Utah 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 Utah 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 Utah 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 Utah CCDF Plan - The Plan describes the CCDF program to be administered by Utah 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 Utah 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

Jon Pierpont, Executive Director
Utah Department of Workforce Services
140 East 300 South
Salt Lake City, Utah 84111

Dear Executive Director Pierpont:

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 Utah 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 Utah 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 Utah 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: Tracy S. Gruber, Director, Utah Office of Child Care
Kathy Link, Assistant Director, Utah Office of Child Care
Karen Knoll-Moran, Regional Program Manager, Office of Child Care Region VIII

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

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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: Utah Department of Workforce Services

Address of Lead Agency: 140 East 300 South, Salt Lake City, Utah 84111

Name and Title of the Lead Agency Official: Jon Pierpont, Executive Director

Phone Number: 801-526-9210

E-Mail Address: jpierpo@utah.gov

Web Address for Lead Agency (if any): jobs.utah.gov

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: Tracy S. Gruber

Title of CCDF Administrator: Director, Utah Office of Child Care

Address of CCDF Administrator: 140 East 300 South, Salt Lake City, Utah 84111

Phone Number: 801-526-9265

E-Mail Address: tgruber@utah.gov

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

Name of CCDF Co-Administrator: Kathy Link

Title of CCDF Co-Administrator: Assistant Director, Utah Office of Child Care

Phone Number: 801-526-9230

E-Mail Address: klink@utah.gov

Description of the role of the Co-Administrator:

The role of the Co-Administrator is to act as the Assistant Director of the Child Care Program and assists with the day-to-day operations of Utah Operations. This includes strategic planning, administrative oversight, and establishing program priorities.

c) Primary Contact Information for the CCDF Program:

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

Web Address for CCDF program (for the public) (if any): http://jobs.utah.gov/occ

Web Address for CCDF program policy manual (if any):

Web Address for CCDF program administrative rules (if any):
http://www.rules.utah.gov/publicat/code/r986/r986-700.htm

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 Workforce Services, Utah Office of Child Care

Name of Lead Contact Tracy S. Gruber

Subsidy/Financial Assistance (section 3 and section 4)

Agency/Department/Entity Department of Workforce Services, Utah Office of Child Care

Name of Lead Contact Ann Stockham Mejia

Licensing/Monitoring (section 5)

Agency/Department/Entity Utah Department of Health, Division of Child Care Licensing

Name of Lead Contact Simon Bolivar

Child Care Workforce (section 6)

Agency/Department/Entity Utah State University, Child Care Professional Development Institute and Utah Afterschool Network

Name of Lead Contact Leah Schilling and Carrie Stott (CCPDI); Emilie Holdaway (UAN)

Quality Improvement (section 7)

Agency/Department/Entity Department of Workforce Services, Utah Office of Child Care

Name of Lead Contact JoEllen Robbins and Tricia Davis

Grantee Accountability/Program Integrity (section 8)

Agency/Department/Entity Utah Department of Workforce Services, Eligibility Services Division

Name of Lead Contact Leslie Henderson

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.

- [x] 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?

- [x] 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.

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

- [x] 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.

The Utah network of six Care About Childcare (CAC) agencies, assist families in locating child care either via telephone contacts or through the consumer education website, careaboutchildcare.utah.gov. The website and offices provides parents with the ability to locate child care by location, child care setting, age of care, vacancies and whether a provider cares for children with special needs, among other criteria.

☐ 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)(I)(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:

In 2015, the Lead Agency established the CCDF Reauthorization Steering Committee.The Steering Committee began meeting in March, 2015 and continued meeting until December 2015. The Committee did not meet during the summer, as the Lead Agency awaited additional guidance from the federal Office of Child Care on implementing the new law. The Steering Committee met six times and was consulted on several components of the plan, including background checks, increasing access to high-

quality programs, consumer education and performance measures.

The committee included representatives from all of the required partners, including some optional partners. This Committee included a representative from Utah's largest county, Salt Lake County, to represent local government. Additionally, the Lead Agency worked with several committees developing the plan. Members of those committees include representatives from local government and local state agencies: The Office of Child Care Advisory Committee, the Child Care Licensing Residential and Home Advisory Committee and Private Child Care Advisory Committee and Early Childhood Utah Committee.

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

Describe:

The Lead Agency is represented on the Early Childhood Utah Committee, Utah's State Advisory Council on Early Childhood Education and Care. Similarly, a representative from that Committee served on the CCDF Reauthorization Steering Committee. The State Plan was reviewed by Early Childhood Utah, members of whom include representatives from Utah's Early Intervention program, Office of Home Visiting, Head Start Association, Utah Department of Health, Utah Association for the Education of Young Children, children's advocacy organizations, organizations representing children with special needs, and the State Office of Education.

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)(I)(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

The Lead Agency shared the State Plan with all tribes represented in Utah. The process is as established by the Governor's Office through an Executive Order. All tribes have an opportunity to review the plan and provide any feedback to the Lead Agency for incorporation. As the Lead Agency receives feedback from the Tribes it will take the feedback under consideration. Any changes to the State Plan will be made through amendment. This process will be followed by the Lead Agency with every policy or program change made during the effective dates of the State Plan.

In addition, a member of the Ute Tribe is represented on the OCC Advisory Committee. This Advisory Committee received and reviewed the plan prior to submission.

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

☑ State/Territory agency responsible for public education.

Describe:

The Utah State Office of Education, Early Childhood Education Specialist is a member of the Utah Office of Child Care Advisory Committee, which participated in the drafting and review of the State Plan. Additional consultation regarding the Plan took place with the 21st Century Community Learning Center Specialists, who is a partner for the after school programs and regular consultant on state plan activities in that area.

☑ 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 Director of Utah's Help Me Grow program co-chairs the Early Childhood Utah Committee, which was involved in the drafting and review of the State Plan. Additionally, the director was invited to participate in the CCDF Reauthorization Steering Committee. Moreover, Help Me Grow is part of Utah's Early Intervention program and assists parents obtain resources for children with developmental challenges and other special needs.

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

Describe:

University of Utah, Utah State University, Weber State University and Utah Valley University were involved in the establishment of the State Plan through their CAC agencies, which are part of their early childhood development programs. These entities meet monthly and regularly consulted for child care needs and impact on early childhood

education programs, provider professional development and developing a skilled child care workforce.

☑ State/Territory agency responsible for child care licensing.

Describe:

The Utah Department of Health, Bureau of Child Development, Child Care Licensing Program serves on the OCC Advisory Committee, as well as the CCDF Reauthorization Steering Committee. In addition to serving on the committees, the Lead Agency coordinated closely with the Child Care Licensing Program (CCL) in the development of the State Plan. The Lead Agency and CCL had several meetings to discuss coordination on requirements related to the consumer education requirements, health and safety requirements and background checks. CCL made several changes to its consumer education page to correspond with the requirements and engaged in several meetings to establish the health and safety requirements for license-exempt programs. The Lead Agency continues to work cooperatively with CCL to ensure all CCDF requirements are met.

☑ State/Territory office/director for Head Start State collaboration

Describe:

The Head Start Collaboration Office is located within the Lead Agency and is a member of the OCC staff. As a result, the Head Start State Collaboration Office director participated in the drafting and review of the State Plan. Additionally, the Plan was shared with members of Utah's Head Start Association.

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

Describe:

The CCDF Reauthorization Steering Committee included a representative from Salt Lake CAP Head Start, one of Utah's recipients of an Early Head Start-Child Care Partnership Grant.

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

Describe:

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

Describe:

☐ 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:

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

Describe:

☑ McKinney-Vento State coordinators for Homeless Education.

Describe:

McKinney-Vento State Coordinators are housed within the Utah State Office of Education (USOE). Although not a required partner in the development of the State Plan, the USOE representative on both the OCC Advisory Committee and CCDF Reauthorization Steering Committee was involved in the development of the plan and the requirements related to serving homeless children. For example, the Steering Committee engaged in a robust discussion regarding the necessary training for child care providers in caring for homeless children.

☑ State/Territory agency responsible for public health.

Describe:

The Department of Health, through its Bureau of Child Development has two representatives serving on the CCDF Reauthorization Steering Committee. Those representatives included the Director of Child Care Licensing and the Director of Early Childhood Utah.As noted, the Steering Committee met six times during 2015 to discuss the development of the State Plan. This consultation included representatives from the Department of Health. Moreover, Early Childhood Utah, which is administered by the Department of Health, reviewed the plan and assisted in its development. Specifically, Early Childhood Utah assisted the Lead Agency with the development of the protocol for developmental screenings.

☐ State/Territory agency responsible for mental health.

Describe:

☐ State/Territory agency responsible for child welfare.

Describe:

☐ State/Territory liaison for military child care programs.

Describe:

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

Describe:

The Department of Health, through its Bureau of Child Development has two representatives serving on the CCDF Reauthorization Steering Committee. Those representatives included the Director of Child Care Licensing and the Director of Early Childhood Utah.

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

Describe:

The Lead Agency is responsible for all Temporary Assistance for Needy Families programs. As a result, the Plan is developed with the involvement of the TANF agency. Members of the Lead Agency's staff that are directly involved in TANF assist in the development of the child care program and its integration and coordination with TANF. Representatives from the division overseeing TANF met regularly with the Office of Child Care, to evaluate the changes to CCDF and determine necessary rule and policy changes, as well as system programming changes that were necessary as a result of the Reauthorization. This regular coordination ensures that the new policies are integrated across Lead Agency divisions.

☑ State/community agencies serving refugee or immigrant families.

Describe:

The Lead Agency is also responsible for Utah's Office of Refugee Services (ORS). As a result the plan is developed in consultation with the ORS staff. ORS staff and OCC staff meet to discuss the child care needs of refugee and immigrant families, including the needs of refugee child care providers.

☑ Child care resource and referral agencies.

Describe:

The Lead Agency contracts with community-based agencies and institutions of higher education to operate Utah's CAC network. Representatives from two of the CACs served on the CCDF Reauthorization Steering Committee. In addition, the directors of all of the six CACs meet monthly and were directly involved in the State Plan components that involve the activities of their programs. The CAC directors participated in the drafting of the plan, reviewed the plan and provided feedback.

☑ Provider groups or associations.

Describe:

The Utah Private Child Care Association, the Utah Private Family Child Care Association, the Utah Association for the Education of Young Children, the Head Start Association and the Utah Afterschool Network serve on the OCC Advisory Committee, which was involved in the development of the plan. Several of those organizations are also represented on the CCDF Reauthorization Steering Committee, which reviewed the State Plan. This included the UPCCA and the UPFCCA.

☑ Worker organizations.

Describe:

The Executive Director of the Utah AFL-CIO served on the CCDF Reauthorization Steering Committee.

☑ Parent groups or organizations.

Describe:

Utah does not have any parent groups or organizations. However, the CCDF Reauthorization Steering Committee included a parent representative who had utilized Utah's child care program to ensure that the perspectives of parents utilizing the program were represented in the drafting of the State Plan.

☑ Other.

Describe:

The CCDF Reauthorization Steering Committee included a representative from Utah's Women in the Economy Commission (WIEC). The individual is a former state legislative leader and former chairwoman of the WIEC. Additionally, representatives from advocacy organizations served on the CCDF Reauthorization Steering Committee, including Voices for Utah Children and the United Way of Salt Lake. Additionally, individual child care providers served on the Committee this included a center owner and License-

Exempt providers.

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: 01/06/2016

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.
The notice of public hearing was posted on jobs.utah.gov/occ. An email was sent to child care providers and interested child care parties throughout Utah. All materials posted on jobs.utah.gov follow a set of standards for web design, ensuring accessibility to people with disabilities.

c) Date(s) of public hearing(s): 01/29/2016

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 Lead Agency hosted two public hearings, to accommodate varying schedules. The hearings were both held in Salt Lake City, Utah at the Lead Agency's office. The public was invited to participate in three ways: join in person; online via Go To Meeting; or by telephone. The three methods of participation allowed for statewide involvement in the hearings.

e) Describe how the content of the Plan was made available to the public in advance of the public hearing(s) The State Plan was posted on the Lead Agency's website on January 7, 2016. The public notice contained the URL to access the State Plan.

f) How will the information provided by the public be taken into consideration in the provision

of child care services under this Plan? The Lead Agency reviewed all public comments in February, 2016, prior to final submission to the federal Office of Child Care. Several comments were submitted orally, during the public hearing, and others were submitted in writing. The Lead Agency reviewed all of the public comments and evaluated whether comments required revisions to the State Plan. Where appropriate, revisions were made to the plan. It is worth noting that the majority of the comments were not suggestions to the plan itself; rather simply general comments about the Lead Agency's child care program. The Lead Agency maintains record of all public comments.

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 State Plan was presented to the OCC Advisory Committee, a public forum, at its January 2016 meeting. The notices for the meetings are posted publicly and made available one week prior to the meeting.

☑ Working with child care resource and referral agencies.

Describe:

Prior to public comment, the draft State Plan was released through a notice distributed from the CAC agencies. Additionally, the link to the Plan was provided on careaboutchildcare.utah.gov.

☐ Providing translation in other languages.

Describe:

☑ Making available on the Lead Agency website.

List the website:

The State Plan was publicly posted on Lead Agency's website, jobs.utah.gov/occ, upon release for public comment.

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

Describe:

The Lead Agency posted the State Plan through its Facebook and Twitter accounts.

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

Describe:

Notification of the availability of the State Plan was sent to provider groups, advocacy organizations, community stakeholders and other interested stakeholders not otherwise

represented on either the OCC Advisory Committee or the CCDF Reauthorization Steering Committee.

