

North Dakota Child Care Development Fund (CCDF) Plan with Conditional Approval Letter for FY 2016-2018

Date: Monday, June 27, 2016

The Office of Child Care (OCC) is pleased to release the PDF (Portable Document Format) copy of the approved FY 2016-2018 North Dakota CCDF Plan that became effective June 1, 2016 and the conditional approval letter. The Plan serves as the application for CCDF funds by providing a description of, and assurance about, the grantee's child care program and all services available to eligible families. OCC asked States and Territories to write their Plans based on a reasonable interpretation of the Act, pending completion of a final regulation. States and Territories had the option to outline an implementation plan for one or all of the 26 new areas if the State/Territory was not yet able to certify compliance. Thus, these Plans are conditionally approved until each State/Territory fully implements all new requirements of the CCDBG Act of 2014. The OCC will partner with States and Territories to support and monitor the successful and timely implementation of all provisions of the Act. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to amend their program at any time. All amendments must be submitted to OCC for approval within 60 days of the effective of the change.

Please find the following two documents within this PDF:

2016-2018 North Dakota CCDF Plan Conditional Approval Letter – OCC issued a letter with the conditions of approval for each State and Territory. In reviewing plans and waiver/extension requests, OCC gave careful consideration to the statutory conditions outlined in the Act, as well as the length of time requested, with the goal of having all provisions related to the Act fully implemented by October 1, 2018 corresponding to the start of the FY2019-2021 CCDF Plan period. The approval letter covers the CCDF Plan for the period of June 1, 2016, through September 30, 2018. A “conditionally approved” plan is a fully approved plan with conditions to be met based on waiver requests, if applicable, and implementation and corrective action plans for unmet requirements. The conditions will be deemed fully met once all provisions in the Child Care and Development Block Grant (CCDBG) Act of 2014 are fully implemented.

2016-2018 North Dakota CCDF Plan - The Plan describes the CCDF program to be administered by North Dakota for the period 6/1/2016 – 9/30/2018 as conditionally approved by OCC. The Plan serves as the application for CCDF funds by providing a description of, and assurance about, the grantee's child care program and all services available to eligible families. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described. For purposes of simplicity and clarity, the specific provisions of applicable laws printed therein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

NOTE: *The CCDF Plan reflects the services and activities as reported by the North Dakota Lead Agency in their CCDF Plans for Fiscal Years 2016-2018. The CCDF Plans offer a snapshot into current and planned efforts, initiatives and implementation plans for each State/Territory through September 30, 2018. These Plans are not a catalog of all activities undertaken by the State/Territory. Administration for Children and Families (ACF) is not responsible for the contents of these CCDF plans.*



ADMINISTRATION FOR
CHILDREN & FAMILIES

330 C Street, S.W., Washington DC 20201 | www.acf.hhs.gov

June 15, 2016

Maggie Anderson, Executive Director
North Dakota Department of Human Services
600 East Boulevard Ave.
Bismarck ND, 58505

Dear Executive Director Anderson:

The Office of Child Care (OCC) recognizes that there are many new requirements included in the Child Care and Development Block Grant (CCDBG) Act of 2014 that you are working to implement during this Plan period. We appreciate the time and energy that you put into developing your Child Care and Development Fund (CCDF) Plan to reform and effectively administer your program. I am pleased to inform you that the North Dakota CCDF Plan for the period of June 1, 2016, through September 30, 2018, has been conditionally approved. A "conditionally approved" plan is a fully approved plan with conditions to be met based on your waiver requests, if applicable, and implementation plans for unmet requirements. The conditions will be deemed fully met once all provisions in the CCDBG Act of 2014 are fully implemented and implementation plan action steps are completed. At that time the North Dakota CCDF Plan will be approved without conditions. OCC gave careful consideration to the statutory conditions outlined in the Act, as well as the length of time requested, with the goal of having all provisions related to the Act fully implemented by October 1, 2018 corresponding to the start of the FY2019-2021 CCDF Plan period.

Key principles of the CCDF are to provide equal access to child care for children receiving child care assistance and to ensure parental choice. Provider payment rates set too low undermine these principles. As you are aware, the CCDBG Act of 2014 requires states and territories to take the cost of quality into account when setting rates, and to set rates based on the results of the most recent market rate survey or alternative methodology. We continue to be concerned that your rates may not allow for equal access. OCC plans to make review of payment rates a priority for our upcoming

implementation monitoring visits. Thus, the conditional approval of your Plan **does not** constitute a final determination that your payment rates are sufficient to provide access to child care services for eligible families that are comparable to those provided to families that do not receive subsidies, as required by law.

You will receive a Notice of Grant Award in October 2016 from the Office of Administration in the Administration for Children and Families. The notice will include the amount of your award and any additional terms and conditions for the receipt of CCDF program funds. During the effective period of this plan, any substantial changes to the North Dakota program must be submitted as a plan amendment to your Regional Office for approval in accordance with 45 CFR 98.18(b).

We remind you that your CCDF-funded child care program for in-home providers must comply with all applicable Federal laws and regulations, including Federal wage and income tax laws governing domestic workers. Questions regarding Federal wage laws should be directed to your local or district office of the Wage and Hour Division within the U.S. Department of Labor. Likewise, questions regarding Federal income tax laws should be directed to your local or district office of the Internal Revenue Service.

We look forward to working together toward implementation of the CCDBG Act of 2014 and promoting the early learning and development of children along with family economic stability and success. If you have any questions, please contact Karen Knoll-Moran, Child Care Program Manager, Office of Child Care at (303) 844-1164 or karen.knollmoran@acf.hhs.gov. Thank you for all you do each day for children and families.

Sincerely,

Rachel Schumacher
Director
Office of Child Care

cc: Rebecca Eberhardt, Early Childhood Services Administrator
Samantha O'Brien, Child Care Assistance Program Subsidy Administrator
Karen Knoll-Moran, Regional Program Manager, Office of Child Care Region VIII

Child Care and Development Fund (CCDF) Plan For North Dakota FFY 2016-2018

1 Define CCDF Leadership and Coordination with Relevant Systems

Implementation of the requirements of the CCDBG Act of 2014 will require leadership and coordination between the child care assistance program and other child- and family-serving agencies, services, and supports at the state and local levels. ACF recognizes that each grantee must identify the most appropriate entities and individuals to lead and participate in implementation based on the context within that State or Territory. This will include those that manage various components of CCDF-funded activities and requirements (fiscal, subsidy, health and safety monitoring, and continuous quality improvement) as well as other public and private partners.

This section collects information to help ACF understand the stakeholders convened and consulted to develop the Plan, where authority lies to make policy decisions and program changes, and who is responsible for implementing the blueprint for action the Plan describes. For example, the law requires that, at the option of the Tribes, State/Territory Lead Agencies must collaborate and coordinate with Indian tribes or tribal organizations in the State in a timely manner in the development of the CCDF Plan. ACF expects that new requirements in the law will necessitate that grantees build partnerships with other agencies and organizations to better link the children and families receiving financial assistance to information, services and resources regarding other programs for which they may be eligible, including developmental screenings for children, and other resources (also in section 2). In addition, States and Territories must describe how public-private partnerships are being used to increase the supply and quality of child care services.

1.1 CCDF Leadership

The Governor of a State or Territory shall designate an agency (which may be an appropriate collaborative agency), or establish a joint inter-agency office, 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(c)(1))

1.1.1 Which Lead Agency is designated to administer the CCDF program?

Identify the Lead Agency or joint inter-agency office 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))

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 Official: [Maggie Anderson, Executive Director of ND Department of Human Services](#)

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

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.

a) Contact Information for CCDF Administrator:

Name of CCDF Administrator: [Rebecca Eberhardt](#)

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

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

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

E-Mail Address: reberhardt@nd.gov

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

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

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

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

E-Mail Address: skobrien@nd.gov

Description of the role of the Co-Administrator:

[The Co-Administrator is responsible for the development and supervision of eligibility policy and eligibility determination process for the Child Care Assistance Program. Other responsibilities include the development and monitoring of technical aspects for the subsidy payment system, conducting the market rate survey, and serve as a resource in the improper payment review process.](#)

c) Primary Contact Information for the CCDF Program:

Phone Number for CCDF program information (for the public) (if any): [701-328-2332](tel:701-328-2332) or [1-800-755-2716](tel:1-800-755-2716) (toll free)

Web Address for CCDF program (for the public) (if any):
<https://www.nd.gov/dhs/services/financialhelp/childcare.html>

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

Web Address for CCDF program administrative rules (if any):
<http://www.legis.nd.gov/information/acdata/pdf/75-02-01.3.pdf?20140415130641>

1.1.3 Identify the agency/department/entity that is responsible for each of the major parts of CCDF administration and the name of the lead contact responsible for managing this portion of the Plan.

Outreach and Consumer Education (section 2)

Agency/Department/Entity [Department of Human Services, Children and Family Services](#)

Name of Lead Contact [Rebecca Eberhardt](#)

Subsidy/Financial Assistance (section 3 and section 4)

Agency/Department/Entity [Department of Human Services, Economic Assistance Division](#)

Name of Lead Contact [Samantha O'Brien](#)

Licensing/Monitoring (section 5)

Agency/Department/Entity [Department of Human Services, Children and Family Services](#)

Name of Lead Contact [Rebecca Eberhardt](#)

Child Care Workforce (section 6)

Agency/Department/Entity [Department of Human Services, Children and Family Services](#)

Name of Lead Contact [Rebecca Eberhardt](#)

Quality Improvement (section 7)

Agency/Department/Entity [Department of Human Services, Children and Family Services](#)

Name of Lead Contact [Rebecca Eberhardt](#)

Grantee Accountability/Program Integrity (section 8)

Agency/Department/Entity [Department of Human Services, Economic Assistance Division](#)

Name of Lead Contact [Samantha O'Brien](#)

[1.2 CCDF Policy Decision Authority](#)

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))

[1.2.1 Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level?](#)

In other words, identify whether CCDF program rules and policies are established by the state or territory (even if administered or operated locally) or whether the CCDF policies or rules are established by local entities (such as counties or workforce boards) setting those policies. Check one.

- All program rules and policies are set or established at the State/Territory level.
- Some or all program rules and policies are set or established by local entities. If checked, indicate which entities establish the following policies. Check all that apply.
 - Eligibility rules and policies (e.g., income limits) are set by the:
 - State/Territory
 - County.
If checked, describe the type of eligibility policies the county can set
 - Other local entity (e.g., workforce boards, early learning coalitions).
If checked, identify the entity (e.g. workforce board) and describe the type of eligibility policies the local entity(ies) can set
 - Other.

Describe:

Sliding fee scale is set by the:

State/Territory

County

If checked, describe the type of sliding fee scale policies the county can set

Other local entity (e.g., workforce boards, early learning coalitions).

If checked, identify the entity (e.g. workforce board) and describe the type of sliding fee scale policies the local entity(ies) can set

Other.

Describe:

Payment rates are set by the:

State/Territory

County.

If checked, describe the type of payment rate policies the county can set

Other local entity (e.g., workforce boards, early learning coalitions).

If checked, identify the entity (e.g. workforce board) and describe the type of payment rate policies the local entity(ies) can set

Other.

Describe:

Other.

List and describe (e.g., quality improvement systems, payment practices):

1.2.2 How is the CCDF program operated in your State/Territory?

In other words, which agency(ies) implement or perform these CCDF services and activities and how will the State/Territory ensure that Federal CCDF requirements are fully implemented by other governmental or nongovernmental agencies. ACF recommends minimizing differences in eligibility or other policies across counties or other jurisdictions to ease family burden and confusion. Check all that apply. and describe the services performed by the entity and how the State/Territory ensures accountability that federal requirements are fully implemented by other agency(ies).

a) Who determines eligibility?

CCDF Lead Agency

TANF agency

Describe.

Other State/Territory agency.

Describe.

Local government agencies such as county welfare or social services departments

Describe.

[County social services eligibility staff determines eligibility for the Child Care Assistance Program \(CCAP\).](#)

Child care resource and referral agencies

Describe.

Community-based organizations

Describe.

Other.

Describe.

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

CCDF Lead Agency

TANF agency

Describe.

Parents may apply for TANF and CCAP on a combined application. Parents who apply for TANF are encouraged to apply for CCAP. Parents are provided with a Child Care Assistance Program brochure that includes information on child care resource and referral. Applicants are provided with a copy of the Application for Assistance Guidebook which includes information on child care resource and referral services.

Other State/Territory agency.

Describe.

Local government agencies such as county welfare or social services departments

Describe.

Parents are provided with a Child Care Assistance Program brochure that includes information on Child Care Aware of ND. Applicants are provided with a copy of the Application for Assistance Guidebook which includes information on child care resource and referral services.

Child care resource and referral agencies

Describe.

Child care resource and referral agencies called Child Care Aware of ND have prepared materials, such as a searchable provider database, to help parents find child care services in the state.

Community-based organizations

Describe.

Other.

Describe.

c) Who issues payments?

CCDF Lead Agency

TANF agency

Describe.

Other State/Territory agency.

Describe.

Local government agencies such as county welfare or social services departments

Describe.

Child care resource and referral agencies

Describe.

Community-based organizations

Describe.

Other.

Describe.

1.3 Consultation in the Development of the State Plan

The Lead Agency is responsible for developing the CCDF plan which serves as the application for a three-year implementation period. In the development of the CCDF plan, the Lead Agency shall consult with appropriate representatives of units of general purpose local government. (658D(b)(2)) General purpose local governments is defined by the U.S. Census at https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf The CCDBG Act of 2014 added a requirement that States consult with the State Advisory Council on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act). 658E(c)(2)(R) In addition, States shall, at the option of an Indian tribe or tribal organization in the State, collaborate and coordinate with such Indian tribe or tribal organization in the development of the State plan in a timely manner. (658D (b)(1)(E))

1.3.1 Check who and describe how the Lead Agency consulted with these entities in the development of the CCDF Plan (check all that apply).

For example, did the entity participate in a drafting committee, review drafts, sign off on the final version, or develop a memorandum of understanding with the Lead Agency to meet requirements to share information or services for CCDF subsidy families, or other manner of participation? This list includes entities required by law along with a list of optional CCDF Plan consultation partners that Lead Agencies potentially would consult with in their developing their CCDF Plan.

- [REQUIRED] Appropriate representatives of general purpose local government, which can include counties, municipalities or townships/towns

Describe:

[Child Care Subsidy](#)

The Child Care Assistance Work Group and the Economic Assistance Regional Representatives are consulted during development of child care subsidy policy and the CCDF state plan. The Child Care Assistance Work Group consists of County Eligibility Workers, County Eligibility Worker supervisors and Economic Assistance program staff. Other Economic Assistance programs, Low Income Home Energy Assistance, Medicaid/CHIP, Supplemental Nutrition Assistance and Temporary Assistance for Needy Families program administrators are consulted to determine where policies may align or to assure policies do not conflict with the goals of each program. The Child Care Assistance policy manual, including additions and changes, is available to interested parties. The website for the manual is <http://www.nd.gov/dhs/policymanuals/home/#financialhelp.htm>.

Eligibility Technician Committee (ETC) Task Force, that consists of eligibility workers, eligibility worker supervisors and county directors, is another platform that may be used to discuss policy changes, results of improper payments and state plan changes. Suggested policy changes, if applicable, state are incorporated into the CCDF state plan.

County Directors meet on a monthly basis. Proposed changes to child care policy are presented for discussion and input. Suggested policy changes, if applicable, state are incorporated into the CCDF state plan.

Child Care Licensing

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

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

[REQUIRED IF APPLICABLE] State Advisory Council on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act).

Describe:

The draft plan was shared with members from ND's SAC, the Early Childhood Education Council and recommendations have been considered in development of the plan.

If checked, does the Lead Agency have official representation and a decision-making role in the State Advisory Council?

- Yes,
 No.

If no State Advisory Council on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act) exists in your State/Territory, describe how you consulted with any other state- or state-designated cross-agency body such as an advisory council, cross-agency commission, or council or cabinet related to child and family planning and policy

[REQUIRED] Indian tribe(s) and/or tribal organization(s), at the option of individual Tribes.

Describe, including which Tribe(s) you consulted with

Tribal Organizations have membership on The Healthy **North Dakota** Early Childhood Alliance (**HNDECA**) and have also been consulted with through ND's early childhood tribal program. ND's early childhood consultant, through a contract with Child Care Aware of ND, provides support to tribal administrators and is able to receive feedback from the tribes regarding state initiatives. Any feedback that is received is then shared with the

Early Childhood Services Administrator and is used in development of the State Plan. 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. The Tribes in North Dakota include; Trenton Indian Service Area, Spirit Lake Nation, Three Affiliated Tribes, Turtle Mountain Agency, Standing Rock Sioux Nation.

Check N/A if no Indian Tribes and/or Tribal organizations in the State

State/Territory agency responsible for public education.

Describe:

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

State agency/agencies responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool).

Describe:

The Early Childhood Services 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, Child Care Aware, and the Department of Commerce. CCDF consultation has taken place with the Interagency Coordinating Council (ICC) during regularly held meetings.

State/Territory institutions for higher education, including community colleges.

Describe:

The Early Childhood Services administrator is apart of the early childhood higher education consortium which meets quarterly. The consortium provides consultation on the development of the CCDF plan.

State/Territory agency responsible for child care licensing.

Describe:

The Lead Agency is responsible for child care licensing. North Dakota is state supervised and county administered and the Early Childhood Services Administrator sets policies and has an advisory board for child care rules and regulations. The Early Childhood

Services Administrator works collaboratively with county licensers and they are asked to give input on the development of the CCDF Plan at state and regional meetings. These meetings occur three times per year.

State/Territory office/director for Head Start State collaboration

Describe:

The Early Childhood Services Administrator and the Administrator of the Head Start Collaboration Office meets regularly to discuss early childhood initiatives in ND and provide leadership to the ND Professional Development plan and the Early Childhood Data Committee. The Head Start Collaboration Office provides consultation on the development of the CCDF plan to set goals and priorities for the state. The Head Start Collaboration Office and the Early Childcare Services Administrator both participate on various committees throughout the state where collaboration and goal prioritizing efforts between various organizations occur and this sharing of information is used in the development of the State plan.

State/Territory/local agencies with Early Head Start-Child Care Partnerships grants.

Describe:

State/Territory agency responsible for Child and Adult Care Food Program (CACFP).

Describe:

Consultation on the State Plan with the Child and Adult Care Food Program (CACFP) has occurred through the Early Childhood Services State Team and through a shared Nutrition and Physical Activity in Child Care initiative that both the Early Childhood Services Administrator and (CACFP) are active members on. The CACFP was given the State Plan for review and had the opportunity to provide feedback. CACFP guidelines are used in the Quality Rating and Improvement System, Bright and Early to ensure programs are offering nutritional meals to children. Also CACFP provides trainings to child care programs that is approved for annual child care licensing renewal requirements.

- State/Territory agency responsible for WIC, nutrition (including breast-feeding support), and childhood obesity prevention

Describe:

The ECS State Administrator serves on the ND Home Visiting Coalition advisory council and at regularly scheduled meetings consultation on the State Plan occurs. With collaboration efforts the Lead agency also partners with home visiting programs through shared efforts to support implementation of the early learning guidelines and professional development opportunities which are included on the State plan.

- Other Federal, State, local and/or private agencies providing early childhood and school-age/youth serving developmental services.

Describe:

- State/Territory agency responsible for implementing the Maternal and Child Home Visitation programs grant

Describe:

The agency responsible for implementing the Maternal and Early Childhood Visitation programs grant is on various committees with the Early Childhood Services Administrator and consultation on the State plan occurs during these meetings and there has been similar goals that have been identified that are in the State plan. For example we are working together to target providing consumer information to families in regards to the Maternal and Child Home Visitation program as well as other resources on child development that are being developed.

- Agency responsible for Medicaid/Early and Periodic Screening, Diagnostic and Treatment (EPSDT).

Describe:

- McKinney-Vento State coordinators for Homeless Education.

Describe:

A meeting was had with the McKinney-Vento State Coordinator for Homeless Education and consultation was provided on the State plan. Information and suggestion were provided that were taken into consideration when developing the State plan. What type and the content of training to offer to child care providers was identified as well as other community resources to collaborate with were identified.

State/Territory agency responsible for public health.

Describe:

A member of the Dept. of Health serves on the Early Childhood State Team and provides input for the development of licensing policy and State Plan Development.

State/Territory agency responsible for mental health.

Describe:

State/Territory agency responsible for child welfare.

Describe:

The Child Protection Services Administrator has been consulted with in the development of the State Plan. We are coordinating efforts between child care and child protection services (CPS) and work collaboratively to identify goals and priorities. We have developed policies and procedures when there is a CPS report that involves child care.

State/Territory liaison for military child care programs.

Describe:

State/Territory agency responsible for employment services/workforce development.

Describe:

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.

State/Territory agency responsible for Temporary Assistance for Needy Families (TANF).

Describe:

The TANF Program Administrator and the Child Care Assistance Program Administrator collaborate on common policies and procedures to assure TANF families have child care so the adult household member may meet the mandatory work requirements under the TANF program. The TANF program contracts with three different agencies in North Dakota that assist TANF families in becoming self-sufficient. The employment contractors assure TANF families apply for Child Care Assistance and assist them in finding licensed or qualified child care. They utilize Child Care Aware, eligibility workers

and other means available in assisting families.

State/community agencies serving refugee or immigrant families.

Describe:

The majority of the refugee families enter and reside in Cass, Grand Forks, and Burleigh County (in this order). Child Care Assistance program requires county social service agencies to provide translator services at no cost to the families. This may include assisting families in finding licensed or qualified child care providers in their location. Child Care Aware of ND works in these communities and works collaboratively with the community agencies serving refugee or immigrant families. Through these supports and connections Child Care Aware of ND is able to bring feedback that is used in developing the State plan.

Child care resource and referral agencies.

Describe:

Child Care Aware (CCA) of ND and the Lead Agency have had various meetings and worked collaboratively on the development of the State Plan, including identification of goals and priorities for the State Plan. The contract between CCA and the Lead Agency has a work plan that reflects these shared goals and strategies for implementing them throughout the State.

Provider groups or associations.

Describe:

The Early Childhood Services 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.

Worker organizations.

Describe:

Parent groups or organizations.

Describe:

There are no formal parent groups that have been identified; however, parent representatives are consulted with throughout Healthy North Dakota Early Childhood

Alliance, the Early Childhood Education Council, and the Inclusive Childcare Committee.

Other.

Describe:

1.3.2. 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)).

Lead Agencies are required to hold at least one public hearing in the State/Territory with sufficient State/Territory-wide distribution of notice prior to such hearing to provide the public an opportunity to comment on the provision of child care services under the CCDF Plan. At a minimum, the description should include:

a) Date(s) of notice of public hearing: 01/11/2016

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

b) How was the public notified about the public hearing, including how notice was accessible for people with disabilities? Please include website links if utilized to provide notice.

Notice of the public hearing was published in 10 newspapers statewide in advance of the hearing. In addition, the state plan was posted on the North Dakota Department of Human Service's website at <http://www.nd.gov/dhs/>. The notice included a link to the department's website and information on who to contact if accommodations were needed for people with a disability.

c) Date(s) of public hearing(s): 02/02/2016

Reminder - Must be no earlier than September 1, 2015 which is 9 months prior to the June 1, 2016 effective date of the Plan.

d) Hearing site(s) or method(s), including how geographic regions of the State/Territory were addressed The hearing was held at West Central Human Services Center in Bismarck by Interactive Video Network (IVN). Other sites connected through the IVN system were Lake Region State College in Devils Lake, Dickinson State University, Southeast Human Service Center in Fargo, University of North Dakota in Grand Forks, Minot State University, Valley City State University, and Williston State College. Geographic locations were addressed by

holding the hearing in the most populous city within the 8 regions of the state.

e) Describe how the content of the Plan was made available to the public in advance of the public hearing(s) [The draft state plan was posted to the department's website.](#)

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 and information provided by the public were encouraged. No comments were received during the public hearing.](#)

1.3.3 Describe the strategies used by the Lead Agency to make the CCDF Plan and Plan Amendments available to the public. Check all that apply and describe the strategies below, including any relevant links as examples.

Working with advisory committees.

Describe:

[The CCDF plan was made available via email to various working groups to include, Early Childhood Education Council, the Higher Education Consortium, Child Care Licensor's, the Advisory Board on Child Care rules and regulations, etc and the website link was provided to various working groups in which Early Childhood Services administrator is a member.](#)

Working with child care resource and referral agencies.

Describe:

[The CCDF plan was written in coordination with Child Care Aware and staff and was sent to Child Care Aware in ND for review before final submission.](#)

Providing translation in other languages.

Describe:

Making available on the Lead Agency website.

List the website:

<http://www.nd.gov/dhs/info/pubs/childcarepub.html>

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

Sharing through social media (Twitter, Facebook, Instagram, email, etc.).

Describe:

Providing notification to stakeholders (e.g., provider groups, parent groups).

Describe:

An email, that included the public notice, a PDF of the state plan and a link to the departments' website that included a link to the planto the following stakeholders:

- Child care aware of ND
- Interagency Coordinating Council (ICC)
- State team
- Advisory board
- Mark Shaffer (Head Start)
- Tara Bitz (Department of Public Instruction)
- ECIDS Stakeholder
- Early Childhood nutrition and physical activity committee
- Early Childhood Screening and Referral Committee

In addition, letters were sent to the four Tribal Child Care program that included a copy of the public notice, a PDF of the state plan and a link to the departments' website that included a

to the plan.

Other.

Describe:

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

The CCDBG Act of 2014 added a requirement that the Plan describe how the State/Territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the Federal, State/Territory, and local levels for children in the programs listed below.

1.4.1 Check who and describe how your State/Territory coordinates or plans to efficiently coordinate child care services with the following programs to expand accessibility and continuity of care, and assist children enrolled in early childhood programs to receive full-day services that meet the needs of working families. (658E(c)(2)(O))

Please describe the goals of this coordination, such as extending the day or year of services for families; smoothing transitions for children between programs or as they age into school, enhancing and aligning quality of services, linking comprehensive services to children in child care settings or developing supply of quality care for vulnerable populations. NOTE that this list appears similar to the list provided in 1.3.1 which focused on consultation for purposes of

developing the CCDF Plan, however, this list includes entities required by law, along with a list of optional CCDF Plan coordination partners that Lead Agencies potentially would coordinate with over the next 3 years to expand accessibility and continuity of care, and assist children enrolled in early childhood programs to receive full-day services. Check and describe all that apply.

- [REQUIRED] Programs operating at the Federal, State and local levels for children in pre-school programs (e.g., state-or locally-funded pre-k, Head Start, school-based programs, public and private preschools, programs serving preschool children receiving special education services, etc.).

Describe:

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.

- [REQUIRED IF APPLICABLE] Tribal early childhood programs.

Describe, including which Tribes coordinating with:

The ECS Administrator oversees state contracts with Trenton Indiana Service Area and with Child Care Aware to provide tribal early childhood services. Tribal licensers and tribal providers are also invited to professional development opportunities supported by CCDF. CCAP subsidy shares policy, sliding fee schedule and CCDF plan with tribal entities. The Tribes in North Dakota include Trenton Indian Service Area, Spirit Lake Nation, Three Affiliated Tribes, Turtle Mountain Band of Chippewa, Standing Rock Sioux Nation.

- Check N/A if no Indian Tribes and/or Tribal organizations or programs in the State.

- [REQUIRED] Other Federal, State, local early childhood programs serving infants and toddlers with disabilities.

Describe:

The Lead Agency coordinates with the North Dakota Center for Persons with Disabilities to provide consultation and information to child care providers on meeting the developmental needs of children. Additionally, the Lead Agency contracts with Child Care Aware 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.

[REQUIRED] Early childhood programs serving homeless children (as defined by the McKinney-Vento Homeless Education Assistance Act).

Describe:

The Lead Agency will strengthen collaboration and coordination with Head Start Directors, the local Child Care Association, North Dakota Homeless Education Coordinators through Department of Public Instruction, and statewide Child Care Aware agencies to help to ensure that young children experiencing homelessness are accessing quality early childhood programs. At the local level, the Lead Agency will encourage collaboration and individual partnerships to expand local capacity to meet the needs of families and children experiencing homelessness. This includes inviting the programs listed below to meetings and committees that are already functioning but may not have a representative from one of these organizations, but is not limited to:

- Local educational agencies/school districts/local homeless liaisons
- Housing and Urban Development (HUD) Continuums of Care
- Domestic violence shelters
- Homeless coalitions
- Salvation Army
- Family Resource Centers

By including these organizations to already established meetings and committees the Lead Agency looks to foster new partnerships or opportunities to expand child care options or link comprehensive services to children in child care settings.

Child Care Aware's marketing targets organizations that provide services to families that are experiencing homelessness. Child Care Aware's materials educate parents about the importance of high quality environments and encourages them to select programs that are high quality. These materials are distributed to several of the organizations listed above.

[REQUIRED] Early childhood programs serving children in foster care.

Describe:

The department reimburses a foster parent the full rate that is charged for child care for children in the care, custody and control of a county social services, Division of Juvenile Services or the DHS Executive Director. The Early Childhood Services Administrator and the Child Care Assistance Program Administrator coordinated with the Foster Care Program Administrator when setting foster care policies regarding child care and foster care payments process. This process provides consistency between the programs. The child care

assistance program billing form is used by the Foster Care program for foster care parent's to request reimbursements for child care expenses. The Foster Care program does not use the Child Care Assistance Program provider rates to reimburse foster care parent's.

State/Territory agency responsible for child care licensing.

Describe:

This is the same as the Lead Agency. County licensers and county directors are coordinated within various ways which include annual conference calls, regional meetings 3 times per year, and through the Early Childhood Services State Team which meets 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. County licensers are instrumental in CCDF delivery. They provide the licensing visits, which result in 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 administrator coordinate to ensure consistency in regulations across the state. Licenser and county director representation on the Early Childhood Services State Team ensures coordination between licensing and quality initiatives. These efforts increase provider competency and compliance with child care rules and regulations.

State/Territory agency with Head Start State collaboration grant.

Describe:

The Early Childhood Services Administrator works collaboratively with the Head Start State Collaboration Officer in numerous professional development efforts. The State Administrator and HSSCO serve on the Healthy North Dakota Early Childhood Alliance 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. The coordination results in increased access to a wider variety of professional development opportunities statewide, increased participation in the Growing Futures professional development system, and also result in a higher number of Head Start programs applying for licensure.

State Advisory Council authorized by the Head Start Act.

Describe:

The Lead Agency will continue to strengthen collaboration and coordination with the State

Advisory Council. This will be done by continued at least annual meetings or as often as the chair of the committee calls them. As well as continued subcommittee meetings that occur monthly or quarterly. The Lead Agency will continue to work with the Early Childhood Education Council on identified goals and collaboration efforts that have been created through work with this Council.

State/Territory/local agencies with Early Head Start-Child Care Partnerships grants.

Describe:

The ECS Administrator coordinates with the Head Start State Collaboration Officer in various ways. The Lead Agency has identified that continue outreach to Early Head Start-Child Care Partnership grants is vital and has offered to provide support and attend meetings to help facilitate partnerships and assist as necessary. The Lead Agency will continue to work to look for other possibilities of Early Head Start-Child Care partnerships and provide support.

The Child Care Assistance program entered into a memorandum of understanding with Mayville State University Child Development Programs on the Early Head Start (EHS)-Child Care Partnership (EHS-CCP) Grant. This partnership project is designed to provide Early Head Start services to children while in childcare settings. Mayville State University Child Development Program partners with child care centers in surround county social service agencies. Child Care Assistance Program reimburses participating providers at the highest provider rate. Following are additional requirements as part of the agreement

- Provide assistance for up to 64 additional children age's birth through three years of age.
- Collaborate with Mayville State University to strengthen existing partnerships to meet objectives.
- Meet quarterly with representatives from state partnership agencies.
- Participate in monthly telephone consultation to advise project personnel on effectively interfacing the objective of the Next Steps project with State goals.
- Waive the Family Monthly Co-pay for eligible families.
- Pay participating providers the full time rate based on provider type and age of the children.
- Continue to determine eligibility for the Child Care Assistance Program based on program requirements.
- Accept a simplified provider billing report form developed by Early Head Start that is to be signed by the Early Head Start Enrollment Coordinator and the Child Care Assistance Program family.



McKinney-Vento State coordinators for Homeless Education or local educational agency
McKinney-Vento liaisons

Describe:

The Lead agency will work to strengthen coordinator and collaboration with the homeless liaisons in the public school districts. The child care subsidy application has been updated with a description and question to reflect a client's homeless category. Ongoing needs discussions will be held with Homeless Liaison State Coordinator, local shelters, and local School Liaison coordinators to meet the goal of linking services and increase accessibility.

