (representing state office) in regulating providers.
- A state work group of county eligibility workers assists the Child Care Subsidy Administrator with policy and making decisions on rates.
- County eligibility workers coordinate with Regional Representatives to provide subsidy payments to providers. (state employees)
- County eligibility workers and the county child care licensors coordinate efforts determining background effort on potential and current providers.

A minimum of 8 county licensors and 2 county directors serve on the Early Childhood Services State team. Other members of this team include Child Care Resource and Referral staff members from both Lutheran Social Services and Lakes & Prairies. The primary goal of the ECS State Team is to coordinate and blend services between/among licensing (minimum standards) and quality initiatives. We meet in person a minimum of twice a year and may meet two additional times via Polycom®/IVN.

In 2007, we began an initiative to have a team of experienced county licensors train new licensors. We will utilize this new cadre for training again in 2009.

The Child Subsidy work group, consisting of the Child Care Subsidy Administrator, an Economic Assistance Regional Representative, and county eligibility workers from across the state, develop policy and updated the policy manual to reflect the changes.

**Other Federal, State, local, Tribal (if applicable), and/or private agencies providing child care and early childhood development services.**

- Lutheran Social Services and Lakes & Prairies Community Action Agency Child Care Resource and Referral Agencies representatives participate on the Early Childhood Services State Team. This team consults on regulation policy and child care initiatives.
- The CCR&R's office coordinate with the Early Childhood Services Office in providing North Dakota's child care and training infrastructures. They will be assisting Child Care Subsidy with the market rate survey.
- North Dakota Association for the Education of Young Children and North Dakota Child Care Providers Inc. provide input on the state plan.
- The Early Childhood Service office consults and coordinates with Spirit Lake and Trenton Tribal Service area representatives on the Program for Infant and Toddler Care training, on increasing the quality and quantity of infant toddler care, through sharing a child care licensing consultant, and on the ND Professional Development Plan: Growing Futures.

**Public health**

Healthy North Dakota Early Childhood Alliance (includes public personnel) is the entity that guides Early Childhood Comprehensive Systems work in ND. Members of the Alliance update the ND Early Childhood Comprehensive Systems and Professional Development plans. Quarterly meetings are held to improve the coordination of services at community level. Both Child Care Subsidy and Early Childhood Services Administrators are on the Alliance.

Public Health Nurses coordinate dissemination of information on immunizations and reportable communicable diseases to early childhood programs with the assistance of the Early Childhood Services Administrator.

Health Department staff members provide child car safety restraint training to providers, parents and licensors.

**Employment services / workforce development**

--Federal Reserve Bank in Minneapolis Minnesota State Legislators, and the Region VII Early Childhood Intervention and Prevention Task Force sponsored another "Early Childhood is Economic Development" summit in Bismarck on March 2, 2009.

--Lutheran Social Services and Lakes & Prairies Community Action Agency Child Care Resource and Referral Agencies' Business Services Center assists child care programs and providers in start up and in understanding and streamlining current business practices. Maintains an accurate and up-to-date website at:

<http://ndchildcare.org/businessresources/index.htm>.

-- During the 2008-2009 CCDF years, the Business Services Center has arranged for four centers, statewide, to develop business plans with community input and to receive a \$5, 000 grant to implement their plan.

--Helps to increase the quality and quantity of child care programs in North Dakota.

**Public education**

- Department of Public Instruction Title I is implementing the North Dakota Early Learning guidelines ages 3 through 5.
- Department of Public Instruction is considering adaption of *North Dakota Early Learning Guidelines Ages 3 through 5* as standards for pre kindergarten.
- DPI has representation on Healthy North Dakota's Early Childhood Alliance and the Early Childhood Professional Development Committee.
- Child and Adult Care Food Program, located in DPI, assists in monitoring child care services in the field and provides nutritional information to child care programs.

**TANF**

- Dept Human Services Office of Economic Assistance. The Child Care Subsidy Administrator, who is located in the Economic Assistance office and does the subsidy portion of the Plan, works closely with the TANF/Job Administrator in ensuring that certificates and child care payments work for the different TANF projects.

**Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State**

- North Dakota Tribal Child Care programs -Child Care Subsidy Administrator assists a person working with some of the Tribes with any changes to the State sliding fee scale and gives her a copy of the update Excel Worksheet.

- There is active Tribal membership on the Early Childhood Professional Development Committee.

- Lutheran Social Services Child Care Resource and Referral PITC Coordinator, two tribal representatives, and the Early Childhood Services Administrator co-wrote the 2008 Infant-Toddler Proposal to the Archibald Bush Foundation. When funded we will consult and coordinate our infant toddler efforts.

- Market rate Survey and results are shared with Tribes.

- Tribes received hard copies and web access to *North Dakota Early Guidelines Ages Three through Five* for implementation

- CCDF ND State Plan hearings will be shared with the Tribes.

**State Tribal Agency (agencies) responsible for:**

State Pre-kindergarten- Not applicable at time of writing this plan.

**State/Tribal agency (agencies) responsible for Head Start programs**

- Head Start State Collaboration Office HS-SCO Administrator works hand-in-hand with Early Childhood Services Administrator on most quality initiatives.

--All Head Start programs in state, including tribal are asked for input on the state plan

**State/Tribal agency (agencies) responsible for Programs that promote inclusion for children with special needs**

--Dept of Human Services, Early Intervention, Part C

--Representatives serve together on the Healthy North Dakota Early Childhood Alliance (HNDECA) (ECCS) and Professional Development/Quality Initiatives. We are working to raise awareness and increase knowledge regarding issues of inclusion in our professional development trainings

--The Early Childhood Services Administrator serves on the Interagency Coordinating Council. We are striving to notify and include child care providers and caregivers in trainings that are designed for parents of children with special needs AND to notify and include early intervention staff members and parents of children with special needs of our cadre that was trained by Zero-to-Three to with child care providers, and others, to reduce the incidence of Child Abuse and Neglect in very young children.

**Other**

**Child Welfare, child abuse and neglect prevention**

--- The Early Childhood Services Administrator coordinates with the Child Abuse and Neglect Administrator and the Zero to Three organization State Prevention Partnerships program in North Dakota. Two person teams from across the state were trained in *Preventing Child Abuse and Neglect: Parent-Provider Partnerships in Child Care*, a Zero to Three Training Curriculum. One person on each team is an infant/ toddler specialist the other person is a social worker. Team members come from counties, Child Care Resource and Referral, institutions of higher education, Tribes and Early Head Start Programs.

**2.1.2 Emergency Preparedness and Response Plan for Child Care and Early Childhood Programs.** Lead Agencies are encouraged to develop an emergency preparedness and response plan for child care and other early childhood programs operating in the State/Territory. The plan should include provisions for continuity of services and child care assistance payments to families and providers in the event of an emergency or disaster. Indicate which of the following best describes the current status of you efforts in this area. **Check only ONE.**

- Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- Developing.** A plan is being drafted. Include the plan as Attachment 2.1.2, if available.
- Developed.** A plan has been written but has not yet been implemented. Include the plan as Attachment 2.1.2, if available.

- Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment 2.1.2.
- Other. Describe:**

a) **Describe** the progress made by the State/Territory in planning for an emergency or disaster event with regards to the operation of child care and early childhood education programs.

**A committee of the ND Early Childhood Services State Team was formed to begin exploring issues related to early childhood program emergency preparedness. Key areas identified include: provider resources; provider training; planning partners; communication strategies between CCR&R's, licensing staff members and providers; administrative rules; administrative policies; data collection; and uses of data.**

**The committee gathered numerous resources for internal as well as provider use.**

**In the spring of 2009, North Dakota was inundated with statewide flooding. The resources gathered were timely. The CCR&R's posted provider resources on their joint website for several months in a timely and thoughtful manner following the progression of flooding in most of our counties. Topics included flood preparation and flood recovery—both for the facility/house and emotional support for children and families. The CCR&R's also posted Early Childhood Services forms related to the disaster.**

b) **Describe** provisions the Lead Agency has in place for the continuation of core child care functions during and after a disaster or emergency.

**The Child Care Subsidy program has a Contingency plan.**

**--The plan contains information about the contingency organization, scope of the plan, purpose of the plan, objective, assumptions, (scenarios), risk assessment process/results, prioritized listing of identified critical business processes/functions, background information on each critical business process/function, contingency reporting procedures, maintenance procedures, distribution plan and communications plan.**

**--A specific Actions plan is also included in the contingency plan.**

**The Early Childhood Services Office, in consultation with licensors, regional supervisors and CCR&R staff members, developed policy and a provisional license agreement to be used to continued the operation of licensed child care programs before, during, and after a disaster**



Several resources have been identified to prepare child care providers for emergencies. Some of these resources are posted on <http://www.ndchildcare.org>. Emergency preparedness and response training has been offered in the past and being revised by the CCR&R's as part of the development of the Learning Paths.

New administrative code (rule) has been proposed for all licensing chapters. Information in rules will be somewhat general and the committee has recommended that the CCR&R's assume this responsibility as a training and consultation piece.

d) Describe how the Lead Agency is coordinating with other State agencies, private, and/or non-profit charitable organizations to ensure that child care and early childhood programs are included in planning, response, and recovery efforts.

During the statewide flooding, both CCDF Administrators worked with the CCR&R staff members, including their Child Care Nurse Consultants, worked with the Department of Human Services Liaison, and ACF Child Care Bureau Regional Staff.

**2.1.3 Plan for Early Childhood Program Coordination.** Lead Agencies are encouraged to develop a plan for coordination across early childhood programs. **Indicate** which of the following best describes the current status of your efforts in this area. **Note: Check only ONE.**

- Planning.** Are there steps under way to develop a plan?  
 Yes, and **describe** the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.  
 No.
- Developing.** A plan is being drafted. Include the draft as **Attachment 2.1.3** if available.
- Developed.** A plan has been written but has not yet been implemented. Include the plan as **Attachment 2.1.3** if available.
- Implementing.** A plan has been written and is now in the process of being implemented. Include the plan as **Attachments 2.1.3.**  
**2.1.3.1. ND ECCS Global Logic Model 2009-2012**  
**2.1.3.2. ND ECCS Logic Models for Five Components 2009-2012**
- Other (describe):**

a) **Describe** the progress made by the State/Territory in planning for coordination across early childhood programs since the date of submission of the 2008-2009 State Plan.

**Healthy North Dakota Early Childhood Alliance (HNDECA) was created to achieve the goals of the Early Childhood Comprehensive Systems (ECCS) grant. HNDECA oversees the ECCS process to ensure implementation of federal guidelines, coordination across early childhood programs, and good stewardship of the planning funds. Comprised of over 90 partners representing state and local, public and private entities, family advocates, and community members, HNDECA facilitates enhanced communication, develops a shared knowledge base regarding North Dakota early childhood programs, and identifies common goals and challenges for change. The matrix, labeled as Attachment 2.1.3.a. ND ECCS stakeholder chart 2009, identifies HNDECA partners, identified the service integration activities that currently exist in North Dakota regarding early childhood intervention, and the status and capabilities of those services.**

**Five HNDECA subcommittees relate to the five priority areas of the ECCS grant. These subcommittees develop objectives and strategies to ensure implementation success and foci on strategic planning, public relations, evaluation and sustainability. Subcommittee members build on existing strengths and integrate, rather than duplicate, current initiatives and services. HNDECA seeks to strengthen early childhood service collaborations and partnerships to support families and communities.**

**ECCS funding afforded HNDECA the opportunity to engage in state-wide strategic planning and partnership building required to develop a comprehensive early childhood system.**

**HNDECA Stakeholders convened a strategic planning initiative in spring of 2009 to reflect upon accomplishments and to redefine priorities to develop a comprehensive road map for further program implementation.**

**To conceptualize the ECCS program goals, objectives, activities, resources, and outcomes the Healthy North Dakota Early Childhood Alliance (HNDECA), stakeholders refer to the five component specific logic models. The ECCS program recently updated its logic models and in 2008, the five HNDECA (component) subcommittees, reviewed and updated their work plans. The HNDECA program evaluation contractor developed the HNDECA logic models based upon the subcommittee work plans. The logic models will strengthen understanding and assure that subcommittees implement the identified work activities to result in the desired goals.**

**An evaluation contractor was secured and assigned to study HNDECA committees, work plan, and outcomes. HNDECA will continue to support the evaluation efforts of the ECCS program. Updates will be provided to HNDECA twice each year.**

**In order to secure sustainability with stakeholders and partners, the HNDECA contracted with an epidemiologist to coordinate surveillance functions, oversee the systematic collection, analyzing and reporting of data, track and monitor performance on all measures, track trends, identify duplication, unmet needs, and disparities in data and programmatic activities. The epidemiologist will develop and implement a statewide data surveillance plan and report survey findings. The epidemiologist will also provide technical assistance and consultation to HNDECA and its members on the**

meaning and use of early childhood data and findings. HNDECA and its members are responsible for identifying next step activities and making mid-course corrections when needed. It has been determined that the evaluation component will be conducted in two basic stages.

