

Child Care and Development Fund (CCDF) Plan
For

North Dakota
FFY 2014-2015

**PART 1
ADMINISTRATION**

1.1 Contact Information

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

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

Effective Date: 01-OCT-13

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

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

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

Phone Number: [701-328-2538](#)

Fax Number: [701-328-1545](#)

E-Mail Address: dhseo@nd.gov

Web Address for Lead Agency (if any): <http://www.nd.gov/dhs>

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

a) Contact Information for CCDF Administrator:

Effective Date: 01-FEB-14

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

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

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

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

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

E-Mail Address: jlbarry@nd.gov

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

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

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

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

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

Name of CCDF Co-Administrator: [Samantha O'Brien](#)

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

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

Phone Number: [701-328-3424](#)

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

E-Mail Address: skobrien@nd.gov

Description of the role of the Co-Administrator:

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

1.2 Estimated Funding

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

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

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

Federal TANF Transfer to CCDF: \$ 0

Direct Federal TANF Spending on Child Care: \$ 0

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

State Matching Funds: \$ 3,169,256

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

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

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

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N/A here

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

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

If checked, identify source of funds:

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

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

3,169,256

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

If checked, are those funds:

donated directly to the State?

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

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

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

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

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

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

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

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

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

If checked,

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

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

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

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

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

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

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

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

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

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

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

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

Other.
Describe:

1.3 CCDF Program Integrity and Accountability

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

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

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

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Describe:

Fiscal Internal Controls

Internal controls include processes to ensure sound fiscal management, to identify areas of risk, and to establish regular evaluation of control activities. The lead agency is the North Dakota Department of Human Services. The Child Care Subsidy Administrator and Early Childhood Services Administrator write the policy and county offices are required to administer the subsidy and quality functions in the same manner. North Dakota Century Code 50-11.1-07, Service Chapter 620-01, N.D.C.C. §50-01.2-00(3) and §50-01.2-02-2(1) govern the relationship between the Lead Agency and counties.

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

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

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

Subsidy Control Activities

Program Integrity

To assure program integrity, the Quality Assurance Unit reviews 30 case records per month to detect and reduce errors associated with eligibility determination to ensure that families receiving subsidies are eligible. The review includes assuring that children:

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

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

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

Subsidy Payments

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

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

Quality Assurance Control

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

Other

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

available to the Federal government upon request.

Child Care Subsidy Administrator supervises eligibility workers by writing and maintaining program policy, reimbursement rates, and the sliding fee schedule. The lead agency also provides training which includes new worker training and experienced worker training on new policies, changes in policy, changes in rates, and sliding fee scale. In addition, program integrity is promoted by communicating policies to parents and providers by holding public comments on the state plan, brochures on program requirements, and provider booklet on program requirements.

Quality Control Activities

North Dakota has a state-supervised, county-administered system. The Early Childhood Services (ECS) Administrator programmatically supervises ECS Regional Supervisors and county child care licensers by writing and maintaining program rules and policies for the child care licensing system. Direct supervision of ECS Regional Supervisors is the responsibility of the eight Regional Human Services Center Directors. Direct supervision of the county child care licensers is the responsibility of the county directors.

The counties are not branches of the North Dakota Department of Human Services (lead agency). The relationship is governed by North Dakota Century Code. Roles and responsibilities are identified in program policy and procedure manuals. Early Childhood Services (ECS) Regional Supervisors and the Early Childhood Services Administrator, work with and monitor county licensers. County reimbursement for licensing costs from the CCDF monies is contingent upon compliance with North Dakota Century Code, Administrative Code and Program Policy and Procedures. ECS Regional Supervisors monitor the work of the county licensers in their region through complete reviews of all paperwork, including inspection reports that are submitted for new licenses, renewed licenses, and licenses undergoing an annual review.

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

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

The ECS Administrator contracts with Lutheran Social Services (faith-based) and Lakes & Prairies Community Action Agency to provide Child Care Resource and Referral services. The ECS Administrator works with CCR&R to ensure the development and delivery of services for the following initiatives as they pertain to child care services:

- Consumer Education
- Training and Technical Assistance for providers on health and safety, business practices, child development, and learning environments
- Emergency Preparedness
- Infant Toddler Services

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

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

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

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Describe:

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

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

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

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

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

Share/match data from other programs:

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

Run system reports that flag errors for Child Care Assistance Subsidy program. Types of reports that

may be run include:

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

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

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

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

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

Train staff on policy and/or audit :

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

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

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

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Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe:	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
County Social Service's may refer a client or provider established IPV and/or fraud to the State's Attorney for prosecution.			
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Recovery through collection agency			
Establish a unit to investigate and collect improper payments. Describe composition of unit:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:			
Calls and emails received from concerned citizens regarding possible fraud or IPV are investigated to determine if fraud or IPV occurred.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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For any option the Lead Agency checked in the chart above other than none, please describe:

When an overpayment exists for subsidy family any amount over \$1.00 is recovered. This applies to any overpayments regardless if the overpayment is due to agency error, recipient error or an Intentional Program Violation. Families have the option of repaying overpayments in full or to have repayment through a recoupment plan of 10% for client or administrative error or 20% if for an intentional program violation error. At the time an overpayment is established, the family is informed of the overpaid amount and that they are responsible for repayment of the overpayment. Recoupment is taken from the state's portion of future payments to the provider, until the amount of the overpayment is paid in full. If the family elects the recoupment plan method for repayment, they are notified in writing that they are responsible to pay to their provider their monthly co-payment along with the monthly amount being recouped from future payments made to their provider. Each time a payment is made to a provider which includes a recoupment, the provider and the family are notified of the amount being recouped. If there is a remaining overpayment balance at the time a subsidy case closes, collection of the overpayment balance continues through a written notification process to the family requesting payment. If written notification to the family is not successful, a referral is made to a collection agency.

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

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

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- None
- Disqualify client.

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

Any individual who is suspected of withholding information for the purpose of improperly establishing or maintaining eligibility for benefits is referred to the Administrative Disqualification Hearings Officer for a determination of an Intentional Program Violation (IPV) or the court system for a determination of fraud. An Intentional Program Violation (IPV) is defined as an intentional action by an individual, for the purpose of improperly obtaining eligibility and benefits under the Child Care Assistance Program. The use of the term "intentional" in the regulations does not mean the eligibility worker has the burden of proving that the household intended to commit a fraudulent act. The eligibility worker does not have to prove a deliberate intent to defraud. An individual's signature on the application, redetermination or billing form attests to providing full information and to understanding the reporting requirements.

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

In order to determine if a household has committed an IPV, that household must have intentionally made a false or misleading statement, misrepresented, concealed, or withheld facts. There is no requirement that an overpayment exist when pursuing IPV.

Examples:

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

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

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

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

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

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

Disqualify provider.

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

A provider who is suspected of withholding information for the purpose of receiving payments under this program is referred to the Administrative Disqualification Hearings Officer for a determination of an Intentional Program Violation (IPV) or the court system for a determination of fraud. An Intentional

Program Violation (IPV) is defined as an action by a provider, for the purpose of improperly establishing or maintaining payments under this program. In order to determine if a provider has committed an IPV, the provider must have intentionally made a false or misleading statement, misrepresented, concealed, or withheld facts and committed any act intended to mislead, misrepresent, conceal, or withhold facts that constitutes a violation of the program or any State statute.

Examples:

- Reporting more hours a child received services
- Reporting a child as having received services when the child did not receive services

The use of the term "intentionally" in the regulations does not mean the eligibility worker has the burden of proving that the provider intended to commit a fraudulent act. The eligibility worker does not have to prove a deliberate intent to defraud. The provider's signature on day care billing form attests to providing full information and to understanding the reporting requirements. An IPV may exist regardless of whether an overpayment is established. There is no requirement that an overpayment exist when pursuing IPV.