☐ 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:

Currently, Utah has limited public funding for preschool. However, the Lead Agency is

involved in several efforts involving expanding high-quality preschool in the state. Currently, the Director of the Office of Child Care (OCC) is a member of Utah's School Readiness Board, a state entity responsible for distributing a modest amount of state funds to high-quality, preschool programs operating in public schools and in private child care programs. As the state considers expanding preschool, representation on this Board will be important. The goal of the involvement is to ensure that public funding to preschool is used to increase capacity of high-quality preschool programs in both the public and private sectors. Moreover, involvement in this effort will ensure that low-income children, covered by child care subsidies, have access to high-quality preschool throughout the state.

Additionally, OCC has recently been invited to attend all meetings of Utah's Head Start Association. In this capacity, OCC is hoping to coordinate with the Head Start State Collaboration Office Director to ensure families in Head Start are properly transitioned to the public school setting in Kindergarten. In addition, the relationship with the Head Start Association has been critical as the Lead Agency assists programs with the Early Head Start-Child Care Partnerships. These partnerships have required assistance with identifying and contacting families receiving child care subsidy to participate in the Early Head Start Programs, as well as navigating eligibility policies for child care subsidies. The goal of this partnership is to expand opportunities for children receiving subsidy to attend the high-quality, Early Head Start program and eventually transition to the full Head Start program.

The Lead Agency has also been involved in Utah's Pay for Success efforts, which involves the private financing of high-quality preschool for low-income children. It has assisted two organizations that have been instrumental in establishing these programs, United Way of Salt Lake and Voices for Utah Children. Those partnerships have led to increased quality preschool programs among private child care providers serving high numbers of subsidy-covered children. The goal of this partnership is to increase capacity of high-quality preschool programs throughout the state.

Finally, the Lead Agency has been working closely with the Utah State Office of Education (USOE), Early Childhood Education Specialist to leverage professional development technical assistance opportunities for the both public and private preschool programs through the evidence-based program, Reaching Potentials Through Recommended Practices (RP2). The USOE received a technical assistance grant to implement RP2, practices designed to improve outcomes for young children either with, or at-risk of

developmental delays and disabilities. In that model, internal educators will be trained as coaches for programs. Those coaches, in turn coach, other providers on a regular basis. USOE has involved the Lead Agency in this grant and a similar model will be implemented in private child care programs. There are two primary goals of this effort: (1) prepare children for kindergarten; and (2) increase continuity of care through a better trained workforce. It will also ensure that providers will have access to affordable coaching that will lead to lower turnover of providers and increased continuity of care for children. The grant is in its initial phase and will continue during the term of the state plan. In the long-term, the partnership is expected to expand to other school districts and private providers throughout the state.

☑ [REQUIRED IF APPLICABLE] Tribal early childhood programs.

Describe, including which Tribes coordinating with:

Upon CCDF Reauthorization, the Lead Agency met with the Paiute and Ute Tribes to discuss methods of coordination of child care programs.Although the Lead Agency attempted to meet with the Northwest Band of the Shoshone Nation, a meeting did not occur. The Lead Agency will continue to make efforts to meet with this tribe in the coming months. The goal of these meetings is to provide the tribes the opportunity to leverage the resources of the Lead Agency to serve the needs of tribal families and ensure efficient operation of the tribal child care programs. As a result of the meetings with the Paiute and Ute Tribes, the Ute Tribe is represented on the Office of Child Care Advisory Committee. Additionally, the Ute Tribe will utilize the professional development courses available through the CACs. In addition, the Paiute Tribe entered into a Memorandum of Agreement (MOA) with the Lead Agency and the Child Care Licensing Program to inspect tribal programs to ensure they are meeting CCDF's health and safety requirements. The Lead Agency will continue to engage in ongoing communication with the Tribes to ensure that they are supported and assist them in providing high-quality child care to their tribal members. This may include helping Tribes improve the learning environments of their programs, through the release of quality grants specific to the needs of license-exempt, tribal child care programs. There are several goals related to this partnership. However, the goals related to expanding accessibility and continuity of care include ensuring that the children residing on the reservation have access to high-quality child care programs. Additionally, the Lead Agency is assisting the Tribe in determining existing needs for tribal members in child care programs in surrounding communities to ensure those members have access to high-quality child care.

☐ 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 is a participating member of the Early Childhood Utah Committee, which includes representatives from Utah's Baby Watch Early Intervention program. The goal of the committee is to coordinate all early childhood programs in Utah. The Committee meets quarterly. In coordination with Baby Watch, Utah's Help Me Grow connects families of infants and toddlers to resources regarding children with challenges, including disabilities. Help Me Grow and Baby Watch are both connected to child care providers to liaison with parents to these programs.

Additionally, both programs are visible on the Lead Agency's Care About Childcare website, careaboutchildcare.utah.gov.Additionally, the Lead Agency works closely with The Children's Center, a community-based organization serving the needs of children with disabilities and social-emotional challenges. The Lead Agency contracts with The Children's Center to hire and train Infant/Toddler Specialists responsible for providing coaching and technical assistance to child care providers serving infants and toddlers. The Children's Center also provides mental health training and consultation to providers caring for children with developmental and emotional challenges. It has developed training curriculum in these areas for practitioners and providers. Over the next three years, the Lead Agency will be exploring the needs for these services statewide and may expand services based on the need.

The goal of this coordination is to both ensure that children with disabilities are receiving access to quality child care, as well as ensure early detection of disabilities through coordination of outreach to administer development screenings to families of children in child care. Moreover, the coordination will ensure that families are linked to comprehensive services that can address the needs of children with disabilities.

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

Describe:

The Lead Agency includes the state's Division of Housing and Community Development. This Division is engaged in serving Utah's homeless population and supporting homeless services providers. As a result, child care is incorporated in discussions with serving the

needs of homeless families.

Additionally, the Lead Agency has engaged in a relationship with the state's largest homeless shelter, The Road Home, ensuring these programs are trained in the social and emotional needs of children experiencing homelessness. This relationship is providing an opportunity to educate the homeless community of the importance of high-quality child care. The Lead Agency places caseworkers in the Road Home, dedicated to serving the needs of these families, which includes connecting them to employment, medical and financial assistance for child care. It also includes assistance to families needing to locate quality child care providers. The Lead Agency is also participating in an ongoing dialogue with all of the state's homeless services providers regarding the establishment of environments suitable to meet the needs of children served in their shelters.

Moreover, the Lead Agency has dedicated outreach staff serving the needs of families in jeopardy of losing housing. The Office of Child Care communicates regularly with these outreach workers.

The goal of the coordination with these programs is to ensure access to programs for children experiencing homelessness and ensure that homeless providers communicate to families the importance of high-quality child care and continuity of care for children experiencing homelessness.

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

Describe:

The Lead Agency coordinates with the Department of Human Services (DHS), Division of Child and Family Services (DCFS), through its Advisory Committee. DHS has a representative on that Committee. Although the Lead Agency does not provide child care subsidies to foster parents, the needs of foster children in child care are unique given the stress and trauma often experienced by children in foster care. The goal of the coordination is to ensure that foster children have access to high-quality, child care that is responsive to their unique needs, while preparing them for kindergarten.

☑ State/Territory agency responsible for child care licensing.

Describe:

The Lead Agency coordinates with the Utah Department of Health, Bureau of Child Development, Child Care Licensing Program (CCL) on an ongoing and regular basis. This

ongoing coordination ensures that all child care programs receiving CCDF are meeting all licensing requirements. Additionally, CCL provides additional technical assistance to providers failing to meet licensing requirements, thereby improving the health and safety of the children in their care. Moreover, CCL maintains a data system that allows parents to review the licensing reports of all licensed, child care providers. The system that CCL maintains communicates with the Lead Agency's data system, allowing the Lead Agency to evaluate the adequacy of programs throughout the state. As the Lead Agency continues to implement CCDF and continues to evaluate the statewide needs of child care, the CCL system and the information contained within it, will be a valuable resource in determining those needs. The goals of the coordination are to ensure that there is alignment and access to quality child care programs throughout the state.

☑ State/Territory agency with Head Start State collaboration grant.

Describe:

The Head Start State Collaboration grant and its Director are housed within the Lead Agency. As a result, there is close coordination between the activities of Head Start programs and child care. Currently, the collaboration office is working toward meeting the goals established in its strategic plan. Several of the goals align with ensuring continuity of care for children participating in Head Start, including supporting the transition to school, among Head Start children. Additionally, the Collaboration Director and the Lead Agency are involved in supporting the Early Head Start-Child Care Partnerships in Utah. Much of that coordination involves supporting families receiving subsidy and receiving care in programs participating in the partnership, as well as extending care to Head Start families for full-day care through the Lead Agency's subsidy program.

☑ State Advisory Council authorized by the Head Start Act.

Describe:

The Lead Agency coordinates with its State Advisory Council, Early Childhood Utah (ECU). The Lead Agency has a voting position on ECU, which provides an effective forum for raising issues related to expanding accessibility and continuity of care. Additionally, ECU includes representatives across the state, in the public, private and non-profits sectors, that comprise Utah's early childhood systems. Since the state does not have one specific entity responsible for early childhood, ECU is critical in breaking down systemic silos to ensure the early childhood system is as coordinated as possible. The goal of the coordination with ECU is to assist in aligning various systems responsible for providing quality services for young children and their families. Moreover, the Lead Agency is working with ECU to develop a

network of leadership and individuals who have expertise to serve as coaches and mentors to those in the early childhood community. This partnership will lead to increased knowledge among caregivers regarding developmentally appropriate behavior, as well as methods of guiding children more effectively and keep them engaged. The goal of this effort is to decrease the number of children excluded from programs due to behavior issues, which increases continuity of care.

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

Describe:

The Lead Agency is collaborating closely with Early Head Start-Child Care Partnership Programs. The Lead Agency is assisting those partnerships in navigating the eligibility requirements for families to receive child care subsidy thereby ensuring families maintain eligibility to continue participating in programs. Although the Lead Agency is not changing eligibility requirements, it is working closely with partnerships to help them and the families navigate the extensive requirements of the subsidy program to ensure subsidy remains, when possible. The goal of this coordination including ensuring children participating Early Head Start-Child Care partnership programs remain eligible for care within these programs, which supports continuity of care for the children.

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

Describe:

☑ Child care resource and referral agencies.

Describe:

The Lead Agency funds six, child care resource and referral agencies (CACs), referred to as Care About Childcare (CAC), throughout Utah. These agencies are directly involved in the child care program. The agencies provide consumer education for parents; training classes for providers to align with Utah's Career Ladder Program; support providers in the administration of the subsidy program; and provide extensive resources for parents and providers regarding the importance of high-quality child care; and assisting providers to become licensed. Through coordination with the CACs, the Lead Agency meets several of its responsibilities under CCDF. There are several goals associated with the coordination. Those goals include: providing quality child care across a variety of settings; providing comprehensive training to child care providers regarding quality child care, including care to vulnerable populations; and enhancing and aligning quality services by ensuring a well

trained workforce. All of the activities of the CACs ultimately expand access to quality child care throughout the state.

☑ State/Territory agency responsible for public education.

Describe:

Utah State Office of Education (USOE) is represented on the OCC Advisory Committee. In that capacity, USOE coordinates with Lead Agency in meeting the educational needs of young children, although USOE only serves children in grades, kindergarten through twelfth grade. Recently, the coordination has occurred in the area of high-quality preschool; establishing quality afterschool programs; and developing Utah's Early Learning Standards. Through its work with USOE, the Lead Agency is ensuring that children receiving child care are prepared to enter school, while aligning high-quality child care with the preschool curriculum. With respect to the coordination for afterschool programs, the partnership ensures that children receive high-quality programming that aligns with the school curriculum and the social-emotional needs of school-age children throughout the state.

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

Describe:

Recently, the Lead Agency through its Head Start State Collaboration Director began working closely with all Utah institutes of higher education to join the National Center for Quality Teaching and Learning (NCQTL) National Consortia. As a result of this coordination, Utah institutes were selected by NCQTL to pilot online early childhood coursework. Additionally, this coordination requires that Utah's institutes of higher education offer at least one NCQTL course, as designed.

The goal of this coordination is to provide access to uniform early childhood coursework for child care providers regardless of program type. This uniformity in training will promote continuity of care, align quality services and prepare children as they transition to school.

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

Describe:

The Lead Agency engages in close and regular coordination with the Child and Adult Care Food Program Coordinator at the Utah State Office of Education to ensure child care programs participate in the program. The coordination includes regular communication with the State'sCACs; participating in the OCC Advisory Committee meetings; and connecting new child care programs to the program. Recently, the CACFP began serving afterschool programs and providing snacks to children after school. The coordination also works to

ensure that Tribal entities are eligible to participate in CACFP. The goal of the coordination is to ensure that children receiving subsidy have their nutritional needs met. When child care programs are connected to the CACFP, additional resources are brought into the program, which allows programs to remain in operation.

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

Describe:

☐ 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 Childhood Home Visitation programs grant.

Describe:

The Lead Agency coordinates with the Utah Department of Health, Office of Home Visiting. This coordination includes developing strategies to connect eligible families to home visitation services. It also includes assisting the Office of Home Visiting in determining the existing need of home visitation throughout the state. There are multiple goals of this coordination but the goal with respect to Section 1.4, relates to coordinating services for eligible for families.

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

Describe:

☑ State/Territory agency responsible for public health.

Describe:

The Lead Agency coordinates with multiple divisions of the Department of Health, including those divisions within its Bureau of Child Development, which includes the Office of Home Visitation, Child Care Licensing and Early Childhood Utah. The goals of that coordination include coordinating services to parents and children to ensure children's health care needs are met; care is delivered in a healthy and safe environment; and all services related to early childhood throughout Utah are coordinated and aligned.

☐ State/Territory agency responsible for mental health.

Describe:

☑ State/Territory agency responsible for child welfare.

Describe:

The Utah Department of Human Services, Division of Child and Family Services is represented on the Office of Child Care Advisory Committee. The Division consults with the Lead Agency in the development of policy that impacts children in custody of the state, as well as policies related to abuse and neglect. The goal of this coordination is to ensure that there is alignment of child care to children in custody, as well as ensuring the safety of all children in child care.