In April 2008, a number of HNDECA Steering Committee members expressed their interest in the framing early childhood messages to educate and promote the importance of the early childhood years to the public. HNDECA sought one message or set of messages that all stakeholders could agree upon and support, wanted to incorporate brain research, and had several “audiences” it wished to reach. HNDECA led a collaboration of nine partner organizations to fund and sponsor a two day training event in August 2008. Over 50 participants gathered in Bismarck for Strategic Frame Analysis training. The mission of the FrameWorks Institute, based in Washington, DC is to advance nonprofit sector communications by identifying, translating and modeling relevant scholarly research for framing the public discourse on social problems.

Training participants learned the process for framing messages successfully and applied this to framing educational messages for use in the 2009 legislative session. The training was well received and peer review of framed messages has become an integral part of the HNDECA.

b) **Indicate** whether there is an entity that is, or will be, responsible for ensuring that such coordination occurs. Indicate the four or more early childhood programs and/or funding streams that are coordinated and describe the nature of the coordination.

HNDECA has established strong partnerships which began the systems building process in North Dakota. Given the rural nature and small population of North Dakota, committee work can sometimes be a challenge. However; active participation in HNDECA along with the increase in partnerships has shown a commitment to early childhood and has been valuable in the implementation of the ECCS and CCDF state plans.

Evidence that the work of the HNDECA has increased awareness on the importance of early care and education can be seen in the bills that were passed, with appropriations, in the North Dakota 2009 Legislative Session which ended in May.

For example:

- The establishment of the Early Childhood Advisory Council represents the early implementation of Goal 1 in the HNDECA work plan “Development of a state level entity for early care and education that builds a statewide network and assures agency collaboration.
- The establishment of a state grant program to develop new childcare programs, expand existing programs, and provide technical assistance such as the development of business plans.

- **Revisions in standards relating to licensing and registration of early childhood service providers, investigation of early childhood service providers, denial or revocation of early childhood services provider licensure or registration, and an increase in penalties.**
- **The expansion of Early Childhood Services Growing Futures: Professional Development in the areas of training, business consultation, and child development technical assistance.**

**In April 2009, the HNDECA Stakeholder group agreed that they share the following value about the whole of its work:**

**HNDECA, while recognizing the inherent dignity and worth of all children and families, will focus upon getting services to the children identified as most vulnerable.**

**It was also agreed that the four following high-level, cross-cutting, visionary goals will lead HNDECA through the next three to five years:**

- 1. HNDECA will promote the development of a seamless and integrated early care and education system for children ages 0 – 8.**
- 2. HNDECA will promote comprehensive health care coverage for all North Dakota children.**
- 3. HNDECA will promote connectivity and information for all of the early childhood community across North Dakota.**
- 4. HNDECA will promote services and education for children, prenatal through age 3, and their families.**

**c) Describe** the results or expected results of this coordination. Discuss how these results relate to the development and implementation of the State/Territory's early learning guidelines, plans for professional development, and outcomes for children.

**The “ECCS Integration Work Plan as of December 2008” for all components is attached as: 2.1.3.c.1. ND ECCS Work plan 12-08**

**The Early Care and Education sub-committee work plan, including details on progress, is attached as 2.1.3.c.2. ND ECCS EC&E work plan**

**Objective 1.1. Develop a state level entity for early care and education that builds a statewide network and assures agency collaboration.**

**Once established, as legislated, it is hoped that the North Dakota Early Childhood Education Council will promote early care and education system building and integration of current systems. That it will, as stated in the Enrolled Bill:**

- 1. Review the delivery of early childhood education in this state;**
- 2. Conduct a needs assessment;**
- 3. Review early childhood education standards and propose revisions to the standards as needed;**
- 4. Review opportunities for public and private sector collaboration in the delivery of early childhood education in this state;**

5. Develop a comprehensive plan governing the delivery of early childhood education in this state; and
6. Provide a biennial report regarding its activities to the governor and the legislative council.

**Objective 1.2. Increase school readiness through the development and implementation of policies that promote high quality early care and education.**

This objective includes Early Learning Guidelines B-3 and 3-5, the professional development system, a quality rating and improvement system, early childhood health consultants, and training for early childhood service providers.

HNDECA has provided meeting facilitation, morale, and fiscal support for all of these activities in the past. It is hoped that support continues as early childhood initiatives move forward. Please see attachment 2.1.3.c.2. ND ECCS EC&E work plan for planned activities.

**Objective 1.3. Establish critical pathways, including checks and balances for licensure standards and practices to assure uniformity of delivery statewide.**

This objective includes licensor caseload, statewide consistency in licensing practices, a peer review quality assurance, licensor training and on-going professional development, examining the current state supervised, county administered structure.

Counties are in the process of reviewing the duties, etc. of all personnel—caseload is one of many aspects that will be examined. We continue to seek consistency in licensing practices through annual all-county child care licensor trainings, including ECS regional supervisors. Whenever possible, National Association for Regulatory Agencies Curriculum and Trainers are brought in. We also seek consistency through monthly conference calls with ECS regional supervisors and the ECS Administrator. Occasional inconsistencies in practice are noted as we discuss revising rules. At this time there is no political or public will to examine, with the possibility of restructuring the current state supervised, county administered structure.

**d) Describe** how the State/Territory's plan supports, or will support, continued coordination among the programs. Are changes anticipated in the plan?

HNDECA will continue to fund, develop, and maintain of an early childhood surveillance system to measure its progress. HNDECA may be the sole source for valid, reliable, consolidated North Dakota early childhood data collection and analysis. The surveillance system findings will provide the basis for evidence-based decision-making, will guide North Dakota to develop a more integrated early childhood services delivery system, and will improve the lives of young children. The decision to have an early childhood surveillance system has been a unifying feature for HNDECA stakeholders. Charting progress, discussing the intersections of services provided, and the dream of

becoming more efficacious for children and as stewards of North Dakota's resources has brought us closer to our unspoken goals of additional braided funding and blended services for young children and their families.

This HNDECA service will be of particular value as the North Dakota Early Childhood Education Advisory Council works on its duties as stated in Century Code, including an assessment of the current status of early childhood in our state.

Development of the HNDECA work plan has been an opportunity for program providers and stakeholders to communicate effectively, develop a shared knowledge about early childhood programs in North Dakota, and identify common challenges and goals for change. HNDECA will continue to develop infrastructure designed to integrate program delivery. As we move forward with the systems building process, turf issues are fading and new relationships have been formed.

HNDECA outcomes and indicators will be used to track the progress of the goals and action steps in the work plan. Careful consideration has been given to what resources would be needed to implement each action step. These have been a starting point; and as HNDECA continues implementation, it will identify the specific data needed to effectively evaluate progress on the work plan. In particular, this will challenge programs to evaluate activities and collaboration efforts to improve services for children and families.

HNDECA is exploring ways to continue to build relationships and seek sources of funding to sustain the systems building work in North Dakota. The need for a matrix of current and potential HNDECA partners and resources to aid HNDECA in strengthening partnerships and utilizing resources in a wise manner has become clear. HNDECA has identified state government documents that include information related to the actual, budgeted, and recommended expenditures for children and family programs in state agencies.

Other funding options are explored through sharing and reviewing grant announcements with HNDECA stakeholders. Potential funders include the Dakota Medical Foundation, Otto Bremer Foundation, A. Bush Foundation, and Blue Cross Blue Shield of North Dakota. By seeking additional funding together, relationships with HNDECA partners are strengthened. North Dakota will continue to unify and strengthen its early childhood systems to promote the development and health of all children.

The HNDECA Work Plan is a fluid document. Sub-committees for the five components meet to review and make adjustments to their plans. Changes are anticipated in this work as the need arises.

## 2.2 Public Hearing Process

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

- a) Date(s) of notice of public hearing:  
**The notice for the public hearing will go out the first week in May for the June 2, 2009 hearing.**
- b) Manner of notifying the public about the public hearing:  
**The notice of the meetings will be in seven – ten newspapers in April 2009.**
- c) Date(s) of public hearing(s):  
**The public hearing will be held June 2, 2009.**
- d) Hearing site(s):  
**Child Care staff will be in Bismarck and will use IVN to go to seven other sites where persons can gather to talk about the Child Care Program. The hearings are scheduled and will be conducted at the following locations:**  
---Bismarck State College, Vocational Technical Center, Room 228  
---Dickinson State University, North Campus, Room 104  
---Williston State College, Main Building, Room 120  
---Minot State University, Administration Building, Room 158  
---Lake Region State College, Administration Building, Room 171  
---University of North Dakota, Gamble Hall Room 120, Grand Forks  
---North Dakota State University, E. Morrow Lebedeff (EML) Bldg, Room 170, Fargo  
---Valley City State University
- e) How the content of the plan was made available to the public in advance of the public hearing(s):  
**Paper copies of this proposal will be available in the eight Human Service Regional offices, the Tribal Chairperson will have them, one will be available in the Children and Family Services Division and one will be available at the Economic Assistance Division services at the Capitol. An electronic version will be placed on the DHS website on <http://www.nd.gov/dhs/info/pubs/childcarepub.html>. It will be on the child care web site with links to the Child Care Assistance Home Page, the Department's home page, and the Early Childhood Services and the Child Care Subsidy's Q and A section.**
- f) **Attach** a brief summary of the public comment process as **Attachment 2.2.\*\***

**Input for the plan was received during the Early Childhood Services Administrator's ongoing participation in: the Early Childhood Services Professional Development Committee; the Early Learning Guidelines Editing group; the Early Childhood Comprehensive Systems grant, Healthy North Dakota Early Childhood Alliance stakeholders group, Steering Committee, and State/Core Team. The Early Childhood Services Administrator confers on a regular basis with Child Care Resource and Referral staff and the Early**

**Childhood Services Regional Supervisors regarding the current plan and potential initiatives.**

**The Child Care Subsidy Administrator received ongoing input from the Work Group for Child Care subsidy as changes were made to the program.**

**2.3 Public-Private Partnerships**

Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private-sector involvement in meeting child care needs?

Yes. If yes, **describe** these activities or planned activities, including the results or expected results.

**--As the Early Childhood Comprehensive Systems work moves forward, the work plan grid requires the identification of both government and private entities for every activity needed to reach the objectives under each goal.**

**--The Early Childhood Comprehensive Systems Project is housed in the North Dakota Department of Health.**

No.

## PART 3 CHILD CARE SERVICES OFFERED

### 3.1 Description of Child Care Services

**3.1.1 Certificate Payment System.** Describe the overall child care certificate process, including, at a minimum:

a) a description of the form(s) of the certificate (§98.16(k)):

**A client can receive an application for Child Care Assistance Program either by calling the county social service office, stopping at the county social service office or printing the form from the State online forms. Head Start Programs, child care centers, Child Care Resource and Referral office, and others also have application forms available. The application is to be returned to the county office either by mailing it or dropping the form at the local county social service office. The client also can schedule an appointment with a county eligibility worker.**

**If the verification of income is included with the application and if the client is in an allowable activity, the county eligibility worker will issue a certificate based on the application's information. If the information is incomplete, the county eligibility worker will send a pending notice to inform the client what information is needed to determine eligibility for the CCAP.**

**Client activities determine the length of the certificate. A three month certificate would be client who has just started a new job would be. The case will be re-evaluated in two months to determine an updated percentage when the client has a completed month of income with the new job they never worked before and job search. If the client is a TANF client, or is working and is be eligible based on the sliding fee scale, the certificate would be for six months.**

**Redetermination forms are automatically generated from the system one month prior to the end of the client's certificate. 'The certificate will be sent the 25<sup>th</sup> of the month (or the first working day after the 25<sup>th</sup> if the 25<sup>th</sup> is not a working day) During the last month of the current certificate, the update information will be used to determine if another certificate will be issued and sent.**

**The North Dakota Child Care Certificate consists of 4 pages back to back. There are two copies, one for the client and one for the provider. The front of the first page lists: client's name and address; the children for whom child care will be paid; the certificate time period; the state's percentage; the client's percentage and family maximum payment; and the current allowable activity.**

**The front of the second page lists the Mandatory Reportable Changes during the certificate period. Other information included: that providers must be licensed, registered, self certified, or an approved relative; the charges over the allowable**

**maximum charges is the client's responsibility, and CCAP is not responsible for unpaid bills.**

**Lines are located on the page for the county eligibility worker to notify the client of other items such as: the provider's license expires in three months, that a child will no longer be eligible for child care in two months because the child is turning thirteen, et cetera. The county eligibility worker's name and telephone number are also listed so the client can easily contact the county eligibility worker.**

**The back of the first page lists the allowable maximum rates listed for all provider types, ages, and the hours of care. The back of the second page contains the client's right to appeal.**

(b) a description of how the certificate permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to choice of the provider; (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

**Both the client's copy and the provider's copy of the certificate are mailed to the client. The client takes the provider's copy to any licensed, registered, self-certified provider, or an approved relative provider. Since CCAP pays the same percentage of the allowable maximum for any provider type, the client has the option of taking the certificate to any provider who meets the CCAP requirements.**

(c) if the Lead Agency is also providing child care services through grants and contracts, **estimate** the proportion of §98.50 services available through certificates versus grants/contracts (this may be expressed in terms of dollars, number of slots, or percentages of services), and **explain** how the Lead Agency ensures that parents offered child care services are given the option of receiving a child care certificate. (§98.30(a) & (b)). **Not applicable as all child care subsidy payments are processed using certificates.**

**Attach** a copy of your county eligibility worker's manual, policy handbook, administrative rules or other printed guidelines for administering the child care subsidy program as **Attachment 3.1.1.**

**Note:** If these materials are available on the web, the Lead Agency may provide the appropriate Web site address in lieu of attaching hard copies to the Plan.