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

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

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

Upon receipt of the administrative disqualification hearing decision, the county must impose the required penalty whether the provider is active or inactive. Providers that have committed an IPV will be disqualified for the following time periods:

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

A provider has the right to appeal an overpayment notification. The appeal must be requested in writing and submitted to the county office within 30 days from the date on the notice. The county office then submits the appeal to the Department of Human Services Appeals Supervisor. The Appeals Supervisor

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<p><input checked="" type="checkbox"/></p> <p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The Child Care Assistance Work Group is coordinated with during development of policy and the CCDF plan. The group consists of Child Care Assistance County Eligibility Workers, County Eligibility Worker supervisor, and DHS staff. The work group is consulted on the development of the state plan for Child Care Assistance subsidy program.</p> <p>Eligibility Technician Committee (ETC) Task Force, which consists of eligibility workers and eligibility worker supervisors and County Social Service Directors meetings, is a platform also used to discuss policy, results of improper payments and state plan changes. Policy changes are incorporated into the CCDF plan.</p> <p>County licensers are asked to give input on the development of the CCDF Plan at state and regional meetings. These meetings occur three times per year.</p> <p>A minimum of 8 county licensers and 2 county directors serve on the ECS State Team. The draft CCDF plan was shared with members of the ECS State Team. The ECS Team meets three times per year.</p>
<p>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</p>	
<p><input checked="" type="checkbox"/></p> <p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>The ECS Administrator has consulted with the ND Department of Public Instruction in the development of CCDF goals related to kindergarten readiness.</p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>CCDF consultation has taken place with the Interagency Coordinating Council (ICC).</p>
<input type="checkbox"/> <p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	<p>Not separate from the Lead Agency.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency with the Head Start Collaboration grant</p>	<p>The ECS Administrator and HSSCO meet regularly to discuss early childhood initiatives in ND and provide leadership to the ND Professional Development plan and the Early Childhood Data Committee. The HSSCO provides consultation on the development of the CCDF plan.</p>
<input checked="" type="checkbox"/> <p>Statewide Advisory Council authorized by the Head Start Act</p>	<p>Recommendations from ND's SAC, the Early Childhood Education Council have been considered in development of the plan.</p>

<input checked="" type="checkbox"/> <p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services</p>	<p>Lutheran Social Services and Lakes & Prairies Community Action Child Care Resource and Referral Agencies representatives are consulted in the identification of goals and development of the plan.</p> <p>The CCR&R's office coordinate with the early Childhood Services Administrator in providing North Dakota's child care and training infrastructures. In addition to serving on several state-wide planning committees for early childhood, they also consult with the Early Childhood Services Administrator with development of the CCDF Plan.</p> <p>Through HNDECA, multiple agencies, including tribal agencies, have had the opportunity to offer suggestions and feedback for the CCDF Plan.</p> <p>North Dakota has consulted with coordinators of the tribal early childhood programs on plan activities and implementation, to promote partnerships and to help tribes access state professional development resources. This has provided an opportunity for tribes to provide input on the development of the state plan.</p> <p>The results of the Market Rate Survey conducted the NDDHS, sliding fee schedule and provider payment schedule are shared with the four Tribal agencies, and the Trenton Indian Service Area in North Dakota. The Tribal agencies are invited to participate in the public hearings for the State Plan and directed to NDDHS website to obtain a copy of the state plan.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>Consultation has occurred through ECS State Team and through a shared Nutrition and Physical Activity in Child Care initiative.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>The agency responsible for implementing the Maternal and Early Childhood Visitation programs grant has been consulted and similar goals have been identified.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)</p>	<p>A member of the Dept. of Health serves on the EC State Team and provides input for development of licensing policy and State Plan Development.</p>

<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	The Child Protection Services Administrator has been consulted with in the development of the State Plan.				
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives					
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services/workforce development	The ND Department of Commerce was consulted with in the development of the State Plan and is partnering with the Lead Agency on capacity building goals.				
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	Not separate from Lead Agency.				
<table border="1" style="width: 100%;"> <tr> <td style="width: 25%; vertical-align: top;"> <input checked="" type="checkbox"/> </td> <td style="vertical-align: top;"> Indian Tribes/Tribal Organizations </td> </tr> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> </td> <td style="vertical-align: top;"> N/A: No such entities exist within the boundaries of the State </td> </tr> </table>	<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations	<input type="checkbox"/>	N/A: No such entities exist within the boundaries of the State	Tribal organizations have membership on HNDECA and have also been consulted with through ND's early childhood tribal program. ND's tribal early childhood consultant, through a contract with CCR&R, provides support to tribal administrators and is able to receive feedback from the tribes regarding state initiatives.
<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations				
<input type="checkbox"/>	N/A: No such entities exist within the boundaries of the State				
<input type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21					
<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	The ECS Administrator has close contact to the various provider associations in ND and has solicited feedback from various groups in development of the State Plan. Additionally, the ECS Administrator has issued provider surveys which are used in development of the plan.				
<input checked="" type="checkbox"/> Parent groups or organizations	There are no formal parent groups that have been identified; however, parent representatives are consulted with through HNDECA, the ECEC, and the Inclusive Childcare Committee.				
<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	Child Care Resource and Referral Agencies are consulted with in the development of the State Plan, including the identification of goals.				
<input type="checkbox"/> Other					

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

Effective Date: 01-OCT-13

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

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

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

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

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

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

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

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

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

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

1.5. Coordination Activities to Support the Implementation of CCDF Services

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

Definition - *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS))

grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

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

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

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>County licensers and county directors are coordinated with through annual conference calls, regional meetings 3 times per year, and through the ECS State Team 3 times per year. The annual fall licenser training is also a good forum for bringing together licensers and regional supervisors with the ECS Administrator to discuss goals for early childhood services.</p> <p><u>Subsidy</u> DHS coordinates with the County Social Service directors throughout the year. The coordination is done through monthly meetings held by the county directors. ETC Task Force meets twice a year with policy staff to review questions on policy and system related issues that the counties encounter. Chld Care Assistance Work Group consists of 4 county subsidy eligibility workers and the Regional Representative Supervisor. Two county members of the Child Care Assistance Work group are participating in North Dakota's Eligibility System rewrite. County members review and provide input for policy and subsidy system related by telephone contacts. One member is a regional Representative and policy questions for CCAP are streamed to her.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>County licensers are instrumental in CCDF delivery. They provide the licensing visits, which result in high compliance with licensing regulations, provide support to the providers in their county, and investigate any reports of suspected licensing violations. The county licensers, regional supervisors, and ECS StateAdministrator coordinate to ensure consistency in regulation across the state. Licenser and county director representation on the ECS State Team ensures coordination between licensing and quality initiatives and promotes greater access among providers. This effort will increase provider competency and compliance.</p> <p><u>Subsidy</u> The results of this coordination is that it identifies and resolves subsidy policy issues to increase the effectiveness of quality assurance on subsidy practices. An additional result is that it identifies training which can be coordinated and implemented to support the error rate process by eliminating errors. .</p> <p>This coordination supports an effective and high confidency in the improper payment process.</p>

<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>The Early Childhood representative from the Department of Public Instruction coordinates with the Lead Agency on early childhood professional development, early childhood coordination, the planning for the early childhood state longitudinal data system (ECSLDS), and the implementation of the Early Learning Guidelines, all of which are included in the CCDF plan.</p>	<p>It is expected that this coordination will result in greater progress in the ECSLDS because of blended resources. It is also expected that coordination will lead to implementation of the state pre-k standards, which are aligned to the Early Learning Guidelines, the Head Start Performance Outcomes and the State Kindergarten Standards.</p>
<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>The Lead Agency coordinates with N.D. Center for Persons with Disabilities to provide distance consultation and information to child care providers on meeting the developmental needs of children. Additionally, the Lead Agency contracts with CCR&R to provide training and on-site consultation for providers. Whenever possible, coordination occurs with Head Start programs serving children that are also in child care and Early Intervention programs that also serve children in child care programs.</p>	<p>It is expected that this coordination will result in a deeper understanding by child care providers about the individual developmental needs of the children in their care.</p>