☐ State/Territory liaison for military child care programs.

Describe:

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

Describe:

The Lead Agency is also the agency responsible for employment services and workforce development. As a result, there is close coordination between the Lead Agency's division responsible for employment services and workforce development, and the Office of Child Care. Specifically, the Lead Agency operates over twenty-five employment centers throughout Utah. In each of those centers, staff works with families with child care needs to assist them in enrolling in child care, as well as providing resources to parents to locate child care programs throughout Utah.

Additionally, the Lead Agency has an internal working group devoted to coordination across employment, workforce development and child care. On a regular basis, this group evaluates policies, statutes and rules related to the programs. This close coordination ensures that Utahns receiving employment services are connected to quality child care and child care customers who lose employment are directly connected to the Lead Agency's reemployment services.

This close coordination not only improves service delivery to eligible families, it also ensures that the new requirements of the CCDF Reauthorization are implemented in an effective way, while meeting the intent of the Act to expand accessibility throughout Utah to serve families receiving employment and workforce development services and ensure continuity of

care through implementation of policies that promote that continuity. It also provides value as the Lead Agency implements the new requirements of the Workforce Investment and Opportunities Act (WIOA).

The goal of this close coordination is to expand access to high-quality child care to parents receiving employment services. It also aligns and coordinates services for these families and links comprehensive services to families.

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

Describe:

The Lead Agency is also the agency responsible for TANF. As with the division responsible for employment and workforce development, there is close coordination between the Lead Agency's divisions responsible for TANF and child care. Specifically, the Lead Agency operates over twenty-five employment centers throughout Utah. In each of those centers, TANF caseworkers work with families with child care needs to assist them in enrolling in child care, as well as providing resources to parents to locate child care programs throughout Utah.Additionally, the Lead Agency has an internal working group devoted to coordination between TANF and child care. On a regular basis, this group evaluates policies, statutes and rules related to the programs. This close coordination ensures that Utahns receiving TANF, as well as programs serving TANF-eligible families, are connected to quality child care.

The goal of this close coordination is to expand access to high-quality child care to TANF-eligible families. It also aligns and coordinates services for these families and links comprehensive services to families.

☑ State/Territory community agencies serving refugee or immigrant families

Describe:

The Lead Agency coordinates with community agencies serving refugee or immigrant families primarily through the Lead Agency's Office of Refugee Services, Salt Lake County and its CACs. The Lead Agency serves on an advisory group for refugees, which is devoted to early childhood. Through this group, the Lead Agency is providing support to refugee child care providers to become trained and licensed; assisting in the operation of a child care/Head Start partnership program in Utah's newly opened, The Refugee Education and Training Center; and ensuring newly relocated refugees have access to child care while they settle into their lives in Utah.

The goal of this coordination is to ensure that refugee families have access to quality child care that promotes child development and is capable to address the trauma they may have experienced before arriving in the United States. It also ensures that refugee children have access to child care that will prepare them their formal education.

Additionally, the Lead Agency's program to assist refugee child care providers to either become licensed or regulated Family, Friend and Neighbor (FFN) providers, is important to expanding access to this vulnerable population.

☑ Provider groups or associations.

Describe:

The Lead Agency coordinates with three of Utah's provider organizations: Utah Association for the Education of Young Children (UAEYC), Utah Professional Family Child Care Association (UPFCCA) and Utah Private Child Care Association (UPCCA). All three organizations are represented on the Office of Child Care Advisory Committee. Moreover, the Lead Agency is in regular communication with the leadership in these organizations and frequently attends professional development conferences where the Lead Agency seeks input on the child care program.

The goal of this coordination includes ensuring access to quality child care. It does this through ongoing communication with associations to understand the resource needs of providers so that grants and subsidy amounts are assisting providers in moving toward higher quality.

☑ Worker organizations.

Describe:

The Lead Agency coordinates with the State AFL-CIO. The Executive Director of the AFL-CIO is represented on the CCDF Reauthorization Steering Committee. This coordination is allowing the Lead Agency to address the needs of women receiving training through the AFL-CIO, while addressing their child care needs. As a result of this coordination, the Lead Agency is evaluating its policies related to job training and ensuring that union members are aware of Utah's child care program.

The goal of this coordination is to expand accessibility of child care to women participating in job training programs.

☐ Parent groups or organizations.

Describe:

☑ Other.

Describe:

The Lead Agency coordinates with several associations and advocacy organizations devoted to improving the quality of child care. The Lead Agency coordinates closely with the Utah Afterschool Network (UAN), which ensures that families of school-age children have access to high-quality, afterschool and out-of-school time options. Additionally, the Lead Agency coordinates closely with Utah's primary children's advocacy organization, Voices for Utah Children (Voices). One of Voices primary advocacy initiatives involves improving the quality of child care during early childhood both through child care providers and preschool. Similarly, the Lead Agency coordinates closely with the United Way organizations throughout Utah but primarily United Way of Northern Utah, United Way of Salt Lake and United Way of Utah County--the state's three largest United Way organizations.

The goal of coordinating with advocacy organizations and associations is to ensure that the Office of Child Care continues it improve the quality of child care throughout the state and develops a program that incorporates research and policies that will promote high-quality child care in early childhood and throughout formal education of Utah children.

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"

The Lead Agency defines combined funds, as those funds from varying resources that are braided to expand access and improve quality of child care throughout the state. Combined funds also includes funding identified by the Lead Agency as match.

Which funds will you combine

The Lead Agency combines the following funds: Head Start, TANF, CCDF, State funds, local public funding and qualified program (donated) funding.

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

The primary goals of combining funding are as follows: (1) increasing subsidy reimbursement rates to increase quality in child care programs throughout Utah; (2) expand programming throughout the state through grant opportunities; (3) smoothing transitions for children from preschool to Kindergarten, Kindergarten to first grade, and from elementary to middle school; (4) extending services to include summer programming; (5) increasing availability of services to rural, high-poverty communities; and (6) extended care for children participating in Early Head Start and Head Start programs, beyond the standard Head Start day.

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

The Lead Agency primarily combines CCDF and TANF to enhance the child care subsidy program. These combined funds allows the Lead Agency to provide a subsidy reimbursement rate sufficient to improve quality in child care programs serving large numbers of children eligible for child care subsidies. TANF is also combined with CCDF to provide grants to providers to improve quality in programs, and extend and increase services to vulnerable populations.

CCDF is combined with state funds in two ways: (1) increase state capacity to provide high-quality preschool to economically disadvantaged children; and (2) provide access to high-quality, afterschool programs for school-age children experiencing intergenerational poverty.

Finally, CCDF is combined with local, public funding and qualified program (i.e. donated) funding, enabling the Lead Agency to increase access to high-quality school-age programs throughout the state. For example, Salt Lake County and the United Way of Salt Lake combine CCDF public and donated funding to expand services in targeted, low-income regions. Similarly, the Lead Agency partners with qualified programs to combine CCDF with qualified private funds to increase and enhance the professional development of preschool providers. These combined funds are ensuring that child care providers are providing high-quality preschool to low-income children.

How are the funds tracked and method of oversight

The Lead Agency tracks and reports all expenses from federal funding streams, including CCDF and TANF. Additionally, funds identified by the Lead Agency as match are provided by the designated partners on an annual basis through forms created by the Lead Agency. Where funds are expended through grants, the funding is tracked throughout the grant year via an electronic form submission The forms are submitted and reviewed by the Lead Agency.

☐ 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.

The Lead Agency has several partnerships among state agencies, local public agencies, private entities, and community-based organizations to leverage existing service delivery systems and to increase the supply, access and quality of child care services for children through age 12. The following describes those partnerships and outlines the goals of the partnerships.

School-Age Quality Program Expansion
The Lead Agency is engaged in several partnerships to increase access to high-quality, school-age child care programs throughout the state. The commitment to increasing access to school-age program has led to the establishment of programs in vulnerable populations throughout the state, including schools serving a large share of intergenerational poverty children.

Entities and the corresponding levels at which the Lead Agency is partnering, include the following: Utah State Office of Education (USOE) (state level); various community-based organizations; Utah Afterschool Network (UAN) (community-based organization); and various local governments (county/local).

The goal of these partnerships is to ensure that school-age children have access high-quality,

school-age programming regardless of the community in which they reside.

Examples of the Activities of the partnerships: These partnerships are sharing data across systems to ensure that resources are properly leveraged to the appropriate communities. For example, through a needs assessment and mapping of afterschool program services, Sandy City was able to expand afterschool programming to a low-income, high need area by leveraging resources and partnerships with the Lead Agency, Sandy City, Salt Lake County and the Boys and Girls Clubs.

Another example of the activities of the partnership involves providing valuable professional development and technical assistance to school-age providers. Through the partnership with USOE and UAN, the Lead Agency is leveraging existing services to increase the quality of child care providers. Together, the partnership ensures that school-age providers receive ongoing professional development and receive technical assistance to improve the quality of their school-age programs.

Refugee Child Care Program

The Lead Agency is engaged in a partnership to ensure that refugee children have access to high-quality child care, while their parents are assimilating to their new country and attaining job skills.

Entities and the corresponding levels at which the Lead Agency is partnering, include the following: Church of Jesus Christ of Latter Day Saints (faith based organization); Office of Refugee Services (state level); Salt Lake Community Action Partnership (community-based organization); Salt Lake Community College (county/local); Salt Lake County (county/local); and Utah State University (state level).

The goal of the partnership of is to increase quality of child care services to refugee children, through age 12. An additional goal is to provide child care to refugee families needing life skills training and job training within the state.

Examples of Activities for the Partnerships: The Lead Agency, through its CACs in Salt Lake City is partnering with Salt Lake County to provide training and professional development to refugee child care providers to ensure the providers understand health and safety requirements, social-emotional development of children, and the importance of high-quality child care. The partnerships organizes in-person training at The Refugee Education and Training Center. It also provides support to ensure providers either become licensed family providers or regulated FFN providers.

A second example of the partnership is the development of child care and Head Start program located at The Refugee Education and Training Center. Although in the preliminary stages, Salt Lake CAP and the Lead Agency are developing a complementary Early Head Start, Head Start and child care program to ensure refugee families attending training classes have a high-quality

program in which to enroll their children. Head Start will utilize the facility during normal program hours and a private child care provider will operate the program during non-traditional hours while classes are held at the training center.

Increasing Access to High-Quality Preschool

The Lead Agency is involved in public-private partnership to increase access for economically disadvantaged children to high-quality preschool.

Entities and the corresponding levels at which the Lead Agency is partnering, include the following: USOE (state level); Governor's Office of Management and Budget (GOMB) (state level); Granite School District (county/local); United Way of Salt Lake (community-based organization); Goldman-Sachs (private entity); Pritzker Foundation (private entity); and the Early Childhood Technical Assistance Center.

The goal of the partnership is to increase the capacity of high-quality preschool programs throughout Utah, thereby ensuring that economically disadvantaged children have access to high-quality programs that will prepare them for kindergarten.

Examples of the Partnership: The Lead Agency, USOE and GOMB are working together to leverage state funds to provide grants to private child care providers and school districts to implement ten components of a high-quality preschool program, as established in Utah Code. Providers eligible to receive grants through the partnership must be serving economically disadvantaged children.

A second example of the activities engaged in the partnership include provide technical assistance and professional development to both teachers in public schools and private child care providers, through a grant received from the Early Childhood Technical Assistance Center. USOE and OCC selected a target area to provide training to providers in both sectors to ensure providers are training in developmentally appropriate care, particularly for children experiencing developmental delays or at risk of having disabilities.

Increasing Access to High-Quality Child Care in Rural Communities

The Lead Agency is leveraging resources in rural communities experiencing high rates of intergenerational poverty to increase capacity of high-quality programs in these communities. Entities and the corresponding levels at which the Lead Agency is partnering, include the following: San Juan County Commission (county/local); San Juan Foundation (community-based organization); Utah State University (state level); San Juan School District (county/local); and Rural Utah Child Development Head Start.

The goal of the partnership is leverage the federal, Rural IMPACT grant that San Juan Foundation received to develop a two-generation program to meet the needs of the County that experiences high rates of childhood poverty. Through the development of the plan, the need to increase access to high-quality child care has been identified and prioritized. The partnership

will coordinate to ensure this need is met.

Examples of partnership activities include the following: The Lead Agency is represented on the planning committee for the Rural IMPACT grant and has convened the Rural Utah Child Development Head Start and the San Juan School District to assist in developing a plan to provide high-quality child care and school-age programming to the San Juan County community. Although in its early stages of development, the partnership has led to the development of afterschool programs within schools of the highest needs.
In addition, a partnership with Carbon School District has led to the development of afterschool programs within school of the highest needs.

Improving Professional Development in Child Care
The Lead Agency is engaged in a public-private partnership to improve the professional development of child care providers.

Entities and the corresponding levels at which the Lead Agency is partnering, include the following: Utah Association for the Education of Young Children (UAEYC) (community-based organization); The Children's Center (private entity); Ute Tribe (tribal entity); Child Care Professional Development Institute (state level); Utah Academy of Pediatrics; and Care About Childcare (state level and local level).

The goal of this partnership is to increase the quality of child care through providing extensive and affordable professional development opportunities to providers. Moreover, the partnership leverages existing professional development resources to provide opportunities to Tribal child care providers, without establishing a separate professional development structure for those providers.

Examples of the partnership include the Early Childhood Conference, which is organized each year by UAEYC. The conference provides an opportunity for child care providers throughout the state to convene and learn best practices in child care, focusing on child development. Similar conferences are conducted in the rural communities served by the CACs in those regions of Utah. Each year, two of the CACs organize and conduct professional development conferences for all types of providers, including Tribal, center, and family providers. The fees are heavily subsidized and continuing education credits are awarded.

A second example of the partnership involves connecting providers serving Tribal programs to the Lead Agency's, Care About Childcare training classes. Tribal programs receive notices of the training schedule and are encouraged to participate in classes.