**The Child Care Assistance Program policy manual may be found at**  
<http://www.nd.gov/dhs/services/financialhelp/childcare.htm/>

**The EW Technology Team website provides helpful information on all programs for county eligibility workers. <http://www.ewtechteam.com/> The North Dakota Department of Human Service website provides information on the Child Care Assistance Program at <http://www.nd.gov/dhs/>**

**3.1.2** In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

- Yes, and **describe** the type(s) of child care services available through the grant or contract, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))
- No.

**3.1.3** Are child care services provided through certificates, grants and/or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

- Yes.
- No, and **identify** the localities (political subdivisions) and services that are not offered:

**3.1.4** The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

- Yes, and the limits and the reasons for those limits are (§§98.16(g)(2), 98.30(e)(1)(iv)):

**In-home care is limited as it becomes more expensive for the family, as the family is responsible to ensure minimum wage, plus other benefits as an employer. In-home care, by a provider residing outside the child's home, is allowed for seriously ill children and for children with disabilities so severe; it is risky to the child out of the home. Parents are notified that they are responsible for minimum wage and other benefits as an employer.**

**When the provider and the child reside in the same house, the house is considered by each to be their home. These child care providers (such as a grandparent, but not a parent) must meet the same requirement as any other licensed, registered, approved relative, or self-certified provider.**

- No.

### **3.2 Payment Rates for the Provision of Child Care**

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

**3.2.1 Provide** a copy of your payment rates as **Attachment 3.2.1**. The attached payment rates were or will be effective as of:

**The payment rates will increase for provider types Center (CT) and Group Care (NG) July 1, 2009. All other payment rates remain the same. The rate change is as follows:**

	Old Rate	New Rate
Ages 0 - 23 months	\$460	\$480
Ages 2-3 years	\$440	\$450
Ages 4-5 years	\$420	\$430
Ages 6-13 years	\$400	\$400

**Attached is a copy of the payment rate schedule for all categories**

**3.2.2** Are the attached payment rates provided in Attachment 3.2.1 used in all parts of the State/Territory?

- Yes.
- No, and other payment rates and their effective date(s) are provided as **Attachment 3.2.3**.

**3.2.3 Provide** a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- a) The month and year when the local market rate survey(s) was completed (§98.43(b)(2)):

**The local market rate survey was completed December 2008.**

- b) A copy of the **Market Rate Survey instrument** and a **summary of the results** of the survey are provided as **Attachment 3.2.3**. At a minimum, this summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

Attached is a “Report on Comparisons between Data from the Child Care Market Rate Survey and the Current Child Care Sliding Fee Schedule” completed by North Dakota Department of Human Services Decision Support Services. The report includes a description of the population sampled, data source, the type of methodology, response rate, and summary of findings.

North Dakota Department of Human Services sent the market rate survey to all approved relatives, centers, in-home care providers, non-relatives in family day care providers, group care, relatives in family day care providers, self certification providers, and Tribal registration providers. In addition, the report on Cost of Licensed Child Care (2008) from Child Care Resource and Referral was also used to review North Dakota subsidy rates. The survey completed by Child Care Resource and Referral was not used by itself because it does not include all providers that receive subsidies in North Dakota.

**3.2.4** Does the Lead Agency use its current Market Rate Survey (a survey completed within the allowable time period –10/1/07 -9/30/09) to set payment rates?

Yes.

No.

**3.2.5** At what percentile of the current Market Rate Survey is the State payment rate ceiling set?

**Note:** If you do not use your current Market Rate Survey to set your rate ceilings or your percentile(s) varies across categories of care (e.g., type of setting, region, or age of children), **describe** and provide the range of variation in relation to your current survey.

	<b>Child Care Market Survey</b>	<b>Percentile</b>
<b><u>Centers</u></b>		
<b>Infant (Birth – 2)</b>	<b>\$598</b>	<b>76%</b>
<b>Toddler (2- 3)</b>	<b>\$475</b>	<b>92%</b>
<b>Preschool (4 – 5)</b>	<b>\$513</b>	<b>81%</b>
<b>Other 6 up to 13)</b>	<b>\$389</b>	<b>100%</b>
<b><u>Non-Relative in Family Care</u></b>		
<b>Infant (Birth – 2)</b>	<b>\$460</b>	<b>98%</b>
<b>Toddler (2- 3)</b>	<b>\$412</b>	<b>100%</b>
<b>Preschool (4 – 5)</b>	<b>\$428</b>	<b>91%</b>
<b>Other 6 up to 13)</b>	<b>\$400</b>	<b>95%</b>
<b><u>Group Care</u></b>		
<b>Infant (Birth – 2)</b>	<b>\$465</b>	<b>98%</b>
<b>Toddler (2- 3)</b>	<b>\$433</b>	<b>100%</b>
<b>Preschool (4 – 5)</b>	<b>\$425</b>	<b>98%</b>
<b>Other 6 up to 13)</b>	<b>\$406</b>	<b>98%</b>

**3.2.6 Describe** the relationship between the attached payment rates and the market rates observed in the current survey, including at a minimum how payment rates are adequate to ensure equal access to the full range of providers based on the results of the above noted local market rate survey: (§98.43(b))

**Our rates for center based and regulated family child care are set at the percentiles identified in 3.2.5. The provider rates are from the market rate survey. Rates for unregulated providers are set at 50 percent of the family child care home rates as a sufficient number of unregulated providers did not respond to the survey. Additionally, unregulated providers are not required to undertake the same high level of ongoing training as regulated providers. Rates for unregulated providers have been at a lower rate for several years and we have experience no reluctance to provide care at this rate.**

**3.2.7** Does the Lead Agency consider any additional facts to determine that its payment rates ensure equal access? (§98.43(d))

- Yes. If, yes, **describe**. **The Department of Human Services strives to make timely payments to providers through policies and procedures distributed to county eligibility staff. Payments to providers are processed on a daily basis by NDDHS Fiscal Administration. TANF clients have a zero co-pay to allow for equal access to all provider types. Low-income families co-pay is based on their income which also allows for equal access to all provider types available in their location. The following table demonstrates the wide variety of usage of the subsidy program in February 2009:**

<b>Program Type</b>	<b>Number of Families</b>	<b>Number of Children</b>
<b>Non-TANF clients</b>	<b>1,798</b>	<b>2,845</b>
<b>TANF</b>	<b>457</b>	<b>746</b>
<b>Crossroads</b>	<b>1</b>	<b>1</b>
<b>Diversion</b>	<b>1</b>	<b>1</b>

- No.

**3.2.8** Does the State have any type of tiered reimbursement or differential rates?

- Yes. If yes, **describe**:

- No.

**3.2.9 Describe** how the Lead Agency ensures that payment rates do not exceed the amount paid by the general public for the same service. (§98.43(a))

**The Child Care Billing Report that must be completed and signed by the provider and the parent/caretaker includes the statement, “I certify that I have not billed this parent more than I billed private pay clients.” This policy is also included in the Child Care Assistance Program Provider Handbook. The handbook is given to every provider that receives subsidy payments under the program.**

### **3.3 Eligibility Criteria for Child Care**

#### **3.3.1 Age Eligibility**

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

Yes. If yes, **define** physical and mental incapacity in Appendix 2, and **provide** the upper age limit

**The upper age limit is 19 years of age according to Child Care policy - Eligible Children 400-26-10-01**

No.

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

Yes, and the upper age is 18

No.

#### **3.3.2 Income Eligibility**

**Complete** columns (a) and (b) in Table 3.3.2 below based upon initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

**Table 3.3.2 Income Eligibility**

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (d) by (a), multiply by 100]
1	NA	NA	NA	NA
2	3838	3255	2767	72
3	4730	4021	3418	72
4	5630	4786	4068	72
5	6531	5551	4718	72

**Note:** Table 3.3.2 should reflect maximum eligibility upon initial entry into the CCDF program.

a) Does the Lead Agency have “tiered eligibility” (i.e., a separate income limit for remaining eligible for the CCDF program)?

Yes. If yes, **provide** the requested information from Table 3.3.2 and **describe**. **Note:** This information can be included in a separate table, or by placing a “/” between the entry and exit levels.

No.

b) If the Lead Agency does not use the SMI from the most current year, **indicate** the year used:

c) These eligibility limits in column (c) became or will become effective on:  
July 1, 2009

d) How does the Lead Agency define “income” for the purposes of eligibility? **Provide** the Lead Agencies definition of “income” for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

**Gross income is the income before deductions for taxes, social security, or any other items. The gross income, earned and unearned, of all household members in a loco parentis household, stepparent, and unmarried couples where paternity of at least one child in common is acknowledged or adjudicated will be used for the Child Care Assistance Unit.**

e) Is any income deducted or excluded from total family income (e.g., work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments)?

Yes. If yes, **describe** what type of income is deducted or excluded from total family income.

**If anyone in the Child Care Assistance Unit is paying child support or court ordered spousal support, that amount paid or the amount that is court ordered is used, whichever is less, can be used as a deduction.**

**Individuals, who are paid weekly or bi-weekly every third month, receive either a fifth or third check during the month. The fifth check in the month for a person receiving weekly checks and the third check in a month for a person receiving bi-weekly check are disregarded.**

**See Attachment 3.3.2 listing of the other specific income exclusions.**

No.

f) **Describe** whose income is excluded for purposes of eligibility determination.  
**All earned income from the children in the CCAP unit is excluded.**

### 3.3.3 Work/Job Training or Educational Program Eligibility

**For families who are involved in required work or training activities through the State Job Opportunities and Basic Skills (JOBS) or Native Employment Works (NEW) programs as required by TANF, work may or may not be defined as earning a wage. For families who have transitioned off TANF and other low income families, working is defined as earning a wage. Self-employment is also defined as work and income is a factor for determining eligibility. Working also means, when a state has been determined to have a major disaster, individuals who are residing in the disaster area and are involved in unpaid work activities (including the cleaning, repair, restoration, and re-building of homes, businesses, and schools.)**

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program?

**Education or training activities may include high school, basic remedial education programs, trade schools, vocational training at colleges and universities, or other activities designed to help the participant achieve basic literacy or training needed to secure employment or retain employment. Traditional high school attendance means: taking 4 or more classes; part time is less than 4 classes. Alternative high school attendance means: the definition prescribed by the alternative education setting. “Full time” for vocational or colleges is 12 or more credit hours per semester or quarter for universities attendance. Part-time is less than 12 credit hours per semester or quarter. Vocational and trade schools vary as to what qualifies as a full time or part-time student.**

- Yes. If yes, how does the Lead Agency define “attending job training or educational program” for the purposes of eligibility? **Describe**, the specific activities that are considered “job training and/or educational program”, including minimum number of hours. (§§98.16(f)(3), 98.20(b)) This means going to and participating in one of the activities listed in job training and education program.
- No.

### 3.3.4 Eligibility Based Upon Receiving or Needing to Receive Protective Services

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

Yes. If yes, **provide** a definition of “protective services” in Appendix 2. Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

Yes.

No.

No.

b) Does the Lead Agency provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))

Yes. (**NOTE:** This means that for CCDF purposes the Lead Agency considers these children to be in protective services.)

- No.  
**Not applicable. CCDF-funded child care is not provided in cases in which children receive, or need to receive, protective services.**

### 3.3.5 Additional Conditions for Determining CCDF Eligibility

Has the Lead Agency established any additional eligibility conditions for determining CCDF eligibility? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

- Yes, and the additional eligibility conditions are: (Terms must be defined in Appendix 2)  
**Children, who are in families on TANF or Diversion Assistance, young parents participating in Crossroads are part of the Department's priority list, are also eligible for 100% of the allowable maximum costs needed for the parents/caretakers to participate in the allowable activities.**
- No.

**3.4 Priorities for Serving Children and Families**

**3.4.1** At a minimum, CCDF requires Lead Agencies to give priority for child care services to children with special needs, or in families with very low incomes. **Complete** Table 3.4.1 below regarding eligibility priority rules. For columns (a) through (c), **check** only one box if reply is “Yes”. Leave blank if “No”. **Complete** column (e) only if you check column (d).