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>Public Health nurses coordinate dissemination of information on immunizations and reportable communicable diseases to early childhood programs with the assistance of the Early Childhood Services Administrator and the Child Care Resource and Referral Child Care Health Consultants. Health Department staff members provide child car safety restraint training to providers, parents and licensors throughout North Dakota. A member of the Dept. of Health serves on the EC State Team and provides input for development licensing regulations. Additionally, the Dept. of Health and the Lead Agency are coordinating through quarterly meetings, on an early childhood physical activity and nutrition initiative.</p>	<p>The expected result of this coordination is a blending of resources for health and safety being available to child care providers and the families enrolled in their programs. One result of this collaboration is that early childhood services providers are able to help provide parents with information on where to take children for immunizations. The child car safety restraint training empowers providers and parents to become informed about current child restraint laws and the processes for restraining children safely in automobiles. This coordination is also expected to result in the development of Best Practices in Nutrition and Physical Activity resources that will be disseminated to providers and parents.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>The ECS Administrator and the ND Department of Commerce meet regularly, as often as monthly, to coordinate efforts on child care provider recruitment. The two agencies have also coordinated child care grant programs and will continue to work together in future grant awards. The CCR&R Business Center consultants work closely with local economic development agencies to provide support for workforce development and to provide support to new and existing childcare programs seeking business consultation.</p>	<p>This coordination will result in a blending of funds used to maximize the use of all grant funding. It is expected that this coordination will build capacity of licensed childcare in our state and support the recruitment of child care providers with strong business practices.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies (required)</p>	<p>Subsidy policies and procedures are coordinated closely with the TANF and Crossroads program policy administrator weekly to resolve issues that arise and to ensure child care coverage is available to meet TANF recipients needs. Subsidy meets bi-monthly or as needed with other program administrators through Policy and System Alignment (PSA) meetings.</p>	<p>This coordination results in close monitoring of program policy changes and the effects of the policy changes. This helps to minimize policy barriers for TANF families eligible for CCDF. The coordination results in advance knowledge of policy changes resulting in the ability to be proactive and resolve issues quickl for TANF families who receive CCDF.</p>

<input checked="" type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	<p>The ECS Administrator oversees state contracts with one tribe and with one private agency to provide tribal early childhood services. Tribal licensers and tribal providers are also invited to professional development opportunities supported by CCDF. CCAP subsidy shares policy, sliding fee schedule and CCDF plan with tribal entities.</p>	<p>The goal is to assure families have the opportunity to receive assistance either through the Tribal or state program and to provide more support to tribal child care programs by blending resources for professional development and technical assistance.</p>
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For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery

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

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

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

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

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

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Yes. If yes,

a)

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

b)

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

c)

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

Yes

No

d)

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

No

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

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

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

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

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

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

Local Coordination/Council

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

Other

Describe

None

1.5.4 Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

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Yes .

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

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

No

1.6. Child Care Emergency Preparedness and Response Plan

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

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

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Planning. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

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

Other.
Describe:

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

Effective Date: 01-OCT-13

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

2.1 Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

Effective Date: 01-OCT-13

- Eligibility rules and policies (e.g., income limits) are set by the:
 - State/Territory
 - Local entity.

If checked, identify the type of policies the local entity(ies) can set

- Other.
Describe:

- Sliding fee scale is set by the:
 - State/Territory
 - Local entity.

If checked, identify the type of policies the local entity(ies) can set

- Other.
Describe:

- Payment rates are set by the:
 - State/Territory
 - Local entity.

If checked, identify the type of policies the local entity(ies) can set

Other.
Describe:

2.1.2. How is the CCDF program operated in your State/Territory? In the table below, identify which agency(ies) performs these CCDF services and activities.

Effective Date: 01-OCT-13

Implementation of CCDF Services/Activities

Who determines eligibility?

Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:

County social service eligibility staff determine eligibility for child care subsidy program for all applicants for the Child Care Assistance program.

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

Who assists parents in locating child care (consumer education)?

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations

Other.

Describe:

Who issues payments?

Agency (Check all that apply)

- CCDF Lead Agency
 TANF agency
 Other State/Territory agency.

Describe:

The CCDF Lead Agency is responsible for issuing payments based on the documentation received from the county.

- Local government agencies such as county welfare or social services departments
 Child care resource and referral agencies
 Community-based organizations
 Other.

Describe:

Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)

Payments are issued to the provider unless the provider signs a statement requesting payments go to the family. Payments are distributed electronically in all cases except if there is a garnishment or the provider requests that payment go to the family. In these situations, the payment is issued by check. When payments are distributed electronically, it means it is either by direct deposit or on an electronic payment card. Payments are processed in a timely manner .

Other. List and describe:

2.2. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e). **Note** - For any information in questions 2.2.1 through 2.2.10 that differs or will differ for families receiving TANF, please describe in 2.2.11.

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

Effective Date: 01-OCT-13

- CCDF Lead Agency
 TANF offices
 Other government offices

- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet

(provide website): www.nd.gov/dhs/services/financialhelp/childcare.html

- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other.

Describe:

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet

(provide website): <https://apps.nd.gov/dhs/ea/oasys/public/main.htm>

- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other.

Describe:

Families have the option to apply for child care subsidy by using an application that is specifically for the Child Care Assistance Program. Families also have the option of applying for multiple programs on a combined application which includes child care subsidy. The application for multiple programs is available as a paper copy or can be completed and submitted on-line.

2.2.3. Describe how the Lead Agency provides consumer education to parents applying for CCDF assistance to promote informed choices about the quality of care provided by various providers in their communities.

Effective Date: 01-OCT-13

Lead Agencies must certify that the State/Territory will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices (658E (c)(2)(G), §98.33).

For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or informational brochures that address importance of quality and different care options available.

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

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

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

Having the referral service and consumer information available on line increases parental access to child care, and gives parents the information they need to help choose high quality child care for their families. Additionally, as part of the referral process, parents are encouraged to contact the county social service office for a summary of the licensing history for any potential provider they may choose.

DHS provides a brochure titled 'Child Care Assistance Program'. The brochure is available in the county social service offices and various locations such as the Head Start Programs, Public Health and WIC. The brochure states that parents have the right to choose their own provider, whether the provider is a non-profit or profit, sectarian or relatives. The parent can choose an approved relative, self-declared, family home, group, or center to provide the care. In addition, there is a section "Help Find Child Care" which lists the telephone number of the CCR&R offices. The CCR&R offices can assist the parent in finding the type of child care the parent is seeking in the location that the parent needs child care. This information is also included with all applications for Economic Assistance programs.

In addition, "DN 108, Comparison of Licensed and Unlicensed Child Care" lists the differences between the basic requirements for licensed providers and the legally non-licensed providers. DN 108 may be provided to clients that apply for Child Care Assistance Program as part of the application packet.

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

This includes working with bilingual staff, contracting for interpretive services, and using relay services.

County child care licensing staff members also have strategies to overcome language barriers with families and providers. The approaches used to assist with parent-licensor and provider-licensor discussions regarding child care options and rules vary across the state depending upon demographics, languages spoken, and resources available in and to each county. They include but are not limited to: requests for translators; working with friends, family members or neighbors; using a website for

translation (such as <http://www.freetranslation.com/>); using the language translation software available through Microsoft©. For hearing impaired clients/providers, licensors may write their conversations out, use relay North Dakota for telephone contacts, or contact the ND School for the Deaf for resource support. If an individual is visually impaired the ND School for the Blind may be contacted for resource support. In all cases, the appropriate releases for information would be completed as the initial step in order to protect confidentiality.