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&Ragencies 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 Lead Agency contracts with six child care resource and referral agencies, referred to collectively as Care About Childcare (CAC). The CAC agencies operate with a common

and coordinated scope of work, with a few exceptions noted below. Among the agencies, four of the six are located in higher education institutions. Of the remaining two, one is located in a non-profit organization and the other within a government association. The four located in higher education institutions work under Inter-Agency Agreements with formal contracts. The Lead Agency contracts with the remaining two to work under sub-recipient agreements.

The CAC agencies provide families with a full range of child care options and information, made possible through the utilization of shared access statewide databases. The information provided includes a search feature on the CAC website, allowing parents to evaluate the availability of child care, type of child care, hours of operation, licensing monitoring history and locations of child care providers within a geographic radius of the parents' work or home. The information also includes quality activities in which providers are participating, resources to assist in selecting high-quality providers, care for children with disabilities, ages of children in care and care during non-traditional hours. Additionally, to address issues for parents concerned about their child's development or to help them find resources for children with disabilities, the CAC website contains a link to Baby Watch. Baby Watch is Utah's Early and Periodic Screening, Diagnosis and Treatment program under the Medicaid program carried out under Title XIX of the Social Securities Act, and developmental screening services available under section 619 and part C of the Individuals with Disabilities Education Act (IDEA). The Baby Watch website displays information regarding parents' rights and the IDEA that can be found here: http://www.utahbabywatch.org/forparents/parentsrights.htm

The CAC agencies also provide consumer education materials in person, on the phone or through email correspondence.

Materials sensitive to levels of literacy and English language learners are available and disseminated to consumers to help them make an informed he CAC agencies track and maintain data regarding the supply and demand for child care in local areas and regions. Each CAC Agency is tasked with the recruitment and retention of child care providers and for making its services known to the community. Agencies also survey providers annually regarding their training needs and overall satisfaction with the Lead Agency , and the local CAC agency within each service delivery area. Additionally, the CAC agencies are required to administer grant programs to assist providers. Specifically, the

agencies administer a grant that supports providers in participating in the Lead Agency's QRIS, and achieving quality criteria. The agencies also administer a grant that supports family providers in becoming licensed. The grant assists in offsetting the costs of meeting the state's licensing requirements.

The main responsibility of the CAC agencies is to train providers in best practices in the early childhood field. Each of the agencies organizes a training calendar with classes that align with Utah's Career Ladder program. This requires the agencies to hire and train the trainers staffing the classes.

Finally, two of the CAC agencies have additional requirements that do not apply to the others. For example, the CAC at Utah State University (USU), administers the Child Care Professional Development Institute (CCPDI). CCPDI is responsible for Utah's Professional Development System, including the Career Ladder Program. CCPDI also designs training curriculum; administers scholarships to child care providers; and awards annual wage supplements, which are referred to as Professional Development Awards.

☐ 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) 09/30/16

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 following requirements are implemented: Child care providers receiving CCDF have in place procedures for staff and volunteers to receive emergency preparedness training and practice drills with children. 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.

Unmet requirement - Identify the requirement(s) to be implemented 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)

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.)

Continuing CCDF assistance - Task/Activity #1: Lead Agency is currently coordinating with the DWS Continuity of Operations Plan (COOP) Committee to include child care subsidy payments as an essential function.

Projected start date for each activity: 01/01/2016
Projected end date for each activity: 09/30/2016
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

DWS COOP Committee

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.)

Continuing CCDF assistance - Task/Activity #2: Lead Agency is forming a committee of required community partners to develop a statewide child care disaster plan.

Projected start date for each activity: 01/01/2016
Projected end date for each activity: 09/30/2016
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

Dept. of Health (Child Care Licensing), CACs, Lead Agency Emergency Preparedness Committee, DWS section of COOP, Utah State Office of Education, Dept. of Public Safety (Div. of Emergency Management), Head Start, Dept. of Human Services, Save the Children.

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.)

Continuing child care services - Task/Activity #3: CAC agencies are required by the Lead Agency to develop and have available regional emergency disaster preparedness plans. The CACs are contacting local emergency agencies to ensure that child care is included in those plans. Included in those plans will be provisions for temporary child care.

Projected start date for each activity: 01/01/2016
Projected end date for each activity: 09/30/2016
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

Care About Childcare

Local Emergency Agencies

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.)

Continuing child care services- Task/Activity #4: The Lead Agency will coordinate with Licensing regarding temporary operating standards for child care after an emergency or disaster.

Projected start date for each activity: 01/01/2016
Projected end date for each activity: 09/30/2016
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

Dept. of Health (Child Care Licensing)

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 is required by Utah Code §35A-3-2 to conduct an annual needs assessment to assess critical child care needs throughout the state and focus program activities on meeting those needs. Additionally, beginning in 2016, the CAC agencies are required to conduct a regional needs assessment. Both of these assessments, assist in identifying potentially eligible families.

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 works with the following partners to assist in outreach to eligible families:

-Care About Child Care Agencies

-Child Care Providers
-Local Governments
-Higher Education
-Non-profit organizations, faith-based organizations and community-based organizations.
-Service providers to vulnerable populations, for example refugees and homeless families.
-Labor organizations
-Local businesses
-Divisions of the Lead Agency serving TANF-eligible families, refugees, unemployed, SNAP and Medicaid-eligible families

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

The Lead Agency implements the following strategies to outreach to eligible families:

(1)The Lead Agency coordinates with its communications department to engage in social media advertising and targeted outreach. Specifically, the Lead Agency utilizes CCDF and the state's Child Care Trust Fund to contract with private advertising agencies that utilize web-based marketing techniques to outreach to consumers that are actively entering child care related search terms into their search browser. When an ad campaign is active and potential consumers enter search terms related to child ads appear that drive the user to the Lead Agency's consumer website, Care About Childcare. The Lead Agency utilizes the same approach with Facebook ad campaigns.

(2) The Lead Agency's consumer website, Care About Childcare, prominently displays "hot buttons" located on the parent webpage. These links connect parents to the online information resources, including information on child care financial assistance. Included in that information is the ability to request child care referral services.

(3) The Lead Agency engages with its partners to provide information to targeted populations of families. Additionally, the Lead Agency distributes materials to child care providers statewide, to share with parents.

(4) The Lead Agency distributes materials to all of Utah employment centers and involves staff within in those centers to distribute information on the child care program, to potentially eligible families.

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

- [x] Electronically via online application, mobile app or email.

  Provide link jobs.utah.gov/mycase

- [ ] In-person interview or orientation.

  Describe agencies where these may occur:

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

  Describe:

  The Lead Agency locates eligibility outreach workers at locations serving refugees, homeless families and all of its employment centers located throughout the state. These workers assist customers with the online application process.

- [x] 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:

  The Lead Agency has a unified application for the following programs: Child Care, Financial, SNAP and Medical Assistance. Customers may apply for all or a combination of programs on that one 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 availabe 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

The Lead Agency provides information regarding the full diversity of child care services through its CAC agencies and the CAC website; which is ADA compliant to ensure accesibility to persons with disabilities. These agencies provide coordinated, statewide consumer information to parents of eligible children, child care providers and the general public. The agencies provide this information through utilization of a shared access, statewide databases.

The information provided includes a search feature on the CAC website, allowing parents to evaluate the availability of child care; type of child care; hours of operation; licensing monitoring history; and locations of child care providers within a geographic radius of the parents workplace or home. The information also includes quality activities in which providers are participating; resources to assist in selecting high-quality providers; care for children with disabilities; ages of children in care; and care during non-traditional hours. The

CAC agencies also provide consumer education materials in person, on the phone or through email correspondence.

Materials sensitive to levels of literacy and English language learners are available and disseminated to consumers to help them make an informed decision regarding the child care setting that meets the individual needs of the family.

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

Through the Lead Agency's, Care About Childcare website, a parent can develop an individualized list of child care programs available to suit their family needs. The parent utilizes search functions and filters on the website. These functions and filters include geographic locations of providers within a specified mile radius of home or work; programs serving specified ages of children; programs with vacancies, by ages of children; availability of preschool activities; availability of services for special needs children; and presence of specified quality criteria. The website also includes provider mission statements and photos of their programs, where the provider has voluntarily offered to provide that information to prospective families.

The website features a parent page which includes links to concise written summaries on quality child care, checklists for selecting quality child care, as well as short video clips with easy to understand guidance on steps parents should take when choosing care. here is a link for parents to contact their local CAC agency if help from a staff member is preferred. . In addition to information on child care programs throughout the state, the website includes information on alternative options for child care, such as Head Start programs and license-exempt, afterschool programs for school-age children.

The CAC website also features a tab for providers that allows them to utilize the website for a number of purposes that include: 1. Locate a variety of resources available on CAC to help them assist families in crisis. 2. Access to information on healthy development of children, developmental screenings and other child related information. 3. Find resources containing information on how to open a quality center or family home child care. 4. Create or manage a personal, professional development plan using a unique user name and password to view previously completed training courses and plan for upcoming training offerings. 5. The CAC database is used to communicate important messages to providers when needed. Email blasts are sent out periodically to inform providers of upcoming changes in policy of the Lead

Agency, upcoming grant opportunities or other important information.

Although the information contained on the website is in English, the website contact page includes phone numbers for Spanish speakers to contact, if they need assistance finding and choosing child care.

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

The Lead Agency partners with its CAC agencies to make information about the full diversity of child care choices available. Through the CAC, information is regularly collected from Utah's licensed child care programs and the Child Care Licensing Program to ensure information is current. This allows parents to receive accurate information and informed decisions.

The Lead Agency also partners with the Utah Afterschool Network (UAN), to make information available regarding afterschool and out-of-school time options throughout the State.

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 Lead Agency provides information regarding the quality of child care services through the CAC agencies. These agencies provide coordinated, statewide consumer information to parents of eligible children, as well as the general public. The agencies provide this information through utilization of shared access, statewide databases.

Information about quality child care is located both on the CAC website as well as at each CAC Agency. Brochures, booklets and other written materials are available to anyone that visits a CAC Agency. If anyone contacts the referral line of any CAC Agency staff are available to assist them and can share with them information on quality child care. Packets

are sent to families' homes or via email as a follow up to provide materials that can aid a family as they look at child care facilities.

Additionally, The CAC website is available for consumers twenty four hours a day. The website provides information on quality child care in general, as well as specific information regarding what a consumer may want to look for when visiting programs. All licensed providers with no civil money penalties are featured on the CAC website. When a search is completed for a specific provider, the licensing record of the facility is easily accessible to all consumers. A provider may also elect to create what is called a "marketing page" where photos, program philosophy, mission statements and other information the provider wishes to make available. Providers may also elect to participate in the CAC quality criteria. Any provider that has applied for quality criteria that has been evaluated and approved will have those items displayed for consumers to view.

Materials sensitive to levels of literacy and English language learners are available and disseminated to consumers to help them make an informed decision regarding the child care setting that meets the individual needs of the family.

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

Through the Lead Agency's, Care About Childcare, a parent can develop an individualized list of child care programs available to suit their family needs. The parent utilizes search functions and filters on the website. These functions and filters include geographic locations of providers, within a specified mile radius of home or work; programs serving specified ages of children; programs with vacancies, by ages of children; availability of preschool activities; availability of services for special needs children; and presence of specified quality criteria. The website also includes provider mission statements and photos of their programs, where the provider has voluntarily offered to provide that information to prospective families.

Additionally, the website parent page includes links to concise written summaries on quality child care, checklists for selecting quality child care, as well as short video clips with easy to understand guidance on steps parents should take when choosing care. Additionally, there is a link for parents to contact their local CAC agency, for additional assistance. In addition to information on child care programs throughout the state, the website includes information on alternative options for child care, such as Head Start programs and license-exempt, afterschool programs for school-age children.

Although the information contained on the website is in English, the website contact page includes phone numbers for individuals that speak Spanish to contact if a parent needs assistance from a Spanish speaker.

c) Describe who you partner with to make information about child care quality available

The Lead Agency partners with its CAC agencies to provide information to parents regarding quality child care and what to look for when contacting and visiting programs. Through the CAC database,, information is regularly collected from Utah's licensed child care programs and the Child Care Licensing Program to ensure information is current. This allows parents to receive accurate information to make informed decisions.

The Lead Agency also partners with the Utah Afterschool Network (UAN), to make information available regarding quality afterschool programming to parents and the general public.

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)

The Lead agency has a universal application for child care, TANF, SNAP and Medical programs. The application is available through the Lead Agency's website.

b) Head Start and Early Head Start Programs

The Lead agency coordinates with Child Care Resource and Referral to provide links to Head Start and Early Head Start Programs on Care About Childcare. Additionally, through the Early Head Start/Child Care Partnerships, the Lead Agency is providing information to parents in those programs, through the agencies and providers.

c) Low Income Home Energy Assistance Program (LIHEAP)

Lead agency provides information on LIHEAP at the local employment centers, through the state resource program, 211ut.org, and its website. Additionally, Care About Childcare contains information and relevant links on LIHEAP.

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

The Lead agency provides information on SNAP through its universal application. Additionally, information regarding SNAP is available on the Care About Childcare resource page.

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

The Lead Agency provides information on WIC, at the time of application for child care assistance. For families that do not apply for child care assistance, this information is available through 211ut.org and careaboutchildcare.utah.gov.

f) Child and Adult Care Food Program(CACFP)

The Lead Agency provides information on the CACFP through its CAC agencies, as well as through careaboutchildcare.utah.gov.

g) Medicaid

The Lead agency provides information on Medicaid through its universal application. Additionally, information regarding Medicaid is available on the Care About Childcare resource page.

h) Children's Health Insurance Program (CHIP)

The Lead Agency provides information on CHIP through its universal application. Additionally, information regarding CHIP is available through Care About Childcare's resource page.

i) Individuals with Disabilities Education Act (IDEA)

The Lead agency coordinates with Care About Childcare to provide links to the federally designated IDEA resource agencies, namely the Utah Parent Center (part B), and Baby Watch (part c) through the resource page.