**Table 3.4.1 Priorities for Serving Children**

	How does the Lead Agency prioritize the eligibility categories in Column 1?			<b>CHECK ONLY IF APPLICABLE</b>	
	<b>CHECK ONLY ONE</b>			(d)	(e)
Eligibility Categories	(a) Priority over other CCDF-eligible families	(b) Same priority as other CCDF-eligible families	(c) Guaranteed subsidy eligibility	Is there a time limit on the priority or guarantee?	How long is time limit?
Children with special needs*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Children in families with very low incomes*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Families <u>receiving</u> Temporary Assistance for Needy Families (TANF)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Families transitioning from TANF	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Families at risk of becoming dependent on TANF	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

\* **Required**

**3.4.2 Describe** how the Lead Agency prioritizes service for the following CCDF-eligible children: (a) children with special needs, (b) children in families with very low incomes, and (c) other. Terms must be defined in Appendix 2. (658E(c)(3)(B))

**If the State would have to develop a waiting list, the following children would be served before any others on the waiting list:**

- 1. Special Needs Children;**
- 2. Children who are in families on TANF or TANF Diversion Assistance;**
- 3. Children of young parents participating in Crossroads;**
- 4. Children whose single parent families are at risk of becoming dependent on an assistance program; and**
- 5. Children in families with very low income.**

**3.4.3 Describe** how CCDF funds will be used to meet the needs of: (a) families receiving Temporary Assistance for Needy Families (TANF), (b) those attempting to transition off TANF through work activities, and (c) those at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

**3.4.1 The county social services offices administer both the TANF and CCDF at the local level. The payments for TANF and TANF Diversion Assistance clients are entered just like payments for any other CCAP client. The CCAP pays approximately \$6 million during a biennium for TANF clients.**

**Previously, the CCAP paid three months of Pro-Work for TANF clients transitioning off TANF. The State Legislature in the past legislative process enacted SB 2186, which mandated that six months of child care be paid to the transitioning TANF clients using the TANF debit card, which is funded with TANF funds. These clients must continue working and must have lost eligibility due to earned income. This is replacing the three-month Pro-Work Program.**

**North Dakota does not have a waiting list nor is there a limit to the amount of time a client can be on CCAP. Our sliding fee scale, with the addition of the maximum family payment as part of the determination of the client's co-pay, insures that clients who are at risk of becoming dependent can access child care through the CCAP.**

**3.4.4 Has the Lead Agency established additional priority rules that are not reflected in the table completed for Section 3.4.1? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))**

**Yes, and the additional priority rules are: (Terms must be listed and defined in Appendix 2)**

No.

**3.4.5** Does the Lead Agency serve all eligible families that apply?

Yes.

No.

**3.4.6** Does the Lead Agency have a waiting list of eligible families that they are unable to serve?

Yes. If yes, **describe**. At a minimum, the description should indicate:

- a) Whether the waiting list is maintained for all eligible families or for certain populations?
- b) Whether the waiting list is maintained for the entire State/Territory or for individual localities?
- c) What methods are employed to keep the list current?

No.

### **3.5 Sliding Fee Scale for Child Care Services**

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

a) **Attach** the sliding fee scale as **Attachment 3.5.1**.

b) **Describe** how the sliding fee scale is administered, including how the family's contribution is determined and how the co-payment is assessed and collected:

c) The attached sliding fee scale was or will be effective as of \_\_\_\_\_

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

Yes, and **describe** those additional factors:

No.

**3.5.2** Is the sliding fee scale provided as Attachment 3.5.1 used in all parts of the State?  
(658E(c)(3)(B))

Yes.

No, and other scale(s) and their effective date(s) are provided as **Attachment 3.5.2.**

**3.5.3** The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family of 3 is: \$1,525.83

The Lead Agency must **select ONE** of these options:

- ALL families with income at or below the poverty level for a family of the same size **ARE NOT** required to pay a fee.
- ALL families, including those with incomes at or below the poverty level for families of the same size, **ARE** required to pay a fee.
- SOME families with income at or below the poverty level for a family of the same size **ARE NOT** required to pay a fee. **Describe** these families:  
**TANF clients;**  
**TANF Diversion Assistance clients; and**  
**Crossroads clients are young parents who have not completed high school.**

**3.5.4** Does the Lead Agency allow providers to charge parents the difference between the maximum reimbursement rate and their private pay rate?

Yes.

No.

**3.5.5 Describe** how the co-payments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

**The co-pays, which are determined by the sliding fee scale, are a percentage of the allowable child care billing by the provider. Based on the family size and gross income, the state pays a percentage of the allowable charges with the remainder being the responsibility of the family. The co-pay graduates upward with the increase income of the family.**

**The family cap payment is the second factor to ensure that the co-pays are affordable for families. The family cap usually is used to set the client's co-pay when the family has high child care expenses when there are larger than average number of children or, a number of children under the age of six. After the family's co-pay is determined based on the sliding fee scale, it is compared to the family cap. The family pays the lower of the two amounts. The sliding fee scale includes the cap amount for each family size along with the percentage on the sliding fee scale.**

**A family of three has a gross income of \$1,400. Based on the sliding fee scale, CCAP would pay 55% of the allowable costs. If there were two children with an allowable costs of \$360, based on the sliding fee scale the family would pay \$324, which would be 23% of the family income. Because of the family maximum payment, the family would pay \$212, which is 15% of their income.**

PLAN FOR CCDF SERVICES IN: North Dakota  
FOR THE PERIOD 10/1/09 – 9/30/11

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## PART 4 PARENTAL RIGHTS AND RESPONSIBILITIES

### 4.1 Application Process / Parental Choice

**4.1.1 Describe** the process for a family to apply for and receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §98.16(k), 98.30(a) through (e)). At minimum, describe:

a) How parents are informed of the availability of child care services under CCDF (i.e., parental choice of child care services through a certificate or grant of contract)

**The pamphlet “DN 861, Child Care Assistance Program “ is available in the county social service offices and various locations such as Head Start Programs, clinics, hospitals, grocery stores, child care centers, CCR&R’s ,and on the North Dakota Human Service web site. The pamphlet states that parent have the right to choose their own provider, whether the provider is a non-profit or profit, sectarian or relatives.**

**The parent can choose an approved relative, self-certified, family home, group home, or center to provide the care. There is also a section “Help Find Child Care,” which lists the telephone number of the CCR&R offices. The CCR&R offices can assist the parent in finding the type of child care the parent is seeking in the location that the parent needs child care.**

**In addition, “DN 108, Comparison of Licensed and Unlicensed Child Care” lists the differences between the basic requirements for licensed providers and the legally non-licensed providers.**

b) How parents can apply for CCDF services

**Child Care Assistance Program clients can apply without an interview with a county eligibility worker. Individuals can access an application on the Child Care web site or on the State e-forms web site. Applicants can also pick up an application from the county or have the county social service office mail one to them. Some child care providers and Head Start’s keep application on hand at their facilities. The applicant can then mail or bring the application to their local county social service offices.**

c) What documentation parents provide as part of their application to determine eligibility

**Parents must provide all required earned income for the adults in the CCAP household unit and unearned income for all CCAP household members from the month prior to the application. If the household is**

**claiming a deduction for child support and court ordered spousal support paid outside of the CCAP household there must be verifications. There are three types of verification that can be used:**

- 1. County eligibility worker receives information from an interface for child support which all county eligibility workers have access to.**
- 2. The applicant provides a notice from child support verifying the amount they are deducting from their income.**
- 3. Pay stubs may be used to verify the deductions.**

**If the child's citizenship or resident alien status is questionable, the parent may be asked to submit proof of the child's eligibility.**

**In North Dakota, if the client is on another Economic Assistance Program, the county eligibility worker may have this information as it may have already been submitted for Food Stamps, TANF, health care coverage including Medicaid, or Child Support Enforcement.**

d) How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4

**Both the county eligibility workers and the Job Service Jobs Coordinators would notify the client of this exception by mailing notices to the client or explaining the penalties to the client during the initial interview.**

e) What steps the Lead Agency has taken to reduce barriers to initial and continuing eligibility for child care subsidies

**The on-line access to the application provides greater access for the clients. In addition, the clients do not have to come to the county social services offices to apply or submit needed verification. All the contacts with the county eligibility workers can be by phone or mail.**

**Once the client is eligible for the subsidy assistance and continues to meet all the Program requirements, they can continue to participate in the Program for an unlimited time.**

f) **Attach** a copy of your parent application for the child care subsidy program as **Attachment 4.1.1.**

**4.1.2** Is the application process different for families receiving TANF?

Yes, and **describe** how the process is different:

**The client would apply for CCAP and TANF at the same county social service office. The TANF program requires that a new applicant has an interview with a county eligibility worker. An ongoing client does not need an interview with a county eligibility worker.**

No.

**4.1.3** What is the length of eligibility period upon initial authorization of CCDF services?

**The certificate length varies based on activity/programs. There are three-month certificate for job search and for new employment if the client is not already in a work activity and a mother that has been on maternity leave. A four-month certificate is issued for Diversion Assistance. A six-month certificate is issued for TANF recipients, allowable students, and employed household. A certificate for Crossroads will be the length that the State Office Crossroads Program Administrator authorizes in the Crossroads approval letter.**

**If the client needed child care the month prior to the application month, an additional month is added to the length of the certificate.**

a) Is the initial authorization for eligibility the same for all CCDF eligible families?

Yes.

No and **describe** any variations that relate to the services provided (e.g., through collaborations with Head Start or pre-kindergarten programs or differences for TANF families):

**4.1.4 Describe** how the Lead Agency ensures that parents are informed about their ability to choose from among family child care and group home child care, center-based care and in-home care, including faith-based providers in each of these categories.

**Parents may either call Child Care Resource and Referral at their toll-free number or go to their website for referrals and the consumer education information below which was retrieved from: <http://www.ndchildcare.org/main/parents.htm>**

**“Choosing child care is one of the most important decisions that parents make.” Finding child care, however, can be challenging. You, and only you, know your child’s needs and the kind of care most appropriate for your child. Taking the time to find good child care will result in peace of mind while you are away from your child, knowing she will be safe, having fun, and learning. Contact CCR&R’s referral specialists for any of your child care questions.**

**Child Care Resource and Referral has prepared resources to help you understand child care in North Dakota.**

- [A Parents Guide to Selecting Child Care](#) (PDF)
- [Child Care Checklist](#) (PDF)
- **Child Care Financial Assistance Program**  
<http://www.nd.gov/dhs/services/financialhelp/childcare.html>
- [Licensing Rules and Regulations](#)
- [Child Care Costs](#)

**CCR&R refers families to all licensed programs. Although on site child care sponsored by a religious entity is not required to be licensed, they may choose to be licensed, thereby allowing CCR&R to share their program’s information with parents.**

**Having the referral service and consumer information available on line has increased parental access to child care.**

**The pamphlet “DN 861, Child Care Assistance Program “ is available in the county social service offices and various locations such as the Head Start Programs where parents are likely to be. In the pamphlet it states that parents have the right to choose their own provider, whether the provider is a non-profit or profit, sectarian or relatives. The parent can choose an approved relative, self-certified, family home, group home, or center to provide the care. In addition, there is a section “Help Find Child Care” which lists the telephone number of the CCR&R offices. The CCR&R offices can assist the parent in finding the type of child care the parent is seeking in the location that the parent needs child care.**

**In addition, “DN 108, Comparison of Licensed and Unlicensed Child Care” lists the differences between the basic requirements for licensed providers and the legally non-licensed providers. DN 108 will be provided to all clients that apply for Child Care.**

**4.1.5 Describe** how the Lead Agency reaches out and provides services to eligible families with limited English proficiency, including how the Lead Agency overcomes language barriers with families and providers.

**The CCR&R programs at Lutheran Social Services and Lakes and Prairies Community Action have a service access plan, which documents how the agency will ensure meaningful access to program information and services for all persons, including those with limited English language proficiency or people with disabilities. This includes working with bilingual staff, contracting for interpretive services, and using relay services.**

**Access to translators to assist with parent-licensor and provider-licensor discussions regarding child care options and rules varies across counties depending upon demographics, languages spoken, and resources available in and**

to each county. Child Care licenser and parent access to translators may include: No access, no known access, or no funding to support access to translators; translators haven't been needed; some licensors have used family members of friends of the parent's or provider's family; requests for translators from smaller counties have been fulfilled by counties with larger and more diverse populations; several licensors have used a website for translation at: <http://www.freetranslation.com/>; several counties have easy access to Spanish translators and translators for deaf clients/providers; some counties would probably ask Child Care Resource and Referral for assistance; translators for written materials are available; one licenser has self-reported that she is currently enrolled in a course using Rosetta Stone© Spanish materials to be able to assist people in the future; clients from Romania that do not speak English well are able to be understood through the few words known and gestures; for hearing impaired individuals some counties write their conversations out or use relay North Dakota for telephone contacts.

One county director who is on the ECS State Team said: We would treat this like a translation need in any of the programs that we administer. The Human Service Center would be contacted to see if an interpreter would be available. If not, Migrant Legal Services would be contacted if the family was Spanish-speaking. If that was not successful, we would contact local Universities or other local resources about interpreter services. If the family preferred, we would work with a friend/other family member to help in relating information. The agency would incur any translation related costs. If the translation was needed for written work, we would initially contact the Department. If not available, we would attempt to translate the information using the language translating software available through Microsoft©. If the individual was blind, we would contact the ND School for the Blind. If deaf, and the individual was unable to lip-read or understand written work, we would contact the ND School for the Deaf. In all cases, the appropriate releases for information would be completed as the initial step in order to protect confidentiality. To date, we have always been able to meet the language needs of individuals that we provide services to across our agency.

