

PART 3

Health and Safety and Quality Improvement Activities

3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements. The CCDBG statute and the CCDF regulations address health and safety primarily in two ways.

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i)). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4.

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i)). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety

requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing as defined by the State/Territory. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) (658E(c)(2)(F), §98.41).

Effective Date: 01-OCT-13

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

Yes.

No.

Please identify the State or local (if applicable) entity/agency responsible for licensing:

b) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory.

[The CCDF health and safety requirements are included in the requirements for licensure. These requirements are based on state law and administrative rule.](#)

c) Do the State/Territory's licensing requirements serve as the CCDF health and safety requirements?

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Yes, for some providers in this category	Describe N/A	Describe N/A	Describe The state's licensing requirements serve as the CCDF health and safety requirements for licensed family child care homes only.	Describe If an in-home provider provides care to more than three children under the age of 24 months or more than 5 children total, the in-home provider is required to license as a family child care provider.
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe N/A	Describe N/A	Describe N/A	Describe N/A

d) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. For each CCDF category of care, please identify which types of providers are subject to licensing and which providers are exempt from licensing in your State/Territory in the chart below. **Note: OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care but consistent with your reported 801 data.**

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?

<p>Center-Based Child Care</p>	<p>Center-based child care providers are defined as a 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.</p>	<p>Describe which types of center-based settings are subject to licensing in your State/Territory All child care centers, with the exception of those exempt, are subject to licensing.</p>	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory. Exempt programs must choose to license or be eligible for an approval in order to participate in CCDF. Some examples of these programs may be Head Start Programs, School-based programs under the supervision of the school district, child care provided in businesses or agencies where parents are engaged in activities on the premises, onsite child care provided by an employer for 10 or fewer children of the employees, camps which serve no children under the age of six for no more than two weeks, sporting events or physical activity programs, and child care provided in a medical facility by medical personnel for children who are ill are exempt from licensing.</p>
<p>Group Home Child Care</p> <p>N/A. Check if your State/Territory does not have group home child care.</p> <input type="checkbox"/>	<p>Group home child care provider is defined as 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.</p>	<p>Describe which types of group homes settings are subject to licensing All group homes are subject to licensing.</p>	<p>Describe which types of group homes are exempt from licensing: There are no allowable exemptions for group homes.</p>

Family Child Care	<p>Family child care provider is defined as 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.</p> <p>Reminder - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are subject to licensing</p> <p>Family childcare providers who care for more than three infants or more than 5 children total, including their own are required to license.</p>	<p>Describe which types of family child care home providers are exempt from licensing:</p> <p>Family childcare providers who care for fewer than three infants or fewer than six children total are exempt from licensing. Programs which provide care for fewer than two hours per day or for less than three days per week are also exempt. However, family providers must be licensed or self-declared to participate in CCDF.</p>
In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child's own home.</p> <p>Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input type="checkbox"/></p> <p>N/A. Check if in-home care is not subject to licensing in your State/Territory.</p> <p>Describe which in-home providers are subject to licensing</p> <p>In-home providers who care for more than three infants or more than 5 children total, are required to license as a family provider.</p>	<p>Describe which types of in-home child care providers are exempt from licensing</p> <p>In-home providers who care for fewer than three infants or fewer than six children total are exempt from licensing. Programs which provide care for fewer than two hours per day or for less than three days per week are also exempt. However, in-home providers must be registered, licensed or self-declared to participate in CCDF.</p>

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's:**



e) **Indicate** whether your State/Territory licensing requirements include any of the following four indicators for each category of care*.

*American Academy of Pediatrics, American Public Health Association, National Resource Center for Health and Safety in Child Care and Early Education. (2011) *Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and Education Programs. 3rd Edition.* Elk Grove Village, IL: American Academy of Pediatrics; Washington, DC: American Public Health Association. Available online: <http://nrckids.org/CFOC3>

For each indicator, check all requirements for licensing that apply, if any.				
Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)

Do the licensing requirements include **child:staff ratios and group sizes?**

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/>	Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/>	Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/>	Yes, Child: staff ratio requirement.	<input type="checkbox"/>	Yes, Child: staff ratio requirement.		
	Infant ratio (11 months): 1:4		Infant ratio (11 months): 1:4		List ratio requirement by age group:		List ratio requirement by age group:		
	Toddler ratio (35 months): 1:5		Toddler ratio (35 months): 1:5		<input type="checkbox"/>	No ratio requirements.	<input type="checkbox"/>	No ratio requirements.	
	Preschool ratio (59 months): 1:10		Preschool ratio (59 months): 1:10		<input checked="" type="checkbox"/>	Yes, Group size requirement.	<input type="checkbox"/>	Yes, Group size requirement.	
	<input type="checkbox"/>	No ratio requirements.	<input type="checkbox"/>	No ratio requirements.		List ratio requirement by age group:		List ratio requirement by age group:	
	<input checked="" type="checkbox"/>	Yes,	<input type="checkbox"/>	Yes,		List ratio requirement by age group: A family provider may not exceed a group size of nine children, where no more than three may be under the age of twenty four months and at least two of the nine are school-age children.		<input type="checkbox"/>	No group size requirements.
	Group size requirement Infant group size (11 months): 10		Group size requirement Infant group size (11 months):						
	Toddler group size (35 months): 15		Toddler group size (35 months):						
	Preschool group size (59 months): 25		Preschool group size (59 months):		<input type="checkbox"/>	No group size requirements.			
	<input type="checkbox"/>	No group size requirements.	<input checked="" type="checkbox"/>	No group size requirements.					

Do the licensing requirements identify specific experience and educational **credentials for child care directors?**

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
High school/GED	High school/GED	High school/GED	High school/GED
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Child Development Associate (CDA)	Child Development Associate (CDA)	Child Development Associate (CDA)	Child Development Associate (CDA)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State/ Territory Credential	State/ Territory Credential	State/ Territory Credential	State/ Territory Credential
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Associate's degree	Associate's degree	Associate's degree	Associate's degree
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bachelor's degree	Bachelor's degree	Bachelor's degree	Bachelor's degree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No credential required for licensing	No credential required for licensing	No credential required for licensing	No credential required for licensing
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other:	Other:	Other:	Other:
	Completion of a 12 hour Basic Child Care course	Completion of a 12 hour Basic Child Care course	

Do the licensing requirements identify specific educational **credentials for child care teachers?**

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	Completion of a 12 hour Basic Child Care course		Completion of a 12 hour Basic Child Care course		Completion of a 12 hour Basic Child Care course		

Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year	
	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year	
	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement	
	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	
		Annual training requirements vary, depending on the position held and the number of hours worked. Cetner directors and supervisors are required to complete at least 13 hours of annual training, not including CPR and First Aid training.		10 hours of annual training, in addition to CPR/First Aid training requirements.		9 hours of annual training, in addition to the CPR/First Aid training requirements.	

f) Do you expect the licensing requirements for child care providers to change in FY2014-2015?

Yes.

Describe:

A revision to the licensing requirements is planned, with a targeted effective date of October 1, 2014. DHS will be working with an advisory board of providers to identify and recommend necessary revisions. The administrative rules for licensing will need to be revised to mirror changes in law which

were effective July 1, 2013.

No.

3.1.2 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.2a through 3.1.2e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

a) Does your State/Territory include **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the licensing requirements?

Effective Date: 01-OCT-13

Yes. If "Yes" please refer to the chart below and check all that apply.

No.