Child care resource and referral agencies.

Describe:

Child Care Aware of ND carries out most of the quality initiatives in the CCDF through a contract with the Lead Agency. As such Child Care Aware of ND is vital partner. This coordination, works on a variety of goals to include extending the day or year of services for families; smoothing transitions for children between programs or as they age into school, enhancing and aligning quality of services, linking comprehensive services to children in child care settings and developing supply of quality care for vulnerable populations.

State/Territory agency responsible for public education.

Describe:

The early childhood representative from the Department of Public Instruction coordinates with the Lead Agency on early childhood professional development, early childhood coordination and various other initiatives. It is expected that this coordination leads to blending of resources.

State/Territory institutions for higher education, including community colleges.

Describe:

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 increased access to early childhood coursework and seamless transfer between early childhood education college and university programs in North Dakota.

State/Territory agency responsible for Child and Adult Care Food Program (CACFP).

Describe:

The Child and Adult Care Food Program located in Department of Public Instruction (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. 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. .

- State/Territory agency responsible for WIC, nutrition (including breast-feeding support), and childhood obesity prevention.

Describe:

The ECS State Administrator serves on the ND Home Visiting Coalition advisory council as well as the State chronic disease partnership . The Lead Agency also partners with home visiting programs through shared efforts to support implementation of the early learning guidelines and professional development opportunities. It is expected that coordination will result in greater awareness.

- Other Federal, State, local and/or private agencies providing early childhood and school-age/youth serving developmental services.

Describe:

The Lead Agency coordinates with N.D. Center for Persons with Disabilities to provide consultation and information to child care providers on meeting the developmental needs of children. Additionally, the Lead Agency contracts with Child Care Aware 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. 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.

- State/Territory agency responsible for implementing the Maternal and Childhood Home Visitation programs grant.

Describe:

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. It is expected that this coordination will result in greater awareness of the importance of

quality early childhood experience among parents with young children.

Agency responsible for Medicaid/Early and Periodic Screening, Diagnostic and Treatment (EPSDT).

Describe:

State/Territory agency responsible for public health.

Describe:

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 Child Care Aware of ND 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. 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 has resulted in the development of Best Practices in Nutrition and Physical Activity resources that will be disseminated to providers and parents.

State/Territory agency responsible for mental health.

Describe:

State/Territory agency responsible for child welfare.

Describe:

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.

State/Territory liaison for military child care programs.

Describe:

The Lead Agency has been working to connect with military child care programs for North Dakota. One connection is the Lead Child & Youth Program Coordinator with ND National Guard (NDNG) Child & Youth Programs. Child & Youth Program Coordinators have access to the ND Family Assistance Center, which is within the NDNG Service Member & Family Support Office. The Lead Agency will continue to strengthen coordination with this program by inviting them to committees the Lead Agency convenes in order to bring a presence of military families. In addition the Lead Agency is working with Air Force Bases Family Child Care Programs to ensure a MOU is in place for the licensing of family child care homes as well as to invite them to committees the Lead Agency convenes in hopes to cross share resources and to further collaborate. Child Care Aware of ND does maintain a list of child care providers who are willing to offer free or reduced rate on child care cost to military families through the Military Child Care in your neighborhood fee assistance program offered by Child Care Aware of America. With these continued collaborations the Lead Agency hopes to increase access to child care for families and bring an awareness to the needs of military families in our communities.

State/Territory agency responsible for employment services/workforce development.

Describe:

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 Child Care Aware of ND 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. 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.

State/Territory agency responsible for Temporary Assistance for Needy Families (TANF).

Describe:

Child Care Assistance Program Administrator coordinated policies and procedures with the TANF Program Administrator. Under the umbrella of the TANF program are the following programs in which the co-payment is waived:

- Regular TANF
- Diversion Assistance
- Transition Assistance
- Crossroads Program - Provides case management services, limited support services and child care assistance while a teen parent continues their education

and Crossroads program policy administrators to resolve issues that arise and to ensure child care coverage is available to meet TANF and Crossroads recipients needs. Subsidy meets bimonthly or as needed with other program administrators through Policy and System Alignment (PSA) meetings. This coordination results in close monitoring of program policy changes and the effects of the policy changes. This helps to minimize policy barriers for TANF and Crossroads families eligible for CCDF. The coordination results in advance knowledge of policy changes resulting in the ability to be proactive and resolve issues quickly

TANF and Crossroads families who receive CCDF.

State/Territory community agencies serving refugee or immigrant families

Describe:

In 2015 our state wide Child Care Aware of ND merged under one agency, Lutheran Social Services, initial meetings have occurred with the Center for New Americans in Fargo to explore future coordination possibilities. Plans are to coordinate with these agencies to ensure families in need of child care are properly assisted.

Provider groups or associations.

Describe:

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. 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.

Worker organizations.

Describe:

Parent groups or organizations.

Describe:

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.

Other.

Describe:

1.5 Optional Use of Combined Funds

The CCDBG Act of 2014 added a provision that States and Territories have the option to combine funding for CCDF child care services with funding for any of the required programs listed in 1.4.1. These include programs operating at the Federal, State and local levels for children in preschool programs, tribal early childhood programs, and other early childhood

programs, including those serving infants and toddlers with disabilities, homeless children, and children in foster care. (658E(c)(2)(O))(ii) Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams in an effort to expand and/or enhance services for children and families to allow for delivery of comprehensive high quality care that meets the needs of children and families. For example, State/Territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a State/Territory may allow county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start or State/Territory pre-kindergarten requirements in addition to State/Territory child care licensing requirements. As a reminder, per the OMB Compliance Supplement governing audits

(https://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2014), CCDF funds may be used in collaborative efforts with Head Start (CFDA 93.600) programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and the CCDF is mandated by sections 640(g)(2)(D) and (E), and 642(c) of the Head Start Act (42 USC 9835(g)(2)(D) and (E); 42 USC 9837(c)) in the provision of full working day, full calendar year comprehensive services (42 USC 9835(a)(5)(v)). In order to implement such collaborative programs, which share, for example, space, equipment or materials, grantees may blend several funding streams so that seamless services are provided.

1.5.1 Will you combine CCDF funds with the funds for any program with which you coordinate (described in 1.4.1)?

Yes, If yes, describe at a minimum:

How do you define "combine"

Which funds will you combine

Goal(s) of combining funds (why?) and expected outcomes, such as extending the day or year of services available (i.e., full-day, full-year programming for working families), smoothing transitions for children, enhancing and aligning quality of services, linking comprehensive services to children in child care or developing the supply of child care for vulnerable populations

Method of fund allocation (how you will be combining multiple sets of funding, such as at the State/Territory level, local level, program level?)

How are the funds tracked and method of oversight

No.

1.6 Public-Private Partnerships

The CCDBG Act of 2014 adds a new provision that requires States and Territories to describe in the Plan how the State/Territory encourages partnerships among State/Territory and public agencies, tribal organizations, private entities, faith based organizations and/or community-based organizations to leverage existing service delivery systems for child care and development services and to increase the supply and quality of child care services for children through age 12, such as by implementing voluntary shared services alliance models (i.e., cooperative agreement among providers to pool resources to pay for shared fixed costs and operation). (658E(c)(2)(P)) ACF expects these types of partnerships to leverage public and private resources to further the goals of reauthorization.

1.6.1 Describe the entities with whom and the levels at which the State/Territory is partnering (level - State/Territory, county/local, and/or programs), the goals of the partnerships, method of partnering. Include in your description examples of activities that have resulted from partnerships with other State/Territory and public agencies, tribal organizations, private entities, faith based organizations or community-based organizations, and how the partnerships are expected to leverage existing service delivery systems for child care and development services and to increase the supply and quality of child care services.

Private business, 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

shortages of childcare statewide and the promotion of public-private partnerships has provided some promising results. The Lead Agency is working with various levels through coordination with Child Care Aware of ND, child care licensers (county), community members, and a YMCA (childcare program) to leverage existing services and increase supply and quality of child care services. Examples of businesses that support the child care needs in their community by implementing licensed child care programs are Basin Electric, CHI St. Alexius, and Sanford Health. The Early Childhood Education Grant Program was established in the 2015 Legislative session and is overseen by the North Dakota Department of Commerce, to provide funding for public and private Early Childhood Education programs serving four year old children that are eligible for free or reduced lunches according to the Richard B. Russell National School Lunch Act. Communities are encouraged to plan early childhood coalition networks as a partnership among local school superintendents, Head Start directors, and representatives of the child care community so that the various funding streams can be leveraged and used most effectively. The Department of Public Instruction along with the Lead Agency, Child Care Aware of North Dakota and The Department of Commerce are all active participants in implantation of this new Early Childhood Education Grant Program. The Department of Commerce and The Department of Public Instruction will be tracking these partnerships and evaluating the work. The goal of this program would be to increase the supply of child care services.

1.7 Coordination with Local or Regional Child Care Resource and Referral Systems

States may use funds to support or establish Child Care Resource and Referral (CCR&R) systems (also see section 7.4). If they do, there are specific requirements for CCR&Rs (658E(c)(3)(B)(iii)) These include:

- Provide families with information on a full range of child care options (including faith-based, community-based child care centers and family child care homes, nontraditional hours and emergency child care centers) in their local area or region
- To the extent practicable, work directly with families who receive child care assistance to offer the families support and assistance in making an informed decision about child care options in an effort to ensure families are enrolling their children in the most appropriate child care setting to suit their needs and that is of high quality as determined by the State/Territory
- Collect data and provide information on the coordination of services and supports, including services provided through the Individuals with Disabilities Education Act for children with disabilities
- Collect data and provide information on the supply of and demand for child care services in local areas or regions of the State/Territory and submit such information to the State/Territory
- Work to establish partnerships with public agencies and private entities, including faith-

- based and community-based child care centers and family child care homes providers, to increase the supply and quality of child care services in the State/Territory
- As appropriate, coordinate their activities with the activities of the Lead Agency and/or local agencies that administer CCDF.

Nothing in statute prohibits States from using CCR&R agencies to conduct or provide additional services beyond those required by statute above.

1.7.1 Does the State fund a system of local or regional CCR&R organizations?

- Yes. The State/Territory funds a CCR&R system. See also related follow-up questions in Section 7.1 and 7.4.

If yes, the local or regional referral agency is required to do all of the activities listed here.

See also related follow-up questions in Section 7.1 and 7.4. Does the CCR&R system provide all services identified below:

The State contracts with Lutheran Social Services to provide a statewide system of Child Care Resource and Referral known as Child Care Aware of ND. The current period covers July 1, 2015 through June 30, 2017, and each contract period is for two years. Following are the services provided as per the contract:

The services will include consumer education and referrals, pre-service and ongoing training for early childhood services providers, and technical assistance for early childhood service providers and applicants.

The activities included are as follows:

1. Consumer education and referrals:
 1. Provide a website, which will promote informed early childhood services choices by parents, including,
 1. The availability of child care services,
 2. Information on quality of providers, if available,
 3. Research and best practices concerning children's development and meaningful parent and family engagement, and
 4. Information on developmental screenings.
 2. Collect and disseminate data, including annual reports of,
 1. Child care costs by state and county,
 2. Extent child care capacity meets potential demand, and
 3. Coordination of services and supports, including services under Section 619 and Part C of the Individuals with Disabilities Education Act.
 - c) Disseminate information on early childhood services quality and options for families through participation in community and statewide events.
 - d) Maintain a parent referral system available to parents online and by

telephone.

2. Training:

1. Provide pre-service training in accordance with CCDF requirements to providers. Training must be made available in multiple formats.
2. Provide ongoing training opportunities for providers that:
 1. Aligns with the N.D. Early Learning Guidelines, <http://www.nd.gov/dhs/services/childcare/guidelines.html>,
 2. Meets approval within the N.D. Growing Futures Professional Development System, <http://www.ndgrowingfutures.org>, and
 3. Leads to progressive professional development, including the Child Development Associate or pursuit of postsecondary education,
 4. Reflects current research in early childhood education, and
 5. Is appropriate for providers of varied cultures and learning styles.
1. Collaborate with other entities, as appropriate, to ensure a wide variety of meaningful training opportunities, which are accessible to all providers.

The program will focus on the development of the early childhood workforce, quality improvement of early childhood programs, technical assistance for early childhood providers and staff members, and building the capacity of early childhood programs, as provided for in N.D.C.C. § 50-11.1-14.1.

3. Technical Assistance:

a) Provide consultation and resources to providers on health and safety, child care business practices, child development, emergency preparedness, and maintaining licensing compliance.

1. Workforce development, to include:

b) Progressive training and technical assistance opportunities leading to the Child Development Associate or upward movement on the Career Pathways.

1. The training delivery shall include a combination of online courses, face-to-face training, featured events, and series classes.
1. Implementation of the Growing Futures Professional Development Registry, www.ndgrowingfutures.org.
 1. Marketing of system to potential members, trainers, and training organizations,
 2. Providing technical assistance to potential members of the system, and
 3. Maintenance of the registry database and other technology associated with the system.
1. Grants and scholarships to early childhood providers and staff members to encourage participation in Growing Futures and upward movement on the Career Pathways.
2. Collaboration with other agencies when possible.
1. Quality improvement, to include:
 1. Implementation of Bright & Early ND, www.brightnd.org.
 1. Effectiveness of the quality improvement project must be evaluated using pre-project and post-project data obtained from reliable assessment tools, such as the Classroom Assessment

Scoring System (CLASS), Program Administration Scale (PAS), School-age Care Environmental Rating Scale (SACERS), the Family Child Care Environmental Rating Scale (FCCERS), the Infant Toddler Environmental Rating Scale (ITERS), and the Early Childhood Environmental Rating Scale (ECERS).

2. Work with a statewide QRIS committee to receive guidance and feedback on implementation of Bright & Early ND.
3. Provide statewide training and promotion on Bright & Early ND for providers.
2. Peer coaching or mentoring program to assist with technical assistance to new providers and providers enrolled in the quality improvement projects.
 1. Peer coaching component must include training of interested and qualified providers or other early childhood professionals.
 2. Peer coaches must receive stipends for their services, reimbursement for a substitute for their program, and reimbursement for mileage, if appropriate.
3. Other quality improvement projects as determined through ongoing assessment of need.
 1. Recruitment and capacity building, to include:
 1. Assisting communities in addressing local child care needs and promoting local collaborations to meet child care needs.
 - b) Incentive grants, training, and technical assistance to newly licensed providers or providers who are able to expand their current capacity.



No. The State/Territory does not fund a CCR&R system and has no plans to establish. Use section 7.4 to describe plans, if any, to establish a CCR&R system.

1.8 Disaster Preparedness and Response Plan

The CCDBG Act of 2014 added a requirement that States must include a Statewide Child Care Disaster Plan for coordination of activities with the State/Territory human services agency, emergency management agency, child care licensing agency, State/Territory local resource and referral agencies, and the State Advisory Council (SAC) or other state-designated cross-agency body if there is no SAC. (658E(c)(2)(U)) The Statewide Child Care Disaster Plan must include:

- Guidelines for continuing CCDF assistance and child care services after a disaster, which may include provision of temporary child care, and temporary operating standards for child care after a disaster.
- Requirements that child care providers receiving CCDF have in place procedures for evacuation, relocation, shelter-in-place, lock-down, communication and reunification with families, continuity of operations, accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions.

- Requirements that child care providers receiving CCDF have in place procedures for staff and volunteer emergency preparedness training and practice drills.

1.8.1 Describe the status of State's Statewide Child Care Disaster Plan.

Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. If applicable, describe additional ways the State/Territory addresses the needs of children receiving CCDF before, during and after a disaster or emergency, not already incorporated into the Statewide Child Care Disaster Plan. If available, please provide a link to the disaster plan

If applicable, describe additional ways the State/Territory addresses the needs of children receiving CCDF before, during and after a disaster or emergency, not already incorporated into the Statewide Child Care Disaster Plan. If available, please provide a link to the disaster plan

Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses here will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016) [09/30/2016](#)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Substantially implemented](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

[Local and state Emergency Operations Plans \(EOPs\) establish direction for a systematic, coordinated approach to preparedness for, response to and recovery from emergencies or disasters occurring within the state. The EOPs describe the policies and procedures for coordinating support and are designed to be consistent with the National Incident Management System \(NIMS\).](#)

[State level planners provide technical support to 53 counties, four tribal nations and two cities. Additionally, they collaborate with more than 50 state agencies to revise the State EOP. To date, the plan includes a Base Plan; incident-specific annexes](#)

addressing AMBER Alert, animal and plant health, dam failure, fire, flood, hazardous materials, infectious diseases, search and rescue, shortage of critical materials, summer storms, terrorism and winter storms; and capabilities annexes for evacuation, sheltering and mass care, public information, the law enforcement multi-agency coordination center and disaster recovery. In addition to NIMS, the plan takes into account standards of the Emergency Management Accreditation Program (EMAP), the Department of Homeland Security's Target Capabilities List (TCL) and other mandates, as applicable. The North Dakota Department of Human Services Emergency preparedness plan would fall under this larger state operation.

Requirements that child care providers receiving CCDF have in place procedures for evacuation, relocation, shelter-in-place, lock-down, communication and reunification with families, continuity of operations, accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions are currently reflected in Administrative rule for licensed providers receiving CCDF and is in the ND's Early Childhood Services Emergency preparedness plan, but needs to address in an Administrative rule change for the exempt providers receiving CCDF.

Requirements that child care providers receiving CCDF have in place procedures for staff and volunteer emergency preparedness training and practice drills. ND's Early Childhood Services Emergency preparedness plan has these provisions for licensed child care providers receiving CCDF but needs to address in an Administrative rule change to include the practice drills for the exempt providers receiving CCDF.

ND's Early Childhood Services Emergency preparedness has guidelines for continuing CCDF assistance and child care services after a disaster, which includes provision of temporary child care, and temporary operating standards for child care after a disaster.

2 Promote Family Engagement through Outreach and Consumer Education

Parents are their children's most important teacher and advocate. State and Territory child care systems interact with parents in multiple ways, therefore presenting many opportunities to engage and inform families. Child care providers can serve as convenient and trusted sources of information for parents and family members on child development and community supports and services. State/Territory and local child care assistance systems should be designed to promote seamless linkages to useful information and other child- and family-services, such as during subsidy intake and redetermination processes and when parents utilize child care resource and referral or QRIS agencies. Outreach and consumer education is an ongoing process and is expected to cover the entire age span covered by CCDF from birth through age 12. The CCDBG Act of 2014 includes key purposes that address the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A new purpose of CCDBG is to "promote involvement by parents and family members in the development of their children in child care settings." States and Territories have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care sites that will support their role as their children's teacher and advocate. Key new provisions include:

1. 1. The plan must certify that States and Territories will collect and disseminate consumer and provider education information to CCDF parents, providers, and the general public, including information about:
 - a) the availability of child care assistance,
 - b) the quality of child care providers (if available),
 - c) Other programs (specifically Temporary Assistance for Needy Families (TANF), Head Start and Early Head Start, Low-Income Home Energy Assistance Program (LIHEAP), Supplemental Nutrition Assistance Program (SNAP), Women, Infants and Children (WIC) program, Child and Adult Care Food Program (CACFP), Medicaid and State Children's Health Insurance Program (SCHIP)) for which families may also qualify.
 - d) Individuals with Disabilities Education Act (IDEA) programs and services,
 - e) Research and best practices in child development, and
 - f) State/Territory policies regarding social- emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention and support models, and policies on the expulsion of preschool-aged children (children from birth to five for purposes of this requirement) from early childhood programs receiving CCDF.
- 2. Information related to the health and safety of children in child care settings. The

plan must certify that the State/Territory will make public certain information about the results of health and safety monitoring (described in section 5) using a website that is consumer-friendly and in an easily accessible format, including:

- a) Provider-specific information: 1) results of monitoring and inspection reports, including those due to major substantiated complaints; 2) last date of inspection; and 3) information on corrective actions taken (if applicable).
- b) Information about: 1) the annual number of deaths; 2) the annual number of serious injuries; and 3) annual number of incidences of substantiated child abuse in child care settings.
- c) State/Territory processes for: 1) licensing child care providers; 2) conducting background checks and the offenses that would keep a provider from being allowed to care for children; and 3) conducting monitoring and inspections of child care providers.

2.1 Information about Child Care Financial Assistance Program Availability 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)(E)(i)(1))

2.1.1 Describe how the State/Territory informs families of availability of services.

a) How does the State/Territory identify populations and areas of potentially eligible families (e.g., using available federal, State/Territory and local needs assessments to identify potentially eligible families?)

The Lead Agency identifies populations of potentially eligible families through referrals from other programs such as TANF, SNAP, LIHEAP and Health Care Coverage (CHIP and Medicaid). All these programs are under the umbrella Economic Assistance Division. Eligibility for these programs is conducted by the county social services office where the family resides and eligibility workers assess the family for possible eligibility under all the programs. Often the family will have the same eligibility worker for all programs they qualify under. Additionally, a combined program application (online or paper) that includes TANF, SNAP, Health Care Coverage and Child Care Assistance is available.

In addition, TANF employment contractors assess families for potential child care needs. The TANF employment contractors assist TANF families in identifying barriers to employment and resources to remove the barriers to employment. They also assist Crossroad teen

parents in achieving a high school diploma or GED.

b) What partners help with outreach? For example, child care resource and referral agencies, home visitors, pediatricians, faith-based services, State/Territory or local agencies and organizations or other familiar and safe access points serving vulnerable or low-income populations.

The Lead Agency partners with Child Care Aware who offers child care resource and referral services and consumer education through their toll-free number or website.

Child Care Aware raises awareness regarding the Child Care Assistance Program by having an easy to understand flyer their website (ndchildcare.org website) along with links to the application and county social services offices. During the intake process, Child Care Aware staff inform all parents about the Child Care Assistance Program and includes either a hard copy or the electronic version of the Child Care Assistance Program flyer. Even those families who use the online search option receive a follow-up email containing consumer information including a link to the Child Care Assistance Program flyer and application. Child Care Aware informs new child care providers of Child Care Assistance Program.

c) What outreach strategies does the Lead Agency use (e.g., media campaigns, State/Territory website, or other electronic outreach)?

The Lead Agency provides brochures and ClientGuide book for all county social services office and various other locations such as Head Start Programs. At the time of application, all applicants are given a Client Guide book that includes information about subsidy services, information regarding Child Care Aware, and other programs and services available to families. The Client Guide book may be found at <http://www.nd.gov/dhs/info/pubs/docs/sfn-405-guidebook-for-applic-for-assistance.pdf> . The Lead Agency also maintains a website that includes information for child care assistance at <http://www.nd.gov/dhs/services/financialhelp/index.html>.

2.1.2 How can parents apply for services? Check all that apply.

Electronically via online application, mobile app or email.

Provide link <https://apps.nd.gov/dhs/ea/oasys/main.htm>

In-person interview or orientation.

Describe agencies where these may occur:

Families that apply for TANF or SNAP are subject to an interview requirement. At the

time of this interview the eligibility worker may identify that a family needs assistance with child care costs. Eligibility workers can help a family apply for child care assistance at this time.

- Phone
- Mail
- At the child care site
- At a child care resource and referral agency.
- Through kiosks or online portals at related State/Territory/local agency or organization serving low-income populations.

Describe:

- Through a coordinated application process (e.g., application is linked to other benefits program to allow parents to apply for several programs at one time).

Describe:

Parents have the option to apply for child care assistance through a combined program application that also includes TANF, SNAP and Health Care Coverage. The application is available in paper copy, electronically, or through an online application.

- Other strategies.

Describe:

2.2 Consumer Education Website

The CCDBG Act of 2014 added a purpose of the child care program "to promote involvement by parents and family members in the development of their children in child care settings." (658A(b)(3)) The consumer education requirements address multiple topics that parents and family members need in order to make informed choices and act as their most important teacher and advocate. Lead agencies must certify that they will collect and disseminate the following information through resource and referral agencies or other means. (658E(c)(2)(E))

2.2.1 The State/Territory certifies that it collects and disseminates the following information to parents, providers and the general public:

- information about the availability of the full diversity of child care services that will promote informed child care choices,
- Availability of child care assistance,
- Quality of child care providers (if available),
- Other programs (specifically Temporary Assistance for Needy Families (TANF), Head Start and Early Head Start, Low-Income Home Energy Assistance Program (LIHEAP), Supplemental Nutrition Assistance Program (SNAP), Women, Infants and Children (WIC) program, Child and Adult Care Food Program (CACFP), Medicaid and State Children's Health Insurance Program (SCHIP) for which families may also qualify.
- Individuals with Disabilities Education Act (IDEA) programs and services,
- Research and best practices in child development, including social and emotional development, early childhood development, meaningful parent and family engagement, and physical health and development (particularly healthy eating and physical activity), and
- State/Territory policies regarding the social-emotional behavioral health of young children, which may include positive behavioral intervention and support models, and policies on expulsion of preschool-aged children, in early childhood programs receiving child care assistance (CCDF).

Yes. The State/Territory certifies as of March 1, 2016 that it collects and disseminates the above information to parents, providers and the general public. Describe using 2.2.2 through 2.2.7 below.

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with to complete implementation of this activity

2.2.2 Describe how the State/Territory makes information available about the full diversity of child care services that will promote informed child care choices, including consumer-friendly strategies such as materials that are culturally responsive and in multiple languages as needed that reflect the literacy levels of consumers, and are easy to access

a) Describe how the State/Territory makes information about the full diversity of child care services available to 1) parents of eligible children, 2) providers and 3) the general public
Child Care Aware of ND maintains a database of all licensed child care programs in ND. This database is available through staff during normal business hours and 24/7 through the ndchildcare.org website. Brochures regarding this service are widely distributed through county social services, employers, Head Starts and other agencies. A parent services specialists can also be contacted during normal business hours to provide specific information to an individual based on what they are requesting or searching for. The specialist will let them know about the full diversity of child care options and also provide them with specific resources depending on their individual need.

b) Describe what you provide and how (i.e., methods such as written materials, direct communication, etc.)

Child Care Aware 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> 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.

Department of Human Services (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 Child Care Aware offices. The CCA 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. Child Care Aware of North Dakota at Lutheran Social Services 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.

c) Describe who you partner with to make information about the full diversity of child care choices available

Child Care Aware of North Dakota is a partner and holds a contract from the Lead Agency to make information about the full diversity of child care choices available.

2.2.3 Describe how the State/Territory makes information about the quality (such as through a quality rating and improvement system, if available, nationally-recognized accreditation, or other means) of child care services available to the public, including consumer-friendly strategies such as messages that are designed to engage intended audiences and are easy to understand

a) Describe how the State/Territory makes information about child care quality available to 1) parents of eligible children, 2) providers and 3) the general public

The State funds a QRIS program (Bright & Early). This information is included and is available on child care referral listings to communicate levels of quality. For programs that have participated and successfully completed other quality enhancement opportunities through Child Care Aware of ND or if a program is accredited through a nationally-recognized program this information will be provided in the providers profile that is available during a child care referral search or a consumer can select these as a criteria when requesting a listing of child care options. Consumers are provided with links to resources to further explain the State's QRIS system, Bright & Early, and other quality improvement opportunities. Through the parent services specialists this information is provided depending on what the individuals needs are and is customized for them.

b) Describe what you provide and how (i.e., methods such as written materials, direct communication, etc.)

Child Care Aware of ND staff discusses ND's QRIS (Bright & Early) with parents during intake. A brochure regarding ND's QRIS (Bright & Early) is supplied. Whether through a customized referral listing of child care providers or the online child care search on ndchildcare.org, parents are informed of a child care providers QRIS level by a symbol on those search results.

- Parent Handbook - a comprehensive guide to finding and using child care in ND
- Child Care Checklist - steps to looking for child care and interview questions and with best practices
- Links to resources to further explain the State's QRIS system, Bright & Early

c) Describe who you partner with to make information about child care quality available
Bright & Early ND and Child Care Aware of ND hold a contract for this.

2.2.4 Describe how the State/Territory shares information with eligible parents about other available human service programs.

For example, does the State/Territory share information about these other programs through linkages from the online application, universal applications, through intake process/front line workers, providers, child care resource and referral agencies or other trusted advisors such as home visitors, pediatricians, faith-based services, etc.? At a minimum, include in your description how you provide information to eligible parents, what you provide and by what methods, and which partners you work with to provide information about other available service programs.

a) Temporary Assistance for Needy Families (TANF)

Child Care Assistance and TANF programs are under the umbrella of Economic Assistance Division. Families may apply for all programs on a combined application that is available in paper copy, electronic copy and through an online application. Applicants are provided with a copy the Client Hand Book includes information on TANF and other programs the family may qualify for. The online application and information on eligibility may be found at the following website <http://www.nd.gov/dhs/services/financialhelp/index.html>.

The department's website includes additional information regarding the TANF/JOBS Programs, with a link to frequently asked questions that links to other programs or services available. The following website provides a link to the frequently asked questions <http://www.nd.gov/dhs/services/financialhelp/tanfjobsfaq.html>.

In addition, the [publications](#) page also contains policy manuals, news, and reports.

The department's website under Child Care Assistance provides a link to the sliding fee scale, a link to the online application, information on county social service agencies, a link to Child Care Aware and Bright and Early North Dakota, and a link for child care providers at <http://www.nd.gov/dhs/services/financialhelp/childcare.html>.

b) Head Start and Early Head Start Programs

Head Start and Early Head Start brochures are available at local county social services office. Applicants are provided with a copy the Application for Assistance Client Handbook which includes information on Head Start and Early Head Start. Additionally, families who apply for child care assistance are given information regarding Child Care Aware who provides information and resources for Head Start and Early Head Start.

c) Low Income Home Energy Assistance Program (LIHEAP)

Child Care Assistance and LIHEAP are under the umbrella of Economic Assistance Division. Applicants are provided information on LIHEAP in the application for Assistance Hand Book.

d) Supplemental Nutrition Assistance Programs (SNAP- formerly known as Food Stamps)

Child Care Assistance and SNAP are both housed under the Economic Assistance Division. Families may apply for both programs on a combined application that is available in paper copy, electronic copy and through an online application. Applicants are provided with a copy the Application for Assistance Guidebook which includes information on SNAP.

e) Women, Infants, and Children Program (WIC)

WIC brochures are available at local county social services office. Applicants are provided with a copy the Application for Assistance Guidebook which includes information on WIC.

f) Child and Adult Care Food Program(CACFP)

Child and Adult Care Food Program (CACFP) brochures are available at local county social services office and are available for parents.

g) Medicaid

Child Care Assistance and Health Care Coverage are both housed under the Economic Assistance Division. Families may apply for both programs on a combined application that is

available in paper copy, electronic copy and through an online application. Applicants are provided with a copy the Application for Assistance Guidebook which includes information on Medicaid.

h) Children's Health Insurance Program (CHIP)

Child Care Assistance and Health Care Coverage are both housed under the Economic Assistance Division. Families may apply for both programs on a combined application that is available in paper copy, electronic copy and through an online application. Applicants are provided with a copy the Application for Assistance Guidebook which includes information on CHIP.

i) Individuals with Disabilities Education Act (IDEA)

Applicants are provided with a copy the Application for Assistance Guidebook which includes information on Individuals with Disabilities Education Act (IDEA).

j) Other State/Federally Funded Child Care Programs (e.g., state pre-kindergarten)

Applicants are provided with a copy the Application for Assistance Guidebook which includes information on other state funded child care programs.

k) Other early childhood programs (e.g., Maternal, Infant, and Early Childhood Home Visiting program)

Applicants are provided with a copy the Application for Assistance Guidebook which includes information on other early childhood programs to include Maternal, Infant, and Early Childhood Home Visiting program.

2.2.5 Describe how the State/Territory shares information with providers (where applicable) to link families to these other available human service programs.