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

N/A

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

The Lead Agency provides information on home visitation programs through Care About Childcare, connecting families to the statewide resource network, 211ut.org and Child Care Licensing. Additionally, the CAC agency located in Salt Lake County also serves as the "Parents As Teachers," provider. As a result, eligible child care families are referred to

Parents As Teachers.

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)

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

b) Head Start and Early Head Start Programs

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

c) Low Income Home Energy Assistance Program (LIHEAP)

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

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

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

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

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

f) Child and Adult Care Food Program(CACFP)

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

g) Medicaid

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

h) Children's Health Insurance Program (CHIP)

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

i) Individuals with Disabilities Education Act (IDEA)

As noted above, prominent, permanent links to services related to this program are available in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

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

N/A

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

As noted above, prominent, permanent links to services related to this program are available

in multiple locations on the Care About Childcare website (careaboutchildcare.utah.gov); the Lead Agency's public website (jobs.utah.gov/occ); and Child Care Provider Portal (jobs.utah.gov/childcare). The information is provided in the "top ten" resources document that is both hand-delivered and emailed to providers.

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

The Lead Agency makes information about research and best practices in child development available to parents, providers and the general public primarily through Care About Childcare. he CAC agencies provide information to parents, providers and the general public through the work they do in the community. For providers, this information is largely disseminated through training classes, resource nights, CDA consultation, and other outreach performed by the CAC agencies and its qualified coaches and technical assistance consultants.

Additionally, the Lead Agency publishes and distributes the state's early learning guidelines statewide to parents, early childhood professionals, and other individuals working with parents and families. The preschool guidelines were published in English and Spanish.

Finally, the Lead Agency contracts with an Early Childhood Mental Health Non-Profit organization called The Children's Center to provide information to parents and providers. The Children's Center provides support to providers and parents regarding typical development and how to promote optimal development of young children. They provide resources, technical assistance, and specialized training.

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

The Lead Agency provides information regarding research and best practices in child development through the following methods: written materials, direct communication through training classes and conferences, Care About Childcare, and regular communication emails to providers, which includes highlight research and best practices in child development, when research is made available.

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

The Lead Agency partners with its CAC agencies, the Department of Health, Early Childhood Utah, Child Care Licensing Program, the Child Care Professional Development Institute and The Children's Center. Note that several of the CAC agencies are locating within the early childhood development programs at institutions of higher education.

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 provides information to parents on the social and emotional development and mental health of young children, through its contracts with The Children's Center and the CAC agencies.

The Children's Center provides parents with consultative services over the phone, including, educating the parent on age appropriate behavior and expectations, problem solving verbally with parents regarding what the parent has tried and what other options there may be, sending the parent resources regarding healthy social/emotional

development, observing the child within their child care setting to provide support to staff and parents to manage the child more effectively.

Where necessary, The Children's Center will educate parents on the developmental needs of their children and in some instances, refer children to The Children's Center's mental health group. These services are offered to parents free of charge.

Parents also receive information through the CAC agencies. These agencies provide 12, ten-hour based training courses available to parents centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. Classes are advertised through Care About Childcare and open to parents at a nominal fee. In addition, Care About Childcare provides extensive information to parents on child development through its "Child Development," resource page.

Finally, Infant/Toddler and Preschool Early Childhood Guidelines are provided to parents free of charge through the OCC grant programs, conferences, community early childhood organizations, community events, online, in training classes and through the Lead Agency's, CAC agencies. Both of the guidelines include information on childhood social and emotional development and methods of fostering it in infants and young children. The Infant/Toddler Guidelines emphasize these issues more robustly than the Preschool Guidelines.

ii. Providers

The Child Care Licensing Program requires and verifies that every licensed child care provider receives some training and information on principles of child growth and development, including development of the brain and positive guidance before they begin caring for children. Each year the caregiver remains in the field they must receive additional training on these topics.

Additionally, The Children's Center provides consultative services to providers of all care types. These services are provided to assist providers when behavioral problems become challenging or developmental concerns arise in programs. The Children's Center staff provide on-site support to programs through observation and feedback, technical assistance and modeling of desired interactions. One of the goals of these services is to

help providers develop the skills necessary to manage children presenting more challenging behaviors, thereby reducing the likelihood of expulsion.

The CAC agencies provide 12, ten-hour based training courses available to providers centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. Classes are advertised through Care About Childcare and open to providers at a nominal fee. In addition, Care About Childcare provides extensive information to providers on child development through its "Child Development," resource page.

Finally, Infant/Toddler and Preschool Early Childhood Guidelines are provided to providers free of charge through the OCC grant programs, conferences, community early childhood organizations, community events, online, in training classes and through the Lead Agency and the CAC agencies. Both of the guidelines include information on childhood social and emotional development and methods of fostering it in infants and young children. The Infant/Toddler Guidelines emphasize these issues more robustly than the Preschool Guidelines.

iii. General public

The Lead Agency provides information to the general public on the social and emotional needs and mental health needs of children through its CAC agencies. These agencies provide 12, ten-hour based training courses available to parents centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. Classes are advertised through Care About Childcare and open to the general public at a nominal fee. In addition, Care About Childcare provides extensive information to the general public on child development through its "Child Development," resource page.

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

The Lead Agency partners with the following agencies to make information regarding social-emotional/behavioral and early childhood mental health available: Care About Child Care agencies; The Children's Center; Child Care Licensing Program; Baby Watch Early Intervention service providers; and Help Me Grow and Early Childhood Utah.

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:

The Utah Department of Health (DOH) leads coordination between agencies regarding developmental screenings for children. Within DOH, Utah's Early Childhood Council is overseen by the Bureau of Child Development. Early Childhood Utah (ECU) set the policies and procedures and shared protocol that is described below regarding developmental screenings. Currently, it is an internal process that is not found in a formal document or administrative rule. However, Early Childhood Utah is currently working with other agencies to develop a formal policy, in writing, that mirrors the current procedure described below. The Lead Agency will integrate its policy for disseminating screening information to providers and parents each March and September within the ECU policy. This will be made available on the ECU website at its completion, projected for the end of June, 2016. Currently, the CAC website prominently displays a link to the Help Me Grow website that describes the process for parents and providers.

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

The Lead Agency assures that information on early and periodic screening is disseminated twice yearly to all child care providers and the families that they serve. The screening tools the Lead Agency promotes are the Ages and Stages Questionnaire (ASQ) and Ages and Stages Questionnaire Social/Emotional (ASQSE). The ASQ and ASQSE are parent completed questionnaires. There are 21 age-appropriate questionnaires for use at 2, 4, 6, 8, 9, 10, 12, 14, 16, 18, 20, 22, 24, 27, 30, 33, 36, 42, 48, 54, and 60 months of age. Each year in September and March the Lead Agency sends a one page informational document to providers regarding the importance of early and periodic screening and how to work with families to assure children are screened at the designated, appropriate intervals. The Lead Agency also send a document for parents with similar information and asks each program to distribute the prepared document to each families. The document includes information on why it is important for children to be screened and when. The documents inform both providers and parents where each can access an ASQ or ASQSE online. Information is shared with parents and providers regarding agencies that provide support to complete the questionnaire and community resources available should the parent or provider be concerned about a child's development after completing the screening.

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

Five entities work in tandem to provide support and resources to families and child care providers regarding developmental screening. The Lead Agency, the CAC Agencies, Early Childhood Utah(ECU), Help Me Grow and Baby Watch Early Intervention Services (Utah's statewide 619/Part C program where children are evaluated for qualification for intervention services) work together to promote developmental screening of children birth-5 throughout Utah.

The Lead Agency funds training classes through the CAC Agencies that teach providers how to use the ASQ and ASQSE, how to support parents in completing the screening tool, how to input data as an "administering agency"(aa), and how to support parents and families in identifying areas where intervention may be needed and connect them to the appropriate resources. The Lead Agency contributes to the funding of a position at Early Childhood Utah for a staff member to provide technical assistance to help providers apply what they have learned in training class and follow through with parents based on the results of the screening. After a representative from a center based program has completed the training, ECU provides support and provides an ASQ screening kit free of charge for the center's use. Family providers receive technical assistance in how to access the ASQ web-site online and how to utilize the questionnaire, tools, resources and activities available there.

The procedure providers are taught are to first, support the parent in completing the questionnaire. Second, connect the parent to an "administering agency" that can input the results to determine whether or not the child is developing typically, needs to be monitored, or shows a possible need for actual intervention. An administering agency could be a child care center, Help Me Grow, or Baby Watch Early Intervention, or another group that qualifies. The administrative agency (aa) provides resources for the parent in one of the following ways: 1) The provider or other aa shares resources with the parent for typically developing children to keep their development moving forward. 2) In the event that a child scores in the "monitoring" zone, the aa connects the parent to the statewide Help Me Grow resource system. This agency assures that the parents are connected to community resources that will help their child reach appropriate developmental milestones. 3) If the results show that a child is appears to be developing below what is considered typical, the aa refers the parent to Baby Watch Early Intervention services. Baby Watch then formally assesses the child and if the child

qualifies, intervention services are provided to the child and family. If the child does not qualify the family is referred back to Help Me Grow for connection to alternative community resources to help the child reach the needed developmental milestones. It is important to note that if a child care program has not registered to be an aa, the document refers parents and providers to Help Me Grow to act as the administrative agency.

Help Me Grow is one of the resources on the Care About Child Care Web-site. The link to more information on Help Me Grow's website is prominently displayed on Care About Child Care's resource page.

☐ 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

The Child Care Licensing Program (CCL) determines whether a complaint is substantiated after an investigation of a complaint is completed. Parents are advised to immediately report complaints to CCL or file a police report. A complaint is substantiated when CCL is able to corroborate an alleged violation of state law or department rule.

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 Child Care Licensing Program tracks complaints through its provider database. Complaints are archived indefinitely in electronic format.

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

The Child Care Licensing Program maintains a list of substantiated complaints, for all provider types. These substantiated complaints are available to the public upon request by phone or in writing. Parents can view public information regarding licensed providers online through CareAboutChildcare.utah.gov.

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

The Child Care Licensing Program follows the same process defining and maintaining complaints from others about providers. People are advised to immediately report complaints to the Bureau and file a police report. An investigation is conducted and upon investigation, substantiated complaints are recorded. A complaint is substantiated when Child Care Licensing is able to corroborate an alleged violation of state law or department rule. Only complaints which did not come from an anonymous source and that happened no more than six weeks of receiving the complaint are investigated. Complaints are maintained by the Bureau through its provider database. Complaints are archived indefinitely.

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.

- [x] Application in other languages (application document, brochures, provider notices)
- [x] Informational materials in non-English languages
- [x] Training and technical assistance in non-English languages
- [x] Website in non-English languages
- [x] Lead Agency accepts applications at local community-based locations
- [x] Bilingual caseworkers or translators available
- [x] Bilingual outreach workers
- [x] Partnerships with community-based organizations
- [x] Other

The Lead Agency contracts with a language line for services.

- [ ] 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 interpretive services for all languages through its language line. Additionally, the Lead Agency has a Spanish speaking team and a Refugee team to assist the majority of non-English speaking customers. The Lead Agency's website offers a translation feature that will translate the website into Spanish. Forms and some information materials are available in Spanish. Similarly, the CAC agencies provide services in Spanish.

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

The Lead Agency has an individual on the Office of Child Care Advisory Committee who represents people with disabilities to ensure that the interests of children and parents with disabilities are represented and the program is responsive to the unique needs of this population. In addition, the Lead Agency's consumer education resource, CAC, includes

information on Utah's Early Intervention Program and the Utah early childhood health network. Finally, in accordance with CCDF, all providers will be distributing resources to parents related to developmental screenings.

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: https://careaboutchildcare.utah.gov

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

The Lead Agency contracts with its CAC agency located at Utah State University and the Child Care Licensing Program to make the monitoring results of licensed providers readily available on the careaboutchildcare.utah.gov website. Information about the results of health and safety monitoring inspections are presented in an easy to read, "plain language" format. Findings are summarized and categorized according to the level of risk, or potential risk to the child. The definitions for the three levels of risk, cited findings and civil money penalties are described on each program's individual monitoring

report. The dates of inspection, dates of correction and definitions for announced, unannounced and "other" inspections are also displayed on each program's monitoring report. The most recent program-specific monitoring report and reports spanning the previous two years are available for every fully licensed program on the CAC website. Citations that occurred prior to the two-year mark can be accessed by contacting the Child Care Licensing Program directly. Consumers are made aware of the ability to obtain earlier reports on each program's monitoring report, where instructions and relevant contact information is provided. Consumers can access license-exempt Family, Friend and Neighbor monitoring reports directly from the Child Care Licensing Program's website. Links to this information is provided on the CAC website.

b) Include a description of health and safety requirements and licensing or regulatory requirements for child care providers. Describe

All citations listed on the program's monitoring report provide a link to the specific rule that is referenced in the cited finding. A description of all health and safety requirements, licensing rules and licensing rule interpretation manuals are available on the Child Care Licensing Program's website. The direct link to this website is available on each child care program's monitoring report and on the Care About Childcare's parent webpage.

c) Include a description of the processes for licensing, background checks, monitoring, and offenses that prevent individuals from being providers. Describe

A description of the processes for licensing, background checks, monitoring and offenses that prevent individuals from being providers is described on the child care program's monitoring report and on the Child Care Licensing Program's website. Additionally, consumers are provided with links to this information from the Care About Childcare website.

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

Similar to above, annual aggregate information about the number of deaths, number of serious injuries and the number of incidences of substantiated child abuse in child care settings are available either through the Child Care Licensing Program's website, or through Care About Childcare.The link to find the report is:
http://childcarelicensing.utah.gov/FileCheck.htm

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

Through the parent page on Care About Childcare, families can complete an individualized search for child care programs that are fully licensed including centers, home providers and/or afterschool programs. Search functions and filters on the website allow consumers to search for care providers within a specified geographical boundary such as the provider's county, city or local area. The website interfaces with Google mapping to give consumers an opportunity to engage in a mileage radius search for child care providers between one and 20 miles from the consumer's home or workplace.