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

Outreach to parents, online and face to face referral options and services for non-English speaking families result in access to higher quality child care for lower income families.

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory.

Effective Date: 01-OCT-13

For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.

The Child Care Assistance Program recognizes the importance in quality of care. Therefore, the State continues to prioritize and consider increases in provider rates for centers and providers who are state licensed.

The provider payment rate change that is effective October 1, 2012 was revised in collaboration with the Early Child Services Administrator and Economic Assistance Policy Division Director (director of Child Care Assistance Program).

Through a contract with CCR&R, licensed and self-declared child care providers are eligible to receive training, on-site technical assistance, and incentive grants for quality improvement. This contract specifically identifies providers who care for low-income children as a priority for participation in any quality enhancement program.

2.2.5. Describe how the Lead Agency promotes access to the CCDF subsidy program? Check the strategies that will be implemented by your State/Territory.

Effective Date: 01-OCT-13

- Provide access to program office/workers such as by:
- Providing extended office hours
- Accepting applications at multiple office locations
- Providing a toll-free number for clients
- Email/online communication
- Other.

Describe:

Information regarding county social service offices is available at:

www.nd.gov/dhs/locations/countysocialserv// This web site provides a user friendly state map that by clicking on a specific county it pulls up the address, telephone number, fax number and office hours for that county office.

- Using a simplified eligibility determination process such as:
- Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
- Developing a single application for multiple programs
- Developing web-based and/or phone-based application procedures
- Coordinating eligibility policies across programs.

List the program names: [Supplemental Nutrition Assistance Program](#), [Medicaid](#), [Healthy Steps](#), and [Temporary Assistance for Needy Families](#)

- Streamlining verification procedures, such as linking to other program data systems
- Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).

Length of time: [20 hours per week with a limit of 8 weeks per calendar year](#)

(Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).

- Other.
- Describe:

- Other.
- Describe:

- None

2.2.6. Describe the Lead Agencies policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

Provide CCDF assistance during periods of job search.

Length of time: [20 hours per week and a limit of 8 calendar weeks per year](#)

Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

Synchronize review date across programs

List programs:

[Child Care Assistance program encourages eligibility workers to synchronize review dates with TANF, SNAP or Medicaid review dates to minimize reporting requirements on families.](#)

Longer eligibility re-determination periods (e.g., 1 year).

Describe:

Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs.

Describe:

Extend periods of eligibility for school-age children under age 13 to cover the school year.

Describe:

Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment

Individualized case management to help families find and keep stable child care arrangements.

Describe:

Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year

Other.

Describe:

None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

Application in other languages (application document, brochures, provider notices)

Informational materials in non-English languages

Training and technical assistance in non-English languages

Website in non-English languages

Lead Agency accepts applications at local community-based locations

Bilingual caseworkers or translators available

Outreach Worker

Other.

Describe:

The Lead Agency provides outreach and services to eligible families with limited English proficiency by requiring counties which are state supervised to provide translation services when needed. These translators are available during the eligibility determination process. These translators help families understand their child care options, the process for finding a provider and program reporting requirements. Translators also assist families with limited English proficiency to resolve on-going eligibility concerns and issues by working with the family and the county staff.

None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered :

The language needs are varied, with relatively small populations of diverse languages throughout the state. Therefore, the Lead Agency has not identified specific languages that translators will be provided for, but will instead work to meet the unique language needs of the populations being served and will identify translation services as needed.

Languages that are available through interpreters include but are not limited to: Bosnian, French, Serbian, Croatian, Arabic, Somala, Nepali, Spanish, Romanian, Chinese and Vietnamese.

2.2.8. How will the Lead Agency overcome language barriers with providers? Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages
- Website in non-English languages
- Bilingual caseworkers or translators available
- Collect information to evaluate on-going need, recruit, or train a culturally or linguistically diverse workforce
- Other.

The Lead Agency has identified a need to support limited English speaking providers in their training and professional development. The Lead Agency plans to work with other agencies such as Lutheran Social Services, County Social Service Offices, and Refugee Assistance programs to identify current resources and additional support needed. With this cross-agency partnership, providers with limited English proficiency will receive effective and appropriate training to support their professional development.

None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered:

The language needs are varied, with relatively small populations of diverse languages throughout the state. Therefore, the Lead Agency has not identified specific languages that translators will be provided for, but will instead work to meet the unique language needs of the populations being served and will identify translation services as needed.

Languages that are available through interpreters include but are not limited to: Bosnian, French, Serbian, Croatian, Arabic, Somala, Nepali, Spanish, Romanian, Chinese and Vietnamese.

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a))

Effective Date: 01-OCT-13

Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available: <http://www.nd.gov/eforms/Doc/sfn00598.pdf>

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	<p>The following is a partial listing of documents or records that may be used to verify a caretaker's Identity:</p> <ul style="list-style-type: none"> Driver's License Picture ID School, work, hospital or health care identification Wage stubs Bank records Utility records Mortgage/Rent receipt and/or lease agreement Birth Certificate, whether: <ul style="list-style-type: none"> A certified Copy from Vital Records An uncertified Copy of the 'Certificate of Live Birth' (Yellow Copy) A 'Souvenir' Copy if signed by both the attending physician and president/administrator of the hospital.
<input checked="" type="checkbox"/> Household composition	<p>At time of application and redetermination, household composition is verified through the applicant or recipient's signature that the information on household size provided on the application or redetermination is true and correct. Households are required to report changes in household size during their eligibility period. There is cross verification because the same eligibility worker determines benefits for other programs along with the child care subsidy for the family. A Change Report form is available for their use. They may also contact their county office by telephone, in person or electronically to report changes in household composition.</p>
<input checked="" type="checkbox"/> Applicant's relationship to the child	<p>Documents or records available to verify a caretaker's (including a loco parentis caretaker) association to the child include but are not limited to the following:</p> <ul style="list-style-type: none"> Birth Certificate Adoption papers Baptismal Record Marriage Certificate Court Record Contact with School System Hospital and Clinic Records Court Support Order Juvenile Court Records Private Social Service Agencies Church Records Head Start Records Day Care Center Records Vital Records Visual Confirmation Child Welfare Records Records from The Office of Refugee Resettlement Statement from child's parents when caretaker is loco parentis

Child's information for determining eligibility (e.g., identity, age, etc.)

Verification of child's identity, age and citizenship can be verified through the child's birth certificate. Other documents available to verify would include:
Certified Copy or Electronic Interface from Vital Records
Uncertified Copy of the 'Certificate of Live Birth' (Yellow Copy)'Souvenir'
Copy if signed by both the attending physician and president/administrator of the hospital
Baptismal Certificate or Church Record
Confirmation Papers
Adoption Record
Passport
Hospital Records
School Records
Immigration or Naturalization Record and AlienRegistration Card

Work, Job Training or Educational Program

Documents or records available to verify attendance in education program include but are not limited to the following:
Class schedule
Crossroads Program approval letter
Documents or records available to verify work or job training include but are not limited to the following:
Pay stubs
Employer's statement verifying the hours worked which includes the name of the business, the name of the person who completed, signed and dated the form, along with the position they occupy in the business;
Documents to verify the hours worked for self-employment include:
the most recent tax return.
If the most recent tax return does not reflect a full year of self-employment, a tax return is not filed, or the current condition of the business is not accurately reflected on the past year's income tax return, monthly ledgers or bookkeeping records which show the income and expenses may be used.
In addition to work hour documents, a training schedule verifying the hours of training would need to be provided for an individual in job training

<input checked="" type="checkbox"/> Income	<p>Documents or records available to verify earned income include but are not limited to the following:</p> <ul style="list-style-type: none"> Pay stubs Employer's wage records A statement from the individual's employer that includes the name of the business, the name of the person who completed, signed and dated the form, along with the position they occupy in the business. Actual unearned income must be verified. <p>Documents or records available to verify unearned income include but are not limited to the following:</p> <ul style="list-style-type: none"> SSA benefit letter or interface Copy of benefit check Unemployment Compensation benefit letter or interface Pension benefit letter VA benefit letter Railroad benefit letter Verification of Child/Spousal Support received <p>Documents or records available to verify child/spousal support include but are not limited to the following:</p> <ul style="list-style-type: none"> Divorce or separation papers Court order Support agreement Correspondence on support payments Receipts for contribution Employer Records of garnished wages Print out from agency disbursing the child support
<input type="checkbox"/> Other. Describe:	<div style="border: 1px solid black; height: 40px;"></div>

2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

Effective Date: 01-OCT-13

- Time limit for making eligibility determinations.
Describe length of time **30 days from the receipt of the application in the county social service office.**
- Track and monitor the eligibility determination process
- Other.
Describe
- None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1 through 2.2.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

Effective Date: 01-OCT-13

Yes.