For example, does the State/Territory provide information to providers through CCR&Routreach, as a condition of their contract or voucher agreement, through community-based hub agencies that partner with subsidy providers, county/local collaboration, through quality rating and improvements systems, etc?

a) Temporary Assistance for Needy Families (TANF)

Child Care Aware provides a document with information that is accessible on their website

as well as on the Lead Agency's website. This information on Temporary Assistance for Needy Families(TANF) is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licensor. A provider can also request additional support or community resources for their families by contacting their county licensor or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licensor or the Child Care Aware Consultants.

b) Head Start and Early Head Start Programs

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Head Start and Early Head Start is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licensor. A provider can also request additional support or community resources for their families by contacting their county licensor, Head Start Collaborative Office, or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licensor, Head Start Collaborative Office or the Child Care Aware Consultants.

c) Low Income Home Energy Assistance Program (LIHEAP)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Low Income Home Energy Assistance Program (LIHEAP) is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licensor. A provider can also request additional support or community resources for their families by contacting their county licensor or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licensor or the Child Care Aware Consultants.

d) Supplemental Nutrition Assistance Programs (SNAP- formerly known as Food Stamps)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Supplemental Nutrition Assistance Programs (SNAP) is also available through the county social service offices in

each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licenser. A provider can also request additional support or community resources for their families by contacting their county licenser or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licenser or the Child Care Aware Consultants.

e) Women, Infants, and Children Program (WIC)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Women, Infants, and Children Program (WIC) is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licenser. A provider can also request additional support or community resources for their families by contacting their county licenser or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licenser or the Child Care Aware Consultants..

f) Child and Adult Care Food Program(CACFP)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Child and Adult Food Program (CACFP) is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licenser. A provider can also request additional support or community resources for their families by contacting their county licenser or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licenser or the Child Care Aware Consultants. CACFP representatives are available throughout all of North Dakota Communities and providers can request information from them at any time. The CACFP representatives regularly put on training events for child care providers.

g) Medicaid

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Medicaid is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county

licenser. A provider can also request additional support or community resources for their families by contacting their county licensor or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licensor or the Child Care Aware Consultants.

h) Children's Health Insurance Program (CHIP)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Children's Health Insurance Program (CHIP) is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licensor. A provider can also request additional support or community resources for their families by contacting their county licensor or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licensor or the Child Care Aware Consultants.

i) Individuals with Disabilities Education Act (IDEA)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Individuals with Disabilities Education Act (IDEA) is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licensor. A provider can also request additional support or community resources for their families by contacting their county licensor or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licensor or the Child Care Aware Consultants.

j) Other State/Federally Funded Child Care Programs (example-State Pre-K)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on other state funded child care programs is also available through the Department of Public Instruction (DPI). Providers are given this information in their child care licensing orientation packets that are provided by the county licensor. A provider can also request additional support or community resources for their families by contacting their county licensor or reaching out to one of the consultants at

Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licenser or the Child Care Aware Consultants. Child Care Aware of North Dakota are a key partner in administering the Early Childhood Education Grant Program that was established in the 2015 Legislative session.

k) Other early childhood programs (e.g., Maternal, Infant, and Early Childhood Home Visiting program)

Child Care Aware provides a document with information that is accessible on their website as well as on the Lead Agency's website. This information on Maternal, Infant, and Early Childhood Home Visiting program is also available through the county social service offices in each community. Providers are given this information in their child care licensing orientation packets that are provided by the county licenser. A provider can also request additional support or community resources for their families by contacting their county licenser or reaching out to one of the consultants at Child Care Aware of North Dakota. These resources are individualized for each request that is received by either the child care licenser or the Child Care Aware Consultants.

2.2.6 Describe how the State/Territory makes available information to parents of eligible children, the general public, and where applicable, providers (see also section 6) about research and best practices in child development, including all domains of early childhood development, including social and emotional development, cognitive, and physical health and development (particularly healthy eating and physical activity), and meaningful parent and family engagement. (658E(c)(2)(E)(VI))

a) Describe how the State/Territory makes information about research and best practices in child development available to 1) parents of eligible children, 2) providers and 3) the general public

So that families may access information in formats that meet their individual needs, the state provides information using a variety of delivery systems. The state coordinates with other state agencies (Division of Public Health, Department of Public Instruction) as well as statewide Early Childhood systems such as Child Care Aware of ND to disseminate research and best practice knowledge to families through the various services offered by each

agency. The state collaborates with multiple groups so that messages and information are aligned with various state initiatives.

b) Describe what you provide and how (i.e., methods such as written materials, direct communication, etc.)

Information is provided via direct communication during phone calls to Child Care Aware of ND, Head Start/Early Head Start and other state entities as well as in person when families apply for a variety of services such as family support programs or child care subsidy. Written materials are available online at each of the partner websites. Technical assistance providers give information verbally and in writing regarding best practices and research to child care providers and support the sharing of that information with families. Collateral materials are also disseminated through family events in local communities, state fairs, professional development conferences, employee fairs. Materials and online information available include, but are not limited to: healthy foods and physical activity; quality child care; healthy social-emotional development; and reduced screen time. The lead agency in collaboration with Healthy ND Early Childhood Alliance provides companion guides to our Birth to three and three to five Early Learning Guidelines sources for families and providers. The Companion Guides are designed to support early childhood professionals' and families around their child's development. Aligned with the Early Learning Guidelines it is focused on a particular age level (infants, ones, etc.), provides a short description of skills typical for that age, and offers suggestions for activities that families might do to support positive development.

c) Describe who you partner with to make information about research and best practices in child development available

The Lead agency partners with Child Care Aware of ND, Head Start/Early Head Start and other state entities. Healthy ND Early Childhood Alliance as well as the Early Childhood Screening and Referral Systems partner to make resources available.

2.2.7 Describe how information on the State/Territory's policies regarding the social-emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention and support models, and policies on expulsion of preschool-aged children (from birth to five for purposes of this requirement), in early

childhood programs receiving CCDF is collected and disseminated to parents, providers and the general public. (658E(c)(2)(E)(i)(VII))

a) Describe how the State/Territory makes information regarding social-emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention support models, available to 1) parents of eligible children, 2) providers and 3) the general public. At minimum, describe **what** you provide (e.g., early childhood mental health consultation services to child care programs) and **how** (i.e., methods such as written materials, direct communication, etc.) for each group:

i. Parents

The Lead agency partners with local and statewide agencies to ensure information is disseminated with the broadest coverage. State and local government partners include the Head Start state collaboration office, Department of Public Instruction (including early intervention), and the Early Childhood Screening and Referral Systems. Referrals to Early Intervention and Right Track services who also share information about mental health. Additionally, the state partners with non-profit early childhood agencies such as Child Care Aware of ND. Child Care Aware of ND offers the ASQ-3 & ASQ-SE to parents when partnering with their child care provider. The inclusion specialist works in partnership with the parent and child care provider educating them both on the mental health of their child based on the results of the ASQ questionnaire results.

ii. Providers

The Lead agency partners with local and statewide agencies to ensure information is disseminated with the broadest coverage. State and local government partners include the Head Start state collaboration office, Department of Public Instruction (including early intervention), and the Early Childhood Screening and Referral Systems. Referrals to Early Intervention and Right Track services who also share information about mental health. Additionally, the state partners with non-profit early childhood agencies such as Child Care Aware of ND. Child Care Aware of ND provides access to free ASQ-3 & ASQ-SE screenings to providers to educate them about social/emotional/behaviors of young children. The coaches, health consultants and inclusion specialist follow up with visits to support the provider. Child Care Aware of ND offers trainings to child care providers that addresses the mental health of young children.

iii. General public

The Lead agency partners with local and statewide agencies to ensure information is

disseminated with the broadest coverage. State and local government partners include the Head Start state collaboration office, Department of Public Instruction (including early intervention), and the Early Childhood Screening and Referral Systems. Additionally, the state partners with non-profit early childhood agencies such as Child Care Aware of ND. Referrals to Early Intervention and Right Track services who also share information about Mental health.

b) Describe any partners used to make information regarding social-emotional/behavioral and early childhood mental health of young children available

Through partnerships with State and local government partners, Head Start state collaboration office, Department of Public Instruction, Early intervention and Right Track services, Child Care Aware health consultants, Early Childhood Screening and Referral Systems, and the ND Center for Persons with Disabilities, the Lead Agency is working with programs to raise awareness of services available to families in the areas of health, mental health, and developmental disabilities.

c) Does the State have a written policy regarding preventing expulsion of:

Preschool children (from birth to five) in early childhood programs receiving child care assistance?

Yes.

If yes, If yes, describe how the State/Territory makes information about that policy available to parents, providers and the general public (what you provide, how you provide and any partners used) and provide a link

No.

School-age children from programs receiving child care assistance?

Yes.

If yes, describe how the State/Territory makes information about that policy available to 1) parents, 2) providers and 3) the general public (what you provide, how you provide and any partners used) and provide a link

No.

2.2.8 Coordination with Other Partners to Increase Access to Developmental Screenings

The State/Territory must develop and describe procedures for providing information on and referring families to existing developmental screening services. (658E(c)(2)E(ii)) At a minimum, the State/Territory must establish procedures to provide information to families and child care providers on: (1) Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under Title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) and developmental screening services available under section 619 and part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.); and (2) a description of how a family or child care provider receiving CCDF may utilize the resources and services to obtain developmental screenings for children receiving CCDF who may be at risk for cognitive or other developmental delays, which may include social, emotional, physical, or linguistic delays.

Describe the status of the State/Territory's procedures for providing information on and referring families to existing developmental screening services.

- Fully implemented and meeting all Federal requirements outlined above - by March 1, 2016.

List the Lead Agency policy citation(s) and:

816-05-30-20

<http://www.nd.gov/dhs/services/disabilities/earlyintervention/stateguidelines/ei-policies.pdf>

816-05-30-30

- Health Tracks is ND's Early and Periodic Screening, Diagnosis, and Treatment program. <http://www.nd.gov/dhs/services/medicalserv/health-tracks/>

<https://www.nd.gov/dhs/info/mmis/docs/health-tracks.pdf-tracks.pdf>

Cooperative agreement between Department of Human Services, Department of Health and primary care office/primary care association

http://ncemch.org/IAA/states/ND_1_1.pdf,

- a) Describe procedures, including timelines for when infants, toddlers and preschoolers should be screened

[Procedures North Dakota Early Intervention System](#)

[North Dakota is composed of eight Human Service Center regions, which include](#)

multiple counties, serving as the single point of entry for its defined catchment area. Any child under the age of three who is suspected of having a delay or who has a medical condition that could result in a developmental delay or disability is eligible for referral. Anyone can make a referral for services. Physicians, parents and/or family members, social workers, and others with whom the child and family have contact may make referrals by contacting the single point of entry for the Early Intervention program in the region in which the child resides. Participation in the ND Early Intervention System is voluntary for parents. Parental consent is not required for referral under the Individuals with Education Disabilities Act (IDEA). A child suspected of being eligible for ND EIS must be referred as soon as possible and in no case more than seven calendar days, after the child has been identified. Recommended practice is that parents be informed and involved in the referral process.

A child is considered "referred" to the ND Early Intervention System when:

- a. The parent contacts the single point of entry (regional human service center) and requests consideration of eligibility for early intervention services for their child and family; or
- b. A child is identified by a primary referral source who contacts the single point of entry. The date the referral is received at the single point of entry, Regional Developmental Disabilities Unit, is considered the referral date to be entered into the electronic record. This is the date that the referral source receives the referral via any method (i.e., voicemail, email, letter, facsimile, etc.). When a referral source contacts an entity other than the single point of entry, the entity (i.e., ND EI provider) must forward the referral to the corresponding Regional will also inform the referral source that subsequent referrals should be made directly to the Regional Developmental Disabilities Unit.

Upon receipt of the referral, information is immediately entered into the electronic record and a DD Program Manager is assigned to serve as the Service Coordinator for the child and family. The Service Coordinator (DD Program Manager) shall contact the family within 2 business days of referral to schedule an intake visit. The intake visit should occur within the first week of referral. The intake visit should occur at a time and place convenient to the family. The service coordinator shall document the extenuating circumstances if the intake meeting cannot be held in person.

<http://www.nd.gov/dhs/services/disabilities/earlyintervention/stateguidelines/referral-intake.pdf>

North Dakota Early Intervention Guidelines:

<http://www.nd.gov/dhs/services/disabilities/earlyintervention/stateguidelines.html>

Early Childhood Comprehensive Systems purpose is to, expand developmental screening of young children to identify and treat concerns early, increase referrals to needed programs for children, educate parents and caregivers about healthy child development, address the physical, emotional, and social health of children in a broad-based and coordinated way, develop seamless systems of care for children in the critical formative years from birth to age 3. This is a partnership between various state and local agencies.

A free program for all North Dakota children, birth to three years of age. Right Track Consultants can meet with you in the privacy of your own home and can provide: Developmental Screenings; Ideas on stimulating your child's development; and Information and referrals to local, state, and national organizations.

<http://www.nd.gov/dhs/services/disabilities/earlyintervention/parent-info/right-track.html>.

b) Describe how CCDF families or child care providers receiving CCDF may utilize the resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays

Child Care providers receiving CCDF may discuss the available resources with the families of the children in their care. All programs (Healthy Tracks, ND DHS 619 Part C, Right Track, and Child Care Aware inclusion specialist) will provide developmental screenings upon request for families.

Through partnerships with Child Care Aware of ND 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). CCA 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. Child care providers can access a free ASQ screening completed by an Inclusions Specialist through Child Care Aware. The inclusion specialist will then refer to appropriate agency if needed. Right Track Consultants can meet with you in the privacy of your own home and can provide:

Developmental Screenings; Ideas on stimulating your child's development; and Information and referrals to local, state, and national organizations A free program for all North Dakota children, birth to three years of age.

Children's Consultation Network and Child Care Aware of ND are currently in the process of creating a "Next Steps" document which will be a resource for parents or providers 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 Child Care Aware of ND health consultants and the ND Center for Persons with Disabilities, the Lead Agency is working with programs to raise awareness of services available to families in the areas of health, mental health, and developmental disabilities.

Parents have access to the Right Track Consultants or can follow the guidelines below.
<http://www.nd.gov/dhs/services/disabilities/earlyintervention/stateguidelines/referral-intake.pdf>

North Dakota Early Intervention Parent Information:

<http://www.nd.gov/dhs/services/disabilities/earlyintervention/parent-info/index.html>

- Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with to complete implementation of this activity

2.2.9 Describe how the State/Territory meets the requirement to maintain a record of substantiated parental complaints. (658E(c)(2)(C))

a) How does the State/Territory define substantiated parental complaint

Substantiated complaints/concerns are those that result in a determination that a licensing rule has been violated and are subject to a corrective action by the provider.

b) How does the State/Territory maintain a record of substantiated parental complaints about providers (e.g., how long are records maintained and in what format)

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 Aware 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.

c) How does the State/Territory make substantiated parental complaints available to the public on request

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.

d) Describe how the State/Territory defines and maintains complaints from others about providers

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. The Regional supervisors and licensors follow the record retention record 800361 EARLY CHILDHOOD SERVICES LICENSING RECORDS - CONCERNS OR CORRECTION ORDERS records are kept for 3 years after the case is closed.

2.2.10 How will the Lead Agency or partners provide outreach and services to eligible families for whom English is not their first language?

Check the strategies, if any, that your State/Territory has chosen to implement.

- 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
 - Bilingual outreach workers
 - Partnerships with community-based organizations
 - Other
-
- None

2.2.11 If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the primary languages offered (top 3) or specify that the State/Territory has the ability to have translation/interpretation in all primary and secondary languages

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.

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, Somali, Nepali, Spanish, Romanian, Chinese and Vietnamese.

2.2.12 Describe how the Lead Agency or partners provide outreach and services to eligible persons with disabilities

The Lead Agency provides outreach and services to eligible persons with disabilities by requiring counties which are state supervised to provide services or referrals when needed. The type of services that are offered will vary to meet the unique needs of the eligible persons. The department's website at <http://www.nd.gov/dhs/onlineserv/> provides a link to services available to families throughout the state https://carechoice.nd.assistguide.net/site/371/find_organizations.aspx and information on services available to families through the department at <http://www.nd.gov/dhs/services/> and <http://www.nd.gov/dhs/services/disabilities/index.html>.

2.3 Website for Consumer Education

The CCDBG Act of 2014 added a requirement that States and Territories have a website describing processes for licensing and monitoring child care providers, processes for conducting criminal background checks, and offenses that prevent individuals from being child care providers, and aggregate information on the number of deaths, serious injuries and child abuse.

The State/Territory must make public certain information about the results of such monitoring on a website in a way that is consumer-friendly and in an easily accessible format. (658E(c)(2)(D)) In order for a website to be a useful tool for parents, it should be easy to navigate, with a minimum number of clicks, and in plain language. States and Territories must post the results of the monitoring on the website no later than November 19, 2017. All other components of the website must be completed no later than September 30, 2016.

2.3.1 Describe the status of State/Territory's consumer education website.

- Fully implemented and meeting all Federal requirements outlined above - by March 1, 2016.

Provide the link to the website:

and describe how the consumer education website meets the requirements to:

- a) Share provider-specific information about health and safety, licensing or regulatory requirements met by the provider (including the last date of inspection, and any history of violations). Describe
- b) Include a description of health and safety requirements and licensing or regulatory requirements for child care providers. Describe
- c) Include a description of the processes for licensing, background checks, monitoring, and offenses that prevent individuals from being providers. Describe
- d) Provide information about the number of deaths, number of serious injuries as defined by the State/Territory and the number of incidences of substantiated child abuse in child care settings. Describe

e) Describe how the website is consumer-friendly, for example, allowing multiple ways to search for providers, defining terms such as exempt care and corrective action plans, presents the results of monitoring inspections in plain language, providing frequently asked questions, is accessible in multiple languages upon request and to persons with disabilities through multiple formats, differentiating between violations based on risk to children, and easy to locate and navigate. Describe

- Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date. Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016 for all components of the website except posting the results of the monitoring on the website which is November 19, 2017) [09/30/2018](#)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Partially implemented](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

[The Lead Agency contracts with Child Care Aware of North Dakota \(CCA\) to provide a consumer education website. The Lead Agency and CCA work together to provide a website that is consumer-friendly. This is done for example, by allowing multiple ways to search for providers. CCA consumer website has information that defines terms for licensed and exempt care, offering frequently asked questions, and includes a description of licensing or regulatory requirements for child care providers. The website itself is not accessible in multiple languages because the state has not been able to identify an additional language that more than 1% of the states populations speaks. However, there are strategies that are in place to overcome language barriers with families. The approaches used to assist parents regarding discussions about child care options and rules vary across the state depending on 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 software available through Microsoft. For hearing impaired clients, CCA parent resources specialists 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.

Unmet requirement - Identify the requirement(s) to be implemented Share provider-specific information about health and safety, licensing or regulatory requirements met by the provider (including the last date of inspection, and any history of violations).

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency defined requirements for a new licensing data system that would have the ability to collect and maintain provider-specific information about the health and safety, licensing or regulatory requirements met by the provider (including the last date of inspection, and any history of violations).

Projected start date for each activity: 11/1/2015

Projected end date for each activity: 4/27/16

Agency - Who is responsible for complete implementation of this activity The Lead Agency

Partners - Who is the responsible agency partnering with to complete implementation of this activity

Information Technology Department (ITD)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will seek a vendor for requests for a proposal to purchase the new licensing data system that meets requirements that have been defined specifically to have the ability to collect and maintain provider-specific information about the health and safety, licensing or regulatory requirements met by the provider (including the last date of inspection, and any history of violations).

Projected start date for each activity: [5/1/2016](#)

Projected end date for each activity: [9/30/2018](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Information Technology Department \(ITD\)](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will build a new budget for the legislative session and will include in it the purchase of a new licensing data system that meets requirements that have been defined specifically to have the ability to collect and maintain provider-specific information about the health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: [5/1/2016](#)

Projected end date for each activity: [1/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[none](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will propose its budget for the 2017-2019 biennium to Legislation.](#)

Projected start date for each activity: [1/1/2016](#)

Projected end date for each activity: [4/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

none

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

If approved the Lead Agency select a vendor to purchase a new licensing data system.

Projected start date for each activity: 7/1/2017

Projected end date for each activity: 8/1/2017

Agency - Who is responsible for complete implementation of this activity The Lead Agency

Partners - Who is the responsible agency partnering with to complete implementation of this activity

none

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will work with a vendor to develop the new licensing data system.

Projected start date for each activity: 8/1/2017

Projected end date for each activity: 9/30/2018

Agency - Who is responsible for complete implementation of this activity The Lead Agency

Partners - Who is the responsible agency partnering with to complete implementation of this activity

Identified vendor

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will train staff on the new licensing data system.

Projected start date for each activity: 9/1/2018

Projected end date for each activity: 9/30/2018

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Identified vendor](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency contracts with Child Care Aware of North Dakota to have a consumer website. The Lead Agency will coordinate so that the information contained in the state's new licensing data system is shared with the data system that Child Care Aware of North Dakota uses to provide consumers information on child care options. The data sharing will include provider-specific information about health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: [9/1/2018](#)

Projected end date for each activity: [9/30/2018](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Identified vendor, Child Care Aware of North Dakota, Information Technology Department \(ITD\)](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency contracts with Child Care Aware of North Dakota to have a consumer website. Child Care Aware of North Dakota will include data from the Lead Agency new licensing data system in their consumer information that is provided to the public. The data sharing will include provider-specific information about health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: 9/1/2018

Projected end date for each activity: 9/30/2018

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Vendor, Child Care Aware of North Dakota, Information Technology Department \(ITD\)](#)

Unmet requirement - Identify the requirement(s) to be implemented [A description of the processes for licensing, background checks, monitoring, and offenses that prevent individuals from being providers.](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The lead agency will update their website to include the processes for background checks, and offenses that prevent individuals from being child care providers.](#)

Projected start date for each activity: 5/1/2016

Projected end date for each activity: 9/30/2016

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Public Information Officer for the Department of Human Services](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The lead agency has a contract with Child Care Aware of ND to provide the consumer website. Child Care Aware of North Dakota will update their website to include the information on the states website about the processes for background checks, and offenses that prevent individuals from being child care providers so that consumers have easy access to the information.](#)

Projected start date for each activity: 7/1/2016

Projected end date for each activity: [9/30/2016](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Child Care Aware of ND](#)

Unmet requirement - Identify the requirement(s) to be implemented [Provide annual aggregate information about the number of deaths, number of serious injuries as defined by the State/Territory and the number of incidences of substantiated child abuse in child care settings. Describe](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will create a report to include the annual aggregate information about the number of deaths, number of deaths, number of serious injuries as defined by the State/Territory and the number of incidences of substantiated child abuse in child care settings.](#)

Projected start date for each activity: [6/1/2016](#)

Projected end date for each activity: [9/1/2016](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Public Information Officer for the Department of Human Services](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will post the report that include the annual aggregate information about the number of deaths, number of deaths, number of serious injuries as defined by the State/Territory and the number of incidences of substantiated child abuse in child care settings to its website.](#)

Projected start date for each activity: [8/1/2016](#)

Projected end date for each activity: [9/30/2016](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Public Information Officer for the Department of Human Services](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency has a contract with Child Care Aware of North Dakota to have a consumer website. Child Care Aware of North Dakota will update their website with a link to the Lead Agencies website so that that the information is easy to access and locate.](#)

Projected start date for each activity: [8/1/2016](#)

Projected end date for each activity: [9/1/2016](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Child Care Aware of ND](#)

Unmet requirement - Identify the requirement(s) to be implemented [The website is consumer-friendly, for example, allowing multiple ways to search for providers, defining terms such as exempt care and corrective action plans, presents the results of monitoring inspections in plain language, providing frequently asked questions, is accessible in multiple languages upon request and to persons with disabilities through multiple formats, differentiating between violations based on risk to children, and easy to locate and navigate.](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency defined requirements for a new licensing data system that would have the ability to collect and maintain provider-specific information about the health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: 11/1/2015

Projected end date for each activity: 4/27/2016

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Information Technology Department \(ITD\)](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will seek a vendor for requests for a proposal to purchase the new licensing data system that meets requirements that have been defined specifically to have the ability to collect and maintain provider-specific information about the health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: 5/1/2016

Projected end date for each activity: 9/30//2018

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Information Technology Department \(ITD\)](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will build a new budget for the legislative session and will include in it the purchase of a new licensing data system that meets requirements that have been defined specifically to have the ability to collect and maintain provider-specific information about the health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: 5/1/2016

Projected end date for each activity: 1/1/2017

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity
[none](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will propose its budget for the 2017-2019 biennium to Legislation.](#)

Projected start date for each activity: [1/1/2016](#)

Projected end date for each activity: [4/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity
[none](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[If approved the Lead Agency select a vendor to purchase a new licensing data system.](#)

Projected start date for each activity: [7/1/2017](#)

Projected end date for each activity: [8/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity
[none](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will work with a vendor to develop the new licensing data system.

Projected start date for each activity: 8/1/2017

Projected end date for each activity: 9/30/2018

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Identified vendor](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will train staff on the new licensing data system.](#)

Projected start date for each activity: 9/1/2018

Projected end date for each activity: 9/30/2018

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Identified vendor](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency contracts with Child Care Aware of North Dakota to have a consumer website. The Lead Agency will coordinate so that the information contained in the state's new licensing data system is shared with the data system that Child Care Aware of North Dakota uses to provide consumers information on child care options. The data sharing will include provider-specific information about health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: 9/1/2018

Projected end date for each activity: 9/30/2018

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Identified vendor, Child Care Aware of North Dakota, Information Technology Department \(ITD\)](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency contracts with Child Care Aware of North Dakota to have a consumer website. Child Care Aware of North Dakota will include data from the Lead Agency new licensing data system in their consumer information that is provided to the public. The data sharing will include provider-specific information about health and safety, licensing or regulatory requirements met by the provider \(including the last date of inspection, and any history of violations\).](#)

Projected start date for each activity: [9/1/2018](#)

Projected end date for each activity: [9/30/2018](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with to complete implementation of this activity

[Identified vendor, Child Care Aware of North Dakota, Information Technology Department \(ITD\)](#)

[3 Provide Stable Child Care Financial Assistance to Families](#)

The expanded purposes of CCDBG highlight the opportunities States and Territories have to "deliver high-quality, coordinated early childhood care and education services to maximize parents' options and support parents trying to achieve independence from public assistance"; and "to improve child care and development of participating children." (658A(b)) Young children learn in the context of their relationships with adults, including their child care teacher or provider. The unintentional consequence of child care assistance that is linked to adult work and school obligation is that child care arrangements - and the opportunity for children to form trusting relationships with teachers - are often interrupted and unstable. Child care financial

assistance policies that make it easier to get and keep assistance support continuity of care and relationships between the child and child care provider and enable parents to stay employed or complete training/education. Child care support that extends until families are able to pay the full cost of care themselves promotes longer lasting economic stability for families. CCDF funds may support families until they reach 85% of State Median Income (SMI).

The CCDBG Act of 2014 included requirements to establish minimum 12-month eligibility and redetermination periods, requiring that States and Territories have a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for job search of not less than three (3) months, and to describe policies for graduated phase- out of assistance. The definition of an eligible child includes that a family's assets may not exceed \$1,000,000 (as certified by a member of such family). Procedures for enrollment of homeless children pending completion of documentation are also now required. There is nothing in statute to prohibit States from establishing policies that extend eligibility beyond 12 months or establish other similar policies to align program requirements that allow children enrolled in Head Start, Early Head Start, state or local pre-kindergarten and other collaborative programs to finish the program year and to promote continuity for families receiving services through multiple benefits programs.

3.1 Eligible Children and Families

In order to be eligible for services, children must (1) be under the age of 13, (2) reside with a family whose income does not exceed 85 percent of the State's median income for a family of the same size, and whose family assets do not exceed \$1,000,000 (as certified by a member of such family); and who (3)(a) resides with a parent or parents who are working or attending a job training or educational program; or (b) is receiving, or needs to receive, protective services and resides with a parent or parents not described in (3a.). (658P(4))

3.1.1 Eligibility Criteria Based upon Child's Age

- a) The CCDF program serves children from 0 (weeks/months/years) to 12 years (through age 12).
- 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))



Yes, and the upper age is 18 (may not equal or exceed age 19). Provide the Lead Agency definition of physical or mental incapacity: A child is considered physically or mentally incapacitated when the child is incapable to provide care for themselves as verified in writing by a qualified medical professional.

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))

Yes and the upper age is 18 (may not equal or exceed age 19)

No.

3.1.2 How does the Lead Agency define the following eligibility terms?

a) residing with -

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

b) in loco parentis -

In loco parentis is defined as "An individual (relative or non-relative) who is not the natural, adoptive or stepparent of a 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 natural, adoptive or stepparent is not caring for the child or residing in the home and when the duration is expected to last over 30 uninterrupted days."

3.1.3 Eligibility Criteria Based on Reason for Care

a) How does the Lead Agency define "working, attending job training and education" for the purposes of eligibility at the point of determination? Provide a brief description below, including allowable activities and if a minimum number of hours is required by State/Territory (not a federal requirement).

* working:

Working is defined as "Work is an activity in which an individual is engaged through employment or self-employment. Work must entail personal involvement and effort on the part of the applicant or recipient."

As a part of the definition of work, travel time and break time are allowed. Travel and break time are calculated by multiplying the total number of allowable work hours by 25%. That amount is then added to the total allowable work hours.

* attending job training

Attending job training is defined as "Job training includes basic remedial education, training and classes to assist individuals in achieving basic literacy, English as a second language (ESL), any training required to secure or retain employment, vocational or educational training and Vocational Rehabilitation (VR)."

As a part of the definition of training, travel time and break time are allowed. Travel and break time are calculated by multiplying the total number of allowable training hours by 25%. That amount is then added to the total allowable training hours.

* attending education

Attending education is defined as "Education includes any high school, alternative high school, or GED program. Allowable post-secondary education includes the pursuit of a certificate, associate's degree or a bachelor's degree, provided an individual does not already have a bachelor's degree. Study time is allowed based on the number of credit hours or actual class time."

As a part of the definition of education, travel time and break time are allowed. Travel and break time are calculated by multiplying the total number of allowable education hours by 25%. That amount is then added to the total allowable education hours.

b) Does the Lead Agency allow parents to qualify for CCDF assistance on the basis of education and training participation alone (without additional minimum work requirements)?

Yes.

No.

If no, describe additional requirements

c) Does the Lead Agency provide child care to children in protective services?

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

1) Definition of protective services -

2) Does the Lead Agency waive the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services on a case-by-case basis? (658E(c)(5))

Yes.

No.

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 the protective services definition above.

No.

3.1.4 Eligibility Criteria Based on Family Income

a) How does the Lead Agency define "income" for the purposes of eligibility at the point of determination?

* Definition of income -

Income is defined as "Earned or unearned Income is the gain or benefit, derived from labor, business, capital, or property which is received or is available to the household."

b) 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 current SMI. Complete columns (e) and (f) with the maximum "exit" eligibility level if applicable and below the federal limit of 85% of current SMI.

Note - If the income eligibility limits are not statewide, check here

Describe how many jurisdictions set their own income eligibility limits

Fill in the chart based on the most populous area of the state.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	(c) (IF APPLICABLE) \$/month Maximum "Entry" Income Level if lower than 85% Current SMI	(d) (IF APPLICABLE) % of SMI [Divide (c) by (a), multiply by 100] Income Level if lower than 85% Current SMI	(e) (IF APPLICABLE) \$/month Maximum "Exit" Income Level if lower than 85% Current SMI	(f) (IF APPLICABLE) % of SMI [Divide (e) by (a), multiply by 100] Income Level if lower than 85% Current SMI
1	\$3,845	\$3,268	\$385	10%	\$2,307	60%
2	\$5,028	\$4,274	\$503	10%	\$3,017	60%
3	\$6,211	\$5,279	\$621	10%	\$3,727	60%
4	\$7,394	\$6,285	\$739	10%	\$4,436	60%
5	\$8,577	\$7,290	\$858	10%	\$5,146	60%

Reminder - Income limits must be provided in terms of current State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. Federal [poverty guidelines](http://aspe.hhs.gov/poverty/index.cfm) are available at <http://aspe.hhs.gov/poverty/index.cfm>.

c) SMI Source and year [Federal Register Notice June 10, 2015. SMI Year 2016](#)

d) These eligibility limits in column (c) became or will become effective on: [April 1, 2016](#)

e) Provide the link to the income eligibility limits <http://www.nd.gov/dhs/info/pubs/docs/dn-241-child-care-assistance-sliding-fee-scale.pdf>

3.1.5 Graduated Phase-Out of Assistance

The CCDBG Act of 2014 added a provision that requires States and Territories to provide for a graduated phase-out of assistance for families whose income has increased at the time of re-determination, but remains below the federal threshold of 85% of State median income.

Providing a graduated phase-out supports long-term family economic stability by allowing for wage growth and a tapered transition out of the child care subsidy program. (658E (c)(2)(N)(iv))

This might be achieved through policies such as establishing a second income eligibility threshold at redetermination (e.g., establishing a different eligibility threshold for families first applying for assistance and those already receiving assistance, sometimes called and "exit threshold") or by granting a sustained period of continued assistance to the family before termination.

Describe the status of the State/Territory's policy regarding graduated phase-out of assistance.

- Fully implemented and meeting all Federal requirements outlined above by March 1, 2016.

List the Lead Agency's policy citation(s) and describe the policies and procedures for graduated phase-out

The lead agency has six tiers of eligibility. The lowest tier allows for families to become eligible with no income the income range and is at the maximum of 10 percent of the State Median Income. Other tiers are set at a maximum of 20 percent, 30 percent, 40 percent, 50 percent and an exit eligibility limit set at 60 percent of SMI. Each tier of eligibility raises the families co-payment with co-payments based on a percentage of income. Changes in income are not acted on during the certificate period unless a household member moves in or out of the household or the family reports that their income is over 60 percent SMI. Families remain eligible for Child Care Assistance as long as their income is below 60 percent SMI based on household size.