☐ 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)

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

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 childrenfrom 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: Children who are physically or mentally incapable of self-care as determined by an approved, licensed professional, doctor or approved agency.

☐ 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 -

Children must live in the same household as the parent during the time period child care services are requested.

b) in loco parentis -

Specified relatives may be eligible to receive child care payments when the child lives with the specified relative and the parent is not in the same home. Specified relatives are defined as: grandparent, brother or sister (including step, half, or adopted), aunt or uncle, first cousin, nephew or niece, and people of prior generations as designated by the prefix grand, great, or great-great, spouses, any relatives mentioned above even if the marriage has been terminated, and ex-step parents. An unrelated adult who has legal custody of the child is treated the same as a parent.

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 a job or providing a service that pays wages, a salary, or in-kind benefits. Employed in the labor market, on-the-job training or being self-employed are considered work activities for purposes of eligibility determination so long as the occupations are not prohibited by federal or state law and wages are obtained legally. Single parents must be working an average of 15 hours per week; in a two-parent household, one parent must be working an average 15 hours per week while the other parent must work an average of 30 hours per week. Job search is currently limited to current customers who were employed at least 32 hours per week and reported their job loss within 10 days. Up to two months of Job Search Child Care may be given to eligible customers.

* attending job training

Training is defined as participating in a program or course whose intent is to improve the skills, knowledge or employability of the individual. Specific activities include technical

and trade programs or employer-required workshops. Most training activities are time-limited to 24 months.

* attending education

Educational programs are defined asparticipating in a program or course whose intent is to improve the skills, knowledge, or employability of the individual. Specific activities include

college courses, English as a Second Language (ESL), high school and/or GED classes. Certain activities including ESL and obtaining a high school diploma or GED are not time-limited. College degrees are time-limited to 24 months or the last two years of a Bachelor's degree.

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

The individual must also meet the minimum work requirement described in 3.1.3a, or be participating in a TANF employment plan.

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 -

The Lead Agency defines earned income as compensation in cash or in-kind (non-cash) for which a person performs a service. Unearned income is defined as compensation in cash or in-kind where no service has been performed.

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

http://www.federalregister.gov/articles/2015/06/10/2015-14187/the-low-income-home-energy

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	NA	NA	NA	NA	NA	NA
2	4009	3407	2245	56	2806	70
3	4952	4209	2773	56	3466	70
4	5895	5011	3301	56	4127	70
5	6838	5812	3829	56	4787	70

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 are available at http://aspe.hhs.gov/poverty/index.cfm.

c) SMI Source and year Utah uses the 2016 SMI as reported by the U.S. Census Bureau found at https://www.federalregister.gov/articles/2015/06/10/2015-14187/the-low-income-home-energy.

d) These eligibility limits in column (c) became or will become effective on: 10/01/15

e) Provide the link to the income eligibility limits
https://jobs.utah.gov/occ/occ2/forproviders/index.html

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.

- [x] 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

Policy citation: DWS Eligibility Manual Section 410 and Income Table 4. The Lead Agency provides for a graduated phase-out of assistance for families whose income has increased at the time of redetermination. New child care recipients qualify with adjusted income at or below 56 percent of the State Median Income (SMI). At the time of redetermination, customers maintain eligibility until their income exceeds 70 percent SMI.

Customers are notified of the upper income threshold when they are approved for child care assistance. See 3.1.6 for the Action Plan addressing the requirement to count income that temporarily exceeds 85 percent SMI. Once that Action Plan is fully implemented, the 70 percent SMI will only be relevant during the redetermination month. This two-tiered income eligibility approach allows for stability and opportunities for job growth and advancement.

☐ 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) 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) Substantially implemented

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

The eligibility determination process currently takes into account fluctuations in earnings. Several methods, including the use of Quarterly Wage Data, may be used to determine a best estimate of income that is most representative of future and annualized income. Income received in pay periods that is irregular or not representative is excluded from the best estimate of earnings. Income may be anticipated, annualized or averaged to take into account such fluctuations for

seasonal and varying employment.

Unmet requirement - Identify the requirement(s) to be implemented A process for initial determination and redetermination take into account irregular fluctuations in earnings.

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 requirement to count income that temporarily exceeds 85% SMI is unmet. Programming changes and income table changes are needed to complete this requirement. Policy and procedures will be updated for eligibility staff. This will be completed with the implementation of the Twelve-Month Eligibility requirement.

Projected start date for each activity: 12/10/2015
Projected end date for each activity: 09/30/2016
Agency - Who is responsible for complete implementation of this activity The Lead Agency is responsible for making the programming changes and implementation.

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

N/A

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:

At application, the Lead Agency documents and verifies applicant information through a database interface with the Driver's License Department or accepts picture id. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic Imaging system.

☑ Applicant's relationship to the child.

Describe:

At application, the Lead Agency documents and verifies the applicant's relationship to the child(ren) through a Vital Statistics interface for children;verification of relationship by the parent is not required. Parents self certify. Acceptable verification of relationship for specified relatives includes Vital Records, birth certificates and marriage certificates. Court documents are accepted to establish legal guardianship for nonrelated individuals. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic Imaging system.

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

Describe:

At application, the Lead Agency documents and verifies the age of the child through a Vital Statistics interface, birth certificate, Social Security interface or other valid documents including hospital records and adoption records. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system.

☑ Work.

Describe:

The Lead Agency may document and verify work through various sourcesincluding employer statements, check stubs, electronic verification through the Work Number and Quarterly Wage data, and work schedules. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system.

☑ Job Training or Educational Program.

Describe:

The Lead Agency documents and verifies training or education programs through school schedules, course of study and estimated date of graduation. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system. Customers must report within 10 days when they are no longer in an approved training or educational program, or when they no longer need child care coverage.

☑ Family Income.

Describe:

The Lead Agency documents and verifies income through employer and bank statements, customer statement of cash contributions, electronic verification through the Office of Recovery Services, check stubs and selfemployment ledgers. All documentation is maintained electronically through secure eligibility systems or databases and is verified at application and review. Income may include wages, unearned income such as child support, Social Security and unemployment insurance, among other income specified in Utah Administrative Code R986-700-710 and R986-200. Verifications submitted by applicants are scanned and stored in an electronic imaging system. Customers must report changes in family gross income exceeding 70 percent SMI within 10 days.

☑ Household composition.

Describe:

Household composition is only verified if questionable. Landlord statements and collateral contacts may be accepted. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system. Customers must report within 10 days when a parent, step-parent, spouse or former spouse moves into the home, gets married or when a child receiving child care moves out of the home.

☑ Applicant Residence.

Describe:

The applicant self-certifies they are a resident of Utah. Any documentation or collateral contact that reasonably establishes the applicant's residence is accepted. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system. A change of address must be reported within 10 days.

☑ Other.

Describe:

Customers must report a change in child care providers within 10 days. The change is made effective the following month unless multiple providers are needed. Customers may report provider changes in writing, electronically or by phone. The provider change is updated in the eligibility system to ensure the correct provider receives payment.

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 :

An eligibility decision must be made no later than 30 days from date of application.

☑ Track and monitor the eligibility determination process

☑ Other.

Describe:

When a worker screens an application, they check to ensure the application is complete. Customer statement may be accepted for child care need, employment, and provider information. If the household has provided all of the information and appears eligible, Upfront child care will be issued for the first month of the application period. If the application date is after the 15th of the month, the current and following month's benefit will be issued. The cases auto close until requested documentation is received to determine ongoing eligibility.

☐ 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:

State/Territory TANF Agency Utah Department of Workforce Services

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

"appropriate child care":

Appropriate child care is quality child care services that foster a safe, healthy and developmentally appropriate environment for children. Parents may choose from licensed and license-exempt providers who have been approved or certified through Child Care Licensing as meeting the requirements to receive child care funds from the Lead Agency.

"reasonable distance":

Travel that requires less than one hour each way unless the commute time for the community is generally longer.

"unsuitability of informal child care":

Any provider or setting that is not licensed or certified with Child Care Licensing to receive child care funds from the Lead Agency.

"affordable child care arrangements":

An approved provider in the community whose charge for services does not exceed the monthly local market rate established at the 75th percentile.

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

- [ ] In writing
- [x] Verbally
- [ ] Other.

Describe:

- [x] List the citation to this TANF policy.

List:

DWS, Workforce Development Policy Manual, Section 815, Child Care

https://jobs.utah.gov/infosource/EmploymentBusinessManual/DWS_Employment_and_Business_Services_Manual.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

- [x] 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 notchange 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": Special needs children who have physical, social or mental conditions, or special health care needs requiring increases in the amount of care or supervision.

and describe how services are prioritized:

Families with children who have disabilities and/or special needs who require increased supervision have higher income eligibility limits and receive a higher subsidy payment rate. Currently, all eligible applicants receive child care assistance. Were there a time that the Lead Agency could not serve all families, special needs children would be given priority.

b. Provide definition of "Families with very low incomes": Families who are TANF eligible or homeless.

and describe how services are prioritized:

Currently, all eligible applicants receive child care assistance. Were there a time that the Lead Agency could not serve all families, targeted populations including families with very low incomes and homeless families would be prioritized. Copayments are waived for all families with income at or below 100 percent of the Federal Poverty Level (FPL). Additionally, homeless families have a grace period to provide immunization records and may receive Homeless Child Care assistance when referred by a homeless agency.

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)

TANF Child Care and Transitional Child Care will be funded through TANF, not CCDF. However, all families receiving TANF, including those who are at risk of becoming dependent on TANF, are provided with child care assistance as needed when participating in employment or activities leading to employment. Child Care customers who no longer qualify for TANF assistance due to increased earnings receive Transitional Child Care for an additional six months without a copayment. These families continue to receive case management services during this time. When the transitional period ends, Employment Support Child Care, funded through CCDF, is considered without requiring an additional application. Customers who receive Employment Support Child Care are subject to a copayment once their income exceeds 100 percent FPL.

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

Homeless families applying for child care assistance who appear to meet the Employment Support Child Care requirements may receive an Upfront child care payment during the application period. Homeless TANF customers who meet with an

employment counselor may receive an expedited child care payment. The Lead Agency offers a Homeless Child Care program for families who are in sheltered care and do not meet the Employment Support Child Care work requirements. A referral must be provided by the recognized homeless agency to approve Homeless Child Care. Families may receive up to three months of child care to support activities including, but not limited to, employment, job search, training, shelter search, or working through a crisis situation. Additionally, Child Care Licensing requires providers to ensure families are in compliance with immunizations and health and safety requirements. Homeless families are given a three-month grace period to provide immunization records and/or obtain immunizations. The homeless family completes an attestation for the provider establishing they are homeless, granting a grace period to comply with the requirements.

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

The Lead Agency has homeless outreach workers located in shelters and housing sites throughout the State to assist families who are homeless or facing eviction. The workers are trained to assist families in obtaining employment and applying for various types of assistance. Connecting families to child care assistance, Child Care Resource and Referral agencies and other child care services is an important component of this homeless outreach initiative. Additionally, the Utah Office of Child Care presented child care assistance and resource information at a Homeless Conference and coordinates with the outreach teams located at the shelters.

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

N/A. The Lead Agency does not administer child care to children in foster care.

☐ 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

3.3 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) Partially implemented

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

The Lead Agency currently has six-month eligibility periods. Current policies are in place for temporary changes in the current month. For example, if a household change is reported, a family remains eligible through the end of the month. If a customer working at least an average of 32 hours per week loses employment, the customer may use child care for the remainder of the month and receive up to two additional months to job search.

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.)

Programming changes are needed to extend the eligibility period to twelve months and to address other temporary changes in circumstance. Administrative Rules, eligibility policy and procedures must be updated. Training will be provided to eligibility workers. Customers and providers will be educated on the changes. Business requirements have been defined to make the necessary changes. The Lead Agency has several divisions working on this project.

Projected start date for each activity: 12/10/2016
Projected end date for each activity: 09/30/2016
Agency - Who is responsible for complete implementation of this activity The Lead Agency is responsible for making the programming changes and implementation.

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

N/A

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?

- [x] 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

  The Lead Agency will be in full compliance by September 30, 2016. Job Search Child Care is currently offered to current child care customers who are working 32 hours or more per week and lose employment. The change must be reported within 10 days from the date of termination or the last day worked. The customer may receive up to two months of child care assistance for job search. Utah Administrative Rules R986-700-719.

- [ ] 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

The Lead Agency uses electronic verification sources for income and employment. Web based access is available for customer's to apply online, report changes, complete reviews, and view online case status information and notices 24/7. An automated phone system is available to get updated case information as well. The Lead Agency has a statewide Call Center and statewide Imaging System. There is no inperson requirement at application or recertification. Customers may fax requested verifications. The same verifications are used for multiple programs. Many electronic sources are also used to verify information. Upfront child care was implemented to ease the burden of eligibility by approving child care assistance during the application period when a customer appears eligible based on available information. This allows the customer the ability to secure child care and maintain employment while completing the application process.

☐ 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	N/A	N/A	N/A	N/A	N/A	N/A
2	1328.01	44	3%	2245	247	11%
3	1674.01	55	3%	2773	305	11%
4	2021.01	66	3%	3301	363	11%

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)?
5	2368.01	77	3%	3829	421	11%

a) What is the effective date of the sliding fee scale(s)? 04/01/2016

b) Provide the link to the sliding fee scale
https://jobs.utah.gov/occ/occ2/forproviders/index.html

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
- [x] 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
  - [x] Fee is per child up to a maximum per family
  - [x] 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:

  - [x] Other.

Describe:

The income in columns (a) and (d) represent adjusted gross income after allowable standard deductions are taken.