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
-------------------------	---------------------------------------	---

<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Unannounced visits are mandated once per year but may occur more frequently if concerns exist.
<input checked="" type="checkbox"/> Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Unannounced visits are mandated once per year but may occur more frequently if concerns exist.

<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Licensed family child care homes receive at least one announced visit per year. Self-declared (caring for 5 or fewer children) providers generally receive a visit only when requested or when concerns exist.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Licensed family child care homes receive at least one unannounced visit per year. Self-declared (caring for 5 or fewer children) providers generally receive a visit only when requested or when concerns exist.
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Visits are typically only conducted if a concern exists. These concerns may be reported to the county by a parent or other concerned individual. The county licenser is the individual who completes the visit.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Visits are typically only conducted if a concern exists. These concerns may be reported to the county by a parent or other concerned individual. The county licenser is the individual who completes the visit.

b) Does your State/Territory have any of the following procedures in place for effective enforcement of the licensing requirements? If procedures differ based on the category of care, please indicate how in the "Describe" box.

- Yes. If "Yes" please refer to the chart below and check all that apply.
 No.

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
<p>The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.</p>	<p><input checked="" type="checkbox"/> Yes.</p> <p>Describe: Providers are required to attend an orientation with the county social service office prior to receiving their license.</p> <p><input type="checkbox"/> No.</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p>
<p>The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.</p>	<p><input type="checkbox"/> An on-site inspection is conducted.</p> <p><input type="checkbox"/> Programs self-certify.</p> <p>Describe:</p> <p><input type="checkbox"/> No procedures in place.</p> <p><input checked="" type="checkbox"/> Other.</p> <p>Describe: All licensed centers and homes are inspected prior to issuing a license. Self-declared providers are required to self-declare in a notarized application that they are meeting the minimum standards for health and safety, and inspections are done prior to approval if concerns exists.</p>

Licensing staff has procedures in place to address violations found in an inspection.



Providers are required to submit plans to correct violations cited during inspections.



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



Licensing staff provide technical assistance regarding how to comply with a regulation.



No procedures in place.



Other.

Describe:

Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

The State/Territory has procedures in place to respond to illegally operating child care facilities.

Cease and desist action

Injunction

Emergency or immediate closure not through court action

Fines

No procedures in place.

Other.

Describe:

Illegally operating childcare programs are referred by the Lead Agency to the local State's Attorney for enforcement. This may result in the order of closure and criminal charges being filed against the illegal provider.

The State/Territory has procedures in place for providers to appeal licensing enforcement actions.

Yes.

Describe:

Operators of licensed, self-declared, and registered in-home programs have the ability to appeal a revocation or denial decision, or the assessment of fiscal sanctions. The appeal must be filed within ten days of receiving the notice. Upon receipt of a timely appeal, a hearing will be scheduled with the Office of Administrative Hearings. The decision of the hearing is final when signed by the Executive Director of the Lead Agency.

No.

Other.

Describe:

c) Does your State/Territory use **background checks as a way to effectively enforce the licensing requirements?**

Yes.If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency

No.

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
--------------------------------	----------------------------------	------------------	---

<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Teaching staff
		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Non-teaching staff
		Describe:	<input checked="" type="checkbox"/> Volunteers
			<input type="checkbox"/> Other.
			N/A
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director
	<input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Teaching staff
		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Non-teaching staff
		Describe:	<input checked="" type="checkbox"/> Volunteers
			<input type="checkbox"/> Other.
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director
	<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Teaching staff	
<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Other.	<input type="checkbox"/> Non-teaching staff	
	Describe:	<input type="checkbox"/> Volunteers	
		<input checked="" type="checkbox"/> Other.	
	<input checked="" type="checkbox"/> Initial Entrance into the System		
	<input checked="" type="checkbox"/> Checks Conducted Annually		

		<input type="checkbox"/> Other. Describe:	Child care center directors and supervisors are required to complete the fingerprint background check. Staff who lived outside of ND and Minnesota in the past 10 years are required to complete the fingerprint background check. <input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other. N/A
--	--	---	---

<input checked="" type="checkbox"/> Group Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Other.	N/A
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	Describe:	
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	N/A
		Describe:	
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	Non-provider residents may be required to be fingerprinted if they are also staff members of the program.
		Describe:	
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	N/A
		Describe:	

--	--	--	--

<input checked="" type="checkbox"/> Family Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. N/A
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. N/A
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home.
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Other. Describe:	Non-provider residents may be required to be fingerprinted if they are also staff members of the program.
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. N/A

--	--	--	--

<input checked="" type="checkbox"/> In-Home Child Care Providers	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)		<input checked="" type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	N/A
	<input checked="" type="checkbox"/> State/Territory Criminal Background	Describe:	<input checked="" type="checkbox"/> Provider
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Checks Conducted Annually	N/A
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Other.	
		Describe:	<input checked="" type="checkbox"/> Provider
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	N/A
		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Provider
		Describe:	<input type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Initial Entrance into the System	N/A
		<input checked="" type="checkbox"/> Checks Conducted Annually	
		<input type="checkbox"/> Other.	<input type="checkbox"/> Non-provider residents of the home.
		Describe:	

--	--	--	--

d) Please **provide a brief overview** of the State/Territory's process for conducting background checks for child care. In this brief overview, include the following:

Effective Date: 01-OCT-13

d -1) The cost associated with each type of background check conducted:

The state criminal history check, the sex offender check, and the child abuse and neglect index check are completed by the Lead Agency with no costs to the program or the providers. The FBI fingerprint check costs \$30 per background check.

d-2) Who pays for background checks:

The Lead Agency pays the cost of background checks for providers with state general funds.

d-3) What types of violations would make providers ineligible for CCDF? Describe:

Providers would be ineligible for CCDF if they were found guilty of, pled guilty to, or pled no contest to a direct bearing offense: An offense described in North Dakota Century Code chapters 12.1-16, homicide; 12.1-17, assaults, - threats, - coercion, harassment; 12.1-18, kidnapping; or 12.1-27.2 sexual performances by children; or in North Dakota Century Code sections 12.1-20-03, gross sexual imposition; 12.1-20-03.1, continuous sexual abuse of a child; 12.1-20-04, sexual imposition; 12.1-20-05, corruption or solicitation of minors; 12.1-20-05.1, luring minors by computer or other electronic means; 12.1-20-06, sexual abuse of wards; 12.1-20-07, sexual assault; 12.1-22-01, robbery; or 12.1-22-02, burglary, if a class B felony under subdivision b of subsection 2 of that section; 12.1-29-01, promoting prostitution; 12.1-29-02, facilitating prostitution; 12.1-31-05, child procurement; or 14-09-22, abuse or neglect of a child. Providers would also be ineligible for CCDF following conviction of any offense for which the individual had not been determined to be sufficiently rehabilitated.

d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe:

There is no process for appealing a background finding, although individuals may resubmit their application for background check with added information or documentation of rehabilitation. If documentation provides evidence of rehabilitation, the individual may be determined eligible for

providing child care. If the background check results in a denial of a child care license, self-declaration, or registration, then the applicant may file an appeal with the Office of Administrative Hearings.

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? Describe (658E(c)(2)(E), §98.40(a)(2))

The Lead Agency has the authority conduct unannounced and announced visits on any early childhood program. For licensed providers, one announced and one unannounced visit are required annually. For self-declared, in-home registered, and approved relative programs, visits are conducted whenever a concern exists. Concerns are typically reported by parents, food program representatives, or other concerned individuals. When a concern is reported, or if the department has a general concern about the quality of childcare, the county licenser will do a complete investigation and will recommend any corrective action.