If yes, describe:

No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement.

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act. In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

NOTE: The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

Effective Date: 01-OCT-13

a) Identify the TANF agency that established these criteria or definitions:

State/Territory TANF Agency [North Dakota Department of Human Services, Economic Assistance Policy Division](#)

b) Provide the following definitions established by the TANF agency.

- "appropriate child care": [The inability to obtain appropriate child care which includes licensed center based provider, licensed family home child care providers, self-declared home child care provider under North Dakota Century Code 50-11.1, or relative child care providers who are not required to be licensed or registered.](#)

- "reasonable distance": [Child Care is unobtainable at a location such that the usual commuting time from the parents home to the location at which child care is provided, or on to the parents worksite, is one hour or less](#)

- "unsuitability of informal child care": [The client must show that the unavailability or unsuitability informal care is not an option with either a relative or other legally non-licensed provider.](#)

- "affordable child care arrangements": [Child Care is unobtainable, from a child care provider licensed or self-declared under North Dakota Century Code Chapter 50-11-1, at a rate equal to or less than 1.1 times the market survey average rate for child care provider to children of the age of the parents child in the region in which the parent lives.](#)

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

In writing

Verbally

Other.

Describe:

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

Effective Date: 01-OCT-13

residing with -

Means a child or children who are physically present in the home of a parent, legal guardian or an individual who is considered in loco parentis while receiving child care services.

in loco parentis -

An individual (relative or non-relative) who is not the natural, adoptive or stepparent of the child but who assumes parental responsibilities and is physically caring for the child in their home on a 24-hour-a-day basis when the duration is expected to last over 30 uninterrupted days.

2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

a) The Lead Agency serves children from 0 weeks to 12 years of age years (may not equal or exceed age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care?

(658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

Yes, and the upper age is 18 years of age (may not equal or exceed age 19).
Provide the Lead Agency definition of *physical or mental incapacity* -

A child is incapable of self-care exists because of verified physical or mental incapacity. A qualified medical professional must verify in writing that incapacity exists.

No.

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

Yes, and the upper age is 18 years of age (may not equal or exceed age 19).

No.

2.3.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

Effective Date: 01-OCT-13

a) How does the Lead Agency define "working" for the purposes of eligibility? Provide a narrative description below, including allowable activities and if a minimum number of hours is required.

Reminder - Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search and travel time. (§§98.16(f)(3), 98.20(b))
working-

Definition of work is any paid employment and any self employment.

Definition of work also includes job search which allows 20 hours per week and a limit of 8 calendar weeks per year. An additional 25% of time needed is allowed for travel and break times.

As part of the definition of work, travel time is allowed, travel and break times are calculated by adding 25% of the actual work hours calculated onto the number of actual works For example an individual working 40 hours would be allowed 10 hours to cover travel and break time. If an individual's actual travel and break time exceeds the 25%, the travel and break time is determined on a case by case basis.

No travel and break time is allowed for job search.

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

Yes.

If yes, how does the Lead Agency define "attending job training or educational program" for the purposes of eligibility? Provide a narrative description below.

Reminder - Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

attending job training or educational program -

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

No.

2.3.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

Effective Date: 01-OCT-13

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

Yes.

If yes, how does the Lead Agency define "protective services" for the purposes of eligibility? Provide a narrative description below.

Reminder - Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. Lead Agencies may elect to include homeless children and other vulnerable populations in the definition of protective services.

Note - If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities for CCDF purposes these children are considered to be in protective services and should be included in this definition.

protective services

No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income

eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

- Yes.
 No.

2.3.5. Income Eligibility Criteria

Effective Date: 01-NOV-14

a) How does the Lead Agency define "income" for the purposes of eligibility? Provide the Lead Agency's definition of "income" for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

income -

Earned or unearned income received by or available to an applicant or recipient that is not an asset

b) Which of the following sources of income, if any, will the Lead Agency exclude or deduct from calculations of total family income for the purposes of eligibility determination? Check any income the Lead Agency chooses to exclude or deduct, if any.

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above:

- Bonus, incentive payment, etc. that is not received every month
- Reimbursement for expenses incurred in connection with employment
- Combat Pay- Disregard any additional monies received by a household as the result of the deployment of a service member to a designated combat zone
- Reimbursement for other work related expenses incurred such as medical expenses, per diem, travel and lodging, Income tax refunds and earned income tax credits,
- Flex Comp income paid to family
- Income Tax refunds and Earned Income Tax Credits
- Earnings from on-the-job training Summer Youth Employment and Training Program provided by Workforce Investment Act (WIA)
- Wages received as the result of participation in Experience Works (previously known as Green Thumb Program), Vista, and the Foster Grandparent Program
- Fund raising for a family when the family does not have access to the monies
- Irregular cash gift
- Irregular income from sale of craft items, and rummage sales
- Loans that require repayment
- Education loans, scholarships, work study, stipend or grants from all sources; whether for undergraduate or graduate student, fellowship or gift or portion of a gift used to pay the costs of caretaker's tuition and fees at any educational institution, vocational rehabilitation payments; job services payments
- Montgomery GI Bill, Education Assistance
- Income from the Reserve Educational Assistance Program
- TANF benefits, Diversion Assistance, TANF Transition Assistance, Kinship Care reimbursements and supplements for these programs
- Family subsidy payments
- Subsidized Guardianship payments
- Foster Care payments
- Adoption Assistance Payments
- Supplemental Food Program for Women, Infants and Children (WIC) and the National School Lunch Program
- Supplemental Nutrition Assistance Program (SNAP) benefits and Food Commodities
- Utility payment subsidies payable to the family
- Vendor payments or payments made to others on the household's behalf, provided that such payments were not directed to the household
- Nonrecurring lump sum payments such as Social Security, SSI, Workforce Safety and Insurance, Veterans Administration, insurance settlements, and child support arrears
- Game winnings
- All dividends and interest from savings and checking accounts
- Loss settlement
- Individual Indian Monies up to \$2,000 per year
- Per capita payments to Indians
- Payments received under the Civil Liberties Act of 1988 by American-Japanese citizens displaced during World War II
- Payments received under regarding Agent Orange settlements
- Radiation Exposure Act Settlements
- Allowances paid to children of female Vietnam veterans who suffer from certain covered birth defects
- Income from the Bering Straits Native Corporation which was incorporated as a regional corporation pursuant to the provision of the Alaska Native Claims Settlement Act
- Census Income
- LIHEAP – Low-Income Home Energy Assistance Program
- Workforce Investment Act, needs-based payments, support services and relocation expenses provided to a caretaker through this program

- Tribal Native Employment Works program, training allowances
- Training stipends provided by private, charitable organizations to a caretaker who is a victim of domestic violence for the caretaker to attend educational programs
- Alaska Native Claim Settlement Act
- Compensation for jury duty
- Federal Emergency Management Agency (FEMA) Disaster payments including Disaster Unemployment Benefits
- Payments for Care and Maintenance of Non-Household Member(s)
- Gift cards and gift certificates
- In-store credit/bonus when there is no option to receive wages
- Indian Per Capita
- Tribal food coupons
- Flexible spending account employee funded
- Contributions by an employer into a medical savings account
- Contributions by an employee into a medical spending account
- Health reimbursement arrangements employer funded

None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

- Children under age 18
- Children age 18 and over - still attending school
- Teen parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other.

Describe:

None

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

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2013 poverty guidelines are available at <http://aspe.hhs.gov/poverty/13poverty.shtml>.

			IF APPLICABLE Income Level if lower than 85% SMI
--	--	--	---

Family Size	(a) 100% of State Median Income (SMI)(\$/month)	(b) 85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	3,734	3,174		
2	4,883	4,151		
3	6,032	5,127		
4	7,181	6,104		
5	8,330	7,080		

e) Will the Lead Agency have "tiered eligibility" (i.e., a separate income limit at re-determination to remain eligible for the CCDF program)?

Yes.

If yes, provide the requested information from the table in 2.3.5d and **describe below:**

Note: This information can be included in the table below.

No.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month)[Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI[Divide (c) by (a), multiply by 100]
1				
2				
3				
4				
5				

f) SMI Year 2015 and SMI Source Federal Register Notice July, 21 2014.

g) These eligibility limits in column (c) became or will become effective on:
November 1, 2014

2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

Does the State/Territory follow OCC's 12 month re-determination recommendation? (See Program Instruction on Continuity of Care

<http://www.acf.hhs.gov/programs/occ/resource/im2011-06>

Yes

No. If no, what is the re-determination period in place for most families?

6 months

24 months

Other.

Describe:

Length of eligibility varies by county or other jurisdiction.

Describe:

b) Does the Lead Agency coordinate or align re-determination periods with other programs?

Yes. If yes, **check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.**

Head Start and/or Early Head Start Programs.

Re-determination period:

Pre-kindergarten programs.

Re-determination period:

TANF.

Re-determination period:

SNAP.

Re-determination period: 6 months

Medicaid.

Re-determination period:

SCHIP.

SCHIP.

Re-determination period:

Other.
Describe:

No.

c) Describe under what circumstances, if any, a family's eligibility would be reviewed prior to redetermination. For example, regularly scheduled interim assessments, or a requirement for families to report changes.

Families have reporting requirements during their eligibility period. Families are required to report changes in household size, allowable activity, state residency and if family's income exceeds 85% State Median Income. Upon receiving these reports from families, their eligibility is reassessed to determine if the family remains eligible and if there is a change to their benefit status (co-payment, allowable hours) .

d) Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination

In response to a reported change in the family circumstance, the state would redetermine eligibility to see if the change impacts the family's continued eligibility for CCDF. If their eligibility is impacted by the reported change, a certificate is issued to align with the new changes.

e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>).

To support continuity of care, ND only reviews reported changes in household size, allowable activity, state residency and if family's income exceeds 85% State Median Income. Changes in co-payment are affected by changes in household size.

f) Does the Lead Agency use a simplified process at re-determination?

Yes.

If yes, describe:

Redetermination is a review of case file information, families are not required to submit documents already established when initial eligibility was determined. The families are asked to resubmit income information along with allowable activity and schedules. If there are no changes, additional information is not required.

No.

2.3.7. Waiting Lists

Describe the Lead Agency's waiting list status. Select **ONE** of these options.

Effective Date: 01-OCT-13

Lead Agency currently does not have a waiting list and:

All eligible families *who apply* will be served under State/Territory eligibility rules

Not all eligible families *who apply* will be served under State/Territory eligibility rules

Lead Agency has an active waiting list for:

Any eligible family who applies when they cannot be served at the time of application

Only certain eligible families.

Describe those families:

Waiting lists are a county/local decision.

Describe:

Other.

Describe:

2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

An individual may appeal an adverse action of the Child Care Assistance Program (CCAP) by submitting a signed written request to the county social services office within 30 days from the date of the notice of adverse action. The individual's request for a hearing must be made in writing and signed. The following adverse actions are appealable:

- Denial of CCAP benefits
- Reduction in CCAP benefits
- Closing of TANF, Crossroads or Diversion cases
- Overpayment of benefits paid
- Any other negative action imposed against a household except when the sole issue is one of state or federal law requiring automatic benefit adjustments for classes of recipients (unless the reason for an individual appeal is incorrect benefit computation). When adverse action is taken against an individual in the Child Care Assistance Program (CCAP) and the individual requests a fair hearing, the hearing will be conducted by the Office of Administrative Hearings.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. Will the attached sliding fee scale be used in all parts of the State/Territory?

Effective Date: 01-NOV-14

Yes.

Effective Date: [November 1, 2014](#)

No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

2.4.2. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option..

Effective Date: 01-NOV-14

State Median Income,

Year: [2015](#)

Federal Poverty Level,

Year:

Income source and year varies by geographic region.

Describe income source and year:

Other.

Describe income source and year:

2.4.3. How will the family's contribution be calculated and to whom will it be applied? Check all that the Lead Agency has chosen to use. (§98.42(b))

Effective Date: 01-OCT-13

Fee as dollar amount and

Fee is per child with the same fee for each child

Fee is per child and discounted fee for two or more children

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee as percent of income and

Fee is per child with the same percentage applied for each child

Fee is per child and discounted percentage applied for two or more children

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

If the Lead Agency checked more than one of the options above, describe:

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

Yes,
and describe those additional factors:

In situations where a family has an intentional program violation which resulted in an unauthorized overpayment, the family must repay that overpayment. The family has the option of repaying the overpayment in a lump sum amount or the overpayment will be recouped at 20% of future child care payments until the overpayment is paid off. This will increase their required contribution of child care costs as the family is required to pay the amount that is being recouped along with the amount of the co-pay to the provider.

No.

2.4.5. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select ONE of these options.

Reminder - Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 2.3.4.a).

Effective Date: 01-NOV-14

ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee.

The poverty level used by the Lead Agency for a family of 3 is: 1,649

SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.

The Lead Agency waives the fee for the following families:

All families receiving assistance under a TANF program, Diversion assistance and Crossroads families will have the co-payment waived. Crossroads pays for child care for qualified teen parents attending school or attending school and working. The goal is to assist with child care so that the teen parent completes high school.

2.5. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance to

children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

Effective Date: 01-OCT-13

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
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Children with special needs

Provide the Lead Agency definition of *Children with Special Needs*:

A child with disabilities or who is at risk for developmental delays includes any child in North Dakota between the ages of birth and twelve years who receives support through either public or private services and includes a child who is in the process of being evaluated for public or private formal support. A child who is at risk for developmental delays includes any child between the ages of birth and twelve years who received foster care services; who has a previous substantiated history as a victim of abuse, neglect, or domestic violence; who is homeless; who has documented special health care needs; or who has a parent with a significant disability.

- Priority over other CCDF-eligible families
- Same priority as other CCDF-eligible families
- Guaranteed subsidy eligibility
- Other.

Describe:

Yes.

The time limit is:

No

Different eligibility thresholds.

Describe:

- Higher rates for providers caring for children with special needs requiring additional care
- Prioritizes quality funds for providers serving these children
- Other.

Describe:

Child care providers who serve children with special needs are eligible to receive free onsite consultation and technical assistance to assist providers and caregivers in providing high quality care appropriate to the individual needs of the children in care.

<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of Children in Families with Very Low Incomes:</p> <p>Children in TANF and Diversion families are identified as children in families with very low income.</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is:</p> <input type="text"/> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe:</p> <input type="text"/> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input checked="" type="checkbox"/> Other.</p> <p>Describe:</p> <p>Co-pays are waived for TANF families, Diversion assistance families and Crossroad families that are at or below poverty level.</p>
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2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4)) **Reminder** - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

Effective Date: 01-OCT-13

- Use priority rules to meet the needs of TANF families (describe in 2.5.1 or 2.5.3.)
 - Waive fees (co-payments) for some or all TANF families who are below poverty level
 - Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
 - Other.
- Describe:

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** - Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Effective Date: 01-OCT-13

Term(s) - Definition(s)

Describe:

n/a

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a))

2.6.1. Child Care Certificates

Effective Date: 01-OCT-13

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- Before parent has selected a provider
- After parent has selected a provider
- Other.

Describe:

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency

Website: <http://www.state.nd.us/robo/projects/childcare/childcare.htm>

- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other.

Describe:

c) What information is included on the child care certificate? **Attach a copy of the child care certificate as Attachment 2.6.1.** (658E(c)(2)(A)(iii))

- Authorized provider(s)
- Authorized payment rate(s)
- Authorized hours
- Co-payment amount
- Authorization period
- Other.

Describe:

d) What is the estimated proportion of services that will be available for child care services through certificates?

North Dakota provides a 100% of their subsidy services through certificates.

2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-13

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note:** Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

Yes.

If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts:

No. If no, skip to 2.6.3

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following? Check the strategies, if any, that your State/Territory chooses to implement.

- Increase the supply of specific types of care
- Programs to serve children with special needs
- Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
- Programs to serve infant/toddler
- School-age programs
- Center-based providers
- Family child care providers
- Group-home providers
- Programs that serve specific geographic areas
- Urban
- Rural
- Other.

Describe:

- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families.

Specify:

- Other.

Describe:

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

Yes.

No,

and **identify** the localities (political subdivisions) and services that are not offered:

d) How are payment rates for child care services provided through grants/contracts determined?

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts?

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)) Check the strategies that will be implemented by your State/Territory.

Effective Date: 01-OCT-13

- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other.

Describe:

[Providers are required by licensing regulations to allow parents unlimited access to their children in care.](#)

2.6.4. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

Effective Date: 01-OCT-13

- No
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care?
Check all limits the Lead Agency will establish.
- Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
- Restricted based on provider meeting a minimum age requirement
- Restricted based on hours of care (certain number of hours, non-traditional work hours)
- Restricted to care by relatives
- Restricted to care for children with special needs or medical condition

Restricted to in-home providers that meet some basic health and safety requirements

Other.

Describe:

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

Effective Date: 01-OCT-13

The SFN 1269, Child Care Concern Form, which may be accessed on the Department of Human Services' web site at <http://www.nd.gov/dhs/>, was developed to document child care concerns and complaints. Child Care Resource and Referral staff; food program sponsors; and county, regional, or central office licensing staff can initiate this form. The process may also be initiated by parents or concerned individuals. Licensed and self-declared providers must notify parents about how to file concerns and complaints. (NDCC 50-11.1-07.2) A sample form is available for providers to share with parents and employees to illustrate how to make a report.

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

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

Individuals wishing to obtain information on a provider's history of substantiated parental complaints or corrective action may do so by making a request in person, by phone, or by mail at the county or regional office. This request for information may be specific to an individual provider or all in the state who have received corrective action and the nature of the substantiated parental complaint.

2.7. Payment Rates for Child Care Services

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

equal access to comparable care.

2.7.1. Attach a copy of your payment rates as Attachment 2.7.1. Will the attached payment rates be used in all parts of the State/Territory?

Effective Date: 01-OCT-13

Yes. Effective Date: [October 1, 2012](#)

No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b, etc.** , etc.

2.7.2. Which strategies, if any, will the Lead Agency use to ensure the timeliness of payments?

Effective Date: 01-OCT-13

Policy on length of time for making payments.

Describe length of time: [Payments are processed within 30 days](#)

Track and monitor the payment process

Other.

Describe:

None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2009). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 <http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

Effective Date: 01-OCT-13

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): [03/2013](#)

b) Provide a summary of the results of the survey.

The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

Summary of Results of Market Rate Survey

Sample Population

No sample was taken. The entire population of all 1,533 Center and Licensed/Family Group child care providers in the State of North Dakota was surveyed.

Data Source

Childcare Licensing Database administered by Children and Family Services.

The 2013 Child Care Market Rate Survey collected five key pieces of data: 1) the counties in which child care providers/facilities are located, 2) whether or not child care providers accept child care assistance parents, 3) the number of children currently enrolled in each child care program by age group, 4) providers' hourly, weekly, and/or monthly rates for children (in each age group) receiving 25 hours or more of care per week, and 5) provider's hourly, weekly, and/or monthly rates for children (in each age group) receiving less than 25 hours of care per week.

Methodology

Mixed mode survey; participants were given the option of completing the survey by mail or through the internet.

Initially, participants were sent an introduction letter alerting them that they would be receiving survey in the mail. Ten days after receipt of this letter, respondents received surveys by mail. Reminder postcards were sent out two weeks later to participants that had not yet responded by mail or internet. Finally, two weeks after, replacement surveys were sent to respondents that had still not responded.

Response Rate

The overall response rate was 72.7% and the adjusted response rate of 69.5%.

Of the 1,533 surveys mailed, 1,111 were returned for an overall response rate of 72.7%. Of the 1,111 surveys returned, 29 were unusable (duplicate, provider no longer providing child care services, wrong provider type, provider pay-scale not applicable or survey incomplete). Additionally, 135 facilities responded that they had no private pay clients. These surveys were also excluded from the analysis because the pricing scheme of their facility was not representative of an actual market (non-subsidized) price. Ultimately, 1,369 valid surveys were mailed and 951 valid surveys were returned resulting in an adjusted response rate of 69.5%.

Description on of North Dakota MRS Analysis and key findings:

- The current rates that became effective October 2012, when compared to the 2013 Market Rate Survey Results indicated current rates were in a range from the 28th percentile to the 67th percentile.
- 6 counties did not provide information for licensed family/group provider data (Billings, Divide, Foster, Sheridan, Sioux, Slope)
- 18 counties did not provide information for child care centers (Billings, Bottineau, Dunn, Emmons, Foster, Golden Valley, Grant, Hettinger, Kidder, Logan, McHenry, McInstosh, McLean, Oliver, Sargent, Sheridan, Sioux, and Slope)
- The price of child care is higher in economic oil boom regions of the state. When we analyzed the 50th percentile for the state and compared to what was the 50th percentile in 2 counties impacted by the economic oil boom, there was a notable higher range of \$80 to \$100 in the 50th percentile rankings in the economic oil boom counties.

- The price of infant child care is higher in the urban counties, yet school age child care is cheaper in urban areas. When we analyzed the 50th percentile for the state and compared to what was the 50th percentile in 3 urban counties, there was a notable higher range of \$60.00 to \$70.00 per month in the 50th percentile rankings in the urban counties. In comparison of school age rates in the state at the 50th percentile to the 50th percentile rate for school age children in the 3 higher population urban areas, there was a notable decrease of costs in the urban areas for school age of about \$70.00 to a \$100.00.
- We found that our hourly rates have increased at least 13¢ across all age ranges for both centers and licensed family/group since 2011.
- A notable key finding was a consistent increase in costs for all child age groups and provider categories. We found rate increases from 2011 to 2013 for all age groups within centers and licensed family group.
- The increased amount at the 50th percentile from the 2011 MRS to 2013 MRS resulted in the following costs for care:
 - FULL-TIME Center
 - **Infant at 50th percentile:** \$6 increase since 2011.
 - **Toddler at 50th percentile:** \$15 increase since 2011
 - **Preschool Age at 50th percentile:** \$10 increase since 2011
 - **School Age at 50th percentile:** \$165 increase since 2011
 - Licensed Family/Group
 - **Infant at 50th percentile:** \$20 increase since 2011.
 - **Toddler at 50th percentile:** \$50 increase since 2011.
 - **Preschool at 50th percentile:** \$40 increase since 2011.
 - **School Age at 50th percentile:** \$20 increase since 2011.