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 $ 1674

☐ 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:

Families at the maximum income eligibility levels do not pay more than 15 percent SMI for

one child in care.

☐ 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:

Customers who initially have income below 56 percent SMI can remain eligible until their income exceeds 70 percent SMI. There are 12 income groups. Customers who fall into income groups one through eight are eligible initially. The additional income groups, nine through 12, help to address the cliff effect so that the copayment is gradually increased as the household income exceeds 70 percent SMI.

☐ 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))

When a parent applies for child care they are instructed to select an approved provider of their choice. A link to www.careaboutchildcare.utah.gov is included on the application for help if they have not yet identified a provider. Consumer education materials are also available through www.jobs.utah.gov and www.careaboutchildcare.utah.gov.

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))

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

Describe

Parents have the option to select an in-home or FFN provider on the application. They are given instructions on how the provider can obtain FFN approval status by complying with the health and safety requirements.

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

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 process for accessing grants or contracts

the range of providers available through grants or contracts

how rates for contracted slots are set for grants and contracts

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

if contracts are offered statewide and/or locally:

- [x] 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):

- [x] Increase the supply of specific types of care with grants or contracts for:
  - [ ] Programs to serve children with disabilities
  - [x] Programs to serve infants and toddlers
  - [x] Programs to serve school-age children
  - [ ] Programs to serve children needing non-traditional hour care
  - [ ] Programs to serve homeless children
  - [x] Programs to serve children in underserved areas
  - [ ] Programs that serve children with diverse linguistic or cultural backgrounds
  - [x] Programs that serve specific geographic areas
    - [x] Urban
    - [x] Rural
  - [ ] Other.

Describe:

- [x] Improve the quality of child care programs with grants or contracts for:
  - [x] Programs providing comprehensive services, such as integrated child care in Head Start, Early Head Start, summer or other programs
  - [x] 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
  - [x] Programs to serve infants and toddlers
  - [x] Programs to serve school-age children
  - [ ] Programs to serve children needing non-traditional hour care
  - [ ] Programs to serve homeless children
  - [x] Programs to serve children in underserved areas
  - [ ] Programs that serve children with diverse linguistic or cultural backgrounds
  - [x] Programs that serve specific geographic areas
    - [x] Urban
    - [x] 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

Child Care Licensing Rules require providers to allow parents to access their children whenever their children are in the care of a provider. This is covered as part of the Provider Licensing Orientation. The Administrative Rule citations addressing this are R381-100/70/60-13(2) and R430-90/50-13-(2).

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:

The provider must be at least age 18.

☐ 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 care when the provider and child live together may only be approved for a special needs situation. The provider must be at least age 18 and not a sibling. A child in the home must have special child care needs as verified and approved by the Lead agency.

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

Describe:

All license-exempt providers are subject to the Family, Friend and Neighbor (FFN) requirements.

☑ Other

Describe:

In-home care may be approved when the child and provider live in separate residences. In-home care is to support the needs of the children residing in the home. A provider must provide care in the provider's home if they choose to provide care for additional families.

☐ 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?

- [x] 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 Lead Agency consulted with local child care resource and referral agencies or Care About Childcare (CAC) agencies and the Workforce Research and Analysis (WRA) Division prior to developing the survey. This was done to ensure that the correct data elements were being collected to be statistically valid. The WRA division of the Department of Workforce Services compiled and analyzed the data. The analysis was shared with the Utah Office of Child Care State Advisory Council.

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 Lead Agency contracts with six Care About Childcare Agencies (CAC) throughout the State. The CACs are contracted to provide community-based care information and child care referral services throughout Utah. A critical component of the CACs work is their contact with child care providers. The CACs track regulated child care providers serving their geographical areas. Child care providers on the CAC databases voluntarily report their child care rates, slots and vacancies. During the study period, Child Care Licensing identified 1,154 regulated providers delivering care throughout Utah. While some license-exempt provider data is available, license-exempt child care providers were not included in this study. A notable change to the 2015 Market Rate Study is the percent of child care providers studied. In the 2013 Market Rate Study, rates from 62 percent of child care providers were collected. In the 2015 Market Rate Study, 97 percent of child care providers responded. The higher response rate can be attributed to the recent automation of the collection of rates. Child care providers may now update their rates online through CAC. This has made it easier and more convenient for them. The data analyzed was provider license type, provider's monthly full-time rates, and service by age of child: 0 through 23 months, 2-, 3-, 4-,5-year-olds and children grades 1 through 6. A rural and urban rate analysis was done for comparison purposes only. Key findings showed that, on average, Center median rates increased by eight percent and licensed Family median rates increased by 10 percent.

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):

A Market Rate Study of urban and rural areas was completed to analyze the rates in different areas throughout the State.

b) Type of provider:

Licensed Family and Licensed Center data was used to establish the subsidy rates. It is expected that Center care is more expensive as there are more regulations and overhead costs. The survey was reflective of this.

c) Age of child:

The survey collected data based on five different age groups to capture varying rates depending on the age of the child.

d) Describe any other key variations examined by the market rate survey, such as quality level

N/A

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)

04/30/2015

b) Date report containing results were made widely available, no less than 30 days after the completion of the report 05/26/2015

c) How the report containing results was made widely available and provide the link where the report is posted if available

The completion of the MRS report was announced to the Office of Child Care State Advisory Council and posted on www.jobs.utah.gov/occ as soon as the report was available. In September 2015, an email was sent to all licensed providers notifying them of the Market

Rate Study and where to access it.

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 $ 758 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 69th

b) Infant (6 months), full-time licensed FCC care in most populous geographic region

Rate $ 575 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 71st

c) Toddler (18 months), full-time licensed center care in most populous geographic region

Rate $ 758 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 69th

d) Toddler (18 months), full-time licensed FCC care in most populous geographic region

Rate $ 575 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 71st

e) Preschooler (4 years), full-time licensed center care in the most populous geographic region

Rate $ 568 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)

Percentile: 68th

f) Preschooler (4 years), full-time licensed FCC care in the most populous geographic region

Rate $ 510 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 72nd

g) School-age child (6 years), full-time licensed center care in the most populous geographic region

Rate $ 525 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 70th

h) School-age child (6 years), full-time licensed FCC care in the most populous geographic region
Rate $ 500 per month unit of time (e.g., hourly, daily, weekly, monthly, etc.)
Percentile: 75th

i) Describe the calculation/definition of full-time care:

32-40 hours per week or 137.6-172 hours per month

j) Provide the effective date of the payment rates : 10/01/15

k) Provide the link to the payment rates :
https://jobs.utah.gov/occ/occ2/forproviders/index.html

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:

- [x] Tiered rate/rate add-on for children with special needs as defined by the State/Territory.

  Describe:

  Children ages two and older with special needs are subsidized at the infant rate in the provider tier being used. Infants with special needs are subsidized at the infant rate of the next provider tier. Special needs income guidelines and copayment thresholds are used. Families who earn below 85 percent SMI may qualify at entry.

- [ ] 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:

Different rates were established for licensed family and licensed center providers by age of child based on the market rate survey data. Although there are variations based on geographical area, they are not substantially different. For simplification purposes, the data

was used to establish statewide monthly payment rates for each category of care.

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:

Responding, to feedback from Utah child care providers, the Lead Agency increased subsidy payment rates in October 2015, to ensure providers can improve the quality of their programs. As of that date, subsidy payment rates were increased to the 70th percentile of the Provider market rates. This increase helps support providers to provide higher quality care. Additionally, Utah does not have a waiting list. The rate increase did not negatively impact the number of children served.

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:

- [x] 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:

- [x] 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:

  The rates are set at the 70th percentile of each age and licensed provider category statewide. The greatest difference between the 70th and 75th percentile is $32 for a two-year-old in Center care. The 70th and 75th percentile are the same for a School Age child in Family care. When looking strictly at the urban area data and comparing the 70th and 75th percentiles in the urban areas, the greatest difference is $35 for a two-year-old and $35 for a School Age child in licensed Center care.

- [ ] Data on the proportion of children receiving subsidy being served by high-quality providers.

  Describe:

- [ ] Data on where children are being served showing access to the full range of providers. .

  Describe:

- [ ] 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:

☐ Feedback from parents, including parent survey or parent complaints.

Describe:

☑ Other.

Describe:

Data reflecting the number of regulated child care spaces and vacancies are reported quarterly. Ninety-six percent of licensed centers and 95 percent of licensed family providers in Utah report that they accept children receiving State subsidized child care.

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

The Lead Agency ensures that payment rates are adequate and provides equal access to the full range of providers by working closely with the resource and referral network to monitor the availability and accessibility of affordable child care throughout the State. Data reflecting the number of regulated child care spaces and vacancies are reported quarterly. The State further supports equal access by implementing an action plan to regularly review the market rates by percentile and implement rate increases as funds become available. A rate increase was made in July 2014 to align with the 2013 Market Rates. Upon review of the 2015 Market Rate Survey, Utah increased the rates to the 70th percentile (statewide) effective October 1, 2015. The rate increase was applied to all age groups in licensed family and licensed center care.

☐ 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:

Monthly payments areavailable by direct deposit to providers at the beginning of each month. Providers who have not provided banking information receive a check that is mailed on the first day of the month. New applicants may qualify for an upfront payment that is approved during the initial review of the application. It takes approximately two to three business days for the payment to be deposited.

☐ 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

Since payments are issued prospectively, the only requirement is that at least one day of care (or eight hours) be provided by the 15th of the month or as regularly scheduled. Providers are required to report when no services were provided or a child stops attending.

☐ 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

☑ Pays on a full-time or part-time basis (rather than smaller increments such as hourly)

Describe:

The subsidy is calculated based on four ranges of participation hours needed while the parent is working or participating in approved activities. The parent is asked how many hours of care are needed while they are in approved activities. Rather than issue a payment on an exact number of hours, a payment rate is calculated based on hours

reported in the following ranges or tiers: one-14.9 hours, 15-22.9 hours, 23-31.9 hours and 32-40 hours. The full-time monthly provider charge is used in the calculation comparison, unless a lower rate is reported.

☐ 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:

Providers have access to the Lead Agency's Provider Portal (jobs.utah.gov/childcare). This lists all of the subsidized children in a provider's care and shows the history of payments. It includes the review month, copayment amount and the status of the following month's payment. Providers can access this at any time to monitor the child care payment status and any changes in the amount of the payment.

☑ Has a timely appeal and resolution process for payment inaccuracies and disputes.

Describe:

Providers can email or call the Lead Agency's Office of Child Care Provider Helpline for case status questions or disputes. The Helpline coordinates with the Eligibility Service Division to review payment issues and correct any errors. The Lead Agency responds to providers within 48 hours. When an overpayment is in dispute, providers contact the Payment Error Prevention Unit to resolve any disagreements or to file an appeal.

☐ Other.

Describe:

☑ For those options not checked above, explain why these options are not generally accepted payment practices in your State/Territory.

Since the Lead Agency pays prior to the delivery of services and only requires eight hours of care be provided, questions regarding paying after 21 days of billing, and delinking provider payments based on a percentage of attendance or a certain number of absences are not applicable. The Lead Agency does not cover standard or customary fees because of the administrative burden this imposes on the agency as these types of charges vary based on provider type and not all providers have these fees.

4.5.3 Check and describe the strategies the State/Territory will use to ensure the timeliness of payments.

- [x] Policy on length of time for making payments.

  Describe length of time:

  An eligibility determination is made within 30 days from the date of application or 10 days from the date verification is received.

- [x] Track and monitor the payment process

  Describe:

  Timeliness reports for individual workers are tracked and reviewed by eligibility supervisors as a measure of performance.

- [x] Use of electronic tools (e.g., automated billing, direct deposit, etc.)

  Describe:

  Direct deposit payments are available on the first day of each month for ongoing cases.

- [ ] 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?

- [x] Yes.

  Describe data sources

  The Lead Agency contracts with six Care About Childcare Agencies to track the number of licensed and legally license exempt child care providers located within their designated service delivery area. The CAC Agencies work closely with the child care and afterschool

programs and interact with the child care licensing program's database to continuously assess the capacity, enrollment and number of vacancies for all age groups the child care programs serve. This data is stored and maintained in a statewide database. Child care programs have been given the ability to access this database to update their facility information at any time; updates trigger an alert to CAC staff to acknowledge and approve child care program data updates. Each CAC Agency also engages in outreach activities and offers small incentives to programs to keep their program data current in the database. As a result of these activities the database can produce real time reports that describe the number of child care programs, capacity, enrollment and slots and vacancies per age group. Each quarter the CACs compile this data into a comprehensive add/drop report and submit this report to the lead agency for analysis. Currently, the lead agency is in the process of determining additional data components to add to this child care needs assessment process such as the number of single or two-parent households with one or both parents working outside of the home with children under the age of 12, under the age of four and/or under the age of two that may have child care needs.

☐ 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
- [x] Tiered payment rates (as discussed in 4.4.1)
- [x] Other.

Describe

Four 10-hour courses are available to providers to assist them in more effectively caring for children with special needs.

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
- [x] 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 designed procedures and processes to prioritize quality improvement investments for children and families with high concentrations of poverty.

Since October 2014, the Lead Agency has targeted its quality improvement grant funds, non-competitively, to support licensed centers that Lead Agency data showed were caring for the highest number of children whose fees were paid for with CCDF funds. Two eligibility criteria were used: 1) Programs serving the highest percentage of children receiving CCDF, and 2) programs that have not received more than one quality improvement grant from the Lead Agency in the past.

Infant-toddler set-aside funds were also used to provide non-competitive quality improvement grants to licensed, family child care providers. Providers were eligible if they cared for children under the age of three and cared for at least one child who's fees were paid with CCDF funds.