The minimum background check for all providers, household members, and staff includes the Child Abuse/Neglect Registry Check, the ND Criminal Court system, and the ND Sex Offender Registry annually. Additionally, all licensed, self-declared and registered in-home providers receive an FBI fingerprint background check prior to approval. Staff members who have lived outside of North Dakota and Minnesota in the past 10 years also receive an initial fingerprint background check.

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other "search tools," about child care program licensing status and compliance records?

Effective Date: 01-OCT-13

Yes.

Describe:

Parents are able to access information on providers and licensing status both online or face to face through Child Care Resource and Referral. Child Care Resource and Referral also informs parents at this time that parents may contact the county social service office for a history of licensing compliance. In addition, subsidy eligible families also receive information at the time of eligibility determination information on how to access the Child Care Resource and Referral support and how to obtain information regarding a provider's licensing history.

No

3.1.3. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and which also may be covered by the licensing requirements. (658E(c)(2)(F), §98.41)



Check if the Lead Agency certifies that 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))

a) **Describe** the Lead Agency's health and safety requirements for prevention and control of infectious disease in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(i), §98.41(a)(1))

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.				
The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input type="checkbox"/> Physical exam or health statement for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Physical exam or health statement for children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provider immunizations				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Child immunizations				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Hand-washing policy for providers and children				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Diapering policy and procedures				
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Providers to submit a self-certification or complete health and safety checklist				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other.				
Describe:				

b) **Describe** the Lead Agency's health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.

The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>				
Other.				
Describe:				

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc). 'On-going' would be some type of routine occurrence (e.g., maintain qualifications each year).

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	First Aid certification is required for Child Care Center directors, and designated staff that serve as back-up in absence of directors.	First Aid certification must be kept current for Child Care Center directors, and designated staff that serve as back-up in absence of directors.
	CPR	CPR certification is required for Child Care Center directors, and designated staff that serve as back-up in absence of directors.	CPR certification must be kept current for Child Care Center directors, and designated staff that serve as back-up in absence of directors.
	Medication Administration Policies and Practices	Not required for preservice.	Medication administration is addressed in the Safe Practices and Policies course, which is required within the first three months of licensure or employment.

	Poison Prevention and Safety	Not required for preservice.	Poison prevention is addressed in the Safe Practices and Policies course, which is required within the first three months of licensure or employment.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Not required for preservice.	Safe sleep is required to be included in staff orientation provided within the first 10 days of employment. Safe Sleep is also addressed in the Safe Practices and Policies course, which is required within the first three months of licensure or employment.
	Shaken Baby Syndrome and abusive head trauma prevention	Not required for preservice.	Not required as on-going training.
	Age appropriate nutrition, feeding, including support for breastfeeding	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment. Nutrition is required to be included in staff orientation provided within the first 10 days of employment.
	Physical Activities	Not required for preservice.	Not required.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment, and center policies on prevention of illness must be covered in staff orientation during the first 10 days of employment.

	Recognition and mandatory reporting of suspected child abuse and neglect	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment, and center policies on reporting suspected abuse or neglect must be covered in staff orientation during the first 10 days of employment.
	Emergency preparedness and planning response procedures	Not required for preservice.	Emergency preparedness is required to be included in staff orientation provided within the first 10 days of employment. Training is also included in Safe Practices and Policies, which is required to be completed during the first three months of licensure or employment.
	Management of common childhood illnesses, including food intolerances and allergies	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment, and addressing children's unique health issues must be covered in staff orientation during the first 10 days of employment.
	Transportation and child passenger safety (if applicable)	Not required for preservice.	Not required.

	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Not required for preservice.	Caring for children with special needs is required to be included in staff orientation provided within the first 10 days of employment. In addition, this training is offered as an optional free ongoing training to operators and employees.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment. In addition, this training is offered as an optional free ongoing training to operators and employees.
	Supervision of children	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment. Supervision is required to be included in staff orientation provided within the first 10 days of employment.
	Behavior management	Not required for preservice.	This training is required to be completed during the first three months of licensure or employment, and center policies on prevention of illness must be covered in staff orientation during the first 10 days of employment.

Other

Describe:

A number of other professional development opportunities are available to center operators and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a 120 hours of free, online trainings to the early childhood workforce in a number of core competency areas. Some examples of these courses are:

- * Making Families Feel Welcome
- * How Family and Culture Impact Learning and Development
- * Selecting and Displaying Toys
- * Taxes and Recordkeeping for Family and Group Providers.

Providers that meet the requirements of another oversight entity that fulfills the CCDF health and safety requirements will be subject to training requirements based on

	that entity's regulations. These requirements may differ from the training requirements of N.D., but will comply with CCDF requirements.		
Group Home Child Care	First Aid	Group providers are required to obtain First Aid certification prior to licensing.	Group providers are required to maintain First Aid certification.
	CPR	Group providers are required to obtain CPR certification prior to licensing.	Group providers are required to maintain CPR certification.
	Medication Administration Policies and Practices	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Poison Prevention and Safety	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Shaken Baby Syndrome and abusive head trauma prevention	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.

	Age appropriate nutrition, feeding, including support for breastfeeding	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Physical Activities	Not required for preservice.	Training is not required, but is offered to providers on an ongoing basis.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Recognition and mandatory reporting of suspected child abuse and neglect	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Emergency preparedness and planning response procedures	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Management of common childhood illnesses, including food intolerances and allergies	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Transportation and child passenger safety (if applicable)	Not required for preservice.	Training is not required.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Not required for preservice.	Training is not required.

	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Supervision of children	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Behavior management	Not required for preservice.	Group child care providers are required to complete this training prior to licensing or within the first three months of licensure.

Other

A number of other professional development opportunities are available to group operators and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a number of free, online trainings to the early childhood workforce. In addition to the above mentioned training, free online training is also offered in a variety of core competency areas.

A number of other professional development opportunities are available to group operators and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a number of free, online trainings to the early childhood workforce. In addition to the above mentioned training, free online training is also offered in a variety of core competency areas.

Describe:

A number of other professional development opportunities are available to group operators and staff.

Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a 120 hours of free, online trainings to the early childhood workforce in a number of core competency areas. Some examples of these courses are:

- * Making Families Feel Welcome
- * How Family and Culture Impact Learning and Development
- * Selecting and Displaying Toys
- * Taxes and Recordkeeping for Family and Group Providers.

Providers that meet the requirements of another oversight entity that fulfills the CCDF health and safety requirements will be subject to training requirements based on that entity's regulations. These requirements may differ from the

	training requirements of N.D., but will comply with CCDF requirements.		
Family Child Care Providers	First Aid	Family providers are required to obtain First Aid certification prior to licensing.	Family providers are required to maintain First Aid certification.
	CPR	Family providers are required to obtain CPR certification prior to licensing.	Family providers are required to maintain CPR certification.
	Medication Administration Policies and Practices	Not required for preservice for licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Poison Prevention and Safety	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Shaken Baby Syndrome and abusive head trauma prevention	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Age appropriate nutrition, feeding, including support for breastfeeding	Not required for preservice.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.