- Not implemented. The State must provide a State-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste tables here. Your responses here will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's status toward complete implementation for any requirement(s) not fully implemented (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

3.1.6 Fluctuation in Earnings

The CCDBG Act of 2014 added a requirement that the Plan shall demonstrate how the State/Territory's (or designated local entity) processes for initial determination and redetermination take into account irregular fluctuations in earnings. (658E(c)(2)(N)(i)(II))

Note - this change requires that States and Territories have policies to account for the fact that some parents with seasonal or other types of work schedules may have irregular earnings over the course of a year, including changes that temporarily exceed 85% of SMI. States and Territories should have procedures to guide how eligibility and copayments are set in a manner to take such circumstances into account. For example, averaging family income over a period of time to broaden the scope of income verification to be more reflective of annual income rather than tied to a limited time frame that may have seasonal irregularities.

Describe the status of the State/Territory's policy related to the fluctuation in earnings requirement.

- Fully implemented and meeting all Federal requirements outlined above by March 1, 2016.

List the Lead Agency's policy citation(s) and describe the circumstances that cover irregular fluctuations of earnings pursuant to this requirement

- Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to

complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's status toward complete implementation for any requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

3.1.7 Describe how the Lead Agency documents, verifies and maintains applicant information.

Check the information that the Lead Agency documents. There are no federal requirements for specific documentation or verification procedures.

Reminder - Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes (ACYF-PI-CC-98-08). States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing in loco parentis, or other household members have not provided information regarding their immigration status. In addition, verification of child citizen status is

not required when the child is served in a program meeting Early Head Start/Head Start standards, such as in Early Head Start - Child Care Partnerships, or public educational standards which may include pre-k settings (<http://www.acf.hhs.gov/programs/occ/resource/pi-2008-01>).

Applicant identity.

Describe:

Applicant identity is a mandatory verification in order to determine eligibility. Verification of applicant identity may be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- 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:
 - 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



Applicant's relationship to the child.

Describe:

Applicant relationship to the child is a mandatory verification in order to determine eligibility. Verification of relationship may be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- Birth certificate
- Adoption papers
- Baptismal record
- Marriage certificate
- Court record
- Contact with school system
- Hospital and clinic records
- Landlord's statement

- Court Support order
- Juvenile Court records
- Private Social Service agencies
- Community organizations
- 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.).

Describe:

Child's information is a mandatory verification in order to determine eligibility. Verification of a child's information may be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- Birth Certificate:
- 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
- Driver's license
- Hospital records
- School records
- Immigration or Naturalization Record
- Alien Registration Card



Work.

Describe:

Work information is a mandatory verification in order to determine eligibility. Verification of work may be obtained from electronic interface verifications or from known information from

other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- Pay stubs
- Employer's statement



Job Training or Educational Program.

Describe:

Job training information is a mandatory verification in order to determine eligibility. Verification of job training may be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- Class schedule
- Training schedule
-  - Crossroads Program approval letter

Family Income.

Describe:

Family income information is a mandatory verification in order to determine eligibility. Both earned and unearned income is used for income determinations. Verification of family income may be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- Pay stubs
- Employer's wage records
- Employer statement
- SSA benefit letter or interface
- Copy of benefit check
- Unemployment Compensation benefit letter or interface
- Pension benefit letter
- VA benefit letter
- Railroad benefit letter
- Child Support agreement
- Spousal Support agreement
- Court orders

Household composition.

Describe:

Household composition is a mandatory verification in order to determine eligibility. At time of application and redetermination, household composition is verified through the signature on the application or review that the information is true and correct. Verification of household composition may also be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification. Households are required to report changes in household size during their eligibility period.

Applicant Residence.

Describe:

Residency is a mandatory verification in order to determine eligibility. Verification of residency may be obtained from electronic interface verifications or from known information from other Economic Assistance programs. If verification cannot be obtained through those sources, the applicant will need to provide verification.

Acceptable verification includes, but is not limited to:

- 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:
 - A certified copy from Vital Records
 - An 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

Other.

Describe:

Reminder - Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes (ACYF-PI-CC-98-08). States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing in loco parentis, or other household members

have not provided information regarding their immigration status. In addition, verification of child citizen status is not required when the child is served in a program meeting Early Head Start/Head Start standards, such as in Early Head Start - Child Care Partnerships, or public educational standards which may include pre-k settings (<http://www.acf.hhs.gov/programs/occ/resource/pi-2008-01>).

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

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

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

Per CCDF regulations, Lead Agencies are required 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 (98.16(9) and 98.33(b)). This requirement did not change under the reauthorization. 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.

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

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

"appropriate child care":

TANF policy defines appropriate child care as "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, self declared or approved relative."

"reasonable distance":

Reasonable distance as defined by polity states, "Child care is unobtainable at a location such that the usual commuting time from the parent's home to the location at which child care is provided, or on to the parent's worksite, is one hour or less."

"unsuitability of informal child care":

Unsuitability of informal child care is defined as, "The client must show that the unavailability or unsuitability of informal care is not an option with either a relative or other legally non-licensed provider."

"affordable child care arrangements":

Affordable child care arrangements is defined as, "Child care is unobtainable from a child care provider licensed or registered under North Dakota Century Code Chapter 50-11.1, at a rate equal to or less than two times the maximum allowable amount as determined by the child care assistance program":

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:

List the citation to this TANF policy.

List:

TANF policy cite is Good Cause Allowable Reasons for Nonparticipation in JOBS or Tribal NEW 400-19-75-20 and may be found at the following website

<http://www.nd.gov/dhs/policymanuals/40019/40019.htm>

3.1.10 The Lead Agency certifies that it will require a family member to certify that the family assets do not exceed \$1,000,000. A check-off on the application is sufficient

Yes. The Lead Agency certifies that it will require families to certify that the family assets do not exceed \$1,000,000 no later than September 30, 2016.

3.2 Increasing Access for Vulnerable 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. This did not change under reauthorization. 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))

3.2.1 Describe how the Lead Agency will prioritize or target child care services for the following children and families (658E(c)(3)(B)), including definitions, any time limits, grace periods or priority rules in the description:

a. Provide definition of "Children with special needs": A child with disabilities or children who are at risk for developmental delays is defined as any child in North Dakota between the age of birth and twelve years that receive support through public or private services and includes a child who is in the process of being evaluated for 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 of age who receive 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 as a parent with a significant disability.

and describe how services are prioritized:

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. Special needs children may be served first if a waiting list becomes necessary.

b. Provide definition of "Families with very low incomes": Children in TANF, TANF Transition Assistance, Diversion Assistance or Crossroads Assistance programs families are identified as children in families with very low income.

and describe how services are prioritized:

Families with very low income are defined as the families in TANF programs whose income is at or below 35% of federal poverty level. In North Dakota that means Regular TANF, Transition Assistance, Diversion Assistance and Crossroads programs families have their co-pay waived. In addition, families subject to the sliding fee schedule have income from \$0 up to 10% of SMI and are considered families with very low income. Families at 10% of SMI have a co-payment at 2% of the upper limit on sliding fee schedule (i.e., family size of 2 with income at or below \$503 per month would have a co-payment of family co-payment of \$11 per month). Families with very low income have the highest priority in North Dakota.

c. Describe how services 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 are prioritized (Section 418(b)(2) of the Social Security Act) Families receiving Regular TANF, Transition Assistance, Diversion Assistance or Crossroads program are priorities by excluding the payments received under the TANF funded programs. Income eligibility guidelines for TANF funded programs is currently at 35% of federal poverty level, as such, those who are eligible for a TANF funded program and also eligible for Child Care Assistance program have their child care assistance co-payments waived as their income is at or below 100% FPL. The work requirements under TANF of the adult member are taken into consideration for payment of child care needs which is a broader definition of the qualifications under Child Care Assistance program. The TANF employment plan identifies the TANF adult's work activities and these become covered activities under the Child Care Assistance Program.

TANF Transition Assistance is available to families where their earnings result in ineligibility for Regular TANF. A family may receive this assistance up to six months and child care co-

payment is waived. This is to allow time for a family to stabilize and prevent returning to TANF.

TANF Diversion Assistance assists families for up to four months based on an episode resulting in needing assistance for a short time period. Co-payments are waived to allow families time to stabilize financially.

3.2.2 Improving Access for Homeless Children and Families.

The CCDBG Act of 2014 places greater emphasis on serving homeless children and families. Stable access to high-quality child care provides tremendous benefits to all children, especially our most vulnerable children. Children and families who experience homelessness face many challenges. Improving access to child care can buffer children and families from the challenges and risks associated with homelessness by supporting children's learning and development in safe, stable and nurturing environments. Under the new law, States and Territories are required to use CCDF funds to 1) allow homeless children to receive CCDF assistance after an initial eligibility determination but before providing required documentation (including documentation related to immunizations); 2) providing training and technical assistance to child care providers on identifying and serving homeless children and families (addressed in Section 6); and 3) conduct specific outreach to homeless families. (658E(c)(3))

States and Territories also must establish a grace period that allows homeless children and children in foster care (if served by the Lead Agency) to receive CCDF assistance while their families are taking the necessary actions to comply with immunization and other health and safety requirements as described in Section 5. This flexibility will make it significantly easier for these vulnerable families to access child care services. This language is consistent with current requirements established through CCDF regulations in 1998, which required a grace period in which children can receive services while families take the necessary actions to comply with the immunization requirements. (658E(c)(2)(I)(i)(I)) ACF recommends States and Territories consult the definition of homeless in the McKinney-Vento Act (section 725 of subtitle VII-B) as you implement the requirements of this section as that definition is consistent with the required CCDF administrative data reporting requirements.

Describe the status of the State/Territory's procedures to enroll and provide outreach to homeless families and establish a grace period for children in foster care, if served, for meeting immunization requirements

- Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe the following:

a. Procedures to increase access to CCDF subsidies for homeless children and families, including the grace period to comply with immunization and health and safety requirements

b. Procedures to conduct outreach to homeless families to improve access to child care services

c. Procedures to provide a grace period to comply with immunization and other health and safety requirements to expedite enrollment for children who are in foster care if served by the Lead Agency to improve access to child care services

Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016) [09/30/2016](#)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Partially implemented](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

[The Lead Agency has identified how this requirement will be met and is working to implement policies and system changes. Homeless families will be determined eligible to receive CCDF assistance after an initial eligibility determination but before providing required documentation, including immunization records. These families will be granted a 30 day grace period to provide any required documentation. Homeless families will also be approved at application or review for job search and housing search activities.](#)

[Child Care Aware of North Dakota does outreach to homeless families to improve access to child care by having thier consumer materials available in various places that homesless families may be. This includes county social services offices, with the local schools homeless liasion offices, homeless shelters, community resource](#)

centers, Head Start and Early Head Start offices. Child Care Aware parent services coordinators also attend various community fairs and events where parent may be in order to provide their resources.

Unmet requirement - Identify the requirement(s) to be implemented A grace period that allows homeless children and children in foster care (if served by the Lead Agency) to receive CCDF assistance while their families are taking the necessary actions to comply with immunization and other health and safety requirements as described in Section 5.

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

1. Develop policy and submit policy for review.
2. Finalize policy changes and allow for a training period.
3. Submit a work order for system changes.
4. Test system changes and ensure changes are satisfactory.
5. Develop training for policy and system changes.
6. Make changes to applications, brochures and any other identified communications.

Projected start date for each activity: 03/01/2016

Projected end date for each activity: 09/30/2016

Agency - Who is responsible for complete implementation of this activity
Department of Human Services, Economic Assistance Division.

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity
Information Technology Department (ITD).

Unmet requirement - Identify the requirement(s) to be implemented 2) providing training and technical assistance to child care providers on identifying and serving homeless children and families (addressed in Section 6); and

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will continue to conduct meetings with partners on identifying

training and technical assistance opportunities that can be available to assist providers serving homeless children and families.

Projected start date for each activity: 3/01/2016

Projected end date for each activity: 09/30/2016

Agency - Who is responsible for complete implementation of this activity The Lead Agency-Department of Human Services-Children and Family Services

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

Head Start State Collaboration Office, Child Care Aware, Department of Public Instruction

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will determine the route to pursue in providing training and technical assistance to providers serving homeless children and their families.

Projected start date for each activity: 6/1/2016

Projected end date for each activity: 9/30/2016

Agency - Who is responsible for complete implementation of this activity The Lead Agency- Department of Human Services- Children and Family Services

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

Head Start State Collaborative Office, Department of Public Instruction, Child Care Aware of ND

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will make available the resources for training and technical assistance for providers serving children and families experiencing homelessness. This could be in various ways to include partnerships with Head Start, the Department of Public Instructions homelessness liaisons, and Child Care Aware of ND consultants and training department.

Projected start date for each activity: 07/1//2016

Projected end date for each activity: 9/30/2017

Agency - Who is responsible for complete implementation of this activity [The Lead Agency-Department of Human Services- Children and Family Services](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[Head Start State Collaboration Office, Child Care Aware of ND, Department of Public Instruction.](#)

3.3 Protection for Working Parents

3.3.1 Twelve Month Eligibility

The CCDBG Act of 2014 establishes a 12-month eligibility period for CCDF families. States are required to demonstrate in the Plan that no later than September 30, 2016 each child who receives assistance will be considered to meet all eligibility requirements for such assistance and will receive such assistance, for not less than 12 months before the State redetermines the eligibility of the child, regardless of changes in income (as long as income does not exceed the federal threshold of 85% of State median income) or temporary changes in participation in work, training, or education activities. (658E(c)(2)(N)(i) &(ii))

Note that this change means a State may not terminate CCDF assistance during the 12 month period if a family has an increase in income that exceeds the State's income eligibility threshold, but not the federal threshold of 85% SMI.

In addition, this change means the State may not terminate assistance prior to the end of the 12 month period if family experiences a temporary job loss or temporary change in participation in a training or education activity. For example, if a working parent is temporarily absent from employment due to extended medical leave, changes in seasonal work schedule, or a parent enrolled in training or educational program is temporarily not attending class between semesters, the state should not terminate assistance.

Describe the status of the State's establishment of a 12-month eligibility re-determination period for CCDF families.

Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency's policy citation(s) and describe circumstances considered temporary changes in work, education or training that are not subject to termination

List the Lead Agency's policy citation(s) and describe circumstances considered temporary changes in work, education or training that are not subject to termination

Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016) [09/30/2016](#)

Overall Status - Describe the State/Territory's status toward complete implementation for any requirement(s) (not yet started, partially implemented, substantially implemented, other) [Not yet started](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

[The Lead Agency currently allows for six month certificate periods. Twelve month certificate periods need to be implemented and will become effective no later than September 30, 2016. The Lead Agency allows up to 60 percent of SMI as the eligibility threshold.](#)

[The Lead Agency will need to issue a change to current policy relating to twelve month certificates. The policy must first go through a review process. Once reviewed, the Lead Agency allows a training period for eligibility workers to become familiar with the policy change. The Lead Agency will need to submit a work order to the Department's ITD resources for system changes. Those changes will need to be tested and training will need to be developed.](#)

Unmet requirement - Identify the requirement(s) to be implemented [A minimum 12-month eligibility and redetermination period for CCDF families.](#)

Tasks/Activities -What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating

agencies, etc.)

Twelve Month Certificate Period

1. Develop policy and submit policy for review.
2. Finalize policy changes and allow for a training period.
3. Submit a work order for system changes.
4. Test system changes and ensure changes are satisfactory.
5. Develop training for policy and system changes.
6. Make changes to applications, brochures and any other identified communications.

Projected start date for each activity: [04/01/2016](#)

Projected end date for each activity: [09/30/2016](#)

Agency - Who is responsible for complete implementation of this activity
[Department of Human Services, Economic Assistance Division.](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity
[Information Technology Department \(ITD\).](#)

3.3.2 State and Territory option to terminate assistance prior to 12 months

The CCDBG Act of 2014 provides States and Territories the option - but does not require them - to terminate assistance prior to re-determination at 12 months if a parent loses employment or if he or she stops attending a job training or education program (i.e., if the parent experiences a non-temporary change in their status as working, or participating in a training or education program). However, prior to terminating the subsidy, the State/Territory must provide a period of continued child care assistance of at least 3 months to allow parents to engage in job search, resume work, or to attend an education or training program as soon as possible.

(658E(c)(2)(N)(iii)) Nothing in the statute prohibits the State/Territory from starting a new 12-month eligibility and redetermination period if families are eligible at the end of their job search, training or education attendance period.

Note that unless the State allows a minimum 3-month job search period - the State/Territory may not exercise the option to terminate assistance based on a parent's non-temporary job loss or cessation of attendance at a job training or educational program prior to the end of the minimum 12-month eligibility and re-determination period. The statute does not specify any documentation that States/Territories must require parents to submit regarding activities during periods of job search or finding training or education program requirements for this period.

Does the State/Territory terminate assistance prior to 12 months due to a parent's non-temporary loss of work or cessation of attendance at a job training or education program?

- Yes, the State/Territory terminates assistance prior to 12 months due to parent's loss of work or cessation of attendance at a job training or education program ONLY. List the Lead Agency's policy citation(s) and describe the circumstances considered to be non-temporary job, education or training loss and provide the duration allowed for job search or resuming attendance in training or education programs
- Currently, the State terminates assistance prior to the end of the certificate period when the caretaker has any loss in allowable activity. The State currently allows for 8 weeks of job search up to 20 hours per week.

To comply with federal regulations, effective no later than September 30, 2016, the lead agency will allow three months of continued assistance for any non-temporary loss of allowable activity.

Temporary changes will be defined as less than three months with the following exceptions:

- A verified time limited absence for family or sick leave
- Any interruption in work for a seasonal worker who is not working between regular industry work seasons
- Any student holiday or break for a caretaker participating in training or education.

Assistance will continue when the temporary change is less than three months or when one of the above apply.



No, the State/Territory does not allow this option.

3.3.3 Prevent Disruption of Work

The CCDBG Act of 2014 added a requirement that States and Territories must describe in the Plan the procedures and policies in place to ensure that parents (especially parents in families receiving assistance under TANF) are not required to unduly disrupt their employment, education or job training activities in order to comply with the State/Territory's or designated local entity's requirements for redetermination of eligibility for assistance. (658E(c)(2)(N)(ii)) Examples include implementing re-determination strategies to verify income and employment electronically as opposed to more onerous practices such as asking parents and families to come to the subsidy office for an in-person visit, or aligning eligibility with other early care and

education or public benefits programs to collect information centrally. The process by which States and Territories collect eligibility documentation represents a potential barrier to services, particularly when documentation can only be provided in-person during standard work hours. States and Territories can offer a variety of family-friendly mechanisms for submitting documentation for eligibility determinations and/or re-determination.

Describe the status of the State/Territory's redetermination procedures and policies to ensure that parents (especially parents receiving TANF) do not have their employment, education or job training unduly disrupted in order to comply with the State/Territory's or designated local entity's requirements for redetermination of eligibility.

Fully implemented and meeting all Federal requirements outlined above by March 1, 2016.

List the Lead Agency's policy citation(s) and describe the policies and procedures for not unduly disrupting employment

An interview is not required in order to determine eligibility at application or review as stated in policy section 'Timeliness Standards for Processing Applications 400-28-20-15'.

Redetermination is a review of case file information. Families are not required to submit documents that have already been collected and established when initial eligibility was determined. Families are asked to resubmit income information along with allowable activity schedules. Documents can be submitted through mail, email, fax or in person. County Social Services offices have drop off boxes for items that are submitted in person after office hours. If the family reports no changes in the household's circumstances, additional information is not required.

Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

3.4 Family Contribution to Payment

The statute requires 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 that is not a barrier to families receiving CCDF. (658E(c)(5) In addition to income and size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. The sliding fee scale is subject to review by ACF as part of ongoing monitoring efforts to CCDBG compliance.

3.4.1 Provide the CCDF copayments in the chart below according to family size.

Note - If the sliding fee scale is not statewide, check here and describe how many jurisdictions set their own sliding fee scale

Fill in the chart based on the most populous area of the State.

Family Size	(a) Lowest "Entry" Income Level Where Copayment First Applied	(b) What is the monthly copayment for a family of this size upon initial entry into CCDF?	(c) What is the percent of income for (b)?	(d) Maximum Highest "Entry" Income Level Before No Longer Eligible	(e) What is the monthly copayment for a family of this size upon initial entry into CCDF?	(f) What is the percent of income for (e)?
1	\$0	\$8	2%	\$2,307	\$162	7%
2	\$0	\$11	2%	\$3,017	\$212	7%
3	\$0	\$13	2%	\$3,727	\$261	7%
4	\$0	\$15	2%	\$4,436	\$311	7%
5	\$0	\$18	2%	\$5,146	\$361	7%

a) What is the effective date of the sliding fee scale(s)? [April 1, 2016](#)

b) Provide the link to the sliding fee scale <http://www.nd.gov/dhs/info/pubs/docs/dn-241-child-care-assistance-sliding-fee-scale.pdf>

3.4.2 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.

- 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
 - Fee is per child up to a maximum per family
 - No additional percentage applied charged after certain number of children
 - Fee is per family
 - Contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

Other.

Describe:

3.4.3 Will the Lead Agency use other factors in addition to income and family size to determine each family's copayment? (658E(c)(3)(B))

Yes, and describe those additional factors using the checkboxes below.

Number of hours the child is in care

Lower copayments for higher quality of care as defined by the State/Territory

Other.

Describe other factors.

No.

3.4.4 The Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size.

Will the Lead Agency waive family contributions/co-payments?

Yes, the Lead Agency waives family contributions/co-payments for families with income at or below the poverty level for families of the same size.

The poverty level used by the Lead Agency for a family size of 3 is \$

No, the Lead Agency does not waive family contributions/co-payments

3.4.5 How will the Lead Agency ensure the family contribution/co-payment, based on a sliding fee scale, is affordable?

Check all that apply:

Limits the maximum co-payment per family.

Describe:

A family's co-payment is set at a maximum amount per family based on income and household size. The co-payment amount is applied to each child until the full amount of the co-payment has been applied.

Limits combined amount of copayment for all children to a percentage of family income. List the percentage of the copayment limit.

Describe:

Minimizes the abrupt termination of assistance before a family can afford the full cost of care ("the cliff effect") as part of the graduated phase-out of assistance discussed in 3.1.5.

Describe:

Does not allow providers to charge families the difference between the maximum payment rate (addressed in section 4) and their private pay rate in addition to the copayment they are paying.

Describe:

Covers all fees (such as registration, supplies, field trips) to minimize the additional fees charged to the families by the provider.

Describe:

Other.

Describe:

4 Ensure Equal Access to High Quality Child Care for Low-Income Children

The 2014 reauthorization of the CCDBG Act is designed to help States and Territories advance improvements to the quality of child care in order to promote the healthy social-emotional, cognitive and physical development of participating children. Ensuring that low-income and

vulnerable children can access high-quality care (and remain enrolled to school entry and beyond) is an equally important purpose of CCDBG. Payment levels and policies have a major impact on access.

The CCDBG Act of 2014 revises the requirement for a market rate survey (MRS) so that: 1) it must be statistically valid and reliable; and (2) it must reflect variations in the cost of child care services by geographic area, type of provider, and age of child. Also, a State/Territory may develop and conduct an alternative methodology for setting payment rates, such as a cost estimation model, to take into account the cost of meeting quality requirements.

To provide stability of funding and encourage more child care providers to participate in the subsidy program, the State/Territory's payment practices for CCDF child care providers must reflect generally accepted payment practices of non-CCDF child care providers in the State/Territory, such as paying for supplies, field trips, registration fees. In addition, to the extent practicable, the State/Territory must implement enrollment and eligibility policies that support the fixed costs of providing child care services by delinking provider payments from a child's occasional absence due to holidays or unforeseen circumstances such as illness or closures due to emergency.

The CCDBG Act of 2014 added a provision that the State/Territory must also develop and implement strategies to increase the supply and improve the quality of child care services for: (1) children in underserved areas; (2) infants and toddlers; (3) children with disabilities (the CCDBG Act of 2014 added a new definition of child with disability (658(P)(3)); and (4) children who receive care during non-traditional hours. With respect to investments to increase access to programs providing high-quality child care and development services, the State/Territory must give priority to children of families in areas that have significant concentrations of poverty and unemployment and that do not have such programs. (658 E(c)(2)(M))

[4.1 Parental Choice In Relation to Certificates, Grants or Contracts](#)

The parent(s) of each eligible child who receive(s) 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)) This did not change under the CCDBG Act of 2014.

[4.1.1 Describe how the parent of each eligible child is advised that the Lead Agency offers the option of selecting a provider that has a grant or contract or receiving a child care certificate \(658E\(c\)\(2\)\(A\)\(i\), 658P\(2\)\)](#)

Applicants are informed of their choice of provider verbally at time of application by the eligibility worker and through materials such as the Child Care Assistance brochure and the Application for Assistance Guidebook. The brochure and guidebook also include contact information for Child Care Aware and referral services that are available to assist in finding child care.

4.1.2 Describe how the parent is informed of the option to choose from a variety of child care categories - such as private, not-for-profit, faith-based providers (if using a certificate), centers, family child care homes, or in-home providers (658E(c)(2)(A)(i), 658P(2), 658Q))

- Certificate form provides information about the choice of providers, including high quality providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials on choosing child care
- Referral to child care resource and referral agencies
- Co-located resource and referral in eligibility offices
- Verbal communication at the time of application
- Community outreach, workshops or other in-person activities
- Other.

Describe

4.1.3 Child Care Services Available through Grants or Contracts

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) **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

On February 1, 2015 Mayville State University received formal funding notification of

\$1,117,837 for the first year of funding in a five year cycled funding project as part of the Early Head Start - Child Care Partnership grant opportunity.

Through this grant, the Child Care Assistance Program (CCAP) agreed to partner with Mayville State University in providing grants to children who have been approved as Early Head Start (EHS) eligible and eligible for the Child Care Assistance Program and are in the care of a child care provider who meets the EHS Standards.

Once the family is approved for both EHS and CCAP, the provider will receive payment up to the maximum state rate based on the age of the child and the type of provider. Additionally, a household's co-payment will not be applied to any EHS-CCAP partnership provider, ensuring the provider is receiving the maximum amount from CCAP.

The Early Head Start program guidelines are at 100% federal poverty level and the children eligible under the grant meet the Child Care Assistance income eligibility which are greater at 60% of state median income. The State has chosen to waive the co-payment for families whose income is below the federal poverty level for specified populations with income below poverty, Head Start recipients and Child Care Assistance recipients.

the entities who receive contracts (e.g., shared services alliances, child care resource and referral agencies, family child care networks, community based agencies, child care providers, etc.)

The Lead Agency has entered into an Memorandum of Understanding (MOU) with Mayville State University.

the process for accessing grants or contracts

Families must first apply for EHS. Once approved for EHS, a family advocate from EHS assists the family in applying for CCAP. Once the family is determined eligible for both EHS and CCAP, the provider will receive the maximum state rate based on the age of the child and the families co-pay will not be taken from the payment to the EHS provider.

the range of providers available through grants or contracts

At this time, only center based providers who comply with Early Head Start standards

are eligible to participate.

how rates for contracted slots are set for grants and contracts

CCAP children who have been approved eligible for the partnership program will receive assistance up to the full time maximum state rate based on the age of the child and type of provider. Additionally, any co-payment requirements are not applied to providers who are participating in the partnership.

how the State/Territory determines which entities to contract with for increasing supply and/or improving quality

The State has agreed to partner with Mayville State University based on the grant awarded to Mayville State University.

if contracts are offered statewide and/or locally:

As part of the grant award, the designated Early Head Start service area was identified as Grand Forks, Griggs, Nelson, Steele, Traill and Walsh counties in North Dakota.

No. If no, skip to 4.1.4.

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following (check all that apply):

Increase the supply of specific types of care with grants or contracts

for:

Programs to serve children with disabilities

Programs to serve infants and toddlers

Programs to serve school-age children

Programs to serve children needing non-traditional hour care

Programs to serve homeless children

Programs to serve children in underserved areas

Programs that serve children with diverse linguistic or cultural backgrounds

Programs that serve specific geographic areas

Urban

Rural

Other.

Describe:

- Improve the quality of child care programs with grants or contracts for:
- Programs providing comprehensive services, such as integrated child care in Head Start, Early Head Start, summer or other programs
 - Programs meeting higher quality standards, such as higher rated QRIS programs, accreditation or state pre-k programs that meet higher quality standards
 - Programs that provide financial incentives to teaching staff linked to higher education and qualifications link increased education requirements to higher compensation
 - Programs to serve children with disabilities or special needs
 - Programs to serve infants and toddlers
 - Programs to serve school-age children
 - Programs to serve children needing non-traditional hour care
 - Programs to serve homeless children
 - Programs to serve children in underserved areas
 - Programs that serve children with diverse linguistic or cultural backgrounds
 - Programs that serve specific geographic areas
 - Urban
 - Rural
 - Other.

Describe:

4.1.4 The Lead Agency certifies policies and procedures are in place that afford parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds.

(658E(c)(2)(B)) This requirement did not change under the CCDBG Act of 2014. Describe the policies and procedures for unlimited access

Describe the policies and procedures for unlimited access

Parents are informed of unlimited access in the Child Care Assistance Program brochure

and on the application form. Providers are required by licensing regulations to allow parents unlimited access to their children in care.

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

Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all that apply.

Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act

Describe:

Restricted based on provider meeting a minimum age requirement

Describe:

Restricted based on hours of care (certain number of hours, non-traditional work hours)

Describe:

Restricted to care by relatives

Describe:

Restricted to care for children with special needs or medical condition

Describe:

In-home child care is allowed if the child's health would be a risk outside of the home, or for a disabled child. In both circumstances, written documentation of the health risk or disability of the child must be submitted.

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

Describe:

Other

Describe:

No.

4.2 Assessing Market Rates and Child Care Costs

The new law revises the requirement for a market rate survey (MRS) so that: (1) it must be statistically valid and reliable; and (2) it must reflect variations in the cost of child care services by geographic area, type of provider, and age of child (658E(c)(4)(B)). A State/Territory has the option to develop and use a statistically valid and reliable alternative methodology for setting payment rates, such as a cost estimation model. Any payment rates established using an alternative methodology or market rate survey must be reviewed and approved by ACF as part of the CCDF Plan review process. Because the alternative methodology is a new basis for setting payment rates, we highly recommend any State or Territory considering an alternative methodology to submit a description of its proposed approach to the ACF Regional Office in advance of the Plan submittal in order to avoid delays with Plan approval. (see <http://www.acf.hhs.gov/programs/occ/resource/ccdf-reauthorization-faq>).

The MRS or alternative methodology must be developed and conducted no earlier than two years before the date of submission of the Plan (instead of two years before the effective date of the Plan, as previously required for the MRS).

The State must consult with the State Advisory Council, local child care program administrators, local child care resource and referral agencies, and other appropriate entities prior to developing and conducting the MRS or alternative methodology.

The State must prepare a detailed report containing the results of the MRS or alternative methodology. The State must make the report with these results widely available no later than 30 days after completion of the MRS or alternative methodology, including by posting the results on the Internet.

The State must set CCDF subsidy payment rates in accordance with the results of the current MRS or alternative methodology. When setting payment rates, the State must take into consideration the cost of providing higher quality child care services than were provided prior to November 2014 (e.g., tiered reimbursement or other methods) and without, **to the extent practicable**, reducing the number of families receiving CCDF relative to the number served as of November 2014. In taking the cost of providing quality into consideration, it is important to consider such key factors as what it takes to support increased stability and reduced provider turnover when setting payment rates.

4.2.1 Developing and Conducting a Market Rate Survey (MRS) and/or an Alternative Methodology. Did the State/Territory conduct a statistically and valid and reliable MRS, alternative methodology or both between July 1, 2013 and March 1, 2016?

MRS

Alternative Methodology.

Describe:

Both.

Describe:

Other.

Describe:

4.2.2 Describe how the State consulted with the State Advisory Council (SAC) or other state- or state-designated cross-agency body if there is no SAC, local child care program administrators, local child care resource and referral agencies, and other appropriate entities which could include worker organizations prior to developing and conducting the MRS or alternative methodology.

Describe:

The state created the Market Rate Survey (MRS) with the assistance of Technical Assistance through the Office of Child Care, with assistance from the Regional office and in consultation with Decision Support Services in the state. This work was done in preparation for the 2013 MRS. This same survey was then used to conduct the 2015 MRS. Decision Support Services is a unit within the Department of Human Services that provide research and analysis services for all of the Department of Human Services. They are in a separate division from the Economic Assistance Division and have the expertise and experience in developing survey tools, conducting surveys, evaluate the validate the validity of the date, and analysis of the data received as a result of the survey. The results of the survey were posted to the Department of Human Service's website allowing public input. The provider rates are part of the State Plan and the public comment period.