Additionally, the Lead Agency has divided the State into nine Economic Service Areas (ESA's) for school-age afterschool program quality improvement grant funding. This funding is allocated to the ESAs based on percentage of "at risk" children identified in each area. "At risk" includes children identified as living in households experiencing intergenerational poverty or who are currently receiving public assistance and are at the greatest risk of remaining in poverty. The afterschool program grants are competitive, focus on coaching and technical assistance, increasing quality and include priority points

for programs serving low-income children. Grants are awarded: 1) to all programs located in rural communities meeting minimum score requirements; 2) by score-based funding allocated to the ESA the program is located in; and 3) to programs serving the highest percentage of "at risk" children. Additionally, the Lead Agency has developed a process that targets Lead Education Agencies (LEAs) with the highest percentages of children experiencing "intergenerational poverty" that have not operated afterschool programming.

☐ 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:
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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)(I)(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

Residential Certificate: Child care provided in a private home for up to eight children. This can include up to (but not more than) two children under the age of two.For purposes of this State Plan, the Lead Agency will refer to these providers as "Licensed Family," providers.

Licensed Family: Child care provided in a private home for up to 16 children. Two qualified caregivers are required when there are more than eight children in care, or when there are more than two children under the age of two in care. With two caregivers, a licensed family provider can care for up to (but not more than) four children under the age of two. For purposes of this State Plan, the Lead Agency will refer to these providers as, "Licensed-Family Group," providers.

Child Care Center: Child care provided in a non-residential setting on a regular schedule. The number of children allowed will be determined by the facility's total square footage.

Hourly Center: Child care provided in a non-residential setting, not on a regular schedule.

Out of School Time Programs: Child care provided in a non-residential setting for school age children only (ages 5-12).

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

FFN (Family, Friend and Neighbor): Care provided in a private home, either the child's home or the provider's home, by a relative, a friend or a neighbor. This category of care is license-exempt as long as there are no more than four non-related children in care with the provider, and/or care is provided in the children's home and all the children are siblings. This category of care does not endanger the children who receive CCDF services since health and safety inspections are conducted to those homes and the

providers are to be in compliance with similar regulations as other licensed providers, including background checks for all covered individuals (everyone 12 years and older who resides, works, or volunteers in the facility, except for the parents of the children in FFN settings, or who has unsupervised access to the children in care).

Public, Private, Parochial, or Higher Ed Educational Institutions: These are educational institutions that are license-exempt and have child care programs for any children between the ages of zero to 12. This category of care does not endanger the children who receive CCDF services since background screening checks are conducted for all covered individuals and required First Aid and CPR training must be completed. Additionally, these providers are required to pass health and safety inspections and be in compliance with training as required by CCDF standards. Note, parochial institutions and private, license-exempt programs may receive CCDF through grants but must be licensed to receive child care subsidies.

Child Care Programs Operated on School Property: These are programs on school property that care for any children between the ages of zero and 12. This category of care does not endanger the children who receive CCDF services since background screening checks are conducted for all covered individuals and required First Aid and CPR training must be completed. These providers are required to pass health and safety inspections and be in compliance with training as required by CCDF standards.

☐ 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.

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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:
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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:

A child aged birth through 11 months.
   - Ratio:

1/4
   - Group Size:

8

2. Toddler
- State/Territory age definition:

A child at least 12 months but less than 24 months.
- Ratio:

1/4
- Group Size:

8

3. Preschool:
- State/Territory age definition:

A child aged two years through four years.
- Ratio:

2 year olds: 1/7

3 year olds: 1/12

4 year olds: 1/15
- Group Size:

2 year olds: 14

3 year olds: 24

4 year olds: 30

4. School-Age
- State/Territory age definition:

A child aged five years and older
- Ratio:

1/20
- Group Size:

40

5. If any of the responses above are different for exempt child care centers, describe:

N/A

6. Describe, if applicable, ratios and group sizes for centers with mixed age groups.

Mixed age groups shall meet the ratios and group sizes specified in tables 5-15 of rule R381-11(6) found at childcarelicensing.utah.gov/rules.

Infants and toddlers may be included in mixed age groups only when eight or fewer children are present in the group.

If more than two infants or toddlers are included in a mixed age group, there shall be at least two caregivers with the group.

b) Licensed Group Child Care Homes:

1. Infant

- State/Territory age definition:

A child aged birth through 11 months.

- Ratio:

1/2

- Group Size:

Four with two caregivers, or three with one caregiver if the total children present is no more than six.

2. Toddler

- State/Territory age definition:

A child at least 12 months but less than 24 months.

- Ratio:

1/2

- Group Size:

Four with two caregivers, or three with one caregiver if the total children present is no more than six.

3. Preschool:
- State/Territory age definition:

A child aged 2 through 4 years.
- Ratio:

1/8
- Group Size:

Eight children including the provider's own children under the age of four. Twelve including the provider's children age four through 12. Sixteen, with two caregivers, including the provider's own children under the age of four. Twenty-four including the provider's children age four through 12.

4. School-Age
- State/Territory age definition:

A child aged five years and older.
- Ratio:

1/8
- Group Size:

Eight children including the provider's own children under the age of four. Twelve including the provider's children age four through 12. Sixteen, with two caregivers, including the providers' own children under the age of four. Twenty-four including the providers' children age four through 12.

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

Eight children including the provider's own children under the age of four with no more than two children under the age of two. Twelve, including the provider's children age four through 12, with no more than two children under the age of two. Sixteen, with two caregivers, including the providers' own children under the age of four, with no more than

four children under the age of two. Twenty-four, including the providers' children age four through 12, with no more than four children under the age of two.

6. If any of the responses above are different for exempt group child care homes, describe

In the instance of the Family, Friend and Neighbor providers, a category of license-exempt home providers, providers are not allowed to care for more than four non-related children or more than eight related children. Where the related children are siblings, there is no limit on the number of children, for which care can be provided.

☐ 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:

Ratios 1:8 with no more than two children under the age of two; group size: the threshold for when licensing is required more than four unrelated children, maximum number of children that are allowed in the home at any one time: eight children; however, for children under the age of two, the maximum number of children permitted is two. These caps exclude the provider's children, ages four and older, 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 the age of four are included in the ratios. The provider's own children age four and older are not included in the ratios or group size, or the limits on infants and toddlers or additional school-age children that are allowed for part of the day No more than two children under the age of two are allowed at any time.

Describe the group size:

There is no group size for this provider type,

Describe the threshold for when licensing is required:

the threshold for when licensing is required is more than four unrelated children.

Describe the maximum number of children that are allowed in the home at any one time:

The maximum number of children that are allowed in the home at any one time is

eight; however, for children under the age of two, the maximum number of children permitted is two. These caps exclude the provider's children, ages four and older.

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 age four and older are not included in the ratios or group size.

Describe the limits on infants and toddlers or additional school-age children that are allowed for part of the day:

The limits on infants and toddlers or additional school-age children that are allowed for part of the day is no more than two children under the age of two.

2. If any of the responses above are different for exempt family child care home providers, describe

In the instance of the Family, Friend and Neighbor providers, a category of license-exempt home providers, they are not allowed to care for more than four non-related children or more than eight related children. Where the related children are all siblings, there is no limit on the number of children for whom care can be provided. However, any children under the age of 13 who are in the home when care is being provided are considered children in care, regardless of whether they are the provider's children.

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:

N/A

Describe group size:

N/A

Describe the threshold for when licensing is required:

N/A

Describe maximum number of children that are allowed in the home at any one time:

N/A

Describe if the State/Territory requires related children to be included in the Child-to-Provider ratio or group size:

N/A

Describe the limits on infants and toddlers or additional school-age children that are allowed for part of the day:

N/A

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

Infant Lead Teacher: All caregivers must be at least 18 years of age and have knowledge of and comply with all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant teacher qualifications:

Assistant Teacher qualifications: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

2. Toddler lead teacher

Toddler lead teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant teacher qualifications:

Assistant teacher qualifications: All assistant caregivers shall be at least 16 years of age,

shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

3. Preschool lead teacher

Preschool lead teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant teacher qualifications:

Assistant teacher qualifications: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

4. School-Age lead teacher

School-Age lead teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant teacher qualifications:

Assistant teacher qualifications: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

5. Director qualifications:

The center must have a director who is at least 21 years of age and who has one of the following educational credentials: (a) an associates, bachelors, or graduate degree from an accredited college and successful completion of at least 12 semester credit hours of

early childhood development courses; (b) valid proof of a level 8, 9 or 10 Utah Early Childhood Career Ladder certification issued by the Utah Office of Child Care or the Utah Child Care Professional Development Institute; (c) a currently valid national certification such as a Certified Childcare Professional (CCP) issued by the National Child Care Association, a Child Development Associate (CDA) issued by the Council for Early Childhood Professional Recognition, or other credential that the licensee demonstrates as equivalent to the Department; or (d) a currently valid National Administrator Credential (NAC) issued by the National Child Care Association or equivalent, plus one of the following: (i) valid proof of successful completion of 12 semester credit hours of early childhood development courses from an accredited college; or (ii) valid proof of completion of the following six Utah Early Childhood Career Ladder courses, or their equivalent, as approved by the Utah Child Care Professional Development Institute: Child Development Ages and Stages, Learning in the Early Years, A Great Place for Kids, Strong and Smart, Learning to Get Along, and Advanced Child Development. (iii) Any bachelors or higher college degree, and valid proof of completion of the following six Utah Early Childhood Career Ladder courses, or their equivalent, asapproved by the Utah Child Care Professional Development Institute: Child Development Ages and Stages, Learning in the Early Years, A Great Place for Kids, Strong and Smart, Learning to Get Along, and Advanced Child Development. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face and have knowledge of and comply with all applicable laws and rules. Any new Center director must complete Child Care Licensing's Center Director Training Class no later than 60 working days after assuming director duties.

b) Licensed Group Child Care Homes:

1. Infant lead teacher

Infant Lead Teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant qualifications:

Assistant Teacher: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have

knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

2. Toddler lead teacher

Toddler Lead Teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant qualifications:

Assistant teacher: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

3. Preschool lead teacher

Preschool lead teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

and assistant qualifications:

Assistant Teacher: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

4. School-Age lead teacher

School-Age Lead Teacher: All caregivers must be at least 18 years of age and have knowledge of, and comply with, all applicable laws and rules. No education qualifications are required. They are required to have orientation training before they are left alone with children. They must complete at least 20 hours of training every year and cover required

child care licensing topics. Half of the training must be face-to-face.

and assistant qualifications:

Assistant Teacher: All assistant caregivers shall be at least 16 years of age, shall work under the immediate supervision of a caregiver who is at least 18 years of age, and have knowledge of, and comply with, all applicable laws and rules. Assistant caregivers may be included in caregiver-to-child ratios, but shall not be left unsupervised with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

☐ N/A. State/Territory does not have group child care homes.

c) Licensed Family Child Care home provider qualifications

All caregivers must be at least 18 years of age and have knowledge of and comply with all applicable laws and rules. No other education qualifications are required. The licensee is required to have pre-service orientation training from Child Care Licensing before becoming licensed. They must complete at least 10 hours of ongoing training every year and cover all required child care licensing topics. Half of the training must be in person.

d) Other eligible providers qualifications:

N/A

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

Utah requires pre-service and ongoing training of all child care providers receiving CCDF regardless of licensing status. R381-100-7(9)-(13), R381-70-7(8)-(9), R381-60-7(5)-(9), R430-90-7(8)-(9), R430-50-7(5)-(6).

These rules require all providers to review their "Department-approved" center's policies and procedures and emergency and disaster plan. To be "Department-approved" child care providers in Utah must use a form created by licensing called "Health and Safety Plan." This form can be found at http://childcarelicensing.utah.gov/forms/All/Health%20and%20Safety%20Plan.pdf The Health and Safety plan must be reviewed as part of the caregiver pre-service and ongoing training. The Health and Safety Plan includes topics that supplement and expand topics already covered by administrative rules.

These rules also require review of all the rules found in sections 11 through 24. Sections 11 through 24 include the following topics:
-Supervision and ratios-Section 11
-Injury prevention-Section 12. This section also includes 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. Vehicular traffic is addressed in the facility Health and Safety Plan.
-Parent notification and child security-Section 13
-Child health-Section 14
-Child nutrition-Section 15. Prevention of, and response to, emergencies due to food and allergic reactions. Response to emergencies due to food and allergic reactions is more fully addressed during the required CPR and First Aid training and in the facility Health and Safety Plan
-Infection Control-Section 16. Prevention and control of infectious diseases (including immunizations). Immunizations are also addressed in sections 9 and 14.
-Medications-Section 17. Including Administration of medication, consistent with standards for parental consent.
-Napping-Section 18
-Child Discipline-Section 19
-Activities-Section 20
-Transportation-Section 21. Precautions in transporting children
-Animals-Section 22
-Diapering-Section 23
-Infant and toddler care-Section 24

First aid and CPR training topics are included in training for sessions 11-24. Training is provided by CPR and First Aid certified licensing staff. CPR and First Aid classes are also provided by CCR&R agencies. This training topic is also addressed in the facility Health and Safety Plan.

Additional training topics required by these rules are: prevention of shaken baby syndrome and abusive head trauma, and coping with crying babies; prevention of sudden infant death syndrome and use of safe sleeping practices; and recognizing the signs of homelessness and available assistance.

These citations may be found at http://childcarelicensing.utah.gove/rules.htm.

☐ 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

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

For new providers, pre-service training must be done no longer than six months prior to becoming licensed. For new staff, the Lead Agency defines "pre-service orientation" as at least 2.5 hours of training that covers the required health and safety topics and that occurs within the first 10 days of the hiring date, or prior to taking on care giving duties. For all licensed and exempt providers and caregivers, the Lead Agency requires at least 20 hours of ongoing training per year on child care related subjects, including training on the required health and safety topics. Of these 20 hours, at least 10 hours of training must be in person.

FFN providers are only required to complete 10 hours of ongoing training per year. At least half of these hours must be in person. This training must include the required health and safety topics.

☐ 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:

  N/A

- [ ] Access