

Child Care and Development Fund (CCDF) Plan
For

North Dakota
FFY 2014-2015

**PART 1
ADMINISTRATION**

1.1 Contact Information

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)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

Effective Date: 01-OCT-13

Name of Lead Agency: [North Dakota Department of Human Services](#)

Address of Lead Agency: [600 East Boulevard Ave, Bismarck, ND 58505](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Maggie Anderson, Executive Director of ND Department of Human Services](#)

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>

1.1.2 Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c)(1))

a) Contact Information for CCDF Administrator:

Effective Date: 01-OCT-13

Name of CCDF Administrator: [Jennifer Barry](#)

Title of CCDF Administrator: [Early Childhood Services Administrator](#)

Address of CCDF Administrator: [600 East Boulevard Ave, Dept. 325, Bismarck ND 58505-0250](#)

Phone Number: [701-328-4809](#)

Fax Number: [701-328-3538](#)

E-Mail Address: jlbarry@nd.gov

Phone Number for CCDF program information
(for the public) (if any):

Web Address for CCDF program
(for the public) (if any): <http://www.nd.gov/dhs>

Web Address for CCDF program policy manual
(if any): <http://www.nd.gov/dhs>

Web Address for CCDF program administrative rules
(if any): <http://www.legis.nd.gov/information/acdata/html/75-03.html>

b) Contact Information for CCDF Co-Administrator (if applicable):

Name of CCDF Co-Administrator: [Joan Schatz](#)

Title of CCDF Co-Administrator: [Child Care Subsidy Administrator](#)

Address of CCDF Co-Administrator: [600 East Boulevard Ave, Dept. 325, Bismarck ND 58505-0250](#)

Phone Number: [701-328-4005](#)

Fax Number: [701-328-1060](#)

E-Mail Address: jtschatz@nd.gov

Description of the role of the Co-Administrator:

[Co-administrator is responsible for child care subsidy program administration. Key responsibilities include development and supervision of eligibility policy and eligibility determination process, development and resolving of technical issues with the subsidy payment system utilized by the county subsidy eligibility workers, participate in reviewing findings following the market rate survey analysis, review and apply effective internal controls over subsidy, and serve as a resource in the improper payment process.](#)

1.2 Estimated Funding

1.2.1 What is your expected level of funding for the first year of the FY 2014 - FY 2015 plan period?

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2013 through September 30, 2014. (§98.13(a)).

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ 9,797,271

Federal TANF Transfer to CCDF: \$ 0

Direct Federal TANF Spending on Child Care: \$ 0

State CCDF Maintenance-of-Effort Funds: \$ 1,017,036

State Matching Funds: \$ 3,169,256

Reminder - Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (\$98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply.

Territories not required to meet CCDF Matching and MOE requirements should mark

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N/A here

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

If checked, identify source of funds:

[State general funds will be used to meet the CCDF matching requirement.](#)

If known, identify the estimated amount of public funds the Lead Agency will receive:

3,169,256

Private Donated Funds to meet the CCDF Matching Fund requirement. Only private received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

If checked, are those funds:

donated directly to the State?

donated to a separate entity(ies) designated to receive private donated funds?

If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact and type:

If known, identify the estimated amount of private donated funds the Lead Agency will receive:

State expenditures for Pre-K programs to meet the CCDF Matching Funds requirement.

If checked, provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%):

If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services:

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement:

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

State expenditures for Pre-K programs to meet the CCDF Maintenance of Effort (MOE) requirements.

If checked,

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

Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%):

If percentage is more than 10% of the MOE fund requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care:

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement:

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015. Note: Funding estimate is limited to FY 2014 In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

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Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>Infant/Toddler Targeted Fund \$199,978</p>	<p>Training and consultation to infant-toddler caregivers and grants to providers for safety equipment and developmentally appropriate learning materials. Consultation given to programs wanting to expand infant-toddler services.</p>	<p>To promote the importance of specialized, quality care for infants and toddlers in child care settings.</p>	<p>It is anticipated that ND will see an increase in capacity of infant-toddler care and an improvement in the quality of that care.</p>
<p>School-Age/Child Care Resource and Referral Targeted Funds \$33,770</p>	<p>Training and consultation specific to school age child care, resources on website. Maintenance of provider database, assistance to parents searching for childcare, consumer education on quality of child care. Providers with vacancies are able to list their openings on the database for potential parents to view. Parents are given resources to help them in choosing quality care for their children.</p>	<p>To promote the importance of school-age care, and to provide a consistent system for parent information and referral services.</p>	<p>The projected impact is that the quality of programming of school-age programs will improve, and that school-age caregivers will have more training and web resources to aid in planning. Some of these resources include sample activities, curriculum ideas and ideas for setting up the environment. Low income children participating in school-age programs will have a direct benefit from this training and consultation. More families and families with lower incomes will be more informed of the options available and will select higher quality childcare.</p>

<p>Quality Expansion Targeted Funds \$345,303</p>	<p>Training, both online and face to face training offered to providers in all core competency areas. Intensive training and consultation given to providers struggling to maintain compliance with regulations. Typically, these providers have high percentages of children in care who receive child care assistance. Targeted outreach to unlicensed providers to move more providers from non-licensed to licensed childcare.</p>	<p>To improve quality among all licensed categories of care, and to increase capacity of licensed childcare.</p>	<p>It is anticipated that targeted efforts to improve quality based on individual program needs will lead to higher ERS assessment scores and reflect higher quality environments. It is also anticipated that targeted outreach to unlicensed providers will result in an increase licensed childcare capacity. This will provide for an increase in access to quality childcare for lower income families.</p>
<p>Quality Funds (not including Targeted Funds) \$3,577,401</p>	<p>Licensing and monitoring of programs, general training and technical assistance on health and safety, business planning, child development, and emergency preparedness.</p>	<p>To provide for a consistent regulatory environment and to offer support to providers in maintaining quality environments.</p>	<p>It is anticipated that licensed programs will receive monitoring in combination with support to improve the quality of childcare.</p>

1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

Note: This question is to obtain information on whether the Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level or if funds are distributed to local entities

Does the State maintain decisions at the State level, or are funds distributed to locals that have some decisions on how funds are spent.

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- No, the Lead Agency will not distribute any quality funds directly to local entities
- Yes, all quality funds will be distributed to local entities
- Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities

Other.
Describe:

1.3 CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over

the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

Describe:

Fiscal Internal Controls

Internal controls include processes to ensure sound fiscal management, to identify areas of risk, and to establish regular evaluation of control activities. 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. Since ND is a state with a small population, 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 additional observation of CCR&R contract work. The ECS Administrator is in weekly contact with the CCR&R directors to discuss many issues or to ask for assistance on projects.

When monitoring the contracts with the CCR&R agencies, the ECS Administrator reviews the monthly requests for reimbursement, compares the expenditures to the approved budget, and checks to ensure that targeted amounts are met and that expenses are reasonable and allowable. If a discrepancy is noticed, a meeting is scheduled with the lead agency fiscal department and the contractees.

Subsidy Control Activities

Program Integrity

To assure program integrity, the Quality Assurance Unit reviews 30 case records per month to detect

and reduce errors associated with eligibility determination to ensure that families receiving subsidies are eligible. The review includes assuring that children:

- are eligible for the program;
- receiving care from eligible child care providers;
- are under 13 years of age, or under age 19 and in need of care because of a physical or mental incapable of caring for himself or herself, or under court supervision and verification of child's age and citizenship are in the case file;
- reside with a caretaker whose income does not exceed 85 percent of the State median income for a family of the same size and verify income and deductions are in the case file;
- reside with a caretaker who is working, searching for employment, attending job training or educational program and verification of work activity is in the case file; and
- residing in North Dakota.

The outcome of the review is shared with the eligibility worker and the county director. Case files with errors are reviewed by the eligibility worker who determines if the error was an administrative error, client error or an Intentional Program Violation. Correction of errors is required when underpayments or overpayments has been determined.

Any overpayment, whether resulting from an error made by the household, administrative error, fraud, or a fair hearing decision subsequently made in favor of the county social service office, is subject to recovery regardless of when the overpayment occurred. Only overpayments occurring under North Dakota Child Care Assistance Program can be recouped. Requests from other states for recoupment cannot be honored.

Subsidy Payments

The request for payments (billing form) for child care services are received in county social service offices. The eligibility worker reviews the billing form for accuracy based on an established certificate for each provider. The certificate includes the children in need of care, the reason for the need of care, the hours the children need care, the families co-pay and NDDHS obligated amount. The eligibility worker enters payment information into the child care computer system. Payments are automatically processed every evening. Payment can only be made to the provider who is reflected on the certificate.

Payments to providers for child care services are made by NDDHS. Payments are by electronic transfer or placement of funds on a debit card. Payments to family instead of the provider are paid by check. Payments are only made to qualified providers. The child care computer system will not make payments to providers in which their qualification status has expired or they are not a qualified provider.

Quality Assurance Control

The Quality Assurance Unit reviews 30 case files per month. This serves to identify areas of incorrect policy and payment authorization. Issues are identified and a corrective plan is developed with the county eligibility worker. Areas of multiple errors are addressed through training which can include having the regional representatives address the concern with the county when they do their county visits, clarification in policy or state wide training.

Other

State of North Dakota Office of the State Auditor conducts audits as required under OMB Circular A-133 and CCDF regulations at 45 CFR § 98.65. NDDHS submits quarterly ACF-696 Financial Reports that includes the status of expenditures and uses of funds and administrative data reports on the number of children served and the characteristics of services and recipients (ACF-801 & ACF-800). NDDHS retains documentation showing they have expended funds in compliance with CCDF law for at least three years or until complete resolution of any litigation or similar legal action involving records and make documents available to the Federal government upon request.

Child Care Subsidy Administrator supervises 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 experienced worker training on new policies, changes in policy, changes in rates, and sliding fee scale. In addition, program integrity is promoted by communicating policies to parents and providers by holding public comments on the state plan, brochures on program requirements, and provider booklet on program requirements.

Quality Control Activities

North Dakota has a state-supervised, county-administered system. The Early Childhood Services (ECS) Administrator programmatically supervises ECS Regional Supervisors and county child care licensors by writing and maintaining program rules and policies for the child care licensing system. Direct supervision of ECS 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. Early Childhood Services (ECS) Regional Supervisors and the Early Childhood Services Administrator, 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. ECS Regional Supervisors monitor the work of the county licensors in their region through complete reviews of all paperwork, including inspection reports that are submitted for new licenses, renewed licenses, and licenses undergoing an annual review.

The ECS Administrator conducts monthly conference calls and meetings three times per year to provide updated licensing information to the ECS Regional Supervisors. ECS Regional Supervisor work is monitored through individual calls with the ECS Administrator in which licensing situations that involve substantiated serious deficiencies are discussed. Often times, these calls will include a Department legal advisor. Finally, both the Department legal advisor and the ECS Administrator review all notices before they are issued.

The ECS Regional Supervisors provide training and technical assistance to counties concerning program issues. They meet on a regular basis with county licensing staff to monitor their work. ECS Regional Supervisors also provide updated licensing information at these meetings. The ECS Administrator frequently attends these meetings to update licensors on state-wide issues and to discuss local issues and challenges. Additionally, the ECS Administrator plans and facilitates an annual training where licensors are brought to a central location for a 1-3 day workshop on licensing trends and issues, updates to law and rules, promising practices, and other relevant topics.

The ECS Administrator contracts with Lutheran Social Services (faith-based) and Lakes & Prairies Community Action Agency to provide Child Care Resource and Referral services. The ECS 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
- Training and Technical Assistance for providers on health and safety, business practices, child development, and learning environments
- Emergency Preparedness
- Infant Toddler Services

The ECS Administrator receives quarterly and semi-annual reports from CCR&R, meets with CCR&R

Directors at least four times per year and participates in monthly conference calls to discuss contracted services. A detailed work plan is negotiated as a part of the contractual process including deliverables and timeframes. The ECS Administrator also has opportunities to observe the work of CCR&R staff members as they participate on early care and education work groups, on ECS State Team, and on various committees.

1.3.2. Describe the processes the Lead Agency will use to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. (98.11 (a) (3))

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient and vendor** (http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

Describe:

The Lead Agency has a contractual relationship with two sub-recipients to provide statewide Child Care Resource and Referral coverage. The contract is based on an approved budget and workplan, and the contract includes reporting requirements from which the ECS Administrator can monitor outcomes from the contract work.

The ECS Administrator is responsible for fiscal monitoring of the sub-recipients. As a subrecipient, the CCR&R agencies must submit monthly requests for reimbursement. Itemized expenditures are closely monitored monthly according to the work plan and approved budget. In addition, the Lead Agency performs financial reviews on these contracts at least twice during the contract period. Additionally, the Department's fiscal division conducts regular contract audits and reviews random requests for reimbursement to ensure fiscal accountability.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input type="checkbox"/>	<input type="checkbox"/>
Conduct supervisory staff reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct data mining to identify trends	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe:

Share/match data from other programs:

- TANF, SNAP and Medicaid/Healthy Steps receive matching data through interface for wage match and Social Security benefits. This information is available for CCAP cases and used to determine eligibility or determine possible program violations or administrative error.
- Information in a TANF, SNAP and Medicaid/Healthy Steps case file is considered known information and may be used to determine eligibility or continued eligibility. Known information may be pay stubs, household composition, unearned income, child support paid or received, residency, or verification of citizenship or alien status.

Run system reports that flag errors for Child Care Assistance Subsidy program. Types of reports that may be run include:

- Open, pending and cases
- CCA Adjustments by Provider
- CCA Providers w/Garnishment
- CCA EPC Enrollment to US Bank
- Transaction to US Bank (change transaction file)
- Transaction to US Bank (phone number change transaction file)
- Return File from US Bank
- Payment made via Check
- Payment made via EPC (US Bank relia card)
- Payment made via EFT (direct deposit)

Review of attendance or billing records - Child care billing form submitted monthly for payment is reviewed before payment is made to provider. The billed amount is compared to the authorization on the certificate. If in question, the client or the provider may be requested to provide additional information before payment may be made to the provider.

Audit provider records - Provider records may be audited if a child's attendance is in question or if the hours reported are in question.

Conduct quality control through quality assurance reviews, conduct supervisory staff reviews and conduct data mining to identify trends. This achieved through processes that include:

- The Quality Assurance Unit conducts monthly quality assurance/case file reviews of processed cases.
- The findings from the case file are used to determine trends in errors.
- The error trends are used to identify areas in need of training or possible policy revision for clarity.
- Over or underpayments are required to be processed by the eligibility worker to correct the case.
- Some county social service agencies conduct case file reviews and provide outcomes to the State office.

Train staff on policy and/or audit :

- County eligibility workers are trained on error prone areas identified during improper payment review or the monthly reviews conducted by the Quality Assurance Unit.
- Online training for new workers will be updated and is available 24 hours a day for eligibility workers to develop competency and skill in applying CCAP policy.

If the Lead Agency checked none, please describe what measures the Lead Agency has or plans to put in place to address program integrity:

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error? Check and describe in the chart below which strategies, if any, the Lead Agency will use for each of the following areas: Unintentional program violations (UPV), intentional program violations (IPV) and/or fraud, and administrative error as defined in your State/Territory. The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud (98.60(i)).

Strategy	UPV	IPV and/or Fraud	Administrative Error
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Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recovery through collection agency			
Establish a unit to investigate and collect improper payments. Describe composition of unit:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
n/a			
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe:

When an overpayment exists for subsidy family any amount over \$1.00 is recovered. This applies to any overpayments regardless if the overpayment is due to agency error, recipient error or an Intentional Program Violation. Families have the option of repaying overpayments in full or to have repayment through a recoupment plan of 10% for client or administrative error or 20% if for an intentional program violation error. At the time an overpayment is established, the family is informed of the overpaid amount and that they are responsible for repayment of the overpayment. Recoupment is taken from the

state's portion of future payments to the provider, until the amount of the overpayment is paid in full. If the family elects the recoupment plan method for repayment, they are notified in writing that they are responsible to pay to their provider their monthly co-payment along with the monthly amount being recouped from future payments made to their provider. Each time a payment is made to a provider which includes a recoupment, the provider and the family are notified of the amount being recouped. If there is a remaining overpayment balance at the time a subsidy case closes, collection of the overpayment balance continues through a written notification process to the family requesting payment. If written notification to the family is not successful, a referral is made to a collection agency.