	Physical Activities	Not required for preservice.	Training is not required.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Recognition and mandatory reporting of suspected child abuse and neglect	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Emergency preparedness and planning response procedures	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Management of common childhood illnesses, including food intolerances and allergies	Not required for preservice licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Transportation and child passenger safety (if applicable)	Not required for preservice.	Training is not required.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Not required for preservice.	Training is not required.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Not required for preservice.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.

	Supervision of children	Not required for preservice for licensed providers, but required as pre-service for self-declared providers.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.
	Behavior management	Not required for preservice.	Licensed Family child care providers are required to complete this training prior to licensing or within the first three months of licensure.

Other:

A number of other professional development opportunities are available to family providers and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a number of free, online trainings to the early childhood workforce. In addition to the above mentioned training, free online training is also offered in a variety of core competency areas.

Licensed family providers are required to complete 9 hours of training each year. Providers may choose from a wide variety of approved trainings.

Describe:

A number of other professional development opportunities are available to family providers and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a 120 hours of free, online trainings to the early childhood workforce in a number of core competency areas. Some examples of these courses are:

- * Making Families Feel Welcome
- * How Family and Culture Impact Learning and Development
- * Selecting and Displaying Toys
- * Taxes and Recordkeeping for Family and Group Providers.

Providers that meet the requirements of another oversight entity that fulfills the CCDF health and safety requirements will be subject to training requirements based on that entity's regulations. These requirements may differ from the training requirements of

	N.D., but will comply with CCDF requirements.		
In - Home Child Care	First Aid	In-home providers are required to obtain First Aid certification prior to licensing.	In-home providers are required to maintain First Aid Certification.
	CPR	In-home providers are required to obtain CPR certification prior to licensing.	In-home providers are required to maintain CPR Certification.
	Medication Administration Policies and Practices	Not required for in-home providers.	Not required for in-home providers.
	Poison Prevention and Safety	Not required for in-home providers.	Not required for in-home providers.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	Not required for in-home providers.	Not required for in-home providers.
	Shaken Baby Syndrome and abusive head trauma prevention	Not required for in-home providers.	Not required for in-home providers.
	Age appropriate nutrition, feeding, including support for breastfeeding	Not required for in-home providers.	Not required for in-home providers.
	Physical Activities	Not required for in-home providers.	Not required for in-home providers.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	Not required for in-home providers.	Not required for in-home providers.
	Recognition and mandatory reporting of suspected child abuse and neglect	Not required for in-home providers.	Not required for in-home providers.
	Emergency preparedness and planning response procedures	Not required for in-home providers.	Not required for in-home providers.

	Management of common childhood illnesses, including food intolerances and allergies	Not required for in-home providers.	Not required for in-home providers.
	Transportation and child passenger safety (if applicable)	Not required for in-home providers.	Not required for in-home providers.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	Not required for in-home providers.	Not required for in-home providers.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Not required for in-home providers.	Not required for in-home providers.
	Supervision of children	Not required for in-home providers.	Not required for in-home providers.
	Behavior management	Not required for in-home providers.	Not required for in-home providers.

	<p>Other</p> <p>Describe:</p> <p>A number of other professional development opportunities are available to in-home providers. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Resource and Referral, the Lead Agency is able to offer a number of free, online trainings to the early childhood workforce. In addition to the above mentioned training, free online training is also offered in a variety of core competency areas.</p>	<p>Pre-service training is not required for in-home providers, with the exception of first aid and CPR training.</p>	<p>On-going training is not required for in-home providers, with the exception of first aid and CPR training.</p>
--	---	--	---

d) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii)(A))

- All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
- Relative providers are NOT required to meet any health and safety requirements as described in 3.1.2a-c, as appropriate.
- Relative providers are subject to certain requirements.

Describe the different requirements:

Relative providers receive a name-based state criminal background check.

e) Provide a web address for the State/Territory's health and safety requirements, if available:

These regulations are listed on www.nrckids.org. The health and safety requirements are included in licensing standards: NDAC 75-03-07 In-Home child care, 75-03-07.1 Self-declaration child care, 75-03-08 Family child care, 75-03-09 Group child care, 75-03-10 Child care centers, 75-03-11 Preschool, and 75-03-11.1 School-age child care centers.

3.1.4 Effective enforcement of the CCDF health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in 3.1.2 for licensed providers, please describe how the Lead Agency enforces the CCDF health and safety enforcement requirements. Health and safety enforcement measures for approved relative providers include state name-based criminal court searches. The state Criminal Background Check Unit files are also searched for individuals applying for approved relative status. Unannounced visits may be conducted if a concern is reported or if the department questions the quality of care being provided.

The department has the authority to conduct unannounced and announced visits in any early childhood program. For self-declared providers, in-home providers, and approved relative providers, a licenser will conduct a visit if a concern exists or if the department has questions about the quality of care being offered. Concerns are typically reported by parents or other concerned individuals. When these concerns are reported or if the department has questions about the quality of care being offered, a county licenser will do a visit to investigate the concerns.

The minimum background check requirement for all providers and staff includes the State criminal name-based check, the State Child Abuse and Neglect Index check, and the State Sex Offender Registry annually. Additionally, all licensed, self-declared, and in-home registered providers receive the FBI fingerprint based background check prior to approval. All staff who have lived outside of ND and Minnesota in the past ten years also receive the FBI fingerprint based check upon hire.

a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced)

The Lead Agency uses unannounced visits for self-declared, registered or approved relative providers when a concern exists.

b) Describe whether the Lead Agency uses background checks

The minimum background check requirement includes the State criminal name-based check, the State Child Abuse and Neglect Index check, and the State Sex Offender Registry.

c) Does the Lead Agency permit providers to self-certify compliance with applicable health and safety standards?

Yes. If yes, what documentation, if any, is required?

Describe:

Self-declared, registered, and approved relative providers may self-certify that they are meeting the health and safety standards. An application is required.

No

d) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements

The Lead Agency partners with the USDA Child and Adult Care Food Program representatives to increase monitoring of self-declared and licensed providers.

Check if the Lead Agency certifies that 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))

3.1.5 Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs? Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities..

Effective Date: 01-OCT-13

Yes.
Describe

Child Care programs are not required to conduct developmental screenings, but the Lead Agency does encourage developmental screening and the referral of services. CCR&R and Children's Consultation Network have been recently exploring the use of the Ages and Stages- Social Emotional (ASQ-SE) Questionnaire on-line with child care providers. A very limited number of providers have been introduced to the tool by CCR&R consultants and have used the on-line questionnaires to help the provider and parent to determine next steps for the individual child. As we learn more about the tool and the process we will encourage more providers to use it. Children's Consultation Network and CCR&R are currently in the process of creating a "Next Steps" document which will be a resource for parents outlining Early Intervention services, resources and learning activities for the child.

No
a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

Yes.
Describe

Through partnerships with CCR&R and the ND Center for Persons with Disabilities the Lead Agency is able to offer phone and on-site assistance to child care programs who have children with special care concerns (developmental, physical, and health related). CCR&R's team of child care health consultants have had a strong focus on helping child care programs understand the importance of care plans for children's health care needs, offering phone and on-site support as well as a variety of care plan templates on the www.ndchildcare.org website.

No
 Other.
Describe

b) If yes, are resources and supports provided to programs to help them understand how families are referred to indicated services and how to work with the health, mental health, and developmental disabilities agencies to support children when follow-up to screening is needed?

Yes.

Describe

Children's Consultation Network and CCR&R are currently in the process of creating a "Next Steps" document which will be a resource for parents outlining Early Intervention services, resources and learning activities for the child. This resource will provide support for parents with regard to health, mental health, and developmental disabilities. Through partnerships with the Child Care Resource and Referral health consultants and the ND Center for Persons with Disabilities, the Lead Agency is working with programs to help raise awareness of services available to families in the areas of health, mental health, and developmental disabilities.

No

Other.

Describe

c) Does the State/Territory use developmental screening and referral tools?

Yes. If Yes, provide the name of the tool(s)

The state has begun training a small group of providers, as part of the QRIS pilot, to use the Ages and Stages- Social Emotional (ASQ-SE) Questionnaire tool. As the state learns more about the tool and assess the benefits, we will continue to work with CCR&R to offer continued training and support to providers statewide.

No

Other.

Describe

3.1.6 Data & Performance Measures on Licensing and Health and Safety

Compliance - What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children)).

a) **Data on licensing and health and safety.** Indicate if the Lead Agency or another agency has access to data on:

Number of licensed programs.

Describe (optional):

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

[The Lead Agency only has data on legally exempt programs if they are participating in CCDF.](#)

Number of programs whose licenses were suspended or revoked due to non-compliance.

Describe (optional):

Number of injuries in child care as defined by the State/Territory.

Describe (optional):

Number of fatalities in child care as defined by the State/Territory.

Describe (optional):

Number of monitoring visits received by programs.

Describe (optional):

Caseload of licensing staff.

Describe (optional):

Number of programs revoked from CCDF due to non-compliance with health and safety requirements.

Describe (optional):

Other.

Describe:

None.

b) **Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements?

All licensed providers are required to receive one unannounced visit and one announced visit annually. Results of visits are recorded in the provider's licensing file, which is maintained at the county level. The Early Childhood Regional supervisor reviews all licensing studies for initial application or renewal for compliance with all licensing regulations. The licensing study includes the compliance checklist, the verification of provider qualifications, fire and health inspection forms, CPR/Aid certification and other documents to verify compliance prior to licensing. The early childhood regional supervisor collaborates with the ECS Administrator to ensure compliance with CCDF health and safety requirements and to identify patterns of high quality and/or patterns of noncompliance.

c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. Data on licensed capacity and demand is reviewed quarterly. Data on accidents and injuries in childcare is reviewed monthly, with a quarterly report submitted to the Lead Agency's Division of Risk Management for feedback.

3.1.7 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

Note -When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Effective Date: 01-OCT-13

Goal #1:

Review and modify the pre-licensing training, as it relates to serving culturally and linguistically diverse providers.

Goal #2:

Expand developmental screening activities in childcare programs by coordinating efforts with the Healthy North Dakota Early Childhood Alliance.

Goal #3:

Develop a quality assurance policy for licensing staff that includes a periodic review and a format for feedback.

NEW!

CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link <http://www.acf.hhs.gov/programs/occ/resource/government-performance-and-results-act-gpra-measures> to see the CCDF performance measures. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon



in Section 3.2 through 3.4 order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary

because States/Territories are not required to develop such guidelines or implement them in a specified manner.

3.2.1 Has the State/Territory developed voluntary early learning guidelines for children? Check any early learning guidelines the State/Territory has developed.

Effective Date: 01-OCT-13

- Birth-to-three
- Three-to-five
- Five years and older
- None. **Skip to 3.2.6.**

If yes, insert web addresses, where possible:

<http://www.nd.gov/dhs/services/childcare/>

Which State/Territory agency is the lead for the early learning guidelines?

The Department of Human Services is the lead, and dissemination is coordinated between the Early Childhood Services Administrator and the Head Start State Collaboration Administrator.

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Effective Date: 01-OCT-13

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner?
Check all audiences and methods that your State/Territory has chosen to use in the chart below.

Effective Date: 01-OCT-13

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<p>Other. List:</p> <p>Higher Education-Professors of Early Childhood Education courses utilize the Early Learning Guidelines in their courses. The Early Learning Guidelines have been disseminated through the Early Childhood Higher Education Consortium, which is made up of 5 state colleges, 6 state universities, 1 private college, 1 private university, and 5 tribal colleges in North Dakota.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
---	-------------------------------------	-------------------------------------	--------------------------

3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

Effective Date: 01-OCT-13

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional credential
- To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
- To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
- To develop State-/Territory -approved curricula
- Other.

- None.

3.2.5 Are voluntary early learning guidelines and development standards aligned with into other parts of the child care system? Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

Effective Date: 01-OCT-13

- Cross-walked to align with Head Start Child Development and Early Learning Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other.

- None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In this section, assessment is framed with two distinct purposes/tools - 1) ongoing assessment of children's progress within the classroom to improve and individualize instruction (this corresponds to 3.2.6a) and 2) assessments conducted within pre-kindergarten and/or at kindergarten entry to inform policymakers about the school readiness of children across the State on a broad range of domains, used to guide program initiatives (this corresponds to 3.2.6b).

In the description for each Yes response, please include a) who administers, and b) how often assessments are conducted, and c) what assessment tools are used.

Effective Date: 01-OCT-13

a) Are programs required to conduct ongoing assessments of children's progress of children using valid, reliable and age-appropriate tools aligned with the early learning guidelines or other child standards?

Yes.

Describe:

a-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?

Yes.

Describe:

No

Other.

Describe:

a-2) If yes, is information on child's progress reported to parents?

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children within pre-kindergarten and/or as they enter kindergarten?

Yes.

Describe:

The Department of Public Instruction oversees kindergarten readiness assessments. All schools are required, as a part of the school approval or accreditation process, to perform school readiness assessments before kindergarten or first grade.

b-1) If yes, do the tools cover the developmental domains identified in 3.2.2?

Yes.

Describe:

The domains covered in kindergarten readiness assessment may vary, according to the local district. The Department of Public Instruction does not mandate the domains to be included in the readiness testing, although the assessments do typically cover the domains identified in 3.2.2.

No

Other.

Describe:

b-2) If yes, are the tools used on all children or samples of children?

All children.

Describe:

All children entering a public or approved private school will take part in a readiness assessment.

Samples of children.

Describe:

Other.

Describe:

b-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

c) Is school readiness information linked to the statewide longitudinal data system (SLDS, program of the Department of Education)?

Yes.

Describe:

No

Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines (Click for additional instructions)

a) **Data on voluntary early learning guidelines.** Indicate if the Lead Agency or another agency has access to data on:

Number/percentage of child care providers trained on ELG's for preschool aged children.

Describe (optional):

Number/percentage of child care providers trained on ELG's for infants and toddlers.

Describe (optional):

Number of programs using ELG's in planning for their work.

Describe (optional):

Number of parents trained on or served in family support programs that use ELG's.

Describe (optional):

Other.

Describe:

Between October 2011 and July 2013, 673 individuals completed the free online training on ELG's. It is expected that the majority of these individuals are providers or staff members working in child care programs, but it is possible that others may be Head Start staff, Early Intervention staff, students, or parents.

None.

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines?

North Dakota partnered with Zero to Three to develop and implement a plan for coordinated dissemination and implantation of the Birth to Three early learning guidelines. All training offered through CCR&R is aligned to the early learning guidelines. In addition, all new providers receive the early learning guidelines and information on training in a new provider visit conducted by CCR&R.

c) **Evaluation.** What are the State/Territory's plans, if any, for evaluation related to early learning guidelines? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

At this point, ND has not developed a plan for evaluation of the Early Learning Guidelines.

3.2.8 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for using voluntary early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make related to early learning guidelines?

Effective Date: 01-OCT-13

Goal #1:

The Lead Agency will partner with HNDECA to develop a companion guide for the Birth-3 Early Learning Guidelines that will be offered to early childhood providers and parents through a coordinated system of dissemination.

Goal #2:

The Lead Agency will develop a system for defining and tracking implementation of the early learning guidelines in programs.

Goal #3:

The Lead Agency will also coordinate efforts with the Department of Public Instruction to identify and adopt a statewide kindergarten readiness assessment that will be connected to the Statewide Longitudinal Data System.

3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3) (Click for additional instructions)

Effective Date: 01-OCT-13

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities.

Program quality improvement planning is currently happening through the ND Growing Futures Professional Development Committee, the Early Childhood State Team, the ND QRIS Advisory Committee, and HNDECA. Each of these organizations have active participation by the ECS Administrator, the Child Care Subsidy Administrator, ECS Regional Supervisors, ECS licensers, CCR&R network staff, representatives from the child care field, representatives from Head Start, parents, and representatives from other early childhood agencies.

3.3.1 Element 1 - Program Standards

Definition - For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. Minimum licensing standards and health and safety requirements provided in section 3.1 are also program standards but in this section, we focus on those standards that build upon and go beyond those minimum requirements.

Effective Date: 01-OCT-13

 a) Does your State/Territory's have quality improvement standards that include indicators covering the following areas beyond what is required for licensing? Check any indicators, if any, that your State/Territory has chosen to establish.

- Ratios and group size
- Health, nutrition and safety
- Learning environment and curriculum
- Staff/Provider qualifications and professional development
- Teacher/providers-child relationships
- Teacher/provider instructional practices
- Family partnerships and family strengthening
- Community relationships
- Administration and management
- Developmental screenings
- Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- Cultural competence
- Other.

Describe:

None. If checked, **skip to 3.3.2.**

b) Does your State/Territory have quality improvement standards with provisions about the care of any of these groups of children? Check any provisions your State/Territory has chosen to establish.

- Children with special needs as defined by your State/Territory
- Infants and toddlers
- School-age children
- Children who are dual language learners
- None

c) How do your State/Territory's quality standards link to State/Territory licensing requirements? Check any links between your State/Territory's quality standards and

licensing requirements.

- Licensing is a pre-requisite for participation
- Licensing is the first tier of the quality levels
- State/Territory license is a "rated" license.
- Other.

Describe:

- Not linked.

d) Do your State/Territory's quality improvement standards align with or have reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory's quality standards and other standards.

- Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
- Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
- Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)

- Other.

Describe:

- None.

3.3.2 Element 2 - Supports to Programs to Improve Quality

Definition - For purposes of this section, supports to programs to improve quality refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

Effective Date: 01-OCT-13

a) Check which types of and for what purposes the State/Territory uses supports to child care programs, if any, in the following chart. If none, **skip to 3.3.3.**

- None. **skip to 3.3.3.**

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation		
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
<input checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:					
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Teaching dual language learners	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Other. Describe:</td> </tr> <tr> <td style="padding: 2px;"> The Lead Agency also offers written materials, training and technical assistance on preparing environments, interactions with children, working with children with special needs and behavior management. </td> </tr> </table>	Other. Describe:	The Lead Agency also offers written materials, training and technical assistance on preparing environments, interactions with children, working with children with special needs and behavior management.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe:					
The Lead Agency also offers written materials, training and technical assistance on preparing environments, interactions with children, working with children with special needs and behavior management.					

b) Methods used to customize quality improvement supports to the needs of individual programs include:

- Program improvement plans
- Technical assistance on the use of program assessment tools
- Other.

Describe:

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

- Yes.

Describe:

Professional coaches are available upon entering the QRIS system and during the quality improvement process.

- No
- Other.

Describe:

3.3.3 Element 3 - Financial Incentives and Supports

Definition - For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

Effective Date: 01-OCT-13

 a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory chooses to offer. If none, **skip to 3.3.4.**

- None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Grants to programs to meet or maintain licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving / maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 - Element 4 - Quality Assurance and Monitoring

Definition - For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

Effective Date: 01-OCT-13

 a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> Assessment occurs when a provider enters a quality improvement program and again after completing the program. Upon completing the program, which includes a sequence of training and consultation, environmental rating scales are used to measure the growth of quality in the environment. If a provider wishes to request an assessment on a continual basis, the provider may contact Child Care Resource and Referral to schedule an observation. </div>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> Assessment occurs when a provider enters the quality improvement program and again after completing the program. If a provider wishes to request an assessment using CLASS on a continual basis, the provider may contact Child Care Resource and Referral to schedule an observation. </div>	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe: <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) What steps, if any, has the State/Territory taken to align quality assurance and monitoring across funding streams and sectors in order to minimize duplication?

Have a mechanism to track different quality assessments/monitoring activities to avoid

duplication

- Include QRIS or other quality reviews as part of licensing enforcement
- Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Other.

Describe:

- None.

3.3.5 - Element 5 - Outreach and Consumer Education

Definition - For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

Effective Date: 01-OCT-13

 a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may communicated to parents about licensing status and licensing compliance as reported in 3.1.3? (e.g. stars, or gold/silver/bronze levels).

Yes. If yes, how is it used?

Resource and referral/consumer education services use with parents seeking care

Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting

Searchable database on the web

Voluntarily, visibly posted in programs

Mandatory to post visibly in programs

Used in marketing and public awareness campaigns

Other.

Describe:

No. If no, **skip to 3.3.6.**

b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

Print

Radio

Television

Web

Telephone

Social Marketing

Other.

Describe:

None.

c) Describe any targeted outreach for culturally and linguistically diverse families.

Outreach for culturally and linguistically diverse families is coordinated at the county social service offices. These needs are identified during the intake process at the county social service office. Child care licensers and child care subsidy eligibility workers team together to ensure that the family has

access to early childhood programs and information on making an informed decision about child care.

The use of interpreters and access to Language Line are methods used to improve communication to diverse families about services that are available to them. These partnerships ensure that appropriate child care is in place for these families. The Lead Agency is exploring partnerships with other agencies that work with culturally diverse families to improve communication and outreach.

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-13

 a) **Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5**, does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.

Participation is voluntary for:

Participation is mandatory for:

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.

No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

State/Territory is in the development phase

State/Territory has no plans for development

Other.

Describe:

 b) If yes to 3.3.6a, **CHECK** the types of providers eligible to participate in the QRIS:

Child care centers

Group child care homes

Family child care homes

In-home child care

License exempt providers

Early Head Start programs

Head Start programs

Pre-kindergarten programs

School-age programs

Other.

Describe:

3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above,

please describe:

A quarterly newsletter highlighting support, training, and resources is sent to self-declared and approved relative providers quarterly. Additionally, self-declared providers are required to take a 4.5 hour basic child care course prior to approval to provide services to children. This training focuses on improving health and safety. Key topics included in this training include, but are not limited to, building safety, safe sleep for infants, illness prevention, and supervision.

3.3.8 Data & Performance Measures on Program Quality (Click for additional instructions)

Effective Date: 01-OCT-13

a) Data on program quality. Indicate if the Lead Agency or another agency has access to data on:



Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory.

Describe(optional)

Data on the star level for provider in the QRIS pilot is available.



Number of programs that move program quality levels annually (up or down).

Describe(optional)

Data is available.



Program scores on program assessment instruments.

List instruments:

FCCERS

Describe(optional)

Assessments are used in programs participating in QRIS or other quality improvement activities



Classroom scores on program assessment instruments.

List instruments:

[CLASS, ITERS, and ECCERS](#)

Describe(optional)

[Assessments are used in programs participating in QRIS or other quality improvement activities.](#)



Qualifications for teachers or caregivers within each program.

Describe(optional)

[Data on teacher or caregiver qualifications is available at the Growing Futures registry, for those who participate in the registry.](#)



Number/Percentage of children receiving CCDF assistance in licensed care.

Describe(optional)

[Data is available.](#)



Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory



Number/Percentage of programs receiving financial assistance to meet higher program standards.

Describe(optional)

[The number or programs receiving financial assistance, the type of program, their licensed capacity, and the amount of financial assistance awarded is available.](#)



Other.

Describe:



None.

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures on program quality?

It is expected that providers enrolled in the quality improvement programs will receive support that will allow them to increase their ITERS, ECCERS, FCCERS, and CLASS assessment scores by 20%.

c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

Reliable assessment tools have been chosen as a means of evaluating the effectiveness of quality initiatives. These tools include ITERS, ECCERS, FCCERS, and CLASS. QRIS Pilot report will be reviewed and will provide a profile on the outcomes related to participation in the QRIS pilot.

3.3.9 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?

Effective Date: 01-OCT-13

Goal #1:

ND plans to expand the QRIS pilot statewide by making support and resources available for Stars 1 and 2. It is expected that ND can reach 20% of the providers at Stars 1 and 2 with the funding available.

3.4 Pathways to Excellence for the Workforce - Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. adult educators such as consultants, technical assistance providers, trainers, and higher education faculty). In this section, States and Territories provide a self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to five key elements for workforce systems:

- 1) Core Knowledge and Competencies
- 2) Career Pathways (or Career Lattice)
- 3) Professional Development Capacity
- 4) Access to Professional Development
- 5) Compensation, Benefits and Workforce Conditions

Effective Date: 01-OCT-13

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.

The planning and administering of the activities in this section is a collaborative work by many different early childhood professionals making up the ND Growing Futures Professional Development Committee. This committee is led by the Early Childhood Services Administrator and the Head Start State Collaboration Officer and contains representatives from CCR&R, NAEYC, private child care and preschool programs, and Higher Education. The North Dakota Early Childhood Higher Education Consortium also has an important role in setting a high standard of quality for early childhood professional and promoting access to professional development.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition - For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

Effective Date: 01-OCT-13



a) Has the State/Territory developed core knowledge and competencies (CKCs) for practitioners working with and/or on behalf of children?

Yes

No, the State/Territory has not developed core knowledge and competencies. **Skip to question 3.4.2.**

Other.

Describe:

If yes, insert web addresses, where possible: <http://www.nd.gov/dhs/services/childcare/>

b) Check which of the following teaching and learning topics, if any, are covered in the CKCs.

Child growth, development and learning

Health, nutrition, and safety

Learning environment and curriculum

Interactions with children

Family and community relationships

Professionalism and leadership

Observation and assessment

Program planning and management

Diversity

Other.

Describe:

None.

c) Are the CKCs incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its CKCs into other parts of the child care system.

To define the content of training required to meet licensing requirements

To define the content of training required for program quality improvement standards (as reported in section 3.3)

To define the content of training required for the career lattice or credential

To correspond to the early learning guidelines

To define curriculum and degree requirements at institutions of higher education

Other.

Describe:

None.

d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

Cross-walked with the Child Development Associate (CDA) competencies

Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)

Cross-walked with apprenticeship competencies

Other.

Describe:

None.

e) Check for which roles, if any, the State/Territory developed supplemental or specialized competencies.

Staff working directly with children in centers, including aides, assistants, teachers, master teachers.

Describe:

Providers working directly with children in family child care homes, including aides and assistants.

Describe:

Administrators in centers (including educational coordinators, directors).

Describe:

Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).

Describe:

Education and training staff (such as trainers, CCR&R staff, faculty).

Describe:

Other.

Describe:

None.

f) Check if the State/Territory has developed any supplemental or specialized competencies for practitioners/providers working with the following ages.

Birth-to-three

Three-to-five

Five and older

Other.

Describe:

None.

3.4.2 Workforce Element 2 - Career Pathways

Definition - For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

Effective Date: 01-OCT-13

 a) Does the State/Territory have a career pathway which defines the sequence of qualifications related to professional development (education, training and technical assistance) and experience required to work with children?

Yes.

Describe:

The Career Pathways document outlines standards for professional preparation and ongoing development by describing qualifications and training required for early care and education positions. The pathways show the 10 levels, A-J, and content of training and education expected for specific careers.

No, the State/Territory has not developed a career pathway. **Skip to question 3.4.3.**

Insert web addresses, where possible: www.ndgrowingfutures.org

b) Check for which roles, if any, the career pathway (or lattice) include qualifications, specializations or credentials.

Staff working directly with children in centers, including aides, assistants, teachers, master teachers.

Describe:

Center assistant and teacher qualifications are described beginning at level A on the Career Pathways.

Providers working directly with children in family child care homes, including aides and assistants.

Describe:

Family and group child care providers' qualifications are described beginning at level A on the Career Pathways.

Administrators in centers (including educational coordinators, directors).

Describe:

Center director qualifications are described beginning at level E of the Career Pathways.

Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).

Describe:

Technical assistance providers qualifications are described beginning at level E of the Career Pathways.

Education and training staff (such as trainers, CCR&R staff, faculty).

Describe:

Education and training staff qualifications are described beginning at level E of the Career Pathways.

Other.

Describe:

Head Start teachers, Head Start directors, and Head Start coordinators, early intervention specialists, pre-kindergarten and kindergarten teachers, principals, professors, and researchers are also included in the Career Pathways.

None.

c) Does the career pathway (or lattice) include specializations or credentials, if any, for working with any of the following children?

Infants and toddlers

Preschoolers

School-age children

Dual language learners

Children with disabilities, children with developmental delays, and children with other special needs

Other.

Describe:

Center Director Credential is included on the Career Pathways.

None.

d) In what ways, if any, is the career pathway (or lattice) used?

Voluntary guide and planning resource

Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13

Required placement for all practitioners working in programs that receive public funds to serve children birth to 13

Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)

Required placement for participation in scholarship and/or other incentive and support programs

Required placement for participation in the QRIS or other quality improvement system

Other.

Describe:

None.

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice?)?

Yes.

If yes, describe:

Education qualifications are verified by review of transcripts or certificates.

No.

3.4.3 Workforce Element 3 - Professional Development Capacity

Definition - For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Early childhood includes infants, toddlers and preschoolers.

Effective Date: 01-OCT-13

 a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

Yes.

If yes, describe:

The ND Early Childhood Higher Education Consortium meets regularly to discuss and assess issues and trends in Early Childhood Professional Development and degree programs. The Consortium has an articulation agreement in place to ensure seamless transfer of early childhood coursework for students across colleges and universities in ND. The Consortium promotes the Associate's, Bachelor's, and Master's Degrees that are available in various ND colleges and universities. To support students, many colleges offer both traditional and distance learning options.

No.

 b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

Yes.

If yes, describe:

The state has assessed the accessibility of early childhood training and technical assistance programs to ensure that a wide variety of options are available to providers. This assessment occurs continually through the Early Childhood Higher Education Consortium. Training and credit based education is offered online, by correspondence, and in face-to-face environments. The Lead Agency works with a number of training organizations, including Child Care Resource and Referral, NDSU Extension Agency, and local colleges and universities, to ensure that provider's professional development needs are met.

No.

c) What quality assurance mechanisms, if any, are in place for the degree programs and courses offered by the State/Territory institutions?

Standards set by the institution

Standards set by the State/Territory higher education board

Standards set by program accreditors

Standards set by State/Territory departments of education

Standards set by national teacher preparation accrediting agencies

Other.

Describe:

The North Dakota Early Childhood Higher Education Consortium has developed an articulation agreement for common course content, course number and transferability among all ND state, private and tribal colleges.

None.

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

Training approval process.

Describe:

The North Dakota Growing Futures Professional Development System is the site for training approval. All trainings must align with the ND Core Competencies for Early Childhood Practitioners.

Trainer approval process.

Describe:

Trainers seeking approval must submit an application, resume, and copy of any certifications and licensures, prior to being approved by Growing Futures.

Training and/or technical assistance evaluations.

Describe:

Evaluations are provided for all training events and recommendations are reviewed periodically.

Other.

Describe:

None.

e) Does the State/Territory have articulation agreements in place across and within institutions of higher education?

Yes.

If yes, describe:

The North Dakota Early Childhood Higher Education Consortium has developed an articulation agreement for common course content, course number and transferability among all ND state, private and tribal colleges.

No.

f) Does the State/Territory have articulation agreements that translate training and/or technical assistance into higher education credit?

Yes.

If yes, describe:

There is a system in place for translating the CDA credential into six college credits transferable to any higher education institution within the ND Early Childhood Higher Education Consortium.

No.

3.4.4 Workforce Element 4 - Access to Professional Development

Definition - For purposes of this section, access to professional development (training, education and technical assistance) refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

Effective Date: 01-OCT-13

 a) Does the State/Territory have professional development opportunities accessible for professionals in various or all sectors of the early childhood and school-age field?

- Yes. If yes, for which sectors?
- Child care
- Head Start/Early Head Start
- Pre-Kindergarten
- Public schools
- Early intervention/special education
- Other.

Describe:

No.

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about professional development opportunities available to all members of the early childhood and school-age workforce? Lead Agencies are not required to have a professional development system, but States/Territories may develop such clearinghouses to promote access to professional development opportunities.

Yes.

If yes, describe:

The North Dakota Growing Futures Professional Development System is the state-wide clearinghouse for professional development opportunities. This system may be accessed by all practitioners of early childhood.

No.

Insert web addresses, where possible: www.ndgrowingfutures.org

c) What supports, if any, does the State/Territory provide to promote access to training and education activities?

Scholarships.

Describe:

Scholarships are available for providers wishing to pursue a CDA credential or a Center Director's Credential. Early childhood providers wishing to pursue an Associate's Degree or Bachelor's Degree in Early Childhood Education are eligible to receive a \$1200 scholarship to help defray expenses related to tuition and fees.

Free training and education.

Describe:

Over 120 hours of free online training has been developed across the 8 competency areas by CCR&R. In addition, the Lead Agency partners with local associations and parent resource centers to offer a variety of free training opportunities to providers.

Reimbursement for training and education expenses.

Describe:

Grants.

Describe:

Grants are available through the quality improvement programs and may be used to support professional development.

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.
Describe:

Other.
Describe:

None.

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

Yes.
If yes, describe:

Professional development consultants are available through the Child Care Resource and Referral network. When an individual registers with the Growing Futures Professional Development Registry, a professional development consultant sends them a certificate indicating their placement on the Career Pathway, and also sends recommendations for planning for future professional development.

No.

e) Does the State/Territory have mentors, coaches, consultants, and/or other specialists available to provide technical assistance to the workforce?

Yes.
If yes, describe:

The Lead Agency contracts with Child Care Resource and Referral to provide consultation to the workforce in the area of health and safety, business practices, child development, and professional development.

No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce

Conditions Definition - For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and

completing education or training or for increasing compensation.

Effective Date: 01-OCT-13

 a) Does the State/Territory have a salary or wage scale for various professional roles?

Yes.

If yes, describe:

No.

 b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

Yes.

If yes, describe:

No.

 c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

Yes.

If yes, describe:

No.

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

Yes.

If yes, describe:

No.

3.4.6 Data & Performance Measures on the Child Care Workforce - What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

Effective Date: 01-OCT-13

a) Data on the child care workforce. Indicate if the Lead Agency or another agency has access to data on:

Data on the size of the child care workforce.
Describe (optional):

Data on the demographic characteristics of practitioners or providers working directly with children.
Describe (optional):

[This information is only available for providers who have membership in the Growing Futures Professional Development Registry.](#)

Records of individual teachers or caregivers and their qualifications.
Describe (optional):

[This information is only available for providers who have membership in the Growing Futures Professional Development Registry.](#)

Retention rates.
Describe (optional):

Records of individual professional development specialists and their qualifications.
Describe (optional):

[This information is only available for providers who have membership in the Growing Futures Professional Development Registry.](#)

Qualifications of teachers or caregivers linked to the programs in which they teach.
Describe (optional):

Number of scholarships awarded .
Describe (optional):

Number of individuals receiving bonuses or other financial rewards or incentives.
Describe (optional):

Number of credentials and degrees conferred annually.
Describe (optional):

Data on T/TA completion or attrition rates.
Describe (optional):

Data on degree completion or attrition rates.
Describe (optional):

Other.

Describe:

None.

b) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks workforce demographics, compensation, and qualifications and ongoing professional development for practitioners working with children birth to age 13?

Definition - For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

Yes.

b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

Staff working directly with children in centers, including aides, assistants, teachers, master teachers.

Describe:

[This data is available for practitioners registered with the Growing Futures registry, which is voluntary.](#)

Providers working directly with children in family child care homes, including aides and assistants.

Describe:

[This data is available for practitioners registered with the Growing Futures registry, which is voluntary.](#)

Administrators in centers (including educational coordinators, directors).

Describe:

[This data is available for practitioners registered with the Growing Futures registry, which is voluntary.](#)

Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).

Describe:

[This data is available for practitioners registered with the Growing Futures registry, which is voluntary.](#)

Education and training staff (such as trainers, CCR&R staff, faculty).

Describe:

This data is available for practitioners registered with the Growing Futures registry, which is voluntary.

Other.

Describe:

The Growing Futures system can track change over time in workforce qualifications as defined by the Career Pathways. The system tracks qualifications and ongoing professional development for practitioners. Membership in the Growing Futures system is voluntary, but is open to all practitioners of early care and education.

None.

b-2) Does the workforce data system apply to:

all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?

all practitioners working in programs that receive public funds to serve children birth to age 13?

No.

c) **Performance measurement.** What, if any, performance measures does the State/Territory use related to its workforce and professional development systems?

An annual report is submitted from Growing Futures, detailing new membership, upward movement on the career lattice, and number and types of professional development offered. The report is reviewed by the Growing Futures Advisory Committee with recommendations considered.

d) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

An annual review of the system is conducted and a report is submitted to the Lead Agency from the Growing Futures coordinator.

3.4.7 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already

identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section in 3.4. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

Note -When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Effective Date: 01-OCT-13

Goal #1:

Target efforts to promote upward movement of registry members and to decrease the percentage of “not placed” members.