2.7.4. Describe the payment rate ceilings in relation to the current MRS using the tables below.

Effective Date: 01-OCT-13

2.7.4a - Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	700	663	55

Full-Time Licensed Center Preschool (59 months)	600	565	55
Full-Time Licensed Center School-Age (84 months)	520	500	65

2.7.4b - Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	700	663	55
Full-Time Licensed Center Preschool (59 months)	600	565	55
Full-Time Licensed Center School-Age (84 months)	520	500	65

2.7.4c - Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	548	480	40
Full-Time Licensed FCC Preschool (59 months)	520	460	40
Full-Time Licensed FCC School-Age (84 months)	500	400	40

2.7.4d - Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	548	480	40
Full-Time Licensed FCC Preschool (59 months)	520	460	40

Full-Time Licensed FCC School-Age (84 months)	500	400	45
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2.7.5. How are payment rate ceilings for license-exempt providers set?

Effective Date: 01-OCT-13

a) Describe how license-exempt center payment rates are set:

License exempt centers are not eligible to receive CCDF subsidy unless the center is licensed or has been approved because of oversight from a different governmental entity.

b) Describe how license-exempt family child care home payment rates are set:

The current licensed exempt family child care payment rates are set based survey results from the February 2011 Market Rate Survey. Based on the analysis of the 2011 Market Rate Survey, these rates have been set and are in effect since October 2012. Licensed exempt providers were not included in the 2013 Market Rate Survey sample. These rates have not been increased for the 2014.

c) Describe how license-exempt group family child care home payment rates are set:

License exempt group are not eligible to receive CCDF subsidy.

d) Describe how in-home care payment rates are set:

The in-home provider rates are set based on self-declared provider or approved relative provider rates. They were included in the 2011 Market Rate Survey, however, the rates were not changed. In-home providers were not included in the 2013 Market Rate Survey sample. These rates have not been increased for the 2014.

2.7.6. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.

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Differential rate for nontraditional hours.
Describe:

Differential rate for children with special needs as defined by the State/Territory.
Describe:

Differential rate for infants and toddlers.
Describe:

Differential rate for school-age programs.
Describe:

Differential rate for higher quality as defined by the State/Territory.
Describe:

Other differential rate.
Describe:

None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

2.7.7. What policies does the Lead Agency have regarding any additional fees that providers may charge CCDF parents? The Lead Agency...

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Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate

Pays for provider fees (e.g., registration, meals, supplies).

Describe:

Policies vary across region, counties and or geographic areas.

Describe:

Other.

Describe:

2.7.8 What specific policies and practices does the Lead Agency have regarding the following:

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a) Number of absent days allowed. Describe

North Dakota allows a child up to 16 hours allowed absense in a calendar month for the reasons of illness and medical appointments.

b) Paying based on enrollment. Describe

North Dakota does not pay based on enrollment. North Dakota pays based on actual number of hours in care.

c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe

North Dakota does not pay on the schedule that providers charge their private pay families.

When providers submit request for full time care for a month, it is paid at the North Dakota monthly rate.

Providers who submit requests for full time care that is less than a month are paid on the North Dakota full time weekly rate.

d) Using electronic tools(automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe

Centers and groups receive payment by direct deposits. Family providers, self-declaration providers and approved relative providers receive their payment by electronic payment card.

2.7.9. Describe how payment rates are adequate to ensure equal access to the full range of providers based on the Market Rate Survey.

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

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a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)):

Applicants and eligible Child Care Assistance families are informed of the full range of providers and the choice of providers that are available to them for child care services by the county social service eligibility worker. This choice and range includes child care centers, family child care homes, group child care homes and in-home care.

This information is shared with families during the eligibility process, TANF families with a work requirement, are informed by the TANF employment contractor of their option of providers for which they may receive assistance. North Dakota rates are set at a percentile level that allows the families access to a full range of providers. The sliding fee/provider rates document and the Child Care Assistance brochure includes a listing of qualified child care providers:

- Licensed centers (CT)
- Licensed group home provider (NG)
- Non-relative licensed family child care providers (NF)
- Relative licensed family child care providers (RF)
- Self Declared/Registered (SC)
- Approved Relative (AR)
- Tribal Registered child care providers (TR)
- CCR&R's work with families to provide access to the full array of providers.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)):

The rate increase effective October 1, 2012 for centers and licensed family/group care provide assurances that payment rates for child care subsidy are sufficient to ensure equal access for eligible children. The increase brings the rates to the 50th percentile for licensed centers and between the 38th up to the 51st percentile for licensed group/family based on the market rate survey completed in 2013:

- The current allowable maximums for Center full-time weekly rates are from the 50th percentile up to the 67th percentile.
- The current allowable maximums for Licensed Family/Group full-time weekly rates are from the 38th percentile up to the 51st percentile.
- The current allowable maximums for Center part-time weekly rates are from the 41st percentile up to the 61st percentile.
- The current allowable maximums for Licensed Family/Group part-time weekly rates are from the 28th percentile up to the 36th percentile
- The current allowable maximums for Center & Licensed Family/Group hourly rates is at the 33rd percentile

Based on the rate increases and market rate survey analysis, payment rates are adequate to allow families access to a full range of providers.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)):

Lowest income families have the lowest co-payments. Families at 10% of State Median Income will experience a co-pay that will not exceed 1% of their monthly gross income and families at 85% of State Median Income will experience a co-pay that will not exceed 6% of their monthly gross income. The sliding fee scale assists families by having families with the least income to have the lowest co-pays and keeps the co-payment for all families below 6% of a family's monthly income.

TANF, Diversion Assistance and Crossroads families at or below poverty level have a zero copayment.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates

North Dakota has a strong focus on increasing access to quality child care for families and has increased provider payment rates twice in the last year to ensure access for families.

North Dakota will continue to put strong consideration toward increasing the rates for licensed providers thus ensuring continued full access to quality care for low-income families.

2.8 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 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 administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices).

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.)

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Goal #1:

Continue to improve on policies and procedures to ensure parents and families are aware of the program by sending a flier to families and providers whenever changes occur. Ensure all eligible families receive assistance under the program.

Goal #2:

Review subsidy payments rates and recommend increases for the next North Dakota Legislative session which is scheduled for January 2015.

Goal #3:

Continue enhancement of the child care eligibility system to minimize errors in payments.

Goal #4:

Increase payment rates to licensed centers and groups to bring the rates closer to the 75th percentile.

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?

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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
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<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 providers (caring for 5 or fewer children) must receive an announced visit prior to approval. They may also receive an announced visit upon request or if licensers wish to schedule a visit to share information or other reasons.	<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 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 checked="" 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 type="checkbox"/> Other.</p> <p>Describe:</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?
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<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"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<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"/> State/Territory Criminal Background <input type="checkbox"/> Check if 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"/> 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"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other.
	<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:	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
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<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 checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Other.	N/A
		Describe:	
		<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:	

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<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

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<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:	

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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 providers, a pre-approval announced visit and one unannounced visit per year is required. For in-home registered providers, a pre-approval announced visit and one unannounced visit per year is required if the provider wishes to participate in CCDF. For 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 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?

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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.

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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 a120 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>
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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 in-home providers who are not participating in CCDF 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 licensed, self-declared and in-home 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 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 when a concern exists for in-home registered providers who are not participating in CCDF and approved relative providers.

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:

Registered in-home providers who are not participating in CCDF 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..

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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.)

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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.

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- 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.

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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.

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	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: 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"/>
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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.

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- 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.

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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?

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Goal #1:

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.

Goal #2:

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 #3:

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

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

 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)).

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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.)

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Goal #1:

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