The county eligibility workers have access to translators that will assist them in interviewing the clients according to confidentiality rules.

#### **4.2 Records of Parental Complaints**

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

The SFN 1269, Child Care Concern Form, which may be accessed on the Department of Human Services' web site at <http://www.nd.gov/dhs/>, was developed to document child

care concerns and complaints. Child Care Resource and Referral staff; food program sponsors; and county, regional, or central office licensing staff can initiate this form. The form may also be initiated by parents or concerned individuals. Licensed and self-certified providers must notify parents about how to file concerns and complaints. (NDCC 50-11.1-07.2) A sample form is available for providers to share with parents and employees to illustrate how to make a report.

Complaints regarding licensed and self-certified providers are directed to the appropriate county social service office. The county licensor investigates all concerns and complaints and provides a summary of the investigation on the 1269 form. Substantiated complaints that result in a determination that a licensure rule has been violated are subject to corrective action by the provider. The county social service office has the responsibility to issue correction orders. When the county office determines that a complaint merits further corrective action, the 1269 form is routed to the Department of Human Services Early Childhood Services regional offices.

The Early Childhood Services Regional Supervisor reviews the complaint and consults with the Early Childhood Services Administrator when considering the issuance of a denial, revocation, or suspension. The regional office is responsible for informing the provider of the final decision/corrective action and of possible penalties associated with continued operation in violation of the denial, revocation, or suspension.

County social service offices and regional early childhood offices maintain lists containing all licensed and self-certified providers who have been subject to a corrective action and shall make the lists available to the public upon request.

#### **4.3 Unlimited Access to Children in Child Care Settings**

**Provide** a detailed description of the Lead Agency procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

**The child care licensing administrative rule regarding parents' unlimited access to their children states, "Parents are provided unlimited access and opportunities to observe their children at any time while in care, and are provided regular opportunities to meet with caregivers before and during enrollment to discuss their children's needs."**

As part of the parent/consumer component, Child Care Resource and Referral agencies provide parents with a hand book, *Finding and Using Child Care in North Dakota*, which contains information regarding unlimited parental access to their children while in care.

The "DN 861, Child Care Assistance Program" brochure given to parents and caretakers, has a section stating that parent must be given unlimited access to their

children and to the providers, who are providing care, during the operating hours of the child care facility.

The “DN 357, Child Care Assistance, Provider Handbook” states “Parents must be given unlimited access to the child(ren) and providers caring for the child(ren) during normal hours of operation.”

The Child Care Subsidy Manual in section “400-26-30-10, Parental Access” also addresses this issue.

#### **4.4 Criteria or Definitions Applied by TANF Agency to Determine Inability to Obtain Child Care**

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:

NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: **North Dakota Department of Human Services.**

- "appropriate child care": **The inability to obtain appropriate child care which includes licensed center-based provider, licensed family home child care providers, self-certified home child care provider under North Dakota Century Code 50-11.1, or relative child care providers who are not required to be licensed or registered.**
- "reasonable distance": **Child Care is unobtainable at a location such that the usual commuting time from the parent’s home to the location at which child care is provided, or on to the parent’s worksite, is one hour or less.**
- "unsuitability of informal child care": **The client must show that the unavailability or unsuitability of informal care is not an option with either a relative or other legally non-licensed provider.**
- "affordable child care arrangements": **Child Care is unobtainable, from a child care provider licensed or self-certified under North Dakota Century Code Chapter 50-11-**

**1, at a rate equal to or less than 1.1 times the market survey average rate for child care provider to children of the age of the Parent's child in the region in which the parent lives.**

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NEW 2010-2011 CCDF State Plan template for Part 5

**PART 5**  
**ACTIVITIES & SERVICES TO IMPROVE THE QUALITY AND AVAILABILITY OF**  
**CHILD CARE**

**5.1 Quality Targeted Funds and Set-Asides**

Federal appropriations law has targeted portions of the CCDF for quality improvement and for services for infants and toddlers, child care resource and referral (CCR&R) and school-age child care. For each targeted fund, provide the following information.

**5.1.1 Infants and Toddlers:**

**Note:** For the infant and toddler targeted funds, the Lead Agency must **provide** the maximum age of a child who may be served with such targeted funds (not to exceed 36 months).

a) **Describe** the activities provided with these targeted funds

**The Infant-Toddler (I-T) targeted funds support the increase of quality care to children in child care ages 0-36 months. CCR&R provides statewide Program for Infant Toddler Care© (PITC) training to I-T caregivers and I-T directors and supervisors using trainers that have been certified by PITC. (Professional development for PITC trainers was supported by the A. Bush Foundation.)**

**CCR&R manages an I-T Quality Improvement Project (QIP) that works with 30 I-T center classrooms and 24 family/group child care providers on an annual basis. Programs participating in the program receive quality improvement grants, intensive training at no charge, and monthly on-site technical assistance visits from an early childhood specialist and child care nurse consultants. CCDF supports the administrative costs for this program and training. State dollars support direct costs, which include consultation and technical assistance salaries and quality improvement grants).**

b) **Identify** the entities providing the activities

**Lakes and Prairies Community Action Child Care Resource and Referral**  
**Lutheran Social Services of ND Child Care Resource and Referral**

c) **Describe** the expected results of the activities.

**The quality of infant-toddler child care in programs participating in QIP has increased. Using the *Infant-Toddler Environmental Rating Scale*©, and *Family Child Care Environmental Scale*©, CCR&R measures the quality of care when a program comes**

into the QIP and again upon completion. Programs that have participated in QIP realize a 15% increase in the quality of their care over a six month period. Programs participating for 12 months have averaged a 30% increase in the quality of their infant-toddler care.

The CCR&R's will continue to deliver PITC and The Zero to Three *Preventing Child Abuse and Neglect: Parent-Provider Partnerships in Child Care* curriculum training in classroom settings and will continue to convert the content into online training formats to include self-study options as well as interactive learning options.

### **5.1.2 Resource and Referral Services:**

a) **Describe** the activities provided with these targeted funds

#### **Parent and Consumer Education**

The CCR&R's maintain an up-to-date database of licensed public and private child care services using NaccrraWare. The CCR&R's assist families in their search for quality child care by supplying families with individualized referrals via phone, e-mail, on-line, and in person, to all types of licensed child care as well as resources to help parents evaluate and choose appropriate care for their children.

Since July 2007, CCR&R's helped 9,552 families find child care for 16,227 children. Ninety-nine percent of families completing a follow-up survey indicated that they would recommend CCR&R to other people.

These agencies will continue to offer referrals via phone, e-mail, on-line ([www.ndchildcare.org](http://www.ndchildcare.org)) or in-person. The on-line option has been promoted by Job Service sites (including tribal), county and other social service agencies, Chambers of Commerce, and employers to support parental choice of child care with quality consumer education information and child care options.

Resources developed to promote the availability of CCR&R to help parents find child care that meets their needs, such as *Finding and Using Child Care in North Dakota* and the *Child Care Checklist*, are available on line and are disseminated at social services agencies, parenting centers, schools, public health, real estate offices, housing offices on college and university campuses.

CCR&R also helps parents determine if they might be eligible for child care assistance and then connects them to their county social service agency.

#### **Community Services**

The two CCR&R's work in partnership to facilitate communication between the child care community and relevant community services. They recruit licensed providers as

needed based on community assessment, and collect, compile and disseminate child care data.

In 2008, these agencies provided support to 243 new child care programs, increasing the capacity of child care in North Dakota by 434. A “State of Child Care in North Dakota” report was compiled and disseminated to community and policy leaders.

CCR&R’s represent child care interests by working with United Way; state level and local Chambers of Commerce; state-level, county, and local Economic Development entities; and social service collaborations.

The CCR&R’s partnered with the county licensing agents and ND now delivers a consistent, statewide child care center orientation and start-up process. Information has been posted on-line at <http://www.ndchildcare.org> and <http://www.nd.gov/dhs/services/childcare/>. CCR&R completed a center manual, specific to starting a child care center in ND, *Starting and Expanding a Child Care Center*. This manual can also be found at <http://www.ndchildcare.org>.

b) **Identify** the entities providing the activities

**Lakes and Prairies Community Action Child Care Resource and Referral**  
**Lutheran Social Services of ND Child Care Resource and Referral**

c) **Describe** the expected results of the activities.

**Families have increased access to resources for choosing child care.**  
**The number of quality child care slots increases.**  
**Communities have a better understanding of the role of child care in economic development.**  
**Centers will start-up or expand with proper guidance thereby making the best use of their resources.**  
**The child care program retention rates will increase**

### 5.1.3 School-Age Child Care:

a) **Describe** the activities provided with these targeted funds.

**The CCR&R’s continue to deliver training relevant to school-age care programs including Jump Start basic training and Keys to Quality School-Age Care, including**

**training for school-aged center directors. Delivery of this training will continue in both classroom settings as well as online formats.**

**Technical assistance on program start-up and operations is available through CCR&R's.**

**Outreach to unlicensed school-age providers is initiated by county licensors.**

b) **Identify** the entities providing the activities

**Lakes and Prairies Community Action Child Care Resource and Referral  
 Lutheran Social Services of ND Child Care Resource and Referral**

c) **Describe** the expected results of the activities.

**The availability and quality of school-age child care increases.  
 Professional development relevant to caring for school age children is more accessible.**

**5.1.4** The law requires that not less than 4% of the CCDF be set aside for quality activities. (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51) The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including targeted funds) during the 1-year period: October 1, 2009 through September 30, 2010:

**\$1,240,669 (11%)**

**5.1.5 Check** each activity in Table 5.1.5 that the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the targeted funds for quality activities). (658D(b)(1)(D), 658E(c)(3)(B), §§98.13(a), 98.16(h)). **CHECK ALL THAT APPLY.**

**Table 5.1.5 Activities to Improve the Availability and Quality of Child Care**

Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
Comprehensive consumer education	<input checked="" type="checkbox"/>	<b>Lakes and Prairies Community Action Child Care Resource and Referral Lutheran Social Services of</b>	<input checked="" type="checkbox"/>

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Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
		<b>ND Child Care Resource and Referral</b>	
Grants or loans to providers to assist in meeting State and local standards	<input checked="" type="checkbox"/>	<b>ND Department of Commerce</b>	<input type="checkbox"/>
Monitoring compliance with licensing and regulatory requirements	<input checked="" type="checkbox"/>	<b>Child care licensors employed by North Dakota County Social Service Boards Early Childhood Services Regional Supervisors employed by the state Early Childhood Services Administrator Child and Adult Care Food Program contractors</b>	<input type="checkbox"/>
Professional development, including training, education, and technical assistance	<input checked="" type="checkbox"/>	<b>Lakes and Prairies Community Action Child Care Resource and Referral Lutheran Social Services of ND Child Care Resource and Referral</b>	<input checked="" type="checkbox"/>
Improving salaries and other compensation for child care providers	<input type="checkbox"/>		<input type="checkbox"/>
Activities to support a Quality Rating System	<input checked="" type="checkbox"/>	<b>Early Children Services Professional Development Committee, Quality Rating and Improvement Sub Committee Core and Design Workgroups</b>	<input type="checkbox"/>
Activities in support of early language, literacy, pre-reading, and early math concepts development	<input checked="" type="checkbox"/>	<b>Lakes and Prairies Community Action Child Care Resource and Referral Lutheran Social Services of ND Child Care Resource and Referral</b>	<input checked="" type="checkbox"/>
Activities to promote inclusive child care	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Healthy Child Care America and other health activities including those designed to	<input checked="" type="checkbox"/>	<b>Lakes and Prairies Community Action Child Care Resource and Referral</b>	<input checked="" type="checkbox"/>

Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
promote the social and emotional development of children		<b>Lutheran Social Services of ND Child Care Resource and Referral</b>	
Other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1) and (2))	<input type="checkbox"/>		<input type="checkbox"/>

**5.1.6** For each activity checked in Table 5.1.5, a) **describe** the expected results of the activity.  
b) If you have conducted an evaluation of this activity, **describe the results**. If you have not conducted an evaluation, **describe** how you will evaluate the activities.

**Comprehensive consumer education**

Please see 5.1.2.a. above for a) and b)

**Grants or loans to providers to assist in meeting State and local standards**

Department of Commerce Century Code (state statute) was revised by the ND Legislature in the spring of 2009 to establish a grant program for early childhood services. Please see attachments:

5.1.6. .xx ND Department of Commerce SB 2225 enrolled version

Or go to: <http://www.legis.nd.gov/assembly/61-2009/bill-text/JBOS0500.pdf>

As this initiative has been placed in the Department of Commerce, the Early Childhood Services Administrator does not have plans to evaluate this activity. However, CCR&R's have an understanding with the Department of Commerce: CCR&R's will be incorporated into all levels because of their expertise and experience in child care in North Dakota.

**Monitoring compliance with licensing and regulatory requirements**

North Dakota County Social Service Boards employ child care licensors to monitor compliance. County directors are the immediate supervisors of the county licensors.

On a quarterly basis, the Early Childhood Services (ECS) Administrator convenes the State Early Childhood Services Team consisting of 8 county licensors, 2 county directors, the 5 ECS regional supervisors (employed by the state), CCR&R staff

directors and select staff members, to clarify regulatory requirements and strengthen communication to support licensing compliance.

Child and Adult Care Food Program Department of Public Instruction contractors assist the counties with monitoring for compliance with licensing requirements. Representatives for the Child and Adult Care Food Program visit child care programs using their reimbursement program approximately three times each year. When they witness a questionable practice or note that a provider is “over numbers” they will notify that county’s licensor.

The All Licensor Training was held in March of 2009. Presentations included:  
The Impact of Trauma on the Developing Child: Implications for Child, Family, and Community  
Dr. Bruce Perry  
Integrating Developmentally Appropriate Practice into Licensing Practice  
Dr. JoAnne Yearwood  
Integrating Early Learning Guidelines into Licensing Practice  
Dr. Linda Jagielo and Amy Jenkins, licensor  
National Association for Regulatory Agencies Curriculum: Balancing the Use of Authority  
Mitzi Lee, NARA trainer  
National Association for Regulatory Agencies Curriculum: Ethics in Licensing Practice  
Mitzi Lee, NARA trainer  
Note: In addition to all county child care licensors, all Tribal child care licensing and registration staff members, all ECS State Team members, and all CCR&R staff members were invited.

Early Childhood Services Century Code (state statute) was revised by the ND Legislature in the spring of 2009. Please see attachments:  
5.1.6. xx ND Early Childhood Services Century Code engrossed version--need enrolled version  
Or go to: <http://www.legis.nd.gov/assembly/61-2009/bill-text/JQUH0400.pdf>  
5.1.6. .xx ND Early Childhood Services HB 1472 enrolled version  
Or go to: <http://www.legis.nd.gov/assembly/61-2009/bill-text/JBLR0600.pdf>

**Expected Results:**

Child care programs are monitored in a consistent fashion and receive common messages from staff from counties, regions, the state and CCR&Rs.  
Information gleaned from monitoring and supervision is used to determine needs for licensor training and potential policy, rule, and statutory revisions.  
Review of licensing violations helps CCR&Rs to determine provider training and technical assistance foci.

**Evaluation:**

ECS Regional Supervisors review the documentation collected by county licensors for licensure, self certification affidavits, and in-home providers and represent ND in

**making the approval or denial decision. ECS Regional Supervisors also supervise county licensors programmatically.**

**The Early Childhood Services Administrator supervises the Early Childhood Services Regional Supervisors programmatically.**

**The Early Childhood Services Administrator assists in decision making with licensors and regional supervisors on all possible suspensions, denials, and revocations for all early childhood services provider types.**

**Professional development, including training, education, and technical assistance:**

**The Early Childhood Services Administrator contracts with CCR&R's to provide training to North Dakota child care personnel in a variety of formats: in-person, correspondence, self-paced on-line distance learning (asynchronous) and instructor-led on-line distance learning (synchronous).**

**Using North Dakota's Growing Futures Professional Development Plan as a guide, CCR&R developed a cohesive approach to workforce training based on a learning paths model that supports progressive knowledge and skill development. The learning paths integrate North Dakota Core Competencies, North Dakota Early Learning Guidelines, national professional development initiatives, and evidence-based best practices. For example, the core knowledge block includes: ND Licensing Statute and Rules, Early Learning Guidelines, Health and Safety (sanitation, injury prevention, SIDS, Shaken Baby, emergency preparedness), Environments, and Establishing Relationships. Please see attachment 5.1.6 xx ND Learning Paths Planning Guide.**

**The North Dakota CCR&R Child Development Associate (CDA) distance learning program is offered as both a for-credit course in partnership with NDSU Distance and Continuing Education and as a non-credit course available through CCR&R with open and ongoing online registration.**

**CCR&R contacts all new providers to offer an on-site technical assistance visit and makes available TA services (phone or on-site) to all providers as requested on topics including licensing, zoning, health and safety, facility design and arrangement, staff management, child development, program and budget development, and assistance in finding information from other sources.**

**The CCR&R's maintain the Child Care Business Center to provide technical assistance and consultation, and to form partnerships and attract investments to improve the business and financial practices of child care programs.**

**Early Childhood Services Century Code (state statute) was revised by the ND Legislature in spring of 2009. Please see attachment:**

**5.1.b. xx ND Early Childhood Services HB 1418 enrolled version**

**Or go to: <http://www.legis.nd.gov/assembly/61-2009/bill-text/JATN0400.pdf>**

**Results expected:**

**Early childhood personnel will have increased access to professional development. North Dakota child care personnel will share a foundation of core knowledge and competencies.**

**North Dakota Early Childhood Services Professional Development System, Growing Futures, will have a strong/sturdy/stable/robust/enduring/ and well defined training infrastructure.**

**Evaluation:**

**Since July, 2007, 51 individuals have taken the CDA course to complete the 120 hour training requirements for the national CDA Credential.**

**The on-line training registry was launched in March 2008. This includes a real-time online calendar of CCR&R training events, on-line registration and secured credit card payment, and on-line management of personal training data. The number of individuals who register for CCR&R training on-line is increasing daily as people access the system and create personal profiles.**

**In 2008, CCR&R delivered 257 trainings (992 hours) for the early childhood workforce in which there were 4,324 participants.**

**Newly designed reporting for CCR&R's training will be used for evaluation in the areas of preferred topics, formats, the training assessment process, and what learning occurred.**

**Activities to support a Quality Rating System:**

**The Early Children Services Professional Development Committee, Quality Rating and Improvement Sub Committee Core and Design Workgroups, with funding from Healthy North Dakota Early Childhood Alliance (ECCS grant), completed extensive planning work on a QRIS in North Dakota that integrated prior work and plans for recommendation to the Department of Human Services for adoption.**

**Please see attachments:**

**5.1.6. xx ND QRIS Activities 2008**

**5.1.6.xx ND QRIS visual overview of integration**

**5.1.6. xx ND QRIS background & overview**

**5.1.6. xx ND QRIS standard categories, levels, and benchmarks**

**5.1.6. xx ND QRIS supports and incentives**

**Activities in support of early language, literacy, pre-reading, and early math concepts development:**

The CCR&Rs deliver training opportunities which include Care to Read, Developmentally Appropriate Practice, Creative Curriculum, and Safe Active Play.

**Results:**

Child care providers have access to professional development opportunities that provide information on school readiness activities

**Evaluation:**

CCR&R's provide the Early Childhood Services Administrator with quarterly reports of their activities and an annual report of the state of child care in North Dakota

**Activities to promote inclusive child care:**

The CCR&R's continue to deliver training opportunities which include Project Exceptional training to assist providers in the identification, referral, support and inclusion of children with developmental concerns. Child care health consultant nurses from the CCR&R's assist caregivers in developing special care plans for children with special needs. The expulsion survey was completed to determine the extent to which children are asked to leave child care settings.

**Expected Results:**

Parents and providers have access to specialized information to make informed decisions about accommodating children with special needs in child care settings.

**Evaluation:**

CCR&R provides the Early Childhood Services Administrator with quarterly reports of their activities.

**Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children:**

CCR&R's employs 2.5 FTE nurses as Child Care Health Consultants. They provide specialized child care health and safety information through training, technical assistance and consultation in child care settings, including diapering, hand washing, sanitation, illness exclusion, immunizations, health policies, infant sleep, feeding and nutrition.

**Expected Results:**

Child care programs, licensers and community health professionals are familiar with the standards outlined in **Caring for Our Children: National Health and Safety Performance Standards for Out-of-Home Child Care Program**

**Evaluation:**

The CCR&R's provide the Early Childhood Services Administrator with quarterly reports of their activities

## **5.2 Early Learning Guidelines and Professional Development Plans**

**5.2.1 Status of Voluntary Early Learning Guidelines.** Indicate which of the following best describes the current status of the State's efforts to develop, implement, or revise research-based early learning guidelines (content standards) for three-to-five year-olds. **NOTE: Check only one box that best describes the status of your State/Territory's three-to-five-year-old guidelines.**

- Planning.** The State is planning for the development of early learning guidelines. Expected date of plan completion: \_\_\_\_ If possible, respond to questions 5.2.2 through 5.2.4.
- Developing.** The State is in the process of developing early learning guidelines. Expected date of completion: \_\_\_\_ If possible, respond to questions 5.2.2 through 5.2.4.
- Developed.** The State has approved the early learning guidelines, but has not yet developed or initiated an implementation plan. The early learning guidelines are included as **Attachment 5.2.1, if available.**
- Implementing.** In addition to having developed early learning guidelines, the State has embarked on implementation efforts which may include dissemination, training or embedding guidelines in the professional development system. The guidelines are included as **Attachment 5.2.1.a.**
- Revising.** The State has previously developed early learning guidelines and is now revising those guidelines. The guidelines are included as **Attachment 5.2.1.**
- Other. Describe:**

**a) Describe** the progress made by the State/Territory in developing, implementing, or revising early learning guidelines for early learning since the date of submission of the

2008-2009 State Plan. Efforts to develop early learning guidelines for children birth to three or older than five may be described here.

**Since submission and amendments to ND's 2008-2009 State Plan, the Early Childhood Services Administrator has focused on distribution of the Three through Five Years document and she conducted training, with a county licensor, for all child care licensors addressing the integration of the guidelines within their licensing work. The CCR&R's have been integrating Early Learning Guidelines into all the modules that comprise the Learning Paths**

b) If developed, are the guidelines aligned with K-12 content standards or other standards (e.g., Head Start Child Outcomes, State Performance Standards)?

Yes. If yes, **identify standards:**        **Head Start Child Outcomes Framework**

No.

c) If developed, are the guidelines aligned with early childhood curricula?

Yes. If yes, **describe:**        **Creative Curriculum**

No.

d) Have guidelines been developed for children in the following age groups:

Birth to three. Guidelines are included as **Attachment 5.2.1.b.**

Birth to five. Guidelines are included as **Attachment 5.2.1**

Five years or older. Guidelines are included in **Attachment 5.2.1.a.**

**North Dakota's 3-5 Early Learning Guidelines include age five, e.g., ages three through five, to age six.**

**If any of your guidelines are available on the web, provide the appropriate Web site address (guidelines must still be attached to Plan):**

**Birth to three. Guidelines still in Minnesota format are located at:**

**<http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-4438-ENG>**

**North Dakota Early Learning Guidelines Ages Three through Five are located at:**

**<http://www.nd.gov/dhs/info/pubs/docs/cfs/nd-early-learning-guidelines-for-ages-3-thru-5.pdf>**

**5.2.2 Domains of Voluntary Early Learning Guidelines.** Do the guidelines for three-to-five-year-olds address language, literacy, pre-reading, and early math concepts?

Yes.

No.

a) Do the guidelines for children three-to-five-year-olds address other domains such as social/emotional, cognitive, physical, health, or creative arts?

Yes. If yes, **describe**.

No.

**North Dakota Early Learning Guidelines Ages Three through Five Domains:**

1. Health and Physical Development
2. Social and Emotional Development
3. Approaches to Learning
4. Expressive Arts and Creative Thinking
5. Language and Literacy
6. Mathematics and Logical Thinking
7. Science and Problem Solving
8. Social Studies

**5.2.3 Implementation of Voluntary Early Learning Guidelines.**

a) **Indicate** which strategies the State used, or expects to use, in implementing its early learning guidelines.

**Check all that apply:**

- Disseminating materials to practitioners and families
- Developing training curricula
- Partnering with other training entities to deliver training
- Aligning early learning guidelines with licensing, core competencies, and/or quality rating systems
- Other. **Describe:**

b) **Indicate** which stakeholders are, or are expected to, actively support(ing) the implementation of early learning guidelines:

**Check all that apply:**

- Publicly funded (or subsidized) child care
- Head Start
- Education/Public pre-k: **Title I Pre-K**
- Early Intervention
- Child Care Resource and Referral
- Higher Education
- Parent Associations
- Other. **Describe: Military child care in North Dakota, Minot Air Force Base in particular**

c) **Indicate** the programs that mandate or require the use of early learning guidelines

- Publicly funded (or subsidized) child care
- Head Start
- Education/Public pre-k
- Early Intervention
- Child Care Resource and Referral
- Higher Education
- Parent Associations
- Other. **Describe:**

d) **Describe** how cultural, linguistic and individual variations are (or will be) acknowledged in implementation.

**Suggestions for addressing individual variations related to special needs are described in a draft document on inclusion.**

**The Early Childhood Services Office and the Healthy North Dakota Early Childhood Alliance (ECCS) Early Care & Education Committee has not yet developed the rest of this portion of the plan.**

e) Describe how the diversity of child care settings is (or will be) acknowledged in implementation.

**The Early Childhood Services Office and the Healthy North Dakota Early Childhood Alliance (ECCS) Early Care & Education Committee has not yet developed the rest of this portion of the plan.**

Materials developed to support implementation of the guidelines are included as **Attachment 5.2.3**. If these are available on the web, provide the appropriate Web site address (guidelines must still be attached to Plan):

**Integrated implementation materials are under development through learning path's modules being designed by the CCR&R's.**

**The North Dakota Early Childhood Services and Head Start-State Collaboration Administrators held one meeting in July 2008 with key stakeholders on “rolling out” the Early Learning Guidelines. Several entities are developing in-person and on-line trainings for implementing the Early Learning guidelines and will then deliver these trainings throughout the state.**

**5.2.4 Assessment of Voluntary Early Learning Guidelines.** As applicable, **describe** the State's plan for:

a) Validating the content of the early learning guidelines

**An initial validation of the content of the Ages Three through Five early learning guidelines was completed as part of the writing process. ND ELG's were compared to those of other several other states in our region and the national database of the states' early learning standards that was housed at NIEER: <http://www.NIEER.org> . Our guidelines consistently aligned with those of other states in both depth and breadth or we adapted them to align.**

b) Assessing the effectiveness and/or implementation of the guidelines

**The Early Childhood Services Office and the Healthy North Dakota Early Childhood Alliance (ECCS) Early Care & Education Committee have not yet developed this portion of the plan.**

**It is anticipated that the Quality Rating and Improvement System, if funded and implemented, will provide information on the effectiveness of the professional development initiative. Research-based, on-site environmental and interaction assessments will be used to evaluate.**

c) Assessing the progress of children using measures aligned with the guidelines

**The Early Childhood Services Office and the Healthy North Dakota Early Childhood Alliance (ECCS) Early Care & Education Committee have not yet developed this portion of the plan. The ND Department of Public Instruction requires districts to do Pre-Kindergarten screenings, however each district may choose a valid and reliable assessment tool. Collecting data at this point under the current system will be challenging.**

d) Aligning the guidelines with accountability initiatives

**The Early Childhood Services Office and the Healthy North Dakota Early Childhood Alliance (ECCS) Early Care & Education Committee have not yet developed this portion of the plan.**

**It is anticipated that the Quality Rating and Improvement System, if funded and implemented, will provide information on the effectiveness of the professional development initiative. Research-based, on-site environmental and interaction assessments will be used to evaluate.**

Written reports of these efforts are included as **Attachment 5.2.4**. If these are available on the web, **provide** the appropriate Web site address (reports must still be attached to Plan):

**Not applicable**

**5.2.5 Plans for Professional Development. Indicate** which of the following best describes the current status of the Lead Agency’s efforts to develop a professional development plan for early childhood providers that includes all the primary sectors: child care, Head Start, and public education. **NOTE: Check ONLY ONE box that best describes the status of your State’s professional development plan.**

- Planning.** Are steps underway to develop a plan?
  - Yes, and **describe** the entities involved in the planning process, the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.
  - No.
- Developing.** A plan is being drafted. The draft or planning documents are included as **Attachment 5.2.5**, if applicable.
- Developed.** A plan has been written but has not yet been implemented. The plan is included as **Attachment 5.2.5**, if applicable.
- Implementing.** A plan has been written and is now in the process of being implemented, or has been implemented. The plan is included as **Attachment 5.2.5**. **It is also available on the web at:**  
<http://www.nd.gov/dhs/info/pubs/docs/cfs/growing-futures-prof-dev-plan-7-06.pdf>
- Revising.** The State previously developed a professional development plan and is now revising that plan, or has revised it since submitting the 08-09 State Plan. The revisions or the revised plan are included as **Attachment 5.2.5**.
- Other. Describe:**

**a) Describe** the progress made by the State in planning, developing, implementing, or revising the professional development plan since the date of submission of the 2008-2009 State Plan.

**Gradual implementation of North Dakota’s Growing Futures Professional Development Plan continues. This work is guided by a statewide, broad-based professional development committee, convened by the Early Childhood Services Administrator.**

**Progress includes:**

**CCR&R launched the training clearinghouse, or registry, with new software which allows early childhood practitioners to search for professional development opportunities, register for them on-line, and access their training record.**

**The Training and Trainer approval subcommittee has developed criteria and forms for the approval of training content and trainer qualifications. Once the process for approval is defined, all approved trainings may be posted to the registry.**

**The Higher Education Consortium has approved the articulation of the CDA credential, using one university as the common entry point, and identifying two common courses (3 credits each) in the current statewide articulation agreement that the CDA coursework will fulfill.**

**Early childhood advocates worked with legislators to pass legislation to expand implementation of a strong training delivery system including on-line training, trainer and practitioner registries as outlined in Growing Futures and the Child Development Associate (CDA) credential.**

**Implementing professional development plan components has highlighted the need to update the original plan to reflect the more detailed work that has resulted from ongoing committee work.**

**b) If developed, does the plan include (Check EITHER yes or no for each item):**

	Yes	No
Specific goals or desired outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A link to Early Learning Guidelines	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Continuum of training and education to form a career path	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Articulation from one type of training to the next	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance through approval of trainers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance through approval of training content	<input checked="" type="checkbox"/>	<input type="checkbox"/>

A system to track practitioners' training	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assessment or evaluation of training effectiveness	<input checked="" type="checkbox"/>	<input type="checkbox"/>
State Credentials – Please state for which roles (e.g. infant and toddler credential, directors' credential, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Specialized strategies to reach family, friend and neighbor caregivers	<input checked="" type="checkbox"/>	<input type="checkbox"/>

c) For each **Yes** response, **reference** the page(s) in the plan and briefly **describe**.

**Specific goals or desired outcomes – page 4 and 6**

**The goal of *Growing Futures* is quality care and education for all of North Dakota's children – a goal that promotes the healthy development and success of the future workforce while at the same time providing the infrastructure necessary to support today's workforce.**

**A link to Early Learning Guidelines – page 7**

**The core competencies are closely linked to North Dakota's Early Learning Guidelines, which define the expected developmental outcomes for children birth to age six.**

**Continuum of training and education to form a career path – page 14**

**A career pathway of high school to CDA/Apprenticeship to Associate Degree to Bachelors Degree is laid out.**

**Articulation from one type of training to the next – page 8**

**Training articulation establishes links among training systems such as community-based training organizations, higher education institutions, Head Start, and so on. Training articulation supports care providers in their ongoing personal and professional growth by providing specific training that builds towards more advanced levels of preparation.**

**Quality assurance through approval of trainers – page 8**

**A trainer registry establishes a process by which trainers who deliver workforce training are qualified to provide the training recognized by the *Growing Futures* Professional Development system. It includes a database of qualified trainers, credentialing and credential renewal process, and a trainer recognition system. The trainer approval process establishes standards and qualifications for trainers and instructors to ensure they are knowledgeable of the most current research and theory in their subject area. Trainers must be able to represent their content area well to diverse groups of adult learners. The process also ensures that trainers meet the requirements of various training and education systems, such as those set nationally for CDA training or by higher education institutions to issue CEU credits.**

**Quality assurance through approval of training content – page 8**

**A curriculum approval process ensures that the materials used for workforce training are research-based and representative of best practices, and that**

training content clearly links practice to research and theory. A curriculum approval process reviews training materials to ensure that all training applied toward professional development is of good quality, and that it addresses core knowledge areas, is leveled for different skills and interests, and is appropriate to the many specializations in the field.

**A system to track practitioners' training – page 7**

A training registry is a central clearing house of information to track and verify qualifications for various roles in the field. A registry also recognizes professional achievement and attainment. The registry keeps records of an individual's training and education, and issues transcripts that document an individual's completed training.

**Assessment or evaluation of training effectiveness – page 12, 15-16**

It is anticipated that the Quality Rating and Improvement System, when adopted by the Department of Human Services and then implemented, will provide information on the effectiveness of trainings. On-site competency assessments upon completion of standardized courses and on-going evaluation will provide information on the effectiveness of the coursework.

**State Credentials – Please state for which roles (e.g. infant and toddler credential, directors' credential, etc.) – page 8, 15-16**

Specialized certificates and credentials support the qualifications for career categories by providing in-depth content knowledge in specialized areas, such as infant toddler care, special needs, and program administration. Specialized credentials are awarded based on training and assessment of demonstrated knowledge and skill in a particular focus area.

**Specialized strategies to reach family, friend and neighbor caregivers**

This group of providers has not been addressed in the professional development plan, however the Early Childhood Services and Child Care Subsidies Administrators have included strategies in the CCR&R request for proposals for the next two years. Although not written in the professional development plan at this time, a brief newsletter is distributed quarterly to FFN caregivers who are receiving child care subsidies but are not licensed.

d) For each **No** response, **indicate** any plans the Lead Agency has to incorporate these components.

**Not applicable.**

e) Are the professional development opportunities described in the plan available:

**Note: Check either yes or no for each item):**

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	Yes	No
Statewide	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Center-based Child Care Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Group Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Family Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To In-Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other ( <b>describe</b> ):	<input type="checkbox"/>	<input type="checkbox"/>

f) **Describe** how the plan addresses early language, literacy, pre-reading, and early math concepts development.

**In the Learning Paths being implemented by CCR&R, the Child Development Block includes Physical and Cognitive Development, and Development of Young Children’s Language and Literacy.**

g) Are program or provider-level incentives offered to encourage provider training and education?

- Yes. **Describe**, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts.
- No. **Describe** any plans to offer incentives to encourage provider training and education, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts?

**Incentives are proposed in the design of the Quality Rating and Improvement System (QRIS). If funded and implemented the incentives include: access to free training to meet the QRIS criteria, which includes the Child Development Block, and monetary incentives to individuals at the completion of the three blocks of the Learning Paths and attainment of the CDA credential.**

h) As applicable, does the State assess the effectiveness of its professional development plan, including the achievement of any specified goals or desired outcomes?

- Yes. **Describe** how the professional development plan’s effectiveness/goal is assessed.
- No. **Describe** any plans to include assessments of the professional development plan’s effectiveness/goal achievement.

**Each of the three Growing Futures EC Prof Dev sub-committees-- Career Development, Professional Recognition, and a Quality Rating And Improvement System--have quality assurance as one of their tasks.**

**It is anticipated that the Quality Rating and Improvement System, if funded and implemented, will provide information on the effectiveness of the professional development initiative. Research-based, on-site environmental and interaction assessments will be used to evaluate.**

**Early Childhood Services Century Code (state statute) was revised by the ND Legislature in the spring of 2009. Please see attachments:**

**5.1.b. .xx ND Early Childhood Services HB 1418 enrolled version**

**Or go to: <http://www.legis.nd.gov/assembly/61-2009/bill-text/JATN0400.pdf>**

**The bill allows for financial incentives. The Early Childhood Services Administrator is in the process of developing, with key stakeholders, which portions of the original QRIS work will be included in the roll-out of this legislation. The legislature removed the rating system portion of the QRIS plan.**

i) Does the State assess the effectiveness of specific professional development initiatives or components?

Yes. **Describe** how specific professional development initiatives or components' effectiveness is assessed.

No. **Describe** any plans to include assessments of specific professional development initiatives or components' effectiveness.

**Each of the three Growing Futures EC Prof Dev sub-committees-- Career Development, Professional Recognition, and a Quality Rating System--has quality assurance as one of their tasks.**

**It is anticipated that the Quality Rating and Improvement System, if funded and implemented, will provide information on the effectiveness of the professional development initiative. Research-based, on-site environmental and interaction assessments will be used to evaluate.**

j) As applicable, does (or will) the State use assessment to help shape or revise its professional development plan?

Yes. **Describe** how assessment informs the professional development plan.

No. **Describe** any plans to include assessment to inform the professional development plan.

**Each of the three Growing Futures EC Prof Dev sub-committees-- Career Development, Professional Recognition, and a Quality Rating System—will utilize assessment information to increase quality in their area as one of their tasks.**

**It is anticipated that the Quality Rating and Improvement System, if funded and implemented, will provide information on the effectiveness of the professional development initiative. Research-based, on-site environmental and interaction assessments will be used to evaluate.**

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## PART 6 HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS

*(Only the 50 States and the District of Columbia complete Part 6.)*

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. **Note: This database typically contains information on licensing requirements for meeting State or local law to operate (§98.40). This database does not contain registration or certification requirements specific only to participation in the CCDF program.**

In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements.

The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>.

CCDF regulations (§98.2) define the following categories of care:

- **Center-based child care provider:** Provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.
- **Group home child care provider:** Two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.
- **Family child care provider:** One individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.
- **In-home child care provider:** Individual who provides child care services in the child's own home.

### **6.1 Health and Safety Requirements for Center-Based Providers** (658E(c)(2)(F), §98.41, §98.16(j))

6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law per the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check "Yes" if center-based providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

**In North Dakota this category includes group child care provided in a non residential setting.**

Yes. Answer 6.1.2, skip 6.1.3, and go to 6.2

No. **Describe** which center-based providers are exempt from licensing under State law and answer 6.1.2 and 6.1.3.

**--Child care provided by any educational facility, whether public or private, for children in grade one or above.**

6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan? (§98.41(a)(2)&(3))

Yes, and the changes are as follows:

No.