The next MRS will reflect the work that will be done in collaboration with other entities and any additional requirements or any other pertinent information.

4.2.3 Describe how the market rate survey or alternative methodology is statistically valid and reliable.

To be considered valid and reliable, the MRS or alternative methodology must represent the child care market, provide complete and current data, use rigorous data collection procedures, reflect geographic variation, and analyze data in a manner that captures other relevant differences. For example, market rate surveys can use administrative data such as child care resource and referral data if they are representative of the market. If an alternative methodology such as cost modeling is used, demonstrate that the methodology used reliable models that estimated the cost of delivering services in center- and home-based settings at each level of quality defined by the State/Territory.

Describe:

The 2015 North Dakota MRS consisted of four mailings that include:

1. An introductory letter.
2. A one-page survey, cover letter and self addressed stamped return envelope.
3. A thank you/reminder postcard
4. A replacement survey, cover letter and self-addressed stamped return envelope.

A total of 1,564 surveys were mailed to all center and licensed/family Group child care providers that are certified or registered with the State. A listing of current child care providers is generated monthly by Information Technology Services (ITS) for DHS Children and Family Services (CFS). This listing was used at the data source for the MRS.

Of the 1,564 surveys mailed, 940 were returned as usable for an overall response rate of 60.1%. 118 facilities responded that they had no private pay clients and these surveys were excluded from the analysis as the pricing scheme of these facilities was not representative of an actual market (non-subsidized) price. Ultimately, 1,446 valid surveys were mailed and 822 valid surveys were used to determine the market rate resulting in an adjusted response rate of 56.8%.

Valid surveys were returned from 51 of 53 counties in the states. Four counties in Minnesota and one county in Montana were represented. These counties border North Dakota and child care providers within these counties provided services to North Dakota residents.

Of the 822 valid survey responses, 452 or 55% reported having children enrolled in the provider location that receive benefits from ND's Child Care Assistance Program. 370 providers or 45% reported not having any children enrolled in the provider location that receive benefits from ND's Child Care Assistance Program.

4.2.4 Describe how the market rate survey reflects variations in the price of child care services by:

a) Geographic area (e.g., statewide or local markets):

The surveys were sent out statewide to all licensed child care providers.

b) Type of provider:

Paper surveys were sent to all licensed child care providers in the state. Providers also had the option to take the survey online. Providers were notified of this option on the mailed paper survey.

c) Age of child:

Data was gathered from the providers on four different age groups that include:

- Infants (Under 2)
- Toddlers, (2 and 3)
- Preschool (4 and 5)
- School Aged (6 up to 12)

d) Describe any other key variations examined by the market rate survey, such as quality level

Data was collected from provider's based on the rate and billing structure for hours of care provided to children. The billing hour structure includes:

- Full Time Weekly (40 hours per week)
- Part Time Weekly (24 hours per week)
- Hourly Weekly (13 hours or less per week)

4.2.5 Describe the process used by the State to make the results of the market rate survey widely available to the public.

a) Date of completion of the market rate survey or alternative methodology (must be no earlier than July 1, 2013 and no later than March 1, 2016)

06/25/2015

b) Date report containing results were made widely available, no less than 30 days after the completion of the report [06/25/2015](#)

c) How the report containing results was made widely available and provide the link where the report is posted if available

The Market Rate Survey was made available through request by phone, mail or email. The results of the survey were also posted to the Child Care Assistance Program section of the Lead Agency's website found at <http://www.nd.gov/dhs/info/pubs/childcarepub.html>.

4.3 Setting Payment Rates

4.3.1 Provide the base payment rates and percentiles (based on current MRS or alternative methodology) for the following categories. The ages and types of care listed below are meant to provide a snapshot of categories on which rates may be based and are not intended to be comprehensive of all categories that may exist in your State/Territory or reflective of the terms that your State/Territory may use for particular ages. Please use the most populous geographic region (serving highest number of children).

Note - If the payment rates are not set by the State/Territory, check here

Describe how many jurisdictions set their own payment rates

a) Infant (6 months), full-time licensed center care in most populous geographic region

Rate \$ [165.75](#) per [week](#) unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: [33rd](#)

b) Infant (6 months), full-time licensed FCC care in most populous geographic region

Rate \$ [120.00](#) per [week](#) unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: [24th](#)

c) Toddler (18 months), full-time licensed center care in most populous geographic region

Rate \$ [150.00](#) per [week](#) unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: [32nd](#)

d) Toddler (18 months), full-time licensed FCC care in most populous geographic region

Rate \$ 117.50 per week unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: 22nd

e) Preschooler (4 years), full-time licensed center care in the most populous geographic region

Rate \$ 141.25 per week unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: 35th

f) Preschooler (4 years), full-time licensed FCC care in the most populous geographic region

Rate \$ 115.00 per week unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: 25th

g) School-age child (6 years), full-time licensed center care in the most populous geographic region

Rate \$ 125.00 per week unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: 55th

h) School-age child (6 years), full-time licensed FCC care in the most populous geographic region

Rate \$ 100.00 per week unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: 35th

i) Describe the calculation/definition of full-time care:

Full-time care is defined as 25 or more hours per week.

j) Provide the effective date of the payment rates : October 1, 2012

k) Provide the link to the payment rates : <http://www.nd.gov/dhs/info/pubs/docs/dn-241-child-care-assistance-sliding-fee-scale.pdf>

4.3.2 States and Territories may choose to set base payment rates that differ because they take into consideration such factors as 1) geographic location, 2) age of child, 3) needs of children (special needs, protective services, etc.), 4) non-traditional hours of care, or 5) quality of care.

In other words, base rates for infants may be set at a higher level than for school-age care because the cost of providing infant care tends to be higher than school-age care. In addition to these rates that differ tied to market variations in prices, States and Territories can choose to establish tiered rates or add-ons on top of these variable base rates as a way to increase payment rates for targeted needs (i.e., higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children).

Check which types of tiered payment or rate add-on, 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, amount or percentage of the tiered rate/add-on, and indicate if the rates were set based on the MRS or another process.

Tiered rate/rate add-on for non-traditional hours.

Describe:

Tiered rate/rate add-on for children with special needs as defined by the State/Territory.

Describe:

Tiered rate/rate add-on for infants and toddlers (do not check if you have a different base rate for infants/toddlers with no separate bonus or add-on).

Describe:

Tiered rate/rate add-on for programs meeting higher quality as defined by the State/Territory.

Describe:

Tiered rate/rate add-on for programs serving homeless children.

Describe:

Other tiered rate/rate add-on beyond the base rate.

Describe:

None.

4.3.3 Describe how the State/Territory set payment rates for child care services in accordance with the results of the most recent market rate survey or alternative methodology

Describe:

The market rate survey conducted in 2015 was not used to determine the provider rates. For the 2015-2017 biennium budget, a request was submit to increase the provider rates for licensed providers as part of the department's budget request. During the 2015 Legislation session, the continuance of child care assistance sliding fee schedule at 85% of SMI was funded and the increased provider rates was not funded. The state continues to recognize the importance of setting payment rates that ensure equal access. The state will continue to request an increase in provider payment rates during the next legislative session in 2017. Results of the most recent MRS will be used along with the new federal regulations as basis for the need to increase provider payment rates.

4.3.4 In setting payment rates, how did the State/Territory take into consideration the cost of providing higher quality child care services than were provided prior to November 2014 (e.g., tiered payment or other methods) and without, to the extent practicable, reducing the number of families receiving CCDF relative to the number of families served as of November 2014.

For example, providing tiered payment with a sufficient differential to support higher quality, considering the cost of quality using a cost estimation model or other method, or examining the participation rate of high-quality providers in the subsidy system (e.g., using indicators from a quality rating system, accreditation or other state-defined indicators of quality) and adjusting payment rates if necessary.

Describe:

North Dakota sets payment rates based on the following factors:

1. Type of provider
2. Age of child
3. Level of care (Full-time, part-time, hourly)

Center based provider rates are set at the highest rate followed by licensed family/group, self-declared and approved relative providers. The structure of these payment rates helps to ensure that the highest quality providers are receiving a higher rate compared to other providers.

Payment rates are also based on the age of the child. Payment rates are the highest for infants (birth to 2), followed by toddlers (2 and 3), preschool aged children (4 and 5) and school age children (6 up to age 13).

Payment rates are then established based on the level of care needed. Children may fall into a full-time, part-time or hourly rate. Full time payment rates are set at the highest rate.

4.4 Summary of Facts Used to Determine that Payments Rates Are Sufficient to Ensure Equal Access

The CCDF plan shall provide a summary of data and facts relied on by the State/Territory to certify that payment rates are sufficient to ensure equal access. (658E (c)(4)(A)) Equal access is not limited to a single percentile alone but is inclusive of various metrics or benchmarks that would offer children receiving CCDF access to the same services (type of care, quality of care) as children not receiving CCDF.

4.4.1 What data and facts did the State use to determine equal access (i.e., what is your metric or benchmark of equal access - such as percentile that rates cover or proportion of costs covered)? Check all that apply and describe.

- Payment rates are set at the 75th percentile or higher of the most recent survey.

Describe:

- Using tiered rates/differential rates as described in 4.3.3 to increase access for targeted needs.

- Rates based on data on the cost to the provider of providing care meeting certain standards

Describe:

- Data on the size of the difference (in terms of dollars) between payment rates and the 75th percentile in the most recent survey, if rates are below the 75th percentile.

Describe:

- ☑ Data on the proportion of children receiving subsidy being served by high-quality providers.

Describe:

Bright & Early ND is the name for North Dakota's QRIS. Bright & Early developed a set of standards that build upon each other through "4 Steps to Quality". Bright & Early helps to educate parents to become more savvy consumers when looking for child care for their own children.

Step 1 Quality Rated programs provide a safe and healthy environment for children focused on preventing injuries and reducing the spread of germs. Children need to be healthy and feel safe to learn and grow. It's the first step in preparing children to be ready for school, work, and life. **Step 2 - Space and Materials**

Step 2 Quality Rated programs meet all requirements of Step 1, and they also offer a variety of materials to support play and learning experiences for children with different interests and abilities. A child's work is their play, and having enough of the right materials that are set up in a chosen space encourages children to play. When children develop good play skills, they are better prepared for school, work, and life.

Step 3 Quality Rated programs meet all requirements of Steps 1 and 2, and they also use an approved curriculum that supports each child's development and an approved assessment tool to learn about each child's development. Programs plan learning activities that build upon each child's strengths and provide opportunities for further growth.

Step 4 Quality Assured programs meet all requirements of Steps 1-3, and they also have developed warm and supportive relationships with children and between children. They place an emphasis on children's interests, motivations, and points of view in daily activities and interactions. They facilitate children's critical thinking and language development through interactions with children.

Following is a chart of the number of child care subsidy children that attended a Bright & Early facility over the past six months:

Numer of Children per QRIS Rating

ST0 - 11
ST1 - 586
ST2 - 149
ST3 - 30
ST4 - 55
Grand Total - 831

In addition, data analyzed from the payment service months of August 2015 through October 2015 demonstrates children in receipt of subsidy are attending the higher quality of provider types. Eighty-four percent are in licensed center based or family/group facilities. Fourteen percentage of the children in in self-declared or approved relatives. See below data.

August 2015

40% of children were in licensed center based settings
44% of children were in Licensed Family/Group settings
8% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

September 2015

40% of children were in center based settings
43% of children were in Licensed Family/Group settings
9% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

October 2015

39% of children were in center based settings
44% of children were in Licensed Family/Group settings
9% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings



Data on where children are being served showing access to the full range of providers. .

Describe:

Data analyzed from the payment service months of August 2015 through October 2015 demonstrates children in receipt of subsidy are attending the full range of providers, from licensed to approved relatives.

August 2015

40% of children were in licensed center based settings
44% of children were in Licensed Family/Group settings
8% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

September 2015

40% of children were in center based settings
43% of children were in Licensed Family/Group settings
9% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

October 2015

39% of children were in center based settings

44% of children were in Licensed Family/Group settings
9% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

- Data on how rates set below the 75th percentile allow CCDF families access to the same quality of care as families not receiving CCDF.

Describe:

Data analyzed from the payment service months of August 2015 through October 2015 shows that children in receipt of subsidy are attending the higher quality provider settings.

August 2015

40% of children were in licensed center based settings
44% of children were in Licensed Family/Group settings
8% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

September 2015

40% of children were in center based settings
43% of children were in Licensed Family/Group settings
9% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

October 2015

39% of children were in licensed center based settings
44% of children were in Licensed Family/Group settings
9% of children were in Approved Relative (Relative Provider) settings
6% of children were in Self-Declared provider settings

- Feedback from parents, including parent survey or parent complaints.

Describe:

- Other.

Describe:

4.4.2 Does the State/Territory certify that payment rates are sufficient to ensure equal access either based on the current MRS or alternative methodology?

Does the State/Territory certify that payment rates are sufficient to ensure equal access either based on the current MRS or alternative methodology?

Yes. The State/Territory certifies that payment rates are sufficient to ensure equal access by March 1, 2016.

Provide the State/Territory definition of how its payment rates are sufficient to ensure equal access

Data analyzed from the payment service months of August 2015 through October 2015 shows that children in receipt of subsidy are attending the higher quality provider settings. Up to 40% of subsidy children served are consistently receiving care in center based child care settings. Up to 44% of subsidy children served are consistently receiving care in Licensed Family/Group settings.

Families have a range of options in providers, from licensed centers to approved relatives. Analyzed data indicates that while families have a range of options, the majority of subsidy children are receiving care in higher quality settings.

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

4.5 Payment Practices and Timeliness of Payments

The CCDBG Act of 2014 added a provision that requires States and Territories to describe in the Plan how the State/Territory's payment practices for CCDF child care providers reflect generally accepted payment practices of non-CCDF child care providers in the State/Territory - so as to provide stability of funding and encourage more child care providers to participate in the subsidy program. To the extent practicable, the State/Territory must implement enrollment and eligibility policies that support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences due to holidays or unforeseen circumstances such as illness. (658E(c)(2)(S))

4.5.1 Describe the status of State/Territory's payment practices for CCDF child care providers that reflect generally accepted payment practices of non-CCDF child care providers in the State/Territory

- Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe using 4.5.2 through 4.5.3 below.
- Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

4.5.2 Describe how the payment practices to child care providers who serve CCDF-assisted children reflect generally accepted payment practices of other child care providers in the State/Territory to ensure stability of funding to encourage more child care providers to serve children who receive CCDF assistance. Check all that apply and describe.

The Lead Agency

Pays prospectively prior to the delivery of services.

Describe:

Pays within no more than 21 days of billing for services.

Describe:

Supports fixed costs of providing child care services by delinking provider payments from a child's occasional absences by paying based on enrollment instead of attendance.

Describe including the State/Territory's definition of occasional absences

Supports fixed costs of providing child care services by delinking provider payments from a child's occasional absences by providing full payment if a child attends at least a certain percent of authorized time. Specify percent and describe
Specify percent and describe

Supports fixed costs of providing child care services by delinking provider payments from a child's occasional absences by providing full payment if a child is absent for a certain number of days in a month.

Specify the number of absence days allowed and paid for and describe

Up to 16 hours of care per month will be covered due to occasional absences.

Pays on a full-time or part-time basis (rather than smaller increments such as hourly)

Describe:

Pays for standard and customary fees that the provider charges private-paying parents (e.g., registration fees, deposits, supplies, field trips, etc.)

Describe:

Provides prompt notice to providers regarding any changes to the family's eligibility status that may impact payment

Describe:

Has a timely appeal and resolution process for payment inaccuracies and disputes.

Describe:

Families and child care providers may appeal an adverse action taken against them by submitting an appeal request within 30 days from the date of notice of the adverse action.

Other.

Describe:

- For those options not checked above, explain why these options are not generally accepted payment practices in your State/Territory.

4.5.3 Check and describe the strategies the State/Territory will use to ensure the timeliness of payments.

- Policy on length of time for making payments.

Describe length of time:

Payments are processed within 30 days of receipt of a complete Billing Report Form.

- Track and monitor the payment process

Describe:

- Use of electronic tools (e.g., automated billing, direct deposit, etc.)

Describe:

- Other.

Describe:

4.6 Supply Building Strategies to Meet the Needs of Certain Populations

The CCDBG Act of 2014 added a provision that the State/Territory will develop and implement strategies to increase the supply and improve the quality of child care services for children in underserved areas, infants and toddlers, children with disabilities, and children who receive care during non-traditional hours. (658 E(c)(2)(M))

4.6.1 Has the State/Territory conducted data analysis of existing and growing supply needs?

- Yes.

Describe data sources

Child Care Aware of ND completes a yearly state data profile that consist the number of

child care providers in the state compared to the number of children needing care according to the ND Kids Count fact book.

No.

If no, how does the State/Territory determine most critical supply needs?

4.6.2 Describe what method(s) is used to increase supply and improve quality for:

a) Infants and toddlers (check all that apply)

- Grants and contracts (as discussed in 4.1.3)
- Family child care networks
- Start-up funding
- Technical assistance support
- Recruitment of providers
- Tiered payment rates (as discussed in 4.4.1)
- Other.

Describe

b) Children with disabilities (check all that apply)

- Grants and contracts (as discussed in 4.1.3)
- Family child care networks
- Start-up funding
- Technical assistance support
- Recruitment of providers
- Tiered payment rates (as discussed in 4.4.1)
- Other.

Describe

c) Children who receive care during non-traditional hours (check all that apply)

- Grants and contracts (as discussed in 4.1.3)

- Family child care networks
- Start-up funding
- Technical assistance support
- Recruitment of providers
- Tiered payment rates (as discussed in 4.4.1)
- Other.

Describe

d) Homeless children (check all that apply)

- Grants and contracts (as discussed in 4.1.3)
- Family child care networks
- Start-up funding
- Technical assistance support
- Recruitment of providers
- Tiered payment rates (as discussed in 4.4.1)
- Other.

Describe

4.6.3 The CCDBG Act of 2014 requires States to describe the procedures and process it uses, in terms of the investments made to increase access to programs providing high quality child care and development services, to give priority for those investments to children in families in areas that have significant concentrations of poverty and unemployment and that do not have such high-quality programs. (658E(c)(2)(Q))

Describe the status of State/Territory's process and procedures to give priority for investments to children and families from areas with high concentrations of poverty and unemployment that do not have high-quality programs.

- Fully implemented and meeting all Federal requirements outlined above.

Describe

The Lead Agency has an enhanced contract with ChildCare Aware of ND that uses state funds to invest in increased access to programs providing high quality child care and development services. Investments in additional quality improvement projects are

determined through ongoing assessment of need.

The Lets Explore program is focused to promote relationships through shorter term, fun, engaging and introductory coaching model to providers that have not worked with ChildCare Aware ND intensively or who have had minimal experiences with Child Care Aware ND through technical assistance. This project is also an opportunity to increase child care programs readiness for larger training and quality improvement models such as Bright and Early. There are up to 200 topical visits to self-declared, family and group providers, center directors, center staff (may be duplicated) on a topic tailored to their interests and aligned with Early Learning Guidelines and training, enhanced by an engaging resource bag.

Quality Initiative - Winning Ways for Infants and Toddlers in Facilities

Engage child care providers in learning how to provider and implement quality care for the most vulnerable age of children, infants and toddlers. Program directors will implement quality care for infants and toddlers into their practice of care as well as into their policies and procedures. This project is also an opportunity to increase child care programs readiness for larger training and quality improvement models such as Bright and Early.

Priority will be given to providers who care for a high percentage of infants, toddlers and or children receiving child care assistance. Providers who have had minimal experiences with Child Care Aware ND or are a newly licensed program will receive higher priority of involvement in this initiative. North Dakota has a very unemployment rate of 3.1% due to this low unemployment rate North Dakota focuses on areas of the state that have higher concentrations of poverty and to increase high-quality programs.

Through this same contract Child Care Aware ND also assists communities in addressing local child care needs and promoting local collaborations to meet child care needs. They provide assistance and leadership to communities wishing to address child care challenges, including facilitating community meetings, conducting needs assessments, facility planning, financing options, program management and staff recruitment and training.

- Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide

brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's status toward complete implementation for any requirement(s) not fully implemented (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

5 Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings

The CCDBG Act of 2014 makes child care safer by defining minimum health and safety requirements for child care providers. This includes both the standards that must be established and the pre-service/orientation and ongoing minimum training required. States and Territories must also explain why exemptions to any of the licensing standards do not endanger the health and safety of CCDF children in license-exempt care. States and Territories are required to have standards for CCDF providers regarding group size limits and appropriate child-to-provider ratios based on the age of children in child care.

Pre-licensure and annual unannounced inspections of licensed CCDF providers and annual inspections of license-exempt CCDF providers are now required. The CCDBG Act of 2014

requires States and Territories to establish qualifications and training for licensing inspectors and appropriate inspector-to-provider ratios. It also requires States and Territories to conduct criminal background checks for all child care staff members, including staff members who don't care directly for children but have unsupervised access to children and lists specific disqualifying crimes. States and Territories must certify that all child care providers comply with child abuse reporting requirements of Child Abuse Prevention and Treatment Act (CAPTA), mandatory reporting of known and suspected instances of child abuse and neglect).

5.1 Licensing Requirements and Standards

Each State is required to certify it has in effect licensing requirements applicable to all child care services provided within the State (not restricted to providers receiving CCDF), and to provide a detailed description of such requirements and how such requirements are effectively enforced. (658E(c)(2)(l)(i))

5.1.1 The State/Territory certifies that it has licensing requirements applicable to child care services provided within the State.

(658(c)(2)(F)) This requirement did not change under the CCDBG Act of 2014. List the categories of care that your State/Territory licenses and provide your definition of each licensed category of care

List the categories of care that your State/Territory licenses and provide your definition of each licensed category of care

Licensed Family Child Care: Family providers may care for up to 7 children with no more than 3 under the age of 24 months, plus two additional school-age children.

Licensed Group Child Care: Group child care programs may be licensed in a home or a facility. Groups may be licensed for up to 30 children, with the actual license capacity determined by available space, staff to child ratios, and sometimes local ordinances.

Licensed Child Care Center: Child care centers are licensed for at least 19 children in a facility, with the actual license capacity determined by available space, staff to child ratios, and sometimes local ordinances.

Licensed Preschools: Preschools provide educational and socialization experiences for

children age 2 years to kindergarten and may operate sessions for no more than 3 hours per day.

Licensed School-Age Programs: School-age programs are licensed for at least 19 children in a facility, with the actual license capacity determined by available space, staff to child ratios, and sometimes local ordinances. School-age programs offer services before and after school, and sometimes on school holidays and through the summer months.

Multiple License Facility: This type of program has more than one type of license, such as a center and preschool.

5.1.2 Does your State/Territory exempt any child care providers from its licensing requirements?

Yes.

Describe which types of providers that can receive CCDF are exempt from licensing and how such exemptions do not endanger children who receive CCDF services from license-exempt providers

Self-declared Providers:By exempting these providers from licensing standards this does not jeopardize the health and safety because they are required to complete a background check and basic health and safety training, are inspected prior to approval, and receive one monitoring visit per year.

Approved Relatives: By exempting approved relatives from licensing standards this does not jeopardize the health and safety because all adults living in the home are checked against the "North Dakota Office of Attorney General, Convicted Sex Offenders and Offenders Against Children-Public List."

No.

5.1.3 Describe the status of the State/Territory's development and implementation of child care standards for providers receiving CCDF that address appropriate ratios between the number of children and the number of providers and group size, in terms of the age of the children for each type of setting. (658E(c)(2)(H))

- Fully implemented and meeting all Federal requirements outlined above. Describe using 5.1.4 and 5.1.5 below.
- Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

5.1.4 Describe how the State/Territory child care standards for providers receiving CCDF address appropriate ratios between the number of children and the number of providers and group size, in terms of the age of the children for each type of setting. (658E(c)(2)(H))

a) Licensed Center-Based Care

1. Infant

- State/Territory age definition:

0-17 months

- Ratio:

1:4

- Group Size:

10, the defined ratio must be maintained therefor a program would need to have three staff to ten infants if they wanted to have the maximum group size allowed.

2. Toddler

- State/Territory age definition:

18-36 months

- Ratio:

1:5

- Group Size:

15

3. Preschool:

- State/Territory age definition:

36-59 months

- Ratio:

1:10

- Group Size:

25

4. School-Age

- State/Territory age definition:

5-12 years

- Ratio:

1:20

- Group Size:

40

5. If any of the responses above are different for exempt child care centers, describe:

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.

6. Describe, if applicable, ratios and group sizes for centers with mixed age groups.

When there are mixed-age groups in the same room, the operator shall ensure:

- The maximum group size is consistent with the:
 - Age of the majority of the children; or
 - Highest number of children in the youngest age group;

When children ages zero to eighteen months are in the mixed-age group, the maximum group size does not exceed ten children;

- The mixed-age group does not exceed the acceptable ratio and the maximum number of children per staff member list above;
- If the mixed-age group contains the maximum number of children per staff member listed above the mixed-age group may only contain additional older children.

b) Licensed Group Child Care Homes:

1. Infant

- State/Territory age definition:

0-17 months

- Ratio:

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

Group providers can care for children according to the above guidelines or follow the licensing guidelines for Family Child Care. A provider may provide early childhood services for no more than 7 children at any one time, which includes no more than 3 children under 24 months of age. A provider may also provide early childhood services to two additional school-age children. Or a provider may elect to staff according to the following minimum ratio of staff members responsible for caring for or teaching children to children in group child care:

- For children younger than eighteen months of age, a ratio of .25 in decimal form is assigned;
- For children eighteen months of age to thirty-six months of age, a ratio of .20 in decimal form is assigned;
- For children thirty-six months of age to four years of age, a ratio of .14 in decimal form is assigned;
- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the

number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

- Group Size:

Licensed group child care providers can care for up to 30 children, depending on local ordinance. The group child care provider's own children under age 12 must be included in the total.

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

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- For children younger than eighteen months of age, a ratio of .25 in decimal form is assigned;
- For children eighteen months of age to thirty-six months of age, a ratio of .20 in decimal form is assigned;
- For children thirty-six months of age to four years of age, a ratio of .14 in decimal form is assigned;
- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;

- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

2. Toddler

- State/Territory age definition:

18-36 months

- Ratio:

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

Group providers can care for children according to the above guidelines or follow the licensing guidelines for Family Child Care. A provider may provide early childhood services for no more than 7 children at any one time, which includes no more than 3 children under 24 months of age. A provider may also provide early childhood services to two additional school-age children. Or a provider may elect to staff according to the following minimum ratio of staff members responsible for caring for or teaching children to children in group child care:

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- For children eighteen months of age to thirty-six months of age, a ratio of .20 in decimal form is assigned;
- For children thirty-six months of age to four years of age, a ratio of .14 in decimal form is assigned;
- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

- Group Size:

Licensed group child care providers can care for up to 30 children, depending on local ordinance. The group child care provider's own children under age 12 must be included in the total.

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

Group providers can care for children according to the above guidelines or follow the

licensing guidelines for Family Child Care. A provider may provide early childhood services for no more than 7 children at any one time, which includes no more than 3 children under 24 months of age. A provider may also provide early childhood services to two additional school-age children. Or a provider may elect to staff according to the following minimum ratio of staff members responsible for caring for or teaching children to children in group child care:

- For children younger than eighteen months of age, a ratio of .25 in decimal form is assigned;
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- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

3. Preschool:

- State/Territory age definition:

36-59 months

- Ratio:

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage

- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

Group providers can care for children according to the above guidelines or follow the licensing guidelines for Family Child Care. A provider may provide early childhood services for no more than 7 children at any one time, which includes no more than 3 children under 24 months of age. A provider may also provide early childhood services to two additional school-age children. Or a provider may elect to staff according to the following minimum ratio of staff members responsible for caring for or teaching children to children in group child care:

- For children younger than eighteen months of age, a ratio of .25 in decimal form is assigned;
- For children eighteen months of age to thirty-six months of age, a ratio of .20 in decimal form is assigned;
- For children thirty-six months of age to four years of age, a ratio of .14 in decimal form is assigned;
- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

- Group Size:

Licensed group child care providers can care for up to 30 children, depending on local

ordinance. The group child care provider's own children under age 12 must be included in the total.

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

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- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than

four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

4. School-Age

- State/Territory age definition:

5-12 years

- Ratio:

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

Group providers can care for children according to the above guidelines or follow the licensing guidelines for Family Child Care. A provider may provide early childhood services for no more than 7 children at any one time, which includes no more than 3 children under 24 months of age. A provider may also provide early childhood services to two additional school-age children. Or a provider may elect to staff according to the following minimum ratio of staff members responsible for caring for or teaching children to children in group child care:

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- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age

category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

- Group Size:

Licensed group child care providers can care for up to 30 children, depending on local ordinance. The group child care provider's own children under age 12 must be included in the total.

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

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- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

5. Describe the maximum number of children that are allowed in the home at any one time, if the State/Territory requires related children to be included in the child-to-provider ratio or group size, or the limits on infants and toddlers or additional school-age children that are allowed for part of the day

Licensed group child care providers can care for up to 30 children, depending on local ordinance. The group child care provider's own children under age 12 must be included in the total.

Total number of children who can attend at any given time is based on age and:

- Adult-to-child ratios
- Square footage
- Point levels

One adult can care for children totaling 1.34 points, but ratios must be met and a group of children may not contain more than 4 children under the age of 18 months per provider. An additional qualified care provider is added for every 1.0 points.

Group providers can care for children according to the above guidelines or follow the licensing guidelines for Family Child Care. A provider may provide early childhood services for no more than 7 children at any one time, which includes no more than 3 children under 24 months of age. A provider may also provide early childhood services to

two additional school-age children. Or a provider may elect to staff according to the following minimum ratio of staff members responsible for caring for or teaching children to children in group child care:

- For children younger than eighteen months of age, a ratio of .25 in decimal form is assigned;
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- For children four years of age to five years of age, a ratio of .10 in decimal form is assigned;
- For children five years of age to six years of age, a ratio of .08 in decimal form is assigned;
- For children six years to twelve years of age, a ratio of .05 in decimal form is assigned; and

When there is a mixed-aged group, the number of children in each age category is multiplied by the corresponding ratio number, converted to decimal form, and carried to the nearest hundredth. To determine the number of staff members responsible for caring for or teaching children necessary at any given time, numbers of staff members for all age categories are added, and any fractional staff member count is then rounded to the next highest whole number whenever the fractional staff member count amounts to thirty-five hundredths or more. If lower than thirty-five hundredths, the fractional amount is dropped. No more than four children under the age of eighteen months per staff member are allowed in any mixed-aged group.

6. If any of the responses above are different for exempt group child care homes, describe

[The State does not have any exempt group child care homes.](#)

N/A. State/Territory does not have group child care homes.

c) Licensed Family Child Care:

1. Describe the ratios, group size, the threshold for when licensing is required, maximum number of children that are allowed in the home at any one time, if the State/Territory requires related children to be included in the Child-to-Provider ratio or group size, or the limits on infants and toddlers or additional school-age children that are allowed for part of the day.

Describe the ratios:

Licensed family child care providers can care for up to 7 children, plus 2 additional school-age children. The family provider's own children under age 12 must be included in the total. Keep in mind:

- Either the provider can care for up to 3 children under the age of 24 months with additional children over 24 months
- OR they can care for up to 4 children under the age of 24 months when not caring for additional older children.
- Two school-age children can be added to either scenario.

Describe the group size:

Licensed family child care providers can care for up to 7 children, plus 2 additional school-age children. The family provider's own children under age 12 must be included in the total. Keep in mind:

- Either the provider can care for up to 3 children under the age of 24 months with additional children over 24 months
- OR they can care for up to 4 children under the age of 24 months when not caring for additional older children.
- Two school-age children can be added to either scenario.

Describe the threshold for when licensing is required:

Caring for more than three infants or six or more children of mixed ages is the threshold for when licensing is required.

Describe the maximum number of children that are allowed in the home at any one time:

Licensed family child care providers can care for up to 7 children, plus 2 additional school-age children. The family provider's own children under age 12 must be

included in the total. Keep in mind:

- Either the provider can care for up to 3 children under the age of 24 months with additional children over 24 months
- OR they can care for up to 4 children under the age of 24 months when not caring for additional older children.
- Two school-age children can be added to either scenario.

Describe if the State/Territory requires related children to be included in the Child-to-Provider ratio or group size:

The family provider's own children under age 12 must be included in the total.