When an overpayment exists for a provider, payment in full is requested from the provider. If written notification to the provider is not successful, a referral is made to a collection agency.

1.3.5. What type of sanction, if any, will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

None

Disqualify client.

If checked, please describe, including a description of the appeal process for clients who are disqualified

Any individual who is suspected of withholding information for the purpose of improperly establishing or maintaining eligibility for benefits is referred to the Administrative Disqualification Hearings Officer for a determination of an Intentional Program Violation (IPV) or the court system for a determination of fraud. An Intentional Program Violation (IPV) is defined as "an action by an individual, for the purpose of establishing or maintaining eligibility for the Child Care Assistance Program or for increasing or preventing a reduction in the amount of assistance".

An Intentional Program Violation disqualification can be established in the following two ways:

- Administrative Disqualification Hearing (ADH) - pursued when an individual is suspected of intentionally withholding information that results in improperly establishing or maintaining eligibility for benefits. ADH procedures should be initiated in instances when there is sufficient documentary evidence to substantiate that an individual has committed one or more acts of intentional program violation.
- Waiver of Hearing - An individual has the right to waive an Administrative Disqualification hearing. The worker must possess sufficient evidence to warrant holding a disqualification hearing before allowing an individual to waive the hearing.
 - Waiver A - Allows an individual to admit to the facts and accept the disqualification period.
 - Waiver B – Allows an individual to accept the disqualification without admitting to the facts
 - In order to waive their Administrative Disqualification Hearing, the individual must sign a waiver. A signed waiver is a statement that the household has been informed a disqualification penalty will result. Court Conviction – fraud is a result of an individual being convicted in federal or state court of having made a fraudulent statement or representation which results in improperly establishing or maintaining eligibility for benefits.
 - Upon receipt of the judgment:
 - If the judgment includes a disqualification period, impose the disqualification following the CCAP disqualification timeframes. If the judgment does not include a disqualification period, the eligibility workers must forward the following information to the Appeals Supervisor to process the findings under the Intentional Program Violation (IPV) provisions:
 - Criminal Complaint;
 - Judgment or Order; and

- A cover letter detailing the violation and providing the name, address, and Vision Case and Client ID # number. Inclusion of any prior disqualifications should also be noted.

After a disqualification hearing, there are no further appeal procedures available through the Administrative Hearing Process. The determination of Intentional Program Violation cannot be reversed by a subsequent hearing. The individual, however, is entitled to seek relief in a court of appropriate jurisdiction. The period of disqualification may be subject to stay or other action which would delay the imposition of the disqualification.

Upon receipt of the hearing decision, the county must impose the required penalty whether the case is currently open or closed. Individuals who have committed an IPV will be disqualified for the following time periods:

- 12 months for the 1st offense
- 24 months for the 2nd offense
- Permanently for the 3rd or subsequent offense.

Only the individual(s) found to have committed the violation or who signed the waiver or the consent agreement in court cases, and not the entire household, shall be disqualified. The disqualified individual is removed from the family's household size and their income continues to be used in determining the eligibility and benefit amount.

An Intentional Program Violation (IPV) is defined as "an action by an individual, for the purpose of establishing or maintaining eligibility or for increasing or preventing a reduction in the amount of assistance".

In order to determine if an individual(s) has committed an IPV, that individual must have intentionally made a false or misleading statement, misrepresented, concealed, or withheld facts.

Examples:

- A source of income
- A household member
- Committed any act intended to mislead, misrepresent, conceal, or withhold facts that constitutes a violation of the program or any State statute.

The use of the term "intentionally" in the regulations does not mean the eligibility worker has the burden of proving that an individual intended to commit a fraudulent act. The eligibility worker does not have to prove a deliberate intent to defraud. An individual's signature on the application, redetermination or billing form attests to providing full information and to understanding the reporting requirements.

Example: Intent is satisfied if an individual is aware of the mandatory reporting requirements, but for whatever reason did not report.

If an individual does not report a change within 10 calendar days of such change, a program violation may have occurred. An IPV may exist regardless of whether an overpayment is established. There is no requirement that an overpayment exist when pursuing IPV.

Disqualify provider.

If checked, please describe, including a description of the appeal process for providers who are disqualified

Providers who are determined to have committed fraud may have the following actions can be taken:

- Overpayments must be paid back.
- The provider may be referral to the State's Attorney's Office for prosecution

- on-site visit by licensing staff may be conducted
- loss of qualified provider status

A provider has the right to appeal an overpayment notification. The appeal must be requested in writing and submitted to the county office within 30 days from the date on the notice. The county office then submits the appeal to the Department of Human Services Appeals Supervisor. The Appeals Supervisor forwards the request for hearing to the office of Administrative Hearing who then schedules a hearing. If the outcome of the appeal results in the provider's favor, the amount of overpayment is adjusted accordingly. If the outcome of the appeal hearing results in upholding the county's actions, the provider is responsible for repayment of the overpayment.

If the provider loses their qualified provider status, they are no longer eligible to receive subsidy payment.

- Prosecute criminally
- Other.
Describe.

1.3.6 Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark

N/A here

Effective Date: 01-OCT-13

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
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<p>1. Income errors. 2. Authorization errors. 3. Misapplication of policy. 4. Misuse of forms.</p>	<p>1. Income errors such as calculation errors, unearned and earned income errors, incorrect pay stubs, not allowing three days of posting for child support payments.</p> <p>2. Authorization Errors such as incorrect categories of errors and missing or insufficient documentation.</p> <p>3. Misapplication of Policy errors such as granting eligibility to a family that had income overscale.</p> <p>4. Misuse of forms such as the application form and SFN 113 the post secondary form.</p>	<p>1. Training all eligibility workers to do income conversion to determine family copayment that is relective of a family's income for a six month period, new self employment method, how to use copayment instead of percentages, conversion of a family percentage towards payment of Child Care to a family copayment based on family income and training will be conducted on a need basis when there are difficulties noted on the review.</p> <p>2. Training all workers on the new certificates, copayments instead of percentages of costs, determining full time, part-time care and hourly care. Ongoing training needs will be assessed and ongoing training will be scheduled to meet those needs.</p> <p>3. Training all workers on correct policy, and training will be conducted on a need basis when there are difficulties noted on the review. Individual training with eligibility worker as errors as found during the review of casefiles conducted by the child care administrator. Training was scheduled for August, September, and October of 2011.</p> <p>4. Training of eligibility workers on which form to use correctly for applications. Training on SFN 113 (documentation of postsecondary status) how to use and review the form correctly to assure the family is eligible for Child Care. Training will be conducted on a as needed basis when there are errors noted. Child Care application and the combined EAP and Medicaid (Economic Assitance Program which includes TANF,</p>	<p>1. Training was scheduled and conducted for eligibility workers in August, September and October of 2011 and training was scheduled and conducted for eligibility workers in October and November of 2012. These 1 and 2 day training sessions covered training for all eligiblity workers to do income conversion to determine family copayment that is relective of a family's income for a six month period, new self employment method, how to use copayment instead of percentages and conversion of family percentage towards payment of child care to a family copayment based on family income and size. Future training will be conducted as areas of need are identified and when there are difficulties noted on the monthly case file reviews conducted by Quality Assurance.</p> <p>In August 2011, September 2011 and October 2011, training for all eligibilty workers included the new certificate process, calculating co-payments based on monthly income and family size, authorizing a 6 month certification period and determining and calculating income for self-employed families.</p> <p>Ongoing training will be scheduled for the certificate process when issues or patterns of errors are identified.</p> <p>2. Training was completed for eligibility workers during the scheduled trainings in October 2011 and October 2012. This included assessing families needs for full-</p>
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		<p>SNAP along with Medicaid) application will be revised to incorporate the questions on SFN 113 into the application.</p> <p>Review and revises subsidy policies.</p> <p>Make enhancements to the subsidy eligibility system.</p>	<p>time, part-time and hourly care.</p> <p>3. Training was completed for eligibility workers on correct subsidy policy and need for ongoing training continues to be assessed on error prone areas. This training was conducted in August 2011, September 2011 and October 2011. In September 2012 and October 2012, training was conducted for eligibility workers to reinforce the concepts from the August 2011, September 2011 and October 2011 training.</p> <p>Subsidy system enhancement has been completed and implemented which eliminates missapplication of policy related to income overscale.</p> <p>4. Training on form usages was conducted in August 2011, September 2011 and October 2011 with a follow up training in September 2012 and October 2012.</p> <p>Additional action taken included adding information in 2012 regarding postsecondary education to the combined application used for all programs.</p> <p>Policy revisions were made effective October 2011 and training for the eligibility workers on the new policies was completed in August 2011, September 2011, and October 2011 with follow up training conducted in September 2012 and October 2012.</p> <p>Enhancements to certificates issued in the subsidy system were completed in October 2011 and April 2012. These enhancements</p>
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			<p>included additional system calculations thus reducing errors at the time of authorization and payment.</p> <p>The enhancements to the system that were implemented in October 2011 and April 2012 were put in place to address human entry errors.</p>

1.4 Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Definition: *Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments. (§§98.12(b), 98.14(a)(1))

1.4.1 Identify and describe in the table below who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
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**Representatives of general purpose local government (required)**

This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.

The Child Care Assistance Work Group is coordinated with during development of policy and the CCDF plan. The group consists of Child Care Assistance County Eligibility Workers, County Eligibility Worker supervisor, and DHS staff. The work group is consulted on the development of the state plan for Child Care Assistance subsidy program.

Eligibility Technician Committee (ETC) Task Force, which consists of eligibility workers and eligibility worker supervisors and County Social Service Directors meetings, is a platform also used to discuss policy, results of improper payments and state plan changes. Policy changes are incorporated into the CCDF plan.

County licensers are asked to give input on the development of the CCDF Plan at state and regional meetings. These meetings occur three times per year.

A minimum of 8 county licensers and 2 county directors serve on the ECS State Team. The draft CCDF plan was shared with members of the ECS State Team. The ECS Team meets three times per year.

For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.

State/Territory agency responsible for public education

This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.

The ECS Administrator has consulted with the ND Department of Public Instruction in the development of CCDF goals related to kindergarten readiness.



State/Territory agency responsible for programs for children with special needs

This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs

CCDF consultation has taken place with the Interagency Coordinating Council (ICC).

<input type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	Not separate from the Lead Agency.
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	The ECS Administrator and HSSCO meet regularly to discuss early childhood initiatives in ND and provide leadership to the ND Professional Development plan and the Early Childhood Data Committee. The HSSCO provides consultation on the development of the CCDF plan.
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	Recommendations from ND's SAC, the Early Childhood Education Council have been considered in development of the plan.
<input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	<p>Lutheran Social Services and Lakes & Prairies Community Action Child Care Resource and Referral Agencies representatives are consulted in the identification of goals and development of the plan.</p> <p>The CCR&R's office coordinate with the early Childhood Services Administrator in providing North Dakota's child care and training infrastructures. In addition to serving on several state-wide planning committees for early childhood, they also consult with the Early Childhood Services Administrator with development of the CCDF Plan.</p> <p>Through HNDECA, multiple agencies, including tribal agencies, have had the opportunity to offer suggestions and feedback for the CCDF Plan.</p> <p>North Dakota has consulted with coordinators of the tribal early childhood programs on plan activities and implementation, to promote partnerships and to help tribes access state professional development resources. This has provided an opportunity for tribes to provide input on the development of the state plan.</p> <p>The results of the Market Rate Survey conducted the NDDHS, sliding fee schedule and provider payment schedule are shared with the four Tribal agencies, and the Trenton Indian Service Area in North Dakota. The Tribal agencies are invited to participate in the public hearings for the State Plan and directed to NDDHS website to obtain a copy of the state plan.</p>

<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	Consultation has occurred through ECS State Team and through a shared Nutrition and Physical Activity in Child Care initiative.		
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	The agency responsible for implementing the Maternal and Early Childhood Visitation programs grant has been consulted and similar goals have been identified.		
<input checked="" type="checkbox"/> State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	A member of the Dept. of Health serves on the EC State Team and provides input for development of licensing policy and State Plan Development.		
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	The Child Protection Services Administrator has been consulted with in the development of the State Plan.		
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives			
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services/workforce development	The ND Department of Commerce was consulted with in the development of the State Plan and is partnering with the Lead Agency on capacity building goals.		
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	Not separate from Lead Agency.		
<table border="1" style="width: 100%;"> <tr> <td data-bbox="57 1352 424 1727"> <input checked="" type="checkbox"/> </td> <td data-bbox="429 1352 794 1727"> Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State </td> </tr> </table>	<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	Tribal organizations have membership on HNDECA and have also been consulted with through ND's early childhood tribal program. ND's tribal early childhood consultant, through a contract with CCR&R, provides support to tribal administrators and is able to receive feedback from the tribes regarding state initiatives.
<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
<input type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21			

<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	The ECS Administrator has close contact to the various provider associations in ND and has solicited feedback from various groups in development of the State Plan. Additionally, the ECS Administrator has issued provider surveys which are used in development of the plan.
<input checked="" type="checkbox"/> Parent groups or organizations	There are no formal parent groups that have been identified; however, parent representatives are consulted with through HNDECA, the ECEC, and the Inclusive Childcare Committee.
<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	Child Care Resource and Referral Agencies are consulted with in the development of the State Plan, including the identification of goals.
<input type="checkbox"/> Other	

1.4.2. 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 should include:

a) Date(s) of notice of public hearing: [05/31/2013](#)

Reminder - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing? [Notice was published in 10](#)

[newspapers statewide and on the State website.](#)c) Date(s) of public hearing(s): [06/20/2013](#)

Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).

d) Hearing site(s) [Hearing held at Bismarck State College by IVN. Other sites connected were Dickinson State University, Williston State College, Minot State University, Lake Region State College, University of ND, North Dakota State University, and Valley City State University](#)

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? [Draft Plan is posted to website and disseminated to major stakeholder groups.](#)

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? [All comments were encouraged and any received were to be reviewed by ECS Administrator and CCA staff.](#)

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.

DHS held the hearing by IVN, so individuals could participate at multiple sites across the state. The hearing was held at 6:30 p.m. to accommodate parent and provider work schedules. People needing special accommodations were instructed to contact the ECS Administrator for assistance.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services

Definition - *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

Note: Descriptions of how governments are organized for each State are provided at: http://www2.census.gov/govs/cog/all_ind_st_descr.pdf.

1.5.1. Identify and describe in the table below with whom the Lead Agency coordinates in the delivery of child care and early childhood and school-age services (§98.14(a)(1)).

Effective Date: 01-OCT-13

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.

<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>County licensers and county directors are coordinated with through annual conference calls, regional meetings 3 times per year, and through the ECS State Team 3 times per year. The annual fall licenser training is also a good forum for bringing together licensers and regional supervisors with the ECS Administrator to discuss goals for early childhood services.</p> <p><u>Subsidy</u> DHS coordinates with the County Social Service directors throughout the year. The coordination is done through monthly meetings held by the county directors. ETC Task Force meets twice a year with policy staff to review questions on policy and system related issues that the counties encounter. Child Care Assistance Work Group consists of 4 county subsidy eligibility workers and the Regional Representative Supervisor. Two county members of the Child Care Assistance Work group are participating in North Dakota's Eligibility System rewrite. County members review and provide input for policy and subsidy system related by telephone contacts. One member is a regional Representative and policy questions for CCAP are streamed to her.</p>	<p>County licensers are instrumental in CCDF delivery. They provide the licensing visits, which result in high compliance with licensing regulations, provide support to the providers in their county, and investigate any reports of suspected licensing violations. The county licensers, regional supervisors, and ECS State Administrator coordinate to ensure consistency in regulation across the state. Licenser and county director representation on the ECS State Team ensures coordination between licensing and quality initiatives and promotes greater access among providers. This effort will increase provider competency and compliance.</p> <p><u>Subsidy</u> The results of this coordination is that it identifies and resolves subsidy policy issues to increase the effectiveness of quality assurance on subsidy practices. An additional result is that it identifies training which can be coordinated and implemented to support the error rate process by eliminating errors. .</p> <p>This coordination supports an effective and high confidence in the improper payment process.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>The Early Childhood representative from the Department of Public Instruction coordinates with the Lead Agency on early childhood professional development, early childhood coordination, the planning for the early childhood state longitudinal data system (ECSLDS), and the implementation of the Early Learning Guidelines, all of which are included in the CCDF plan.</p>	<p>It is expected that this coordination will result in greater progress in the ECSLDS because of blended resources. It is also expected that coordination will lead to implementation of the state pre-k standards, which are aligned to the Early Learning Guidelines, the Head Start Performance Outcomes and the State Kindergarten Standards.</p>

<input checked="" type="checkbox"/>	<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>The Lead Agency coordinates with N.D. Center for Persons with Disabilities to provide distance consultation and information to child care providers on meeting the developmental needs of children. Additionally, the Lead Agency contracts with CCR&R to provide training and on-site consultation for providers. Whenever possible, coordination occurs with Head Start programs serving children that are also in child care and Early Intervention programs that also serve children in child care programs.</p>	<p>It is expected that this coordination will result in a deeper understanding by child care providers about the individual developmental needs of the children in their care.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>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 and the Child Care Resource and Referral Child Care Health Consultants. Health Department staff members provide child car safety restraint training to providers, parents and licensors throughout North Dakota. A member of the Dept. of Health serves on the EC State Team and provides input for development licensing regulations. Additionally, the Dept. of Health and the Lead Agency are coordinating through quarterly meetings, on an early childhood physical activity and nutrition initiative.</p>	<p>The expected result of this coordination is a blending of resources for health and safety being available to child care providers and the families enrolled in their programs. One result of this collaboration is that early childhood services providers are able to help provide parents with information on where to take children for immunizations. The child car safety restraint training empowers providers and parents to become informed about current child restraint laws and the processes for restraining children safely in automobiles. This coordination is also expected to result in the development of Best Practices in Nutrition and Physical Activity resources that will be disseminated to providers and parents.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>The ECS Administrator and the ND Department of Commerce meet regularly, as often as monthly, to coordinate efforts on child care provider recruitment. The two agencies have also coordinated child care grant programs and will continue to work together in future grant awards. The CCR&R Business Center consultants work closely with local economic development agencies to provide support for workforce development and to provide support to new and existing childcare programs seeking business consultation.</p>	<p>This coordination will result in a blending of funds used to maximize the use of all grant funding. It is expected that this coordination will build capacity of licensed childcare in our state and support the recruitment of child care providers with strong business practices.</p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies(required)	Subsidy policies and procedures are coordinated closely with the TANF and Crossroads program policy administrator weekly to resolve issues that arise and to ensure child care coverage is available to meet TANF recipients needs. Subsidy meets bi-monthly or as needed with other program administrators through Policy and System Alignment (PSA) meetings.	This coordination results in close monitoring of program policy changes and the effects of the policy changes. This helps to minimize policy barriers for TANF families eligible for CCDF. The coordination results in advance knowledge of policy changes resulting in the ability to be proactive and resolve issues quickly for TANF families who receive CCDF.
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<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	The ECS Administrator oversees state contracts with one tribe and with one private agency to provide tribal early childhood services. Tribal licensers and tribal providers are also invited to professional development opportunities supported by CCDF. CCAP subsidy shares policy, sliding fee schedule and CCDF plan with tribal entities.	The goal is to assure families have the opportunity to receive assistance either through the Tribal or state program and to provide more support to tribal child care programs by blending resources for professional development and technical assistance.
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For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery

<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	The ECS Administrator works collaboratively with the Head Start State Collaboration Officer in numerous professional development efforts. The State Administrator and HSSCO serve collaboratively on the HNDECA Leadership Team, the Early Childhood Statewide Longitudinal Data System committee, and the Growing Futures Professional Development Committee. The State Administrator and HSSCO share responsibilities for dissemination and promotion of the Early Learning Guidelines.	It is expected that coordination will result in increased access to a wider variety of professional development opportunities statewide. It is expected that coordination will result in increased participation in the Growing Futures professional development system. It is also expected that coordination will result in a higher number of Head Start programs applying for licensure. It is expected that this coordination will provide for further dissemination of the Early Learning Guidelines across early childhood programs.
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<p>State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC)</p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/></p> <p>N/A: State/Territory does not participate in RTT-ELC</p>		
<p><input checked="" type="checkbox"/></p> <p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>The Child and Adult Care Food Program located in DPI, coordinates and assists in monitoring child care services in the field and in providing professional development to child care providers on nutrition and health. Coordination involving the state nutrition and physical activity initiative also continues to evolve.</p>	<p>It is expected that this coordination results in an increased knowledge of the importance of good nutrition in early childhood, and higher quality of care offered in programs enrolled in the CACFP.</p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>The ECS Administrator serves on the Interagency Coordinating Council (ICC). The Lead Agency also leads an inclusion support program in collaboration with the ND Center for Persons with Disabilities, CCR&R and the Department of Commerce.</p>	<p>It is expected that this coordination will increase provider and parent understanding of inclusive practices, lead to a stronger focus on inclusion in all professional development activities, and build capacity for quality inclusive child care. This coordination also supports targeted training and technical assistance for providers who work with children with special needs.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>The ECS State Administrator serves on the ND Home Visiting Coalition advisory council. The Lead Agency also partners with home visiting programs through shared efforts to support implementation of the early learning guidelines and professional development opportunities.</p>	<p>It is expected that this coordination will result in greater awareness of the importance of quality early childhood experience among parents with young children.</p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	The ECS Administrator and Child Protection Administrator frequently consult on situations that involve allegations of child abuse and neglect in child care programs. A joint assessment by the county licenser and the county child protection services worker also takes place in these situations. A partnership has been developed with Prevent Child Abuse ND. The ECS Administrator serves on the Alliance for Children's Justice Committee, which is a committee committed to improving child welfare in ND and preventing child abuse and neglect.	Coordination in this area will result in more provider access to professional development specific to helping providers support the children and families they work with. This coordination will also support meaningful parent involvement in early childhood setting and will help providers build strong relationships with the parents of children in their care. The partnership with Prevent Child Abuse ND has helped to raise awareness and provide training to child care providers about the important role that providers have in the prevention of child abuse and neglect and about how providers can support families.
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives		
<input type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21		
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	Child Care Resource and Referral carries out most of the quality initiatives in the CCDF through a contract with the Lead Agency. Other local community organizations, including local schools, churches and parent groups, are frequently partnered with to provide training and professional development opportunities for child care providers.	Coordination of services with community organizations leads to a greater awareness of the importance of quality early childhood experiences, coordinated school readiness plans and activities, and a larger variety of professional development activities.

<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	The ECS Administrator has close ties to various provider groups and meets with them to discuss licensing development opportunities, and current issues in early childhood. The Early Childhood Services Advisory Board is a statewide board of child care providers who work with the Lead Agency through the Administrative Rules process and who provide feedback to the Lead Agency on statewide issues. The ND Child Care Providers Incorporated (NDCCPI) organization is a state organization of providers. The ECS Administrator attends their annual conference and typically speaks at this conference. Additionally, the president of the NDCCPI serves on the Early Childhood Services Advisory Board.	It is expected that this coordination will result in a more consistent view of what quality child care looks like, and a greater understanding among providers about the supports the Lead Agency can offer them in their efforts to improve quality in their own programs. It is expected that this coordination will result in an increased participation in Growing Futures. It is also expected that providers will feel a stronger voice in the decision making process.
<input checked="" type="checkbox"/>	Parent groups or organizations	There are no specific parent groups that the Lead Agency coordinates with, but parent representatives are included on other groups and councils.	It is expected that this coordination will lead to stronger provider-parent partnerships and a greater understanding of parent's child care needs by the Lead Agency.
<input checked="" type="checkbox"/>	Other	The ECS Administrator meets approximately four times per year with the North Dakota Higher Early Childhood Education Consortium to discuss quality and accessibility of professional development and training for early childhood professionals.	It is expected that this will result in increased access to early childhood coursework and seamless transfer between early childhood education college and university programs in North Dakota.

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan? Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other purposes, including fulfilling requirements of other programs.

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Yes. If yes,

a)

Provide the name of the entity responsible for the coordination plan(s):

b)

Describe the age groups addressed by the plan(s):

c)

Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):

Yes

No

d)

Provide a web address for the plan(s), if available:

No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs? (658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

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State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

If yes, describe entity, age groups and the role of the Lead Agency

State Advisory Council (as described under the Head Start Act of 2007).

If yes, describe entity, age groups and the role of the Lead Agency

The Early Childhood Education Council is comprised of 21 members from various early care and education programs, parents, and state agency representatives. The Executive Director of the Lead Agency, or a designee, is a required member of the council. Currently, the ECS Administrator serves as the Executive Director's designee.

Local Coordination/Council

If yes, describe entity, age groups and the role of the Lead Agency

Other

Describe

None

1.5.4 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? (§98.16(d))

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Yes .

If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership:

Private businesses, parents, local churches and other agencies have all been actively engaged in identifying our child care needs and in responding to those needs. North Dakota is facing tremendous shortages of childcare statewide and the promotion of public-private partnerships has provided some promising results. Examples of business that support the child care need in their community by implementing licensed child care programs are Sanford Health, Killdeer Mountain Manufacturing, and the North Dakota State University.

No

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-01) located on the Office of Child Care website at: <http://www.acf.hhs.gov/programs/occ/resource/im-2011-01>

1.6.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

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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.

Developed. A plan has been developed as of **[insert date]:** [2/15/2010](#) and put into operation as of **[insert date]:** [2/15/2010](#), if available. Provide a web address for this plan, if available: <http://www.nd.gov/dhs/services/childcare/>

Other.
Describe:

1.6.2. Indicate which of the core elements identified in the Information Memorandum are or will be covered in the Lead Agency child care emergency preparedness and response plan. Check which elements, if any, the Lead Agency includes in the plan.

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- Planning for continuation of services to CCDF families
- Coordination with other State/Territory agencies and key partners
- Emergency preparedness regulatory requirements for child care providers
- Provision of temporary child care services after a disaster
- Restoring or rebuilding child care facilities and infrastructure after a disaster
- None