6.1.3 For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for

a) The prevention and control of infectious disease (including age-appropriate immunizations)

**Child care provided in educational facilities is subject to the requirements of the Department of Public Instruction.**

b) Building and physical premises safety

**Child care provided in educational facilities is subject to the requirements of the Department of Public Instruction.**

c) Health and safety training

**Child care provided in educational facilities is subject to the requirements of the Department of Public Instruction.**

d) Other requirements for center-based child care services provided under the CCDF

**6.2 Health and Safety Requirements for Group Home Child Care Providers** (658E(c)(2)(F), §§98.41, 98.16(j))

6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check "Yes" if group home child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

Yes. Answer 6.2.2, skip 6.2.3, and go to 6.3.

No. **Describe** which group home providers are exempt from licensing under State law and answer 6.2.2 and 6.2.3.

N/A. Group home child care is not a category of care in this State. Skip to Question 6.3.1

6.2.2 Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

Yes, and the changes are as follows:

No.

6.2.3 For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for  
**NOT APPLICABLE**

a) The prevention and control of infectious disease (including age-appropriate immunizations)

b) Building and physical premises safety

c) Health and safety training

d) Other requirements for center-based child care services provided under the CCDF

**6.3 Health and Safety Requirements for Family Child Care Providers** (658E(c)(2)(F), §§98.41, 98.16(j))

**6.3.1** Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check "Yes" if family child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

Yes. Answer 6.3.2, skip 6.3.3, and go to 6.4.

No. **Describe** which family child care providers are exempt from licensing under State law and answer 6.3.2 and 6.3.3.

**Providers who care for five or fewer children or three or fewer infants (up to 24 months) are exempt from licensure by state statute, however if the provider wishes to receive CCDF Child Care Assistance they must self certify compliance with standards through an Affidavit of Standard Compliance.**

**6.3.2** Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

Yes, and the changes are as follows:

No.

**6.3.3** For family care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

**Relatives, who are approved child care providers, are exempt from health and safety requirements. It is recommended to them that they follow the safety standards as set forth for the Affidavit of Standard Compliance providers. Affidavit of Standard Compliance providers, who care for fewer than 4 infants or less than 6 children, self-certify compliance with standards, as they are not required to be licensed.**

a) The prevention and control of infectious disease (including age-appropriate immunizations)

**Affidavit of Standard Compliance providers self-certify annual checks of the immunization records of children in their care.**

b) Building and physical premises safety

**Affidavit of Standard Compliance providers self-certify protection of children in their care.**

c) Health and safety training

**Affidavit of Standard Compliance providers complete approved CPR and first aid training during first year.**

d) Other requirements for center-based child care services provided under the CCDF

**6.4 Health and Safety Requirements for In-Home Child Care Providers** (658E(c)(2)(F), §§98.41, 98.16(j))

**Note:** Before responding to Question 6.4.1, **check** the NRCHSCC's compilation of licensing requirements to verify if **in-home child care** as defined by CCDF and your State is covered. If not, **check** no for 6.4.1. Do not check "Yes" if in-home child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

6.4.1 Are all **in-home** child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC's compilation?

Yes. Answer 6.4.2, skip 6.4.3, and go to 6.5.

No. **Describe** which in-home child care providers are exempt from licensing under State law and answer 6.4.2 and 6.4.3.

**Providers who care for five or less children or three or less infants (up to 24 months) in the child's home are exempt from licensure by state statute, however if the provider wishes to receive Child Care Subsidy they must register with the state and self certify compliance with standards.**

6.4.2 Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

Yes, and the changes are as follows:

No.

6.4.3 For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

**In-home care is registered care in ND.**

a) The prevention and control of infectious disease (including age-appropriate immunizations)

**This care is provided in the child's home. In-home providers self-certify proper health care and protection.**

b) Building and physical premises safety

**This care is provided in the child's home. In-home providers self-certify protection for children.**

c) Health and safety training

**This care is provided in the child's home. In-home providers self-certify participation in specialized training.**

## **6.5 Exemptions to Health and Safety Requirements**

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements. (658P(4)(B), §98.41(a)(1)(ii)(A))

**Indicate** the Lead Agency's policy regarding these relative providers:

- All** relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- All** relative providers are **exempt** from all health and safety requirements.
- Some or all** relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following a) describes those requirements and b) identifies the relatives they apply to:

## **6.6 Enforcement of Health and Safety Requirements**

6.6.1 Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) **Describe** how health and safety requirements are effectively enforced, including at a minimum:

a) Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

- Yes, and **indicate** the provider categories subject to routine unannounced visits and the frequency of those visits:

**Licensed family, group, and center child care programs are subject to one unannounced visit per year to ensure that licensed providers are in compliance with all applicable health and safety requirements.**

- No.

b) Are child care providers subject to background checks?

- Yes, and **indicate** the types of providers subject to background checks and when such checks are conducted:

**All licensed, in-home registered, self-certified affidavit providers, staff members, and household members 12 and over are checked against the North Dakota Child Abuse and Neglect files and the North Dakota Attorney General’s list of “Convicted Sex Offender and Offenders Against Children.”**

Some of the North Dakota regional offices also perform checks against the North Dakota District Court Case information for Criminal, Traffic, and Civil case types (website: <http://www.ndcourts.gov/publicsearch/contactsearch.aspx>) on licensed, in-home registered, self-certified affidavit providers, staff members, and household members 12 and over.

For border communities in Region IV, the out of state child abuse/neglect background checks and the Minnesota convicted offenders list are checked if they indicate ever having lived in Minnesota.

The background checks above are initiated prior to being licensed or approved and annually thereafter.

Early Childhood Services Century Code (state statute) was revised by the ND Legislature in the spring of 2009. Please see attachments:

5.1.6. xx ND Early Childhood Services Century Code, engrossed version

Or go to: <http://www.legis.nd.gov/assembly/61-2009/bill-text/JQUH0400.pdf>

This bill authorizes the Department of Human Services to conduct fingerprint-based criminal background checks in North Dakota (BCI) and nationwide (FBI) for all new applicants for license, in-home registration, and self-certified affidavit and well as all new employees in licensed programs.

--Approved relatives are checked against the North Dakota Attorney General’s list of “Convicted Sex Offender and Offenders Against Children” and the North Dakota District Court Case information for Criminal, Traffic, and Civil case types (website:

<http://www.ndcourts.gov/publicsearch/contactsearch.aspx>). In all instances, these North Dakota checks are done prior to licensing or approval.

No.

c) Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

Yes, and **describe** the State's reporting requirements and how such injuries are tracked (if applicable):

**--Licensed family, group and center programs have this requirement. The program should report to the county licensor within 24 hours of the incident. The licensor completes an SFN 383. All ECS Regional Supervisors contribute toward maintaining a database of all SFN 383's on a shared drive that is housed at the state capitol. Reports include a death, a serious accident, or an illness requiring hospitalization of the child while in child care or attributable to child care received.**

**--However, there are no similar requirements for approved relative, in-home registered, or self certified affidavit child care.**

No.

d) Describe any other methods used to ensure that health and safety requirements are effectively enforced:

**--Monitoring, such as the yearly announced and unannounced visits by county child care licensors in licensed programs.**

**--Child and Adult Care Food Program personnel often share health and safety violations they observe when making their thrice yearly visits with programs on the Child and Adult Care Food Program. County child care licensors follow-up such reports with an on-site visit.**

**--Parents are informed about the process for reporting suspected licensing violations. County child care licensors follow-up such reports with an on-site visit.**

## **6.7 Exemptions from Immunization Requirements**

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

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- Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- Children who receive care in their own homes.
- Children whose parents object to immunization on religious grounds.
- Children whose medical condition contraindicates immunization.

## PART 7 HEALTH AND SAFETY REQUIREMENTS IN THE TERRITORIES

*(Only the Territories complete Part 7)*

CCDF regulations (§98.2) define the following categories of care:

- **Center-based care:** Provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.
- **Group home child care provider:** Two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.
- **Family child care provider:** One individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.
- **In-home child care provider:** Individual who provides child care services in the child's own home.

### 7.1 Health and Safety Requirements for Center-Based Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

7.1.1 For all center-based care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

### 7.2 Health and Safety Requirements for Group Home Child Care Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

7.2.1 For all group home child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

**7.3 Health and Safety Requirements for Family Child Care Providers in the Territories**  
(658E(c)(2)(F), §98.41(a), §98.16(j))

7.3.1 For all family child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

**7.4 Health and Safety Requirements for In-Home Child Care Providers in the Territories**  
(658E(c)(2)(F), §98.41(a), §98.16(j))

7.4.1 For all in-home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

## **7.5 Exemptions to Territorial Health and Safety Requirements**

At Lead Agency option, the following relatives may be exempted from health and safety requirements: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care). (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- All relative providers are subject to the same requirements as described in sections 7.1 - 7.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- All relative providers are **exempt** from all health and safety requirements.
- Some or all** relative providers are subject to **different** health and safety requirements from those described in sections 7.1 - 7.4 and the following describes those different requirements and the relatives they apply to:

## **7.6 Enforcement of Territorial Health and Safety Requirements**

**7.6.1** Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) **Describe** how health and safety requirements are effectively enforced, including at a minimum:

a) Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

Yes, and **indicate** the provider categories subject to routine unannounced visits and the frequency of those visits:

No.

b) Are child care providers subject to background checks?

Yes, and **indicate** the types of providers subject to background checks and when such checks are conducted:

No.

c) Does the Territory require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

Yes, and **describe** the Territory's reporting requirements and how such injuries are tracked (if applicable):

No.

d) Describe any other methods used to ensure that health and safety requirements are effectively enforced:

**7.7 Exemptions from Territorial Immunization Requirements**

The Territory assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the Territorial public health agency. (§98.41(a)(1))

The Territory exempts the following children from immunization (check all that apply):

- Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- Children who receive care in their own homes.
- Children whose parents object to immunization on religious grounds.
- Children whose medical condition contraindicates immunization.

**APPENDIX 1**  
**CCDF PROGRAM ASSURANCES AND CERTIFICATIONS**

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))
- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))

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- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

## APPENDIX 2 ELIGIBILITY AND PRIORITY TERMINOLOGY

For purposes of determining eligibility and/or priority for CCDF-funded child care services, Lead Agencies must **define** the following *italicized* terms. (658P, 658E(c)(3)(B))

*in loco parentis* – A **legal guardian who is physically caring for the child in his or her home or another person (relative and non-relative) physically caring for the child for an indefinite period of time.**

*physical or mental incapacity* (if the Lead Agency provides such services to children age 13 and older) – **If a child is incapable of self-care because of verified physical or mental incapacity, the child may be eligible for child care. A qualified medical professional must verify in writing that incapacity exists.**

- *protective services* – CCDF is not used for this population
- *residing with* - **Means a child or children who are physically present in the home for periods expected to last 30 or more days.**

*special needs child* **Is a child incapable of providing self-care, as medically verified by a physician or a Developmental Disabilities case manager due to physical and/or mental incapacity, and is 13 up to age 18.**

<i>very low income</i>	<b>Family Size</b>	<b>Income</b>
<b>2</b>	<b>\$0-399</b>	
<b>3</b>	<b>\$0-493</b>	
<b>4</b>	<b>\$0-587</b>	
<b>5</b>	<b>\$0-680</b>	

These are the figures that are used on the sliding fee scale for those individuals who are at the Level 1 and who are paying 20% on the sliding fee scale. This is 15% of the 2000 Monthly Median Income.

The 2000 Monthly Median Income was used to develop the complete sliding fee scale. The upper limit in each level increases an additional 10 percent over the previous level. At Level 7 the upper limit was 75% of the 2000 Monthly Medium Income.

This level has not changed since September 2000. It is not anticipated that it will change in the future due to lack of funds. This is not used in other programs.

**List and define** any additional terminology related to conditions of eligibility and/or

### **APPENDIX 3: ADDITIONAL CERTIFICATIONS**

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

- 1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:**  
<http://www.hhs.gov/ocr/ps690.pdf>
- 2. Certification regarding debarment:**  
<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>
- 3. Definitions for use with certification of debarment:**  
<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>
- 4. HHS certification regarding drug-free workplace requirements:**  
<http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm>
- 5. Certification of Compliance with the Pro-Children Act of 1994:**  
<http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm>
- 6. Certification regarding lobbying:**  
<http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.

## REQUIRED ATTACHMENTS

- 2.1.2 Healthy North Dakota Early Childhood Alliance (ECCS) Work Plan Grid  
(Excel)
- 2.2 Public Comments (Word)
- 3.2.A Current Rates (Excel)
- 3.2.B. Market Rate Survey and Summary (Word and paper copy of survey)
- 3.3.2. Income Exclusions (Word)
- 3.5.1 Sliding Fee Scale (Excel)
- 4.1.1 Child Care Application (Paper copy)
- 5.2.1.A. Early Learning Guidelines Age 3-5 (PDF)
- 5.2.1.B. Early Learning Guidelines Birth – Three (PDF)
- 5.2.5. Growing Futures: Professional Development Plan
- 5.2.5.A. CCR&R – 2006-2008 Strategic Plan