Describe the limits on infants and toddlers or additional school-age children that are allowed for part of the day:

Licensed family child care providers can care for up to 7 children, plus 2 additional school-age children. The family provider's own children under age 12 must be included in the total. Keep in mind:

- Either the provider can care for up to 3 children under the age of 24 months with additional children over 24 months
- OR they can care for up to 4 children under the age of 24 months when not caring for additional older children.
- Two school-age children can be added to either scenario.

2. If any of the responses above are different for exempt family child care home providers, describe

Self-declared Providers: Care for 5 or fewer children or 3 infants in a home.

Approved Relatives: Care for 5 or fewer children or 3 infants.

Registered Providers: are generally registered by Tribal entities.

d) Any other eligible CCDF provider categories:

Describe the ratios, group size, the threshold for when licensing is required, maximum number of children that are allowed in the home at any one time, if the State/Territory requires related children to be included in the Child-to-Provider ratio or group size, or the limits on infants and toddlers or additional school-age children that are allowed for part of the day.

Describe the ratios:

Self-declared Providers: Care for 5 or fewer children or 3 infants in a home.

Approved Relatives: Care for 5 or fewer children or 3 infants.

Registered Providers: are generally registered by Tribal entities.

Describe group size:

Self-declared Providers: Care for 5 or fewer children or 3 infants in a home.

Approved Relatives: Care for 5 or fewer children or 3 infants.

Registered Providers: are generally registered by Tribal entities.

Describe the threshold for when licensing is required:

Caring for more than three infants or six or more children of mixed ages is the threshold for when licensing is required.

Describe maximum number of children that are allowed in the home at any one time:

Care for 5 or fewer children or 3 infants.

Describe if the State/Territory requires related children to be included in the Child-to-Provider ratio or group size:

The provider's own children under age 12 must be included in the total.

Describe the limits on infants and toddlers or additional school-age children that are allowed for part of the day:

Care for 5 or fewer children or 3 infants.

5.1.5 Describe how the State/Territory child care standards address required qualifications for providers appropriate to each type of setting, including the minimum age allowed, minimum education level, any specific content required related to the age of children. (658E(c)(2)(H))

a) Licensed Center-Based Care:

1. Infant lead teacher

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant teacher qualifications:

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

2. Toddler lead teacher

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant teacher qualifications:

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

3. Preschool lead teacher

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant teacher qualifications:

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants. All staff members must be at least fourteen years of age, provided that each staff member under age sixteen provides written parental consent for employment as a staff member, and the employment arrangements comply with North Dakota Century Code chapter 34-07. A member of the immediate family of the provider may provide care if the family member is at least twelve years of age. Staff shall complete a department-approved basic child care course and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

4. School-Age lead teacher

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant teacher qualifications:

Licensed centers do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

5. Director qualifications:

Center directors shall be an adult and hold at least one of the following qualifications:

- a. A bachelor's degree in the field of early childhood education or child development;
- b. A bachelor's degree with at least six months of experience in a child care center or similar setting and one of the following:

(1) Eight semester hours or twelve quarter hours in early childhood education or child development;

(2) One hundred twenty hours of department-approved early childhood training; or

(3) A director's credential approved by the department;

c. An associate's degree in the field of early childhood education or child development with at least six months of experience in a child care center or similar setting;

d. An associate's degree with at least one year of experience in a child care center or similar setting and one of the following:

(1) Eight semester hours or twelve quarter hours in early childhood education or child development;

(2) One hundred twenty hours of department-approved early childhood training; or

(3) A director's credential approved by the department;

e. A teaching certificate in elementary education with at least six months of experience in a child care center or similar setting;

f. A current certification as a child development associate or successful completion of a department-approved diploma program with emphasis in early childhood or child care, with at least one year of experience in a child care center or similar setting; or

g. Certification from a Montessori teacher training program with at least one year of experience in a Montessori school, child care center, or similar setting and at least one of the following:

(1) Eight semester hours or twelve quarter hours in child development or early childhood education;

(2) One hundred twenty hours of department-approved early childhood training; or

(3) A director's credential approved by the department

A child care supervisor must maintain one of the following qualifications

a. An associate degree in the field of early childhood development;

b. Current certification as a child development associate or successful completion of a department-approved diploma program with an emphasis in early childhood or child care;

c. Certification from a Montessori teacher training program; or

d. A high school diploma or high school equivalency with at least one year of experience in a child care or similar setting;

b) Licensed Group Child Care Homes:

1. Infant lead teacher

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

A group supervisor shall be an adult and have one of the following qualifications:

a. A bachelor's degree in the field of early childhood education or child development;

b. An associate's degree with at least one year of experience in a child care center or similar setting and one of the following:

(1) Eight semester hours or twelve quarter hours in early childhood education or child development;

(2) One hundred twenty hours of department-approved early childhood training; or

(3) A director's credential approved by the department;

c. Current certification as a child development associate or successful completion of a department approved diploma program with emphasis in early childhood or child care;

d. Certification from a Montessori teacher training program;

e. At least one year of exclusive experience as a self-declaration holder or licensed child care provider with positive references from at least two parents whose children were in the provider's care;

f. A high school degree or equivalency with certification of completion in a secondary occupational child care program and at least one year of exclusive experience working with young children, with references from at least two individuals who either had their children in the group child care supervisor's care or instructed the group child care supervisor in child care programming; or

g. A minimum of one year of exclusive experience providing care to three or more children, with positive references from at least two parents whose children were in the

group child care supervisor's care or a center director or teacher who observed the group child care supervisor's care of children first hand.

and assistant qualifications:

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants. All staff members must be at least fourteen years of age, provided that each staff member under age sixteen provides written parental consent for employment as a staff member, and the employment arrangements comply with North Dakota Century Code chapter 34-07. A member of the immediate family of the provider may provide care if the family member is at least twelve years of age. Staff shall complete a department-approved basic child care course and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

2. Toddler lead teacher

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant qualifications:

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants. All staff members must be at least fourteen years of age, provided that each staff member under age sixteen provides written parental consent for employment as a staff member, and the employment arrangements comply with North Dakota Century Code chapter 34-07. A member of the immediate family of the provider may provide care if the family member is at least twelve years of age. Staff shall complete a department-approved basic child care course and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

3. Preschool lead teacher

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant qualifications:

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants. All staff members must be at least fourteen years of age, provided that each staff member under age sixteen provides written parental consent for employment as a staff member, and the employment arrangements comply with North Dakota Century Code chapter 34-07. A member of the immediate family of the provider may provide care if the family member is at least twelve years of age. Staff shall complete a department-approved basic child care course and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

4. School-Age lead teacher

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

and assistant qualifications:

Licensed group child care homes do not have staff qualifications based on the age of children. They shall maintain at least one staff member on duty who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants. All staff members must be at least fourteen years of age, provided that each staff member under age sixteen provides written parental consent for employment as a staff member, and the employment arrangements comply with North Dakota Century Code chapter 34-07. A member of the immediate family of the provider may provide care if the family member is at least twelve years of age. Staff shall complete a department-approved basic child care course and

shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

N/A. State/Territory does not have group child care homes.

c) Licensed Family Child Care home provider qualifications

Providers must be at least 18 years old and complete a department-approved basic child care course. They must also maintain at least one staff member who is CPR and First Aid certified and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

Staff members must be at least fourteen years of age, provided that each staff member under age sixteen provides written parental consent for employment as a staff member, and the employment arrangements comply with North Dakota Century Code chapter 34-07. A member of the immediate family of the provider may provide care if the family member is at least twelve years of age. Complete a department-approved basic child care course. Staff shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants.

d) Other eligible providers qualifications:

Self declared providers shall be at least 18 years of age, completed a department-approved basic child care course and shall complete one hour of department approved training annually on sudden infant death prevention if care is provided to infants .

5.1.6 The CCDBG Act of 2014 added a new provision specifying that States and Territories must 1) establish health and safety requirements for providers serving children receiving CCDF assistance relating to matters included in the topics listed below, and 2) have pre-service or orientation training requirements, appropriate to the provider setting, that address these health and safety topics.

(658E(c)(2)(I)(i)) This requirement is applicable to all child care providers receiving CCDF regardless of licensing status (licensed or license-exempt). The only exception to this requirement is for providers who are caring for their own relatives, as States have the option of

exempting relatives from some or all CCDF health and safety requirements. When establishing these requirements, States are encouraged to consider the age of children and type of child care setting to ensure that they are appropriate to the health and safety needs of the children from birth through age 12 and the providers who care for them.

a) The State certifies that it has health and safety requirements for individuals (providers) receiving CCDF in the following areas:

- Prevention and control of infectious diseases (including immunization)
- Prevention of sudden infant death syndrome and use of safe sleeping practices
- Administration of medication, consistent with standards for parental consent
- Prevention of and response to emergencies due to food and allergic reactions
- Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic
- Prevention of shaken baby syndrome and abusive head trauma
- Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a) (1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1))
- Handling and storage of hazardous materials and the appropriate disposal of bio contaminants
- Precautions in transporting children (if applicable)
- First aid and cardiopulmonary resuscitation

Yes. The State/Territory certifies that it has health and safety requirements for CCDF providers in these areas as of March 1, 2016.

Provide a citation and a link if available

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016) [04/01/2017](#)

Overall Status - Describe the State/Territory's overall status toward complete

implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Substantially implemented](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

All trainings identified above are included in the Basic Child Care Course that is required within the first three months of hire or licensure with the exception of First Aid and CPR certification. At this time the State requires that the program shall maintain at least one staff member on duty who is CPR and First Aid certified. [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 center](#) , [75-03-11 Preschool](#) , and [75-03-11.1 School -age child care centers](#)

Unmet requirement - Identify the requirement(s) to be implemented [First aid and cardiopulmonary resuscitation \(CPR\) certification](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will modify its Administrative rule in the Self-declared, Family, Group, Center, Preschool, and School-age rules to require First Aid and CPR training as a minimum qualification for all staff member responsible for caring for or teaching children.

Projected start date for each activity: [05/01/2017](#)

Projected end date for each activity: [01/01/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency is responsible for this activity.](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[Possible partners to work with are Red Cross, Head Start State Collaboration Office, local health units](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will work with the Child Care Licensing Advisory board on drafting the new Administrative rule.

Projected start date for each activity: 5/1/2016

Projected end date for each activity: 1/1/2017

Agency - Who is responsible for complete implementation of this activity The Lead Agency

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

Child Care Licensing Advisory Board

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will work with the child care licenser's and regional supervisors to notify them about the needed rule change.

Projected start date for each activity: 5/1/2016

Projected end date for each activity: 1/1/2017

Agency - Who is responsible for complete implementation of this activity The Lead Agency

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

none

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will work to identify First Aid and CPR training opportunities for the providers in the communities.

Projected start date for each activity: 5/1/2016

Projected end date for each activity: 1/1/2017

Agency - Who is responsible for complete implementation of this activity The Lead Agency

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[County Child Care Licensers](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will workwith the Head Start State Collaboration Office to see if we can expand First Aid and CPR certification courses. As well as reach out to the department approved CPR and First Aid training programs to expand the availability of First Aid and CPR throughout the state.](#)

Projected start date for each activity: [6/1/2016](#)

Projected end date for each activity: [1/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [Lead Agency](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[HeadStart State Collaboration Office, Red Cross, local Departments of Health](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will notify providersabout the proposed rule change and also about the public hearings that will occur in response to the proposed rule changes.](#)

Projected start date for each activity: [7/1/2016](#)

Projected end date for each activity: [11/1/2016](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[The legal advisory unit for the Department of Human Services](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will file proposed rule changes with Legislative Council.](#)

Projected start date for each activity: [11/1/2016](#)

Projected end date for each activity: [11/1/2016](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[The legal advisory unit for the Department of Human Services](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[Administrative Rule Committee meeting for proposed rule changes will be held December, 2016.](#)

Projected start date for each activity: [12/1/2016](#)

Projected end date for each activity: [1/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[The legal advisory unit for the Department of Human Services.](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[Effective date of the new Administrative rule January 1, 2017.](#)

Projected start date for each activity: [1/1/2017](#)

Projected end date for each activity: [1/1/2017](#)

Agency - Who is responsible for complete implementation of this activity [The Lead Agency](#)

Partners - Who is the responsible agency partnering with the State/Territory lead

agency to complete implementation of this activity

The county licensers.

b) The State/Territory certifies that it has pre-service (prior to initial service) or orientation (period from when service started) and ongoing training requirements, appropriate to the provider setting that address each of the requirements relating to the topic areas listed above. ACF expects these trainings will be part of a broader systematic approach and progression of professional development (as described in Section 6) within a State/Territory that will result in opportunities for child care providers to accumulate knowledge, competencies and credits toward eventual completion of a professional certification or higher education. The law does not specify a specific number of training or education hours but States and Territories are encouraged to consult with *Caring for our Children Basics* for best practices and recommended time needed to address these training requirements.

Yes. The State/Territory certifies that it has pre-service or orientation and ongoing training requirements appropriate to the provider setting that address each of the requirements relating to the topics listed above as of March 1, 2016.

Describe, including at a minimum 1) how the state/territory defines preservice or orientation period, 2) the minimum number of annual preservice or orientation hours required to meet these health, and safety requirements, and 3) ongoing training or education hours required to meet these health and safety requirements

1. Preservice or orientation period for the State is defined as within the first three months of licensure or employment.
2. The minimum number of orientation hours required to meet these health, and safety requirements is 15 hours, these courses are included in the required department approved Basic Child Care Course. The state requires completion of department approved first aid and CPR courses.
3. Ongoing training hours are required for each license type and for staff members. The Lead Agency requires one hour annually of Sudden Infant death prevention if providing care to infants, the number of hours that are required for annual training is determined by the number of hours they work. A number of other professional development opportunities are available to operators and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Aware of North Dakota; the Lead Agency is able to offer at 120 hours of free, online trainings to the early childhood workforce in a number of core competency areas.

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion

date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

5.1.7 Does the State/Territory have health and safety requirements for any of the following optional areas?

Nutrition (including age appropriate feeding).

Describe:

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. When the provider is responsible for providing food to children, the food supplied must meet United States Department of Agriculture standards and must be properly prepared, sufficient in amount, nutritious, varied according to the diets of the children enrolled, and served at appropriate hours in a sanitary manner.

Access to physical activity.

Describe:

Screen time.

Describe:

Caring for children with special needs.

Describe:

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. A provider shall make appropriate accommodations, as required by the Americans with Disabilities Act, to meet the needs of children with special needs.

Recognition and reporting of child abuse and neglect.

Describe:

[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 center](#), [75-03-11 Preschool](#), and [75-03-11.1 School -age child care centers](#). Have this requirement - Shall report immediately, as a mandated reporter, any suspected child abuse or neglect as required by North Dakota Century Code chapter 50-25.1

Other subject areas determined by the State/Territory to be necessary to promote child development or to protect children's health and safety.

Describe:

Transportation requirements, aquatic activities, emergency and evacuation plan requirements and safe sleep policy requirements and annual training for providers or staff providing care to infants. SIDS training is required annually for providers or staff providing care to infants.

5.1.8 States and Territories have the option to exempt relatives (as defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles, 98.41(A)(ii)(A)) from these CCDF health and safety requirements.

Does the State/Territory exempt relatives from the requirement to receive pre-service or orientation health and safety training on any or all of the listed topics?

Yes, all relatives are exempt from all health and safety training requirements.

If the State/Territory exempts all relatives from the CCDF health and safety training requirements, describe how the State ensures the health and safety of children in relative care.

To ensure the health and safety of children in relative care, all relative providers and all adults over the age of 18 that reside with the provider are subject to the following background checks:

1. North Dakota Supreme Court website
2. North Dakota State's Attorney's Sex Offender website
3. Children and Family Services criminal background check

A relative's request to become a provider will be denied when the relative provider or any adult household member has been found guilty of, pled guilty to or pled no contest to any offense described in section 75-02-01.3.05 of North Dakota Administrative Code (N.D.A.C).

Relative providers must renew their approval every year. Background checks are conducted at every renewal.

A licensor will conduct a visit to the relative provider if a concern exists or if the department has questions about the quality of care being provided.

Concerns are typically reported by parents or concerned individuals.

Approved relative providers may self-certify that they are meeting the health and safety standards.

Yes, some relatives are exempt from health and safety training requirements.

If the State/Territory exempts some relatives from the CCDF health and safety training requirements, describe which relatives are exempt from which requirements (all or some) and include how the State/Territory ensures the health and safety of children in relative care.

- No, relatives are not exempt from CCDF health and safety training requirements.

5.2 Monitoring and Enforcement Policies and Practices

5.2.1 The State/Territory certifies that the State/Territory shall have in effect policies and practices to ensure that providers for children receiving assistance and their facilities comply with applicable State or local licensing and health and safety requirements. (658E(c)(2)(J))

- Yes.

The State/Territory certifies that it has policies and practices to ensure compliance with applicable licensing and health and safety requirements for providers receiving CCDF and their facilities as of March 1, 2016. List the policy citation

Health and safety requirements are included in licensing regulations 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 center, 75-03-11 Preschool, and 75-03-11.1 School -age child care centers.

- No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet

requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

5.2.2 The CCDBG Act of 2014 added the following provisions for enforcement of licensing which must be in effect no later than November 19, 2016 for all providers who serve children receiving CCDF (with the option to exempt relatives). While the law does not specify strategies to meet these requirements, States and Territories could consider implementing a differential monitoring approach as long as the full complement of licensing and CCDF health and safety standards was representative and the frequency was at least annually.

a) **Licensing Inspectors** - It will have policies and practices that ensure that individuals who are hired as licensing inspectors in the State/Territory are qualified to inspect those child care providers and facilities and have received training in related health and safety requirements, and are trained in all aspects of the State's licensure requirements. (658E(c)(2)(K)(i)(I))

Yes.

The State/Territory certifies that as of March 1, 2016 it has policies and practices that ensure that individuals who are hired as licensing inspectors in the State/Territory are qualified to inspect those child care providers and facilities and have received training in related health and safety requirements, and are trained in all aspects of the State's licensure requirements. List the policy citation and describe the qualifications, including at a minimum how inspector qualifications address training related to the language and cultural diversity of the providers, and how qualifications address being appropriate to the age of children in care and type of provider setting:

620-01-20 Early childhood services regulation is structure in three levels: The county social service agencies (authorized agent), the regional human service enters, and the state office of early childhood services. The licensers are hired by the county social service agencies (authorized agent). 620-01-20-01 North Dakota is county administered

and State supervised and as so the hiring of staff is up to the county. Licensers are hired under one of two classifications either a Health and Human Services Program Administrator I or a Social Worker I. The Social Worker I position is required to have a licensure as a Licensed Social Worker (LSW) by the North Dakota Board of Social Work Examiners (NDCC 43-41). Training related to the language and cultural diversity of the providers, and training that addresses being appropriate to the age of children in care and type of provider setting is a part of the degree course work that is required to obtain the 4 year degree from a Univeristy that is required for the licenser position. The licensers are required to complete Understanding Licensing rules courses developed by the State Early Childhood Services Administrator and this training available online through Child Care Aware. Licensers are also required to attend annually the licenser training which is developed by the Early Childhood Services Administrator where topics on language and cultural diversity of the providers and topics on being appropriate to the age of children in care and types of provider setting trainings are addressed. Licensers are required to attend all relative trainings to early childhood licensing and also attend orientation for new licensers that is conducted by the regional office.

- No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than November 19, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

b) Inspections for Licensed CCDF Providers - It will require licensing inspectors to perform inspections, with not less than one prelicensure inspection, for compliance with health, safety, and fire standards, of each such child care provider and facility in the State/Territory. It will require licensing inspectors to perform not less than annually, one unannounced inspection of licensed CCDF providers for compliance with all child care licensing standards, which shall include an inspection for compliance with health, safety, and fire standards (inspectors may inspect for compliance with all 3 standards at the same time. (658E(c)(2)(K)(i)(II))

Yes.

The State/Territory certifies that as of March 1, 2016 it has policies and practices regarding inspections for licensed CCDF providers. List the policy citation and describe the inspection requirements including the frequency of announced and unannounced visits

620-01-20-01

The child care licenser conducts early childhood services licensing study and completes a compliance checklist and other required forms. Conducts at least one unannounced review per year on each licensed program. 620-01-20-05 The Regional Human Service Center (Regional office) Regional supervisor provides ongoing quality assurance audits by examining documentation through the licensing and review process.

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than November 19, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

c) Inspections for License-Exempt CCDF Providers (except those serving relatives) -

It will have policies and practices that require licensing inspectors (or qualified monitors designated by the lead agency) of child care providers and facilities to perform an annual monitoring visit of each license-exempt CCDF provider (unless the provider is described in section (658P(6)(B)). (658E(c)(2)(K)(ii)(IV))

Yes.

The State/Territory certifies that as of March 1, 2016 it has policies and practices regarding inspections for license-exempt CCDF providers. List the policy citation and describe the annual monitoring visit requirements:

[620-01-20-01](#)

[The child care licenser conducts an initial pre-approval visit for self-declared child care programs to verify compliance with rules. Conduct an unannounced visit annually, prior to renewal of self-declaration. 620-01-20-05 The Regional Human Service Center \(Regional office\) Regional supervisor provides ongoing quality assurance audits by examining documentation through the licensing and review process.](#)

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be

consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than November 19, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

d) **Ratio of Licensing Inspectors**) - It will have policies and practices that require the ratio of licensing inspectors to such child care providers and facilities in the State/Territory to be maintained at a level sufficient to enable the State to conduct inspections of such child care providers and facilities on a timely basis in accordance with Federal, State, and local law. (658E(c)(2)(K)(i)(III))

Yes.

The State/Territory certifies that it has policies and practices regarding the ratio of licensing inspectors to such child care providers and facilities in the State/Territory. List the policy citation and list the State/Territory ratio of licensing inspectors:

Child care licensers have a caseload of approximately 35 throughout the State. There are areas of the State with more and less caseloads since North Dakota has pockets of rural and urban this can vary. This allows staff to conduct monitoring visits in a timely manner and provide technical assistance as needed. North Dakota is county administered and State supervised and as so the hiring of staff is up to the county.620-01-20 Early childhood services regulation is structure in three levels: The county social

service agencies (authorized agent), the regional human service enters, and the state office of early childhood services.

No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than November 19, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

e) **Child Abuse and Neglect Reporting** - That child abuse reporting requirements are in place and comply with section of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)) (658E(c)(2)(L))

Yes.

Fully implemented and meeting all Federal requirements outlined above. List the Lead Agency's policy citation(s):

Child abuse and neglect reporting requirements are included in licensing regulations 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 center, 75-03-11 Preschool, and 75-03-11.1 School -age child care centers.

- No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than November 19, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

5.2.3 States and Territories have the option to exempt relatives (as defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles, 98.41(A)(ii)(A)) from inspection requirements.

Note this exception only applies if the individual cares ONLY for relative children. Does the State/Territory exempt relatives from inspection requirements listed in 5.2.2?

Yes, all relatives are exempt from all inspection requirements.

If the State/Territory exempts all relatives from the inspection requirements, describe how the State ensures the health and safety of children in relative care.

To ensure the health and safety of children in relative care, all relative providers and all adults over the age of 18 that reside with the provider are subject to the following background checks:

1. North Dakota Supreme Court website
2. North Dakota State's Attorney's Sex Offender website
3. Children and Family Services criminal background check

A relative's request to become a provider will be denied when the relative provider or any adult household member has been found guilty of, pled guilty to or pled no contest to any offense described in section 75-02-01.3.05 of North Dakota Administrative Code (N.D.A.C).

Relative providers must renew their approval every year. Background checks are conducted at every renewal.

A licensor will conduct a visit to the relative provider if a concern exists or if the department has questions about the quality of care being provided. Concerns are typically reported by parents or concerned individuals. Approved relative providers may self-certify that they are meeting the health and safety standards.

Yes, some relatives are exempt from inspection requirements.

If the State/Territory exempts some relatives from the inspection requirements, describe which relatives are exempt from which requirements (all or some) and include how the State/Territory ensures the health and safety of children in relative care.

No, relatives are not exempt from inspection requirements.

5.3 Criminal Background Checks

The CCDBG Act of 2014 added new requirements for States and Territories receiving CCDF funds to conduct criminal background checks on child care staff members and prospective staff members of child care providers. States and Territories must have requirements, policies, and procedures in place to conduct criminal background checks for staff members of child care providers (other than relatives) that are licensed, regulated or registered under State/Territory

law or receive CCDF funds. Background check requirements apply to any staff member who is employed by a child care provider for compensation or whose activities involve the care or supervision of children or unsupervised access to children. For family child care homes, this includes the caregiver requesting a check of him/herself, as well as other adults in the household that may have unsupervised access to children. These provisions must be in place no later than September 30, 2017.

The CCDBG Act of 2014 specifies what a comprehensive criminal background check includes and a child care provider must submit a request to the appropriate State/Territory agency for a criminal background check for each child care staff member, including prospective child care staff members at least once every 5 years. A criminal background check must include a search of: State criminal and sex offender registry in the State where the staff member resides and each State where the staff member has resided over the past 5 years; State child abuse and neglect registry in the State where the staff member resides and each State where the staff member has resided over the past 5 years, National Crime Information Center (run by the FBI); FBI fingerprint check using Next Generation Identification ; and National Sex Offender Registry. Child care staff members cannot be employed by a provider receiving CCDF if they refuse a background check; make materially false statements in connection with the background check; are registered or required to be registered on the State or National Sex Offender Registry; have been convicted of a felony consisting of: murder, child abuse or neglect, crimes against children, spousal abuse, crime involving rape or sexual assault, kidnapping, arson, physical assault or battery, or subject to an individual review, at the State's option, a drug-related offense committed during the preceding 5 years; or have been convicted of a violent misdemeanor committed as an adult against a child.

Timeliness of background checks - The State/Territory must conduct the background checks as quickly as possible and shall not exceed 45 days after the child care provider submitted the request. The State/Territory shall provide the results of the background check in a statement that indicates whether the staff member is eligible or ineligible, without revealing specific disqualifying information. If the staff member is ineligible, the State/Territory will provide information about each disqualifying crime to the staff member.

Fees for background checks - Fees that a State/Territory may charge for the costs of processing applications and administering a criminal background check may not exceed actual costs to the State/Territory for processing and administration.

Transparency - The State/Territory must ensure that policies and procedures for conducting criminal background checks are published on the State/Territory's consumer education website (also see section 2.3) or other publicly available venue.

Appeals process - The State/Territory shall have a process for a child care staff member to appeal the results of their background check to challenge the accuracy and completeness.

Privacy considerations - Lead Agency may not publicly release the results of individual background checks.

5.3.1 Describe the status of the State/Territory's requirements, policies, and procedures for criminal background checks for child care staff members and child care providers.

Fully implemented and meeting all Federal requirements outlined above.

List the policy citation within the Lead Agency's rules and describe the policies and procedures for criminal background checks using 5.3.2 through 5.3.9 below.

Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2017). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2017) [09/30/2018](#)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Substantially implemented](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

[A child care provider must submit a request to the appropriate State/Territory agency for a criminal background check for each child care staff member, including prospective child care staff members at least once every 5 years.](#)

[The Department of Human Services covers the fees for background checks so there is no cost to the provider.](#)

[Criminal background check requirements apply to any staff member who is employed by a child care provider for compensation or whose activities involve the care or supervision of children or unsupervised access to children. For family and group child care homes, this includes the caregiver requesting a check of him/herself, as well as other adults in the household that may have unsupervised access to children.](#)

[NDDHS checks the following:](#)

- FBI (fingerprint-based) Record
- ND state criminal history Record (BCI)
- ND Child Abuse/Neglect INDEX

- NSOPW (USDOJ) registry
- ND Sex Offender Registry
- ND Offenders Against Children Registry
- Tribal Court & Child Welfare records (only if individual has lived on a Reservation within the past 5 years.)

Other state CAN registries as permitted by each state for which the subject resided during the past 5 years. (10 States will not conduct for purposes outside of foster care and adoption, 1 State does not have a CAN registry)

The Lead Agency provides the results of the background check in a statement that indicates whether the staff members background check is cleared or not, without revealing specific disqualifying information. If the staff member is ineligible, the Lead Agency provides information about each disqualifying crime to the staff member.

Specific Crimes

NDDHS considers the following crimes to be direct bearing offenses that would make a provider ineligible to receive CCDF funds. An offense described in North Dakota Century Code chapter 12.1-16, homicide; 12.1-18, kidnapping; 12.1-27.2, sexual performances by children; or 12.1-40, human trafficking; or in North Dakota Century Code section 12.1-17-01, simple assault; 12.1-17-01.1, assault; 12.1-17-02, aggravated assault; 12.1-17-03, reckless endangerment; 12.1-17-04, terrorizing; 12.1-17-06, criminal coercion; 12.1-17-07.1, stalking; 12.1-17-12, assault or homicide while fleeing a police officer; 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; 12.1-21-01, arson; 12.1-22-01, robbery; 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;

In the case of a misdemeanor offense described in North Dakota Century Code sections 12.1-17-01, simple assault; 12.1-17-03, reckless endangerment; 12.1-17-06, criminal coercion; 12.1-17-07.1, stalking; or equivalent conduct in another jurisdiction which requires proof of substantially similar elements as required for conviction, the department may determine that the individual has been sufficiently rehabilitated if five

years have elapsed after final discharge or release from any term of probation, parole, or other form of community corrections or imprisonment, without subsequent conviction.

Appeals Process

If an individual disputes the results of the criminal history record check required under this chapter, the individual may request a review of the results by submitting a written request for review to the department within thirty calendar days of the date of the department's memo outlining the results. The individual's request for review must include a statement of each disputed item and the reason for the dispute.

5.3.2 Describe the process and procedures for conducting background checks in a timely manner, including which agency/entity is responsible and how the Lead Agency ensures that background checks performed by a 3rd party meet the requirements, protecting the privacy of child care staff members, and providing opportunities for applicants to appeal the results of background checks.

Describe:

County Social Service Agents request a criminal background check on new/prospective child care providers; existing child care providers request a criminal background check on all prospective staff and/or emergency designees. All requests are submitted to NDDHS. Every requests requires submission fingerprints (live scan, electronic, or ink rolled) and required forms. All forms are reviewed for completeness and compared with fingerprint cards for accuracy. Incomplete/Inconsistent forms are returned to the provider for completion. Requests are made to providers for completion of out-of-state CPS registry check forms if they lived in a state that requires the use of their state-specific authorization form. ND Sex offender and ND offenders against children registries are checked, NSOPW registry is checked, ND child abuse/neglect INDEX is checked, and out of state CAN registry requests are made. Upon completion of preliminary registry checks, forms and fingerprints are forwarded to ND Bureau of Criminal Investigation for processing of ND State and FBI record requests. If an applicant has a CPS finding and is currently on ND CAN INDEX, the processing of their background check is suspended until they provide additional information regarding their CPS involvement. If an applicant has any convictions for disqualifying offenses, criminal history of convictions within the past 5 years, CPS findings from other

states, pending criminal charges, or are under court supervision, they are given 10 working days to provide additional information that NDDHS shall consider when making any determination of rehabilitation. NDDHS notifies its authorized agents (i.e. County Social Services) All criminal background check information is maintained in locked file cabinets within NDDHS's Criminal Background Check Unit. Applicants can request a copy of their official ND State (BCI) and/or FBI criminal history record.

5.3.3 Describe how the State/Territory is assisting other States process background checks, including which agency/entity is responsible for working with other states

Describe:

Out-of-state requests for ND INDEX checks are processed by NDDHS. A form is required.

5.3.4 Does the State have a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment?

Yes.

Describe:

No.

5.3.5 Does the Lead Agency disqualify child care staff members based on their conviction for other crimes not specifically listed above?

Yes.

Describe:

Robbery, Human Trafficking, Reckless Endangerment, Terrorizing, Criminal Coercion, Stalking, Burglary (B Felony under subdivision b of subsection 2).

NDDHS has authority to determine rehab on Simple Assault (B Mis), Reckless Endangerment, Criminal Coercion, and Stalking if it has been at least 5 years since final discharge or release from any term of probation, parole, or other form of community corrections or imprisonment, without subsequent conviction.

No.

5.3.6 Does your State State/Territory exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles, 98.41(A)(ii)(A)) from background checks?

Yes, all relatives are exempt from all background check requirements.

Yes, some relatives are exempt from the background check requirements. If the State /Territory exempts some relatives from background check requirements, describe which relatives are exempt. from which requirements (some or all).

Describe.

No, relatives are not exempt from background checks.

5.3.7 Describe how fees charged for completing the background checks do not exceed the actual cost of processing and administration, including how the State State/Territory ensures that 3rd party vendors or contractors do not charge fees that exceed the actual cost of processing and administration, if applicable.

Lead Agencies can report that no fees are charged if applicable:

Describe.

Persuant to 50-11.1-06.2. The state criminal history check, the sex offender check, and the child abuse and neglect index check are completed by NDDHS with no costs to the program or the providers.

5.3.8 Describe how background check policies and procedures are published on the State/Territory consumer education website or made publicly available on another venue:

Describe.

The Lead agency has developed a plan to make the policies and procedures for background checks publicly available on the states website as well as it being available on the consumer education website that is contracted with Child Care Aware of ND.

5.3.9 Does the Lead Agency release aggregated data by crime?

Yes.

List types of crime included in the aggregated data:

No.

6 Recruit and Retain a Qualified and Effective Child Care Workforce

Teacher-child interactions and relationships, intentional strategies to engage children and their parents, and use of curriculum and assessment to inform practices with children are key components of high quality child care. These require a competent, skilled, and stable workforce. Research has shown that specialized training and education, positive and well-organized work environments and adequate compensation promote teacher recruitment, stability, diversity of the early childhood workforce, and effectiveness with young children in child care. In addition, professional development strategies that emphasize on-site mentoring and coaching of teachers have emerged as promising to change practices with children and families. Professional development, whether training, on-site coaching and mentoring, registered apprenticeship, or higher education coursework, should reflect the research and best practices of child development in all domains and cultural competence.

The CCDBG Act of 2014 requires States and Territories to establish professional development and training requirements in key areas such as health and safety, early learning guidelines, responding to challenging behavior and engaging families. States and Territories are required to offer ongoing annual training and to establish a progression of professional development opportunities to improve knowledge and skills of CCDF providers. (658E(c)(2)(G)) An example of how a State/Territory might address this is to establish a system or framework of professional development that includes professional standards, a "career ladder" that allows an individual to build knowledge and skills in a cumulative manner from introductory training to advance level education, including obtaining credentials and post-secondary degrees. Professional development should be designed in a manner that aligns to competencies and qualifications that reflect working with children of different ages, English language learners, children with disabilities and the differentiated roles in all settings, such as teachers, teacher assistants, and directors. Training and education supporting professional development is also one of the options States and Territories have for investing their CCDF quality funds. (658G(b)(1)) ACF encourages States and Territories to collaborate and coordinate with other early childhood educator professional development resources, such as Race to the Top Early Learning Challenge grants, quality funds available through the Preschool Development grants, and funds

available through Head Start and Early Head Start, to the extent practicable. Responsive, well-qualified adult caregivers are one of the most important factors in children's development and learning in child care settings. ACF strongly encourages States and Territories to link CCDF health and safety trainings (see Section 5) and child development trainings and education to this broader professional development framework as the foundation for building a knowledgeable early childhood education workforce. Questions related to requirements for recruiting and retaining a qualified and effective child care workforce have been consolidated into Section 6.

6.1 Training and Professional Development Requirements

The CCDBG Act of 2014 added a requirement that the State/Territory develop training and professional development requirements designed to enable child care providers to promote the social, emotional, physical and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF across the entire age span from birth through age 12. (658E(c)(2)(G)) Training and professional development should be accessible and appropriate across settings and types of providers, including family child care home providers and child care center staff.

The State/Territory also must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and improve the quality of child care services. (658E(c)(2)(V))

For purposes of this section, the term professional development is inclusive of credit bearing coursework, postsecondary degree programs, and technical assistance (targeted assistance such as mentoring, coaching or consultation) activities. Health and safety topics that require renewal of a credential or certification should be considered continuing education unit trainings.

6.1.1 Describe the status of the State's training and professional development requirements to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce.

a) Provide ongoing training and professional development that is accessible for the diversity of providers in the State/Territory; provide for a progression of professional development reflecting research and best practice to meet the developmental needs of participating infants, toddlers, preschool, and school-age children and that is aligned to foundational and specialized

competencies (including different ages of children, English language learners, and children with disabilities); and improve the quality and stability of the child care workforce (such as supports an individual to build on entry- and mid-level training and education (which may include higher education) to attain a higher level credential or professional certification and retention in the child care program).

b) Are developed in consultation with the State Advisory Council (SAC) on Early Childhood Education and Care or other state or state-designated cross-agency body if there is no SAC that addresses training, professional development and education of child care providers and staff.)

c) Incorporate knowledge and application of the State/Territory's early learning and developmental guidelines (where applicable), the State/Territory's health and safety standards (as described in section 5), and incorporate social-emotional/behavioral and early childhood mental health intervention models, which may include positive behavior intervention and support models (as described in Section 2)

d) Are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF

e) Appropriate, to the extent practicable, for child care providers caring for children receiving child care subsidies, including children of different age groups, English language learners, children with disabilities, and Native Americans, including Indians and Native Hawaiians.

- Fully implemented and meeting all Federal requirements outlined above. Describe using 6.1.2 through 6.1.6 below.
- Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

6.1.2 Describe how the State provides ongoing training and professional development, provides for a progression of professional development (such as allows an individual to build on entry- and mid-level training and education both in terms of the skills and knowledge they attain but also in terms of credit that leads toward a higher level credential or certification, including articulation agreements) reflecting research and best practice to meet the developmental needs of participating children and improve the quality and stability of the child care workforce:

- State/Territory professional standards and competencies.

Describe.

[Core Competencies for Early Education and Care Practitioners](#) - Defines what adults who work with children need to know, understand, and be able to do to support children in reaching desired outcomes.

- Career ladder or lattice.

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.

- Articulation agreements between two- and four-year postsecondary early childhood education or degree programs.

Describe.

The ND Early Childhood Higher Education Consortium meets regularly. 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 agreement is for common course content, course number and transferability among all ND state, private and tribal colleges. 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.

- Community-based training approved by a state regulatory body to meet licensing or regulatory requirements.

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.

- Workforce data, including recruitment, retention, registries or other documentation, and compensation information.

Describe.

The North Dakota Growing Futures Professional Development System is the state-wide clearinghouse for professional development opportunities. However this system is somewhat limited in some of the data it can collect. There will be an updated data system implemented Summer 2016 with the intention to be able to gather more workforce data.

- Advisory structure that provides recommendations for the development, revision, and implementation of the professional development system or framework.

Describe.

The Early Childhood Higher Education Consortium continually assess the accessibility of early childhood training and technical assistance programs to ensure that a wide variety of options are available to providers.

- Continuing education unit trainings and credit-bearing professional development.

Describe.

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 Aware of ND, NDSU Extension Agency, and local colleges and universities, to ensure that provides professional development needs are met.

State-approved trainings.

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.

Inclusion in state and/or regional workforce and economic development plans.

Describe.

Other.

Describe.

6.1.3 Describe how the State/Territory developed its training and professional development requirements in consultation with the State Advisory Council (SAC) on Early Childhood Education and Care (if applicable) or other state or state-designated cross-agency body if there is no SAC

Describe.

The planning and administering of the training and professional development is 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 Child Care Aware of ND, 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. The State Advisory Council on Early Childhood Education and Care is consulted through regularly scheduled meetings with an agenda.

6.1.4 Describe how the State/Territory incorporates knowledge and application of the State's early learning and developmental guidelines (where applicable), the State/Territory's health and safety standards (as described in section 5), and incorporates social-emotional/behavioral and early childhood mental health intervention models, which may include positive behavior intervention and support models (as described in Section 2) into its training and professional development requirements

Describe.

Child Care Aware of North Dakota offers training introducing the state's Early Learning Guidelines and provides guidance in using the guidelines to plan activities for children. A number of trainings are available that incorporate social-emotional/behavioral and early childhood mental health intervention models.

Trainings include:

- Understanding and Guiding Children's Behavior
- Self Expression and Self Control in Early Childhood
- 10 Steps to Positive Discipline - series
- CSEFEL - Why is it so Hard to be Your Teacher, Taking the Bite Out of Challenging Behaviors, You're Not My Friend! Promoting Positive Interactions, and Why Don't They Follow The Rules?

Child Care Aware of North Dakota offers face to face technical assistance explaining the Early Learning Guidelines to programs that are participants in special quality initiatives.

6.1.5 Describe how the State's training and professional development requirements are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF (as applicable)

Describe.

State professional development requirements including the State's professional development registry are available online. Child Care Aware® of North Dakota sends a semi-annual professional development guide to the five tribal offices in North Dakota and offers various trainings in eight hub cities. Essential workforce development training is available online and accessed is encouraged by some Tribal Child Care Administrators. Child Care Aware® of North Dakota also has a limited number of topics available as training to go and tribes can purchase this service the same as other organizations. Technical assistance is not required unless a provider applies to participate in a quality initiative.

6.1.6 Describe how the State/Territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers caring for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children), English language learners, children with disabilities, and Native Americans, including Indians and Native Hawaiians.

Describe.

Child Care Aware of North Dakota develops their training and professional development content using knowledge and best practices on child development. The Early Learning Guidelines as well as the North Dakota core competencies, Caring for Our Children and other appropriate resources are used during the development of training and professional development. Coursework is available to help providers gain the knowledge and competence to earn their family, infant/toddler, or preschool CDA Credential. The state does not have its own credentials

6.1.7 Describe the strategies the State/Territory uses to recruit and retain providers who will serve eligible children. Check all that apply and describe.

Financial assistance for attaining credentials and post-secondary degrees.

Describe.

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 through the Department of Public Instruction.

Financial incentives linked to education attainment and retention.

Describe.

Registered apprenticeship programs.

Describe.

Outreach to high school (including career and technical) students.

Describe.

Policies for paid sick leave.

Describe.

Policies for paid annual leave.

Describe.

Policies for health care benefits.

Describe.

Policies for retirement benefits.

Describe.

Support for providers' mental health (such as training in reflective practices and stress reduction techniques, health and mental health consultation services).

Describe.

[Child Care Aware of North Dakota offers a training in stress reduction techniques called Stress Management for Child Care.](#)

Other.

Describe.

[Child Care Aware of North Dakota offers quality initiatives to child care providers. The initiatives support retainment of child care providers through training, and on-going technical assistance. Priority is given to programs who serve children receiving child care assistance. The Inclusion Specialist and Health Consultants support providers in caring for children with special needs and/or challenging behaviors. They are able to face to face visit to observe the child and view the environment. There is also technical assistance to support child care providers who have received a correction order or intent to revoke their license. Another opportunity we offer to all child care providers is to be matched with a peer mentor, which is another child care provider. Through the support of another provider he or she is able to be supported through challenges they may have as a provider.](#)

6.1.8 Describe how the State/Territory will recruit providers for whom English is not their first language, or who will serve and be available for families for whom English is not their first language.

Describe.

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 support.

6.1.9 How will the Lead Agency overcome language barriers to serve providers for whom English is not their first language? Check the strategies, if any, that your State/Territory has chosen to implement.

- 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.

Describe.

- None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the primary languages offered (top 3) or specify that the State has the ability to have translation/interpretation in all primary and secondary languages

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 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.

6.1.10 The State/Territory must use CCDF for activities to improve the quality or availability of child care, including training and technical assistance to providers on identifying and serving homeless children and families. (658E(c)(3)(B)(i) Describe the status of the State/Territory's training and technical assistance to providers on identifying and serving homeless children and their families (connects to Section 3.2.2).

Describe the status of the State/Territory's training and technical assistance to providers on identifying and serving homeless children and their families (connects to Section 3.2.2).

Yes.

The State certifies that no later than March 1, 2016 it will provide training and technical assistance to providers on identifying and serving homeless children and their families.

Describe that training and technical assistance for providers

No. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016) [09/30/2016](#)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Partially implemented](#)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

The Lead Agency uses CCDF for activities to improve the quality or availability of child care through a contract with Child Care Aware of North Dakota. The Lead Agency is working with a variety of agencies to include Head Start State Collaborative Office, Child Care Aware, Economic Assistance as well as The Department of Public Instruction to collaborate on ways to provide training and technical assistance to providers on identifying and serving homeless children and families.

Unmet requirement - Identify the requirement(s) to be implemented Use CCDF for activities to improve quality or availability of child care, including training and technical assistance to providers on identifying and serving homeless children and families

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will continue to hold meetings with a variety of agencies to include Head Start State Collaboration Office, Child Care Aware, Economic Assistances as well as The Department of Public Instruction to collaborate on ways to provide training and technical assistance to providers on identifying and serving homeless children and families.

Projected start date for each activity: 01/22/2016

Projected end date for each activity: 09/30/2016

Agency - Who is responsible for complete implementation of this activity
Department of Human Services - Children and Family Services

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

Head Start State Collaboration Office, Child Care Aware, Economic Assistance, and The Department of Public Instruction.

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

The Lead Agency will determine which route it will peruse in providing technical assistance and training opportunities to providers serving children and their families

experiencing homelessness.

Projected start date for each activity: 6/1/2016

Projected end date for each activity: 09/30/2016

Agency - Who is responsible for complete implementation of this activity [The Lead Agency-Department of Human Services - Children and Family Services.](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[Head Start State Collaboration Office, Economic Assistance, Child Care Aware of ND, Department of Public Instruction.](#)

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

[The Lead Agency will make available resources for technical assistance and support through a possibility of collaborations to include Head Start, Child Care Aware of ND training department and child care consultants, Department of Public Instruction.](#)

Projected start date for each activity: 7/1/2016

Projected end date for each activity: 9/30/2016

Agency - Who is responsible for complete implementation of this activity [The Lead Agency- Department of Human Services- Children and Family Services](#)

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[Head Start Collaboration Office, Child Care Aware of ND, Department of Public Instruction](#)

[6.2 Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds](#)

States and Territories may use the quality set-aside discussed in detail in section 7 to support the training and professional development of the child care workforce.

6.2.1 If checked yes to 7.1 in the next section, check which content is included training and professional development activities. Check all that apply.

Yes, If yes,

a) Describe the measures relevant to this use of funds that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory.

The ECS Administrator contracts with Lutheran Social Services (faith-based) to provide Child Care Aware Services.

The ECS Administrator receives quarterly and semi-annual reports from CCA, meets with CCA director 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 measures used to determine if the funds that were used have progressed to improve the quality of child care programs and services. Some of these measures include but are not limited the number of trainings completed, the movement of providers on the Growing Futures Career Ladder Placement, number of providers receiving a credential or degree, Quality Rating and Improvement System-Bright and Early program rating, etc. The ECS Administrator also has opportunities to observe the work of CCA staff members as they participate on early care and education work groups, on ECS State Team, and on various committees. Document activities and outputs in the Child Care Aware® of ND "Mega" Report centrally located on Google Docs and available, with the most current data entries, to the ECS Administrator. Child Care Aware® of ND will hold quarterly leadership meetings to review and analyze data to refine projects and activities.

Beginning in mid-2015, the Registry and Child Care Aware Training began transitioning to a new and shared database that offers advanced capabilities not available in the previous system and accessible using a variety of devices. In preparation for the transition, the Registry and Child Care Aware is in the process of data clean-up to ensure accuracy of records and elimination of old or duplicate information, and identify how data can most successfully be transferred between databases. The Registry and Child Care Aware ® ND are collaborating to work with the vendor to design and implement a Professional Development and Training Management System. This work will include

writing new processes and reference sheets for staff and clients, training staff on operation of new system, marketing a pilot to clients (practitioners, licensers, training sponsors and other applicable entities). Transition to the updated system will be completed in 2016. The Registry will maintain training history (individuals and training organizations) from the current database, and allow more complex data collection and evaluation.

b) Indicate which funds will be used for this activity (check all that apply)

CCDF funds.

Describe:

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Target Fund activities identified through the work plan.

Other funds.

Describe:

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds and these two contracts combine for the work described in this section.

c) Check which content is included in training and professional development activities. Check all that apply.

Promoting the social, emotional, physical, and cognitive development of children, including those related to nutrition and physical activity, using scientifically-based, developmentally-appropriate and age-appropriate strategies as required in 6.1.1c.

Describe:

Child Care Aware offers training on understanding how children acquire language and develop physically, cognitively, emotionally and socially. Training is also offered to help providers establish learning environments that provide learning experiences to meet each child's needs, capabilities, and interests.

Child Care Aware develops and delivers training courses based on:

- Developmentally appropriate practices for young children
- Cutting-edge scientific research

- Best practices in adult learning that are engaging, interactive and relevant
- Approval standards for Growing Futures
- Integration with the ND Early Childhood Services standards, ND Early Learning Guidelines, ND Core Competencies, Early Childhood Code of Ethics, and Caring for Our Children: National Health and Safety Standard in program development and delivery.
- Alignment with CDA Competencies and subject area requirements to advance on the career pathways to meet Bright and Early Professional Development standards.

- Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and early childhood mental health and reduce challenging behaviors, including reducing expulsions of preschool-aged children from birth to five for such behaviors (see also Section 2).

Describe:

Child Care Aware offers training to help providers establish supportive relationships with children and guide them as individuals and as part of a group. A number of courses address challenging behavior and Conscious Discipline and CSEFEL concepts are shared. Child Care Aware also offers in depth training on Social and Emotional Foundations and Childhood Stress in our Contemporary Society. Inclusion Specialists offer intensive consultation and include training to reduce expulsions.

- Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development.

Describe:

Child Care Aware offers training to help providers work collaboratively with families and agencies/organizations to meet children's needs and to encourage the community's involvement with early childhood education and care. Content includes how family and culture impact learning and development, building partnerships with families, communicating effectively with families, resolving differences with families and talking to families when developmental concerns arise.

- Developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula, and learning environments that are aligned with the State/Territory Early Learning and Development Standards.

Describe:

Child Care Aware develops and delivers training courses based on developmentally appropriate practices for young children and integrates the ND Early Learning Guidelines whenever possible to help providers establish learning environments that provide learning experiences to meet each child's needs, capabilities, and interests.

- On-site or accessible comprehensive services for children and community partnerships that promote families' access to services that support their children's learning and development.

Describe:

This is available through direct consultation with Child Care Aware of ND.

- Using data to guide program evaluation to ensure continuous improvement.

Describe:

This is available through direct consultation with Child Care Aware of ND.

- Caring for children of families in geographic areas with significant concentrations of poverty and unemployment.

Describe:

This is available through direct consultation with Child Care Aware of ND.

- Caring for and supporting the development of children with disabilities and developmental delays.

Describe:

Child Care Aware also offers in depth training on Social and Emotional Foundations and Childhood Stress in our Contemporary Society. Inclusion Specialists offer intensive consultation and include training to reduce expulsions. This is available through direct consultation with Child Care Aware of ND.

- Supporting positive development of school-age children.

Describe:

- Other.

Describe:

d) Check how the State/Territory connects child care providers with available Federal and State/Territory financial aid, or other resources for pursuing postsecondary education relevant for the early childhood and school-age workforce. Check all that apply.

- Coaches, mentors, consultants, or other specialists available to support access to postsecondary training including financial aid and academic counseling
- State/Territory-wide, coordinated, and easily accessible clearinghouse (i.e. online calendar or listing of opportunities) of relevant postsecondary education opportunities
- Financial awards (such as scholarships, grants, loans, reimbursement for expenses) from State/Territory for completion of postsecondary education
- Other.

Describe:

No.

6.2.2 Does the State/Territory require a specific number of annual training hours for child care providers caring for children receiving CCDF subsidies and in particular content areas?

States and Territories are encouraged to consult with Caring for our Children for best practices and recommended time needed to address training hour requirements.

Yes. If yes, describe:

a) Licensed Center-Based Care

1) Number of pre-service or orientation hours and any required areas/content

15 hrs for Basic child care course to include:

- Prevention and control of infectious diseases (including immunization)
- Prevention of sudden infant death syndrome and use of safe sleeping practices
- Administration of medication, consistent with standards for parental consent
- Prevention of and response to emergencies due to food and allergic reactions
- Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic
- Prevention of shaken baby syndrome and abusive head trauma
- Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as

violence at a child care facility), within the meaning of those terms under section 602(a) (1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1))

- Handling and storage of hazardous materials and the appropriate disposal of bio contaminants
- Precautions in transporting children (if applicable)

At least one staff member on site at all times is required to complete First Aid and CPR certification.

2) Number of on-going hours and any required areas/content

One hour annually on sudden infant death syndrome (SIDS) prevention if providing care to infants.

The number of hours that are required for annual training is determined by the number of hours they work. If working 30 or more hours per week, minimum of 13 hours annually of department approved training. If working fewer than 30 hours and more than 20 hours per week 11 hours of department approved training. If working fewer than 20 hours and at least 10 hours per week then 9 hours of department approved training is required annually. If working fewer than 10 hours per week then 7 hours of department approved training is required annually.

A number of other professional development opportunities are available to operators and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Aware of North Dakota; the Lead Agency is able to offer at 120 hours of free, online trainings to the early childhood workforce in a number of core competency areas.

b) Licensed Group Child Care Homes

1) Number of pre-service or orientation hours and any required areas/content

15 hrs for Basic child care course to include:

- Prevention and control of infectious diseases (including immunization)
- Prevention of sudden infant death syndrome and use of safe sleeping practices
- Administration of medication, consistent with standards for parental consent
- Prevention of and response to emergencies due to food and allergic reactions
- Building and physical premises safety, including identification of and

- protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic
- Prevention of shaken baby syndrome and abusive head trauma
 - Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a) (1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1))
 - Handling and storage of hazardous materials and the appropriate disposal of bio contaminants
 - Precautions in transporting children (if applicable)

At least one staff member on site at all times is required to complete First Aid and CPR certification.

2) Number of on-going hours and any required areas/content

One hour annually on sudden infant death syndrome (SIDS) prevention if providing care to infants.

For staff the number of hours that are required for annual training is determined by the number of hours they work. If working 30 or more hours per week, minimum of 8 hours annually of department approved training. If working fewer than 30 hours and more than 20 hours per week 6 hours of department approved training. If working fewer than 20 hours and at least 10 hours per week then 4 hours of department approved training is required annually. If working fewer than 10 hours per week then 2 hours of department approved training is required annually.

A number of other professional development opportunities are available to operators and staff. Lead Agency works with a number of organizations to promote meaningful professional development. Through a contract with Child Care Aware of North Dakota; the Lead Agency is able to offer at 120 hours of free, online trainings to the early childhood workforce in a number of core competency areas.

c) Licensed Family Child Care Provider

1) Number of pre-service or orientation hours and any required areas/content

15 hrs for Basic child care course to include:

- Prevention and control of infectious diseases (including immunization)

- Prevention of sudden infant death syndrome and use of safe sleeping practices
- Administration of medication, consistent with standards for parental consent
- Prevention of and response to emergencies due to food and allergic reactions
- Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic
- Prevention of shaken baby syndrome and abusive head trauma
- Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a) (1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1))
- Handling and storage of hazardous materials and the appropriate disposal of bio contaminants
- Precautions in transporting children (if applicable)
- First aid and cardiopulmonary resuscitation (CPR) certification

2) Number of on-going hours and any required areas/content

9 hours are required annually. One hour annually on Sudden infant death prevention, if providing care to infants.

d) Any other eligible CCDF provider

1) Number of pre-service or orientation hours and any required areas/content

15 hrs for Basic child care course to include:

- Prevention and control of infectious diseases (including immunization)
- Prevention of sudden infant death syndrome and use of safe sleeping practices
- Administration of medication, consistent with standards for parental consent
- Prevention of and response to emergencies due to food and allergic reactions
- Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic
- Prevention of shaken baby syndrome and abusive head trauma
- Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as

violence at a child care facility), within the meaning of those terms under section 602(a) (1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1))

- Handling and storage of hazardous materials and the appropriate disposal of bio contaminants
- Precautions in transporting children (if applicable)

2) Number of on-going hours and any required areas/content

One hour of training annually on Sudden infant death prevention if providing care to infants.

No

6.2.3 Describe the status of the State/Territory's policies and practices to strengthen provider's business practices.

Fully implemented - as of March 1, 2016.

Describe the State strategies including training, education, and technical assistance to strengthen provider's business practices. This may include, but is not limited to, such practices related to fiscal management, budgeting, record-keeping, hiring, developing, and retaining qualified staff, risk management, community relationships, marketing and public relations, and parent-provider communications, including who delivers the training, education and/or technical assistance

Child Care Aware of ND offers technical assistance and training on the following topics but not limited to contracts and policies, legal and insurance issues, marketing your business, taxes and record keeping, money management and retirement planning, communicating effectively with families, resolving differences with families.

Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with the State/Territory lead agency to complete implementation of this activity

[6.3 Early Learning and Developmental Guidelines](#)

The CCDBG Act of 2014 added a requirement that the State/Territory will develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, or birth-to-five), describing what such children should know and be able to do, and covering the essential domains of early childhood development for use State/Territory wide by child care providers. (658E(c)(2)(T)) At the option of the State/Territory, early learning and development guidelines for out-of-school time may be developed. States and Territories may use the quality set-aside as discussed in section 7 to improve on the development or implementation of early learning and development guidelines.

6.3.1 Describe the status of the State's early learning and development guidelines appropriate for children from birth to kindergarten entry.

The State assures that the early learning and development guidelines are:

- Research-based, developmentally appropriate, culturally and linguistically appropriate, and aligned with entry to kindergarten
- Implemented in consultation with the State educational agency and the State Advisory Council (SAC) or other state or state-designated cross-agency body if there is no SAC
- Updated as determined by the State. List the date or frequency

The State will update Early Learning guidelines as determined necessary.

- Fully implemented and meeting all Federal requirements outlined above - as of March 1, 2016. List the Lead Agency's policy citation(s) and describe using 6.3.2 through 6.3.4 below
- Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

Overall Target Completion Date (no later than September 30, 2016)

Overall Status - Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

Implemented requirement(s) - Identify any requirement(s) implemented to date if applicable

Tasks/Activities - What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

Projected start date for each activity:

Projected end date for each activity:

Agency - Who is responsible for complete implementation of this activity

Partners - Who is the responsible agency partnering with to complete implement this activity

6.3.2 Check for which age group(s) the State has established early learning and development guidelines:

Birth-to-three

Provide a link:

<http://www.nd.gov/dhs/info/pubs/docs/cfs/2009-08-earlylearning-birth-3.pdf>

Three-to-Five

Provide a link:

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

Birth-to-Five

Provide a link:

Five and older (check if State/Territory has standards for five and older that complement academic but cover child development areas not covered by k-12 academic standards).

Describe and provide a link:

Other.

Describe:

ND also has Early Learning Guideline companion pieces to help parents and providers understand how children are growing and learning, plan activities and think about how a typical day and routines support growth and development.

3-5 companion piece for parents was adopted/adapted from Montana.

0-3 companion piece was written by small group in ND.

6.3.3 Does the State/Territory use CCDF quality funds to improve on the development or implementation of early learning and development guidelines by providing technical assistance to child care providers to enhance children's cognitive, physical, social and emotional development and support children's overall well-being?

- Yes, the State/Territory has a system of technical assistance operating State/Territory-wide
- Yes, the State/Territory has a system of technical assistance operating as a pilot or in a few localities
- No, but the State/Territory is in the development phase
- No, the State/Territory has no plans for development

a) If yes, check all that apply to the technical assistance and describe.

- Child care providers are supported in developing and implementing curriculum/learning activities based on the State's/Territory's early learning and development guidelines.

Describe:

Training is available to help providers understand and use the ELGs to plan activities for children plus local, regional and national experts that conduct training in our state are asked to point out how the ideas and activities presented in training meet ELGs to raise provider awareness.

- The technical assistance is linked to the State's/Territory's quality rating and improvement system.

Describe:

Child Care of North Dakota partners with Bright & Early of ND and offers technical assistance to child care providers who are participating in Bright & Early of ND (ND's QRIS). Technical assistance is offered to support the provider through the environment rating scale(Step 2), implementing a curriculum (Step 3) and through the CLASS tool(Step 4). If a child care providers opts to receive technical assistance they will receive grant dollars to support the Step they are working towards and the technical assistance is tailored to the providers needs using a strenght based coaching model.

- Child care providers working with infants and/or toddlers have access to the technical assistance for implementing early learning and development guidelines.

Describe:

Child Care Aware of North Dakota consultant's provide technical assistance on the Early Learning Guidelines while being a participant in an infant toddler focused initiative. This quality initiatives takes providers through a workbook while

connecting it to the Early Learning Guidelines. The technical assistance is tailored to the providers needs using a strength based coaching model.

- Child care providers working with preschool-age children have access to the technical assistance for implementing early learning and development guidelines.

Describe:

Child care providers can contact Child Care Aware of ND's consultants to support them in implementing and using the Early Learning Guidelines. The technical assistance and support is individualized based on the programs needs and is supported using a strength based coaching model.

- Child care providers working with school-age children have access to the technical assistance for implementing early learning and development guidelines.

Describe:

Child care providers can contact Child Care Aware of ND's consultants to support them in implementing and using the early learning guidelines. The technical assistance and support is individualized based on the programs needs and is supported using a strength based coaching model.

b) Indicate which funds are used for this activity (check all that apply)

- CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Target Fund activities identified through the work plan to include CCR & R Target Funds, Quality Target Funds, Infant Toddler Target Funds.

- Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees

that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

6.3.4 Check here to demonstrate that State/Territory assures that CCDF funds will not be used to develop or implement an assessment for children that: (658E(c)(2)(T)(ii)(I))

- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF program
- Will be used as the primary or sole basis to provide a reward or sanction for an individual provider
- Will be used to deny children eligibility to participate in the CCDF program
- Will be used as the primary or sole method for assessing effectiveness of child care programs
- Will be used to deny children eligibility to participate in the CCDF program

Yes.

7 Support Continuous Quality Improvement

Lead Agencies are required to reserve and use a portion of their Child Care and Development Block Grant funds for activities designed to improve the quality of child care services and increase parental options for, and access to, high-quality child care. Support for continuous quality improvement is expected to cover the entire age span of children supported by CCDF, from birth through age 12. States/Territories may provide these quality improvement activities directly, or through grants or contracts with local child care resource and referral organizations or other appropriate entities. The activities should be in alignment with a State/Territory-wide assessment of the State's/Territory's needs to carry out such services and care. These quality investments can align with, support and help sustain additional quality efforts developed under Race to the Top Early Learning Challenge grants, Early Head Start/Head Start partnerships and other funding efforts.

States and Territories will report on these quality improvement investments through CCDF in three ways: 1) ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-696); 2) In the Plan, States and Territories will describe the types of activities supported by quality investments over the three-year period; and 3) For each three-year Plan period, States and Territories will submit a separate annual report

that will show the measures used by the State/Territory to evaluate its progress in improving the quality of child care programs and services in the State/Territory.

The CCDBG Act of 2014 requires States and Territories to use the quality set-aside to fund at least one of the following 10 activities:

- 1) Supporting the training and professional development of the child care workforce (as described in Section 6)
- 2) Improving on the development or implementation of early learning and development guidelines (as described in Section 6)
- 3) Developing, implementing, or enhancing a tiered quality rating system for child care providers and services
- 4) Improving the supply and quality of child care programs and services for infants and toddlers
- 5) Establishing or expanding a Statewide system of child care resource and referral services (as described Section 1)
- 6) Supporting compliance with State/Territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in Section 5)
- 7) Evaluating the quality of child care programs in the State/Territory, including evaluating how programs positively impact children
- 8) Supporting providers in the voluntary pursuit of accreditation
- 9) Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- 10) Other activities to improve the quality of child care services as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten-entry are possible.

Throughout this Plan, States and Territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, the quality set-aside funds. We recognize that for some areas, States and Territories may leverage other funds to support the quality improvement goals, which we encourage and support. For example, activities related to early learning and development guidelines may be supported by a combination of CCDF and education funding. States and Territories continue to have such flexibility.

7.1 Activities to Improve the Quality of Child Care Services

7.1.1 What are your overarching goals for quality improvement?

Please describe how the State/Territory selected these goals, including any data or the State/Territory-wide assessment of needs that identified the needs for quality improvement services

North Dakotas overarching goals for quality improvement include to provide a variety of supports for programs interested in achieving higher levels of quality. This could include achieving a quality rating through the states Quality Rating and Improvement System orbecoming Accredited. 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, The Early Childhood Higher Education Consortium and HNDECA. Each of these organizations have active participation by the ECS Administrator, Head Start State Collaboration Office, Department of Public Instruction, the Child Care Subsidy Administrator, ECS Regional Supervisors, ECS licensers, Child Care Aware of ND network staff, representatives from the child care field, representatives from Head Start, parents, and representatives from other early childhood agencies. These groups look at current trends and research, state and national data that is available, as well as conducting needs assessments and listening to the residences of the state as to what is important to them in order to select goals to peruse.

7.1.2 Check and describe which of the following specified quality improvement activities the State/Territory is investing in:

Developing, implementing or enhancing a tiered quality rating system. If checked, respond to 7.2. Indicate which funds will be used for this activity (check all that apply)

CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

- Improving the supply and quality of child care services for infants and toddlers. If checked, respond to 7.3. Indicate which funds will be used for this activity (check all that apply)

- CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Target Fund activities identified through the work plan to include CCR &R Target Funds, Quality Target Funds, Infant Toddler Target Funds.

- Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

- Establishing or expanding a statewide system of CCR&R services as discussed in 1.7. If checked, respond to 7.4. Indicate which funds will be used for this activity (check all that apply)

- CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Target Fund activities identified through the work plan to include CCR &R Target Funds, Quality Target Funds, Infant Toddler Target Funds.

Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

Facilitating compliance with State/Territory requirements for inspection, monitoring, training, and health and safety standards (as described in Section 5). If checked, respond to 7.5. Indicate which funds will be used for this activity (check all that apply)

CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Quality Target Funds used to provide support to non-compliant licensed child care providers. North Dakota has a state-supervised, county-administered system. The Early Childhood Services (ECS) Administrator programmatically supervises ECS Regional Supervisors and county child care licensors by writing and maintaining program rules and policies for the child care licensing system. Direct supervision of ECS Regional Supervisors is the responsibility of the eight Regional Human Services Center Directors. Direct supervision of the county child care licensors is the responsibility of the county directors.

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

Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

- Evaluating and assessing the quality and effectiveness of child care services within the State/Territory. If checked, respond to 7.6. Indicate which funds will be used for this activity (check all that apply)

- CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Target Fund activities identified through the work plan to include CCR &R Target Funds, Quality Target Funds, Infant Toddler Target Funds.

- Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

- Supporting accreditation. If checked, respond to 7.7. Indicate which funds will be used for this activity (check all that apply)

- CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

- Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

- Supporting State/Territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical

development. If checked, respond to 7.8. Indicate which funds will be used for this activity (check all that apply)

CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

The Core Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota is CCDF funds and there are Target Fund activities identified through the work plan to include CCR &R Target Funds, Quality Target Funds, Infant Toddler Target Funds.

Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

Other activities determined by the State/Territory to improve the quality of child care services, and for which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or entry into kindergarten is possible. If checked, respond to 7.9. Indicate which funds will be used for this activity (check all that apply)

CCDF funds.

Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

The Enhanced Contract that the Early Childhood Services Administrator oversees that was awarded to Child Care Aware of North Dakota are State Funds. Child Care Aware collaborates with various local and state agencies to combine funds to enhance the work that is identified in this section.

7.2 Quality Rating and Improvement System

7.2.1 Does your State/Territory have a quality rating and improvement system (QRIS)?

Yes, the State/Territory has a QRIS operating State/Territory-wide.

Describe how the QRIS is administered (e.g., state or locally administered such as through CCR&Rs) and provide a link, if available

Yes, the State/Territory has a QRIS operating as a pilot, in a few localities, or only a few levels

Provide a link, if available

Bright & Early ND rolled out statewide in January of 2015 for Steps 1 -2 of a 4 Step System - Bright & Early uses a Building Block Approach. Steps 3 & 4 have been available in select counties but will be available statewide July 2016. www.brightnd.org

No, but the State/Territory is in the development phase

No, the State/Territory has no plans for development

a) If yes, check all that apply to your QRIS.

Participation is voluntary

Participation is mandatory for providers serving children receiving subsidy.

If checked, describe the relationship between QRIS participation and subsidy (minimum rating required, participation at any level, etc.)

Participation is required for all providers

Includes nationally-recognized accreditation as a way to meet/achieve QRIS rating levels

Supports and assesses the quality of child care providers in the State/Territory

Builds on State/Territory licensing standards and other State/Territory regulatory standards for such providers

- Embeds licensing into the QRIS.

Describe:

Yes, Step 1 requires approval from programs county licensing agent to participate.

- Designed to improve the quality of different types of child care providers and services
- Describes the safety of child care facilities
- Addresses the business practices of programs
- Builds the capacity of State/Territory early childhood programs and communities to promote parents' and families' understanding of the State/Territory's early childhood system and the ratings of the programs in which the child is enrolled
- Provides, to the maximum extent practicable, financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services.

If checked, please describe how these financial options link to responses in Section 4.3 related to higher payment rates tied to quality

- Can be used to track trends in whether children receiving subsidy are utilizing rated care settings and level of rating

b) If yes, which types of settings or distinctive approaches to early childhood education and care participate in the State's/Territory's QRIS? Check all that apply.

- Licensed child care centers
- Licensed family child care homes
- License-exempt providers
- Early Head Start programs
- Head Start programs
- State pre-kindergarten or preschool program
- Local district supported pre-kindergarten programs
- Programs serving infants and toddlers
- Programs serving school-age children
- Faith-based settings
- Other.

Describe:

7.2.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory.

Describe:

Bright & Early standards and the effectiveness of the quality improvement efforts by assigning ratings to programs. Ratings are earned based on onsite post-assessments at Step 2 and 4; and document review in Step 3. Two research -based tools are used to conduct the post-assessments. The Environmental Rating Scale (ERS) post-assessments are conducted for participating programs at Step 2. Classroom Assessment Scoring System (CLASS) post-assessments are conducted for participating programs at Step 4. This monitoring process provides a basis of accountability for programs, parents, and funders by creating benchmarks for measuring quality.

7.3 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

The CCDBG Act of 2014 included changes targeted at improving the supply and quality of infant-toddler care. Lead Agencies are encouraged to systematically assess and improve the overall quality of care infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers and the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care.

7.3.1 What activities are being implemented by the State/Territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers?

Check all that apply and describe.

- Establishing or expanding high-quality community or neighborhood-based family and child development centers, which may serve as resources to child care providers in order

to improve the quality of early childhood services provided to infants and toddlers from low-income families and to help eligible child care providers improve their capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families.

Describe:

- Establishing or expanding the operation of community or neighborhood-based family child care networks.

Describe:

- Providing training and professional development to promote and expand child care providers' ability to provide developmentally appropriate services for infants and toddlers.

Describe:

Child Care Aware of ND core contract with the Lead Agency includes this area. CCA coordinate and promote training to promote and expand child care providers ability to provide developmentally appropriate services for infants and toddlers, starting with specific focus in the Basic child care course. Additionally, 25% of the courses delivered by Child Care Aware of ND have a substantial focus on infants and toddlers.

Many trainings are based on the Program for Infant Toddler Caregivers, such as:

- Getting In Tune: The Responsive Process
- Respectfully Yours: A Professional Approach to Infant/Toddler Care
- Together in Care: Meeting the Needs of Children
- Protective Urges
- Resolving Differences with Families : Ask, Acknowledge, Adapt
- How Family and Culture Impact Learning and Development
- Approaches to Learning
- Temperament Traits in Young Children

In the early learning guideline training Am I Making a Difference, providers participate in exercises with colleagues that care for similar aged children. Some might be doing a case study with four year olds while another group is focusing on young infants.

The State also has training in SIDS prevention, Abusive Head Trauma, Brain Development, setting up and maintaining the infant/toddler care environment, daily events and weekly planning, routines and transitions.

Child Care aware's Winning Ways for Infants, Toddlers and Twos project is a concentrated effort to improve the quality of infant and toddler programming in child care centers. This is a 9 to 12 month initiative combines monthly training, assignments, and on-site technical assistance by trained consultants to emphasize brain development, who infants and toddlers are, individualized care, how infants and toddlers learn,

communication, safe and healthy care, and routines and transitions.

- Providing financial incentives (including the use of grants and contracts as discussed in section 4) to increase the supply and quality of infant-toddler care.

Describe:

ChildCare Aware of North Dakota offers a range of initiatives for a provider to take advantage to receive items focused on infants and toddlers. Grants are offered to potential licensed child care providers to purchase items caring for infants and toddlers. Topical visits that include three short visits and focus on infant toddler care are offered to providers that include \$150 worth of infant or toddler materials. A 9 month technical assistance and training initiative called Winning Ways supports staff and director through a workbook. During this process they receive funding per infant and toddler enrolled. If a child care provider opts into Bright & Early of ND and receives coaching they receive a financial incentive per child enrolled, which is generally used towards infants and toddlers.

- Providing coaching and/or technical assistance on this age group's unique needs from Statewide networks of qualified infant-toddler specialists.

Describe:

Intense technical assistance is received by child care providers in a center based setting through Child Care Aware of North Dakota's quality infant toddler focused initiative - Winning Ways for Infants and Toddlers. Programs commit nine months to complete assignments and receive face to face technical assistance to assure understanding and implementation of what they have learned is happening. Technical Assistance is provided by Child Care Aware staff that have completed North Dakota's face to face and on-line training of Program for Infant and Toddler Caregivers (PITC).

- Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.)

Describe:

Child Care Aware of North Dakota have inclusion specialist that partner with Part C agencies and refer children that are in child care to early intervention agencies.

- Developing infant and toddler components within the State's/Territory's QRIS.

Describe:

Plans are underway to train Child Care Aware coaches and Bright & Early ND Assessors on the new Infant CLASS and Toddler CLASS. Training will be completed in February 2016. Both tools focus on the specific needs of interactions required for appropriate development. Both tools are embedded into Step 4 of the ND QRIS (Bright & Early ND) which will be available statewide in July of 2016.

- Developing infant and toddler components within the State's/Territory's child care licensing regulations.

Describe:

In 2015, ND Legislature passed Addison's Law and will require annual SIDS training for those providers and staff caring for infants.

- Developing infant and toddler components within the early learning and development guidelines.

Describe:

The Early Learning Guidelines are for ages Birth to 3 and 3 to 5 years old

- Improving the ability of parents to access transparent and easy to understand consumer information about high-quality infant and toddler care.

Describe:

Child Care Aware of ND continues to offer consumer information to help families be informed consumers of child care services through the parent section of the website, print materials and electronic means. Include the ratings on child care referral listings to communicate levels of quality regarding programs who are participating in quality improvement efforts as well as links to resources to further explain the State's QRIS system, Bright & Early.

- Carrying out other activities determined by the State/Territory to improve the quality of infant and toddler care provided in the State/Territory, and for which there is evidence that the activities will lead to improved infant and toddler health and safety, infant and toddler cognitive and physical development, or infant and toddler well-being.

Describe:

The state's quality improvement rating system, Bright and Early of ND has four steps.

The second step focuses on the Environment Rating Scale. Center settings are observed with the Infant Toddler Environment Rating Scale-Revised & home settings use the Family Child Care Environment Rating Scale -Revised and technical assistance is offered to support providers. Child care health consultants are available for providers to receive support in Personal Care Routines. The fourth step uses the CLASS tool to observe child care settings. The Infant, Toddler & Preschool CLASS tool will be used to average the providers score. The Infant and Toddler CLASS tool focuses on the interaction between the provider, child and peers. The child care providers are coached through ways of implementing best practices with this tool.

Technical assistance is available for the child care providers in home and center settings. Child Care Aware of North Dakota offers potential and newly licensed child care providers a health and safety visit from the health consultants. The health consultants review the proper steps for changing the diaper, how to reduce illness with proper sanitizing and disinfecting of items, safe sleep and a safe environment.

Other.

Describe:

7.3.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State's progress in improving the quality of child care programs and services in the State/Territory

Describe:

The ECS Administrator contracts with Lutheran Social Services (faith-based) to provide Child Care Aware Services.

The ECS Administrator receives quarterly and semi-annual reports from CCA, meets with CCA director 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 measures and timeframes. Some of these measures include but are not limited to reviewing the number of professional development that is being accessed, the career movement on the Growing Futures career pathways, the number of credentials being

issued, Quality Improvement Ratings by Bright and Early, the number and type of technical assistance that is being provided, the number and types of licensing violations being issued, etc. The ECS Administrator also has opportunities to observe the work of CCA staff members as they participate on early care and education work groups, on ECS State Team, and on various committees. Bright & Early standards and the effectiveness of the quality improvement efforts by assigning ratings to programs. Ratings are earned based on onsite post-assessments at Step 2 and 4; and document review in Step 3. Two research-based tools are used to conduct the post-assessments. The Environmental Rating Scale (ERS) post-assessments are conducted for participating programs at Step 2. Classroom Assessment Scoring System (CLASS) post-assessments are conducted for participating programs at Step 4. This monitoring process provides a basis of accountability for programs, parents, and funders by creating benchmarks for measuring quality. Other quality improvement activities are measured through the document activities and outputs in the Child Care Aware® of ND "Mega" Report centrally located on Google Docs and available, with the most current data entries, to the procurement officer. Child Care Aware® of ND will hold quarterly leadership meetings to review and analyze data to refine projects and activities. Child Care Aware® of ND will submit quarterly and annual reports as well as meeting quarterly and annually with the procurement officer.

7.4 Child Care Resource & Referral

7.4.1 Describe the status of the child care resource and referral system

State/Territory has a CCR&R system operating State/Territory-wide.

Describe how the CCR&R system is operated, including how many agencies and if there is a statewide network and how the system is coordinated and if it is voluntary

The Early Childhood Services Administrator writes the policy and contracts for Child Care Aware of North Dakota. CCA administers 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 CCA. The ECS Administrator meets, at minimum, quarterly with the director of the CCA. 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 CCA work in the field and is copied on all their provider newsletters and provider alerts. Since ND is a state with a small population, CCA 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 CCA contract work. The ECS Administrator is in weekly contact with the CCA directors to discuss many issues or to ask for assistance on projects. When monitoring the contracts with the CCA agency, 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. Providers participation with Child Care Aware of ND is voluntary.

Child Care Aware of ND collaborates with numerous agencies to gain knowledge, share child care information and extend the reach of services.

Concerning child care start-up funding, facility options and designs, Child Care Aware of ND collaborates with entities such as Licensors, Economic Developers, USDA Rural Development, Rural Electric Cooperatives, Chambers of Commerce, Vision West, ND Child Care Professionals, Grand Forks Commission on Human and Social Infrastructure and Lutheran Social Services Housing.

Relating to health, safety, nutrition, physical activity and emergency preparedness, Child Care Aware of ND collaborates with entities such as ND Department of Health, ND Chapter American Academy of Pediatrics, Safe Kids Coalitions, Safer Tomorrows, Dakota Medical Foundation, district health units, and local physical activity coalitions to support initiatives for healthy child care.

Child Care Aware of ND collaborates with the Department of Human Services to plan new initiatives and develop services in response to the State Plan (Early Learning Guidelines, Mandated Reporter Training, Emergency Preparedness, etc.).

Child Care Aware of ND works with county and state licensing entities to determine funding of potential start up grants, corrective action referrals that require intense consulting and training to facilitate compliance and to share information at state team and

regional licensing meetings.

Customized training and technical assistance is available to local child care associations, programs and tribal entities to meet the needs of local child care practitioners. Child Care Aware of ND staff support local early childhood associations with planning and hosting conferences and the staff share the knowledge they gain at such events as they work in the field.

Collaborating with Head Start and Early Head Start grantees, Child Care Aware of ND represents the community on parent advisory councils, health advisory councils, offers training and technical assistance on a number of topics including CDA. Child Care Aware of ND is also working collaboratively with Early Head Start programs to form new child care partnerships.

Pertaining to inclusion and other child care issues, Child Care Aware of ND collaborates with entities such as Children's Consultation Network, Family Voices, Regional Interagency Coordinating Committee (Region 8), Home Visitation Coalition, Prevent Child Abuse ND, Early Childhood Information Committee (ECIC - Fargo), and Child and Adult Care Food Programs helping identify new opportunities for training and program development.

Child Care Aware of ND with funding from the ND Council on the Arts, administers the coordination of arts training for the early childhood field, collaborating with the Arts in Education Director to select teaching artists and topics.

Child Care Aware of ND and the Growing Futures Registry collaborate with national organizations to approve and incorporate specific professional development credentials in the North Dakota system, such as the national CDA Council and National Louis University Aim4Excellence Center Director Credential.

The Growing Futures Registry collaborates with state and local child care associations such as county association, NDCCPI, NDAEYC groups, and others to assist them in planning training that meets approval criteria, and to ensure that their training is approved and attendees receive credit. Registry staff also reaches out to organizations that do not traditionally provide training for the early childhood workforce, such as the ND

Court Administrator's office, when training is being provided that may be appropriate to the early childhood workforce in an effort to collaborate and expand approved training opportunities.

Growing Futures facilitated a work group to refine the Career Pathways to be more inclusive of school age only programs, which included directors of school-aged programs, 21st Century programs, DHS, and higher education. Registry staff have also helped the DHS licensed school age program in Fargo clarify licensing requirements around training approval for their staff.

The Registry collaborates to ensure approval of training sponsored by ND DHS, ND DPI, and county licensers. The Registry reached out to NDSU Extension Services Parent Education Network to develop collaboration agreements around approval of specific curricula (e.g. Bright Beginnings and Nurtured Heart) as well as toward approval of Extension Parent Educators. Collaborative partnerships also are in place with USDA food programs including SENDCAA, Heartland, and NDC. Outreach to Head Start programs, Tribal training programs and others is ongoing.

Child Care Aware of ND understands the importance of collaborating to extend the reach of quality services. The future for Early Head Start and Child Care partnerships looks bright and Child Care Aware of ND can foster these partnerships. Collaborating with Prevent Child Abuse North Dakota will afford additional Ages and Stages Questionnaire screenings. Potential exists to collaborate with DPI for early childhood training and with health entities on health, safety, nutrition and physical activity. Child Care Aware of ND will continue to collaborate with Cass Clay United Way to continue Bright and Early efforts. Child Care Aware of ND will also continue collaboration with Child Care Aware of America to provide exceptional family member services.

State/Territory has a CCR&R system operating in a few localities but not fully operating State/Territory-wide

Describe:

State/Territory is in the development phase

7.4.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Describe:

Child Care Aware of ND staff document activities and outputs in the Child Care Aware of ND "Mega" Report centrally located on Google Docs and available, with the most current data entries, to the ECS Administrator. This document contains the measures that are relevant to reviewing the progress on improving the quality of child care programs and services. The report contains but is not limited to the Growing Futures Professional Development System which monitors the child care workforce training and career preparedness. Bright and Early which is the states Quality Rating and Improvement System. Bright and Early contains all of the state data on child care providers ratings, Child Care Aware of ND also measures all technical assistance and consultation that is provided to child care providers, the training department within Child Care Aware of ND tracks all of the training opportunities that they provide to the state. The data that is entered into the report includes the number and type of trainings, number and type of consultations, program quality rating, number and type of credentials issued. Child Care Aware® of ND holds quarterly leadership meetings to review and analyze data to refine projects and activities. Child Care Aware of ND submits quarterly and annual reports that details all of the work that has been completed and all of this information combined provides for measures on improving the quality of child care programs. Child Care Aware of ND also holds meeting quarterly and annually with the ECS Administrator.

7.5 Facilitating Compliance with State Standards

7.5.1 What strategies does your State/Territory fund with CCDF quality funds to facilitate child care providers' compliance with State/Territory requirements for inspection, monitoring, training, and health and safety, and with State/Territory licensing standards?

Describe:

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. Child Care Aware of North Dakota partners with county licensers when high risk of closing the program arise. Licensers complete a compliance referral and send to Child Care Aware of North Dakota. The two groups have discussions to create a plan to support the program to work towards compliance. Face to face technical assistance by Child Care Aware of North Dakota

consultants is mandated by the licensers to support the program on implementing practices to obtain compliance.

7.5.2 Describe the measures relevant to this activity that the State will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Describe:

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 Child Care Aware of North Dakota. CCA administers 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 CCA. The ECS Administrator meets, at minimum, quarterly with the director of the CCA. 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 licensers and ECS regional Supervisors regarding the CCA work in the field and is copied on all their provider newsletters and provider alerts. The state reviews if the goals have been successfully completed while the program was working with Child Care Aware of North Dakota. At this time the state decides if the program is in compliance.

7.6 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

7.6.1 One of the purposes of the CCDBG Act of 2014 is to increase the number and percentage of low-income children in high-quality child care settings.

Describe how the State/Territory measures the quality and effectiveness of child care programs and services offered in the State/Territory, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the State/Territory evaluates that such programs positively impact children

The State measures the quality and effectiveness of child care programs and services offered using the state Quality Rating and Improvement System called Bright & Early. Bright & Early standards and the effectiveness of the quality improvement efforts by assigning ratings to programs. Ratings are earned based on onsite post-assessments at Step 2 and 4; and document review in Step 3. Two research-based tools are used to conduct the post-assessments. The Environmental Rating Scale (ERS) post-assessments are conducted for participating programs at Step 2. Classroom Assessment Scoring System (CLASS) post-assessments are conducted for participating programs at Step 4. This monitoring process provides a basis of accountability for programs, parents, and funders by creating benchmarks for measuring quality. The state is also working on a longitudinal data system that would like a variety of programs to include, child care, Head Start, school systems, etc and be used to measure data and impacts programs have on child outcomes.

7.6.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Describe:

The state uses the measures that are built into the Quality Rating and Improvement system called Bright & Early to view the progress in improving quality of child care programs and services. These measures included at Step one are to be in good standing with state licensing compliance. At Step two an evaluations using the Environmental Rating Scales that assess space and materials in a program, also included in this step are the program must demonstrate that they serve nutritious food to children, meet professional development goals, and also meet Step 1. At Step three the program must meet Step one requirements and also demonstrate continued commitment to providing quality space and materials in Step two. Additionally the program must use an approved curriculum that supports each

child's development. The curriculum is aligned with the Birth to Three Early Learning Guidelines and the Three to Five Early Learning Guidelines and/or the North Dakota Pre-Kindergarten Standards and/or the Head Start Performance Standards. Use an approved assessment tool to learn about each child's development. Use the results of the assessment to: 1) set goals with families for each child's learning and development 2) plan learning activities that build upon each child's strengths and provide opportunities for further growth and 3) recognize any areas of concern regarding individual child development. At Step 4 all requirements of Step 1, Step 2, and Step 3 must be maintained. Additionally the program must develop warm and supportive relationships with children and help children develop positive relationships with each other. Place an emphasis on children's interests, motivations and points of view in daily activities and interactions. Facilitate children's critical thinking and language development through interactions with children. These items are assessed using the Classroom Assessment Scoring System (CLASS).

7.7 Accreditation Support

7.7.1 Does the State/Territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?

Yes, the State/Territory has supports operating State/Territory-wide.

Describe the supports for all types of accreditation the State/Territory provides to child care centers and family child care homes to achieve accreditation

Child Care Aware of North Dakota offers technical assistance to all types of programs if a program has an interest in pursuing accreditation. The technical assistance will vary with each program depending upon their needs and requests. The consultants with Child Care Aware of North Dakota use a strength based approach while working with the programs.

Yes, the State/Territory has supports operating as a pilot or in a few localities

Describe:

- No, but the State/Territory is in the development phase
- No, the State/Territory has no plans for development

7.7.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Describe:

The Lead Agency will review document activities and outputs specifically the number of programs who have become accrediting during the year against the number of programs that were accredited in the state previously. These numbers are reviewed to see if the number of programs that are accredited are increasing or decreasing. The Child Care Aware® of ND "Mega" Report centrally located on Google Docs and available, with the most current data entries, to measure this activity.

7.8 Program Standards

7.8.1 What other State/Territory or local efforts, if any, is the State/Territory supporting to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development?

Please describe:

Child Care Aware of ND understands the importance of collaborating to extend the reach of quality services. The future for Early Head Start and Child Care partnerships looks bright and Child Care Aware of ND can foster these partnerships. Collaborating with Prevent Child Abuse North Dakota will afford additional Ages and Stages Questionnaire screens. Potential exists to collaborate with DPI for early childhood training and with health entities on health, safety, nutrition and physical activity. Child Care Aware® of ND will continue to collaborate with Cass Clay United Way to continue Bright and Early efforts. Child Care Aware of ND will also continue a collaboration with Child Care Aware of America to provide exceptional family member services.

7.8.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Describe:

Child Care Aware of ND along with Prevent Child Abuse North Dakota have purchased the online data software to allow programs to enter the Ages and Stages Questionnaire screenings. The screenings that are completed and entered will be able to be shared and viewed with the child care program, parents, as well as the consultants with Child Care Aware of ND. This measure will be reviewed and plans will be developed by the child care program and the parents on how to best support the development of the child. The Lead Agency will continue to peruse early childhood trainings with Department of Public Instruction (DPI) and other entities and conduct evaluations on the trainings as measures to evaluate the effectiveness of the training materials and the format the training was given in. This information will then be used in future development of these training opportunities. The states Quality Rating and Improvement System Bright and Early, contracted to Child Care Aware of ND, measures are built into each step and as a provider is rated. The quality measures that are used are the Environmental Rating Scales, CLASS, and a curriculum review, as the provider builds on each step they are given a rating with is the measure of their quality. The state reviews the documented activities and outputs in the Child Care Aware® of ND "Mega" Report centrally located on Google Docs and available, with the most current data entries, to measure these activities. Specifically the state is looking at how many programs are participating and they level they are rated at and also the changes in the rating levels from one year to the next.

7.9 Other Quality Improvement Activities

7.9.1 List and describe any other activities the State/Territory provides to improve the quality of child care services and describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving provider preparedness, child safety, child well-being, or entry into kindergarten.

The Lead Agency contracts with Child Care Aware of ND for The Inclusion Support Program. This program is made available through state funds. The Inclusion Support Program makes grant funding and technical assistance available to licensed early childhood service providers in North Dakota who care for children with special needs ages birth through 12 years old.

The program is designed to help home and center-based providers create and maintain an inclusive environment that supports children with disabilities or developmental delays to learn, grow, play, and develop alongside their classmates in a natural setting. The screenings that are completed and entered will be able to be shared and viewed with the child care program, parents, as well as the consultants with Child Care Aware of ND. This measure will be reviewed and plans will be developed by the child care program and the parents on how to best support the development of the child. The Lead Agency will also review documented activities and outputs in the Child Care Aware® of ND "Mega" Report centrally located on Google Docs and available, with the most current data entries, to measure these activities.

8 Ensure Grantee Program Integrity and Accountability

Under CCDF, program integrity and accountability activities are grounded in the State/Territory's policies for implementing the CCDF program. For error rate activities, reviews are based on the State/Territory's own CCDF policies. The CCDBG Act of 2014 made sweeping changes to the program requirements. With these changes, the State/Territory has an opportunity to change their own policies to reduce the burden for participants and staff as they build in safeguards to maintain program integrity. For example, the new law focuses on eligibility requirements at the time of eligibility determination and allows for a minimum 12-month period of eligibility before redetermination, which lessens the need for participants to continually provide documentation. This, in turn, relieves the State/Territory from the burden of constantly "checking" on participants which can open the door for miscalculations, lost paperwork, and other errors.

Lead Agencies are required to have accountability measures in place to ensure integrity and to identify fraud or other program violations. These accountability measures should address administrative error, including unintentional agency error, as well as program violations, both unintentional and intentional. Violations may or may not result in further action by the Lead

Agency, including those cases suspected of and/or prosecuted for fraud.

8.1 Program Integrity

8.1.1 Describe how the State ensures that their definitions for violations have been modified, staff trained, and program integrity procedures revised to reflect new requirements.

Describe:

The Lead Agency modifies any changes to definitions and ensures program integrity procedures. Definitions for violations as well as program integrity procedures have been reviewed to ensure compliance with the new requirements. Policy, program integrity procedures and eligibility determinations are uniform state wide which allows for an easy implementation of new requirements.

8.1.2 Describe how the State/Territory ensures that all staff are informed and trained regarding changes made to its policies and procedures to reflect new CCDF requirements.

Check all that apply.

- Issue policy change notices
- Issue new policy manual
- Staff training
 - Orientations
 - Onsite training
 - Online training
- Regular check-ins to monitor implementation of the new policies.

Describe:

- Other.

Describe:

8.1.3 Describe the processes the Lead Agency will use to monitor all sub-recipients, including those described in Section 1, such as licensing agencies, child care resource and referral agencies, and others with a role in administering CCDF.

The Lead Agency is responsible for ensuring effective internal controls over the administration of CCDF funds. 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.

Definition: "Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency (2 CFR 200.93). Two CFR Part 200, Subpart A provides additional information on contractors (which may be referred to as "vendors"). The description of monitoring must include, but is not limited to, a description of the written agreements used, a schedule for completing the tasks, a budget which itemizes categorical expenditures consistent with CCDF requirements and indicators or measures to assess performance. Additional items for discussion may include: fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, and monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified."

Describe:

The Lead Agency has a contractual relationship with one sub-recipient, Child Care Aware, to provide statewide Child Care Resource and Referral coverage. The contract is based on an approved budget and work plan. The contract includes reporting requirements from which the Early Childhood Services (ECS) Administrator can monitor outcomes from the contract work.

The ECS Administrator is responsible for fiscal monitoring of the sub-recipients. As a sub-recipient, the CCR&R agencies must submit monthly requests for reimbursement. Itemized expenditures are closely monitored according to the work plan and approved budget. In addition, the Lead Agency performs fiscal reviews on these contracts at a minimum of 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.

8.1.4 Describe the activities the Lead Agency has in place to identify program violations and administrative error to ensure program integrity using the series of questions 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. Lead Agencies are required to have processes in place to identify fraud or other program violations.

a) Check which activities the Lead Agency has chosen to conduct to identify unintentional or intentional program violations.

Share/match data from other programs (e.g., TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))

Run system reports that flag errors (include types)

Describe:

The following reports are generated in order to identify errors:

- Open, suspended and pending cases
- CCA Adjustments by Provider
- Duplicate Child SSN Report
- 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 Reliacard)
- Payment made via EFT (direct deposit)

Review of enrollment documents, attendance or billing records

Conduct supervisory staff reviews or quality assurance reviews

Audit provider records

Train staff on policy and/or audits

Other.

Describe:

None.

Describe what measures the Lead Agency plans to put in place to address program integrity along with action steps and completion timelines:

b) Check which activities the Lead Agency has chosen to conduct to 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) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))

Run system reports that flag errors (include types)

Describe:

The following reports are generated in order to identify errors:

- Open, suspended and pending cases
- CCA Adjustments by Provider
- Duplicate Child SSN Report
- 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)
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- Payment made via EFT (direct deposit)

Review of enrollment documents, attendance or billing records

Conduct supervisory staff reviews or quality assurance reviews

Audit provider records

Train staff on policy and/or audits

Other.

Describe:

None.

Describe what measures the Lead Agency plans to put in place to address program integrity along with action steps and completion timelines:

8.1.5 Which activities (or describe under "Other") the Lead Agency will use to investigate and collect improper payments due to program violations or 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.

a) Check which activities (or describe under "Other") the Lead Agency will use for unintentional program violations?

Require recovery after a minimum dollar amount in improper payment.

Identify the minimum dollar amount: **\$1.00**

Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement)

Recover through repayment plans

Reduce payments in subsequent months

Recover through State/Territory tax intercepts

Recover through other means

Establish a unit to investigate and collect improper payments.

Describe:

Other.

Describe:

None.

Describe what measures the Lead Agency plans to put in place to address the investigation and recovery of misspent funds due to unintentional program violations, including action steps and completion timelines

b) Check which activities the Lead Agency will use for intentional program violations or fraud?

- Require recovery after a minimum dollar amount in improper payment.

Identify the minimum dollar amount: \$1.00

- Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement)
- Recover through repayment plans
- Reduce payments in subsequent months
- Recover through State/Territory tax intercepts
- Recover through other means
- Establish a unit to investigate and collect improper payments.

Describe composition of unit below

- Other.

Describe:

- None.

Describe what measures the Lead Agency plans to put in place to address the investigation and recovery of misspent funds due to fraud, include action steps and completion timelines:

c) Check which activities the Lead Agency will use for administrative error?

- Require recovery after a minimum dollar amount in improper payment.

Identify the minimum dollar amount: \$1.00

- Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement)
- Recover through repayment plans
- Reduce payments in subsequent months
- Recover through State/Territory tax intercepts
- Recover through other means
- Establish a unit to investigate and collect improper payments.

Describe composition of unit below

Other.

Describe:

None.

Describe what measures the Lead Agency plans to put in place to address the investigation and recovery of misspent funds due to administrative error, including action steps and completion timelines

8.1.6 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

The Lead Agency is required to impose sanctions on clients and providers in response to fraud.

Disqualify client.

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

The Lead Agency disqualifies clients who have committed an intentional program violation. Clients are disqualified from receiving subsidy services for a period of:

- 6 months for the first offense
- 12 months for the second offense
- Permanently for the third offense

An individual may appeal an adverse action by submitting a request for a fair hearing within 30 days from the date of notification of the adverse action. The request must be in writing, signed and mailed to the Department of Human Services Appeals Supervisor.

Disqualify provider.

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

The Lead Agency disqualifies providers who have committed an intentional program violation. Providers are disqualified from receiving subsidy services for a period of:

- 6 months for the first offense
- 12 months for the second offense
- Permanently for the third offense

An individual may appeal an adverse action by submitting a request for a fair hearing within 30 days from the date of notification of the adverse action. The request must be in

writing, signed an mailed to the Department of Human Services Appeals Supervisor.

Prosecute criminally

Other.

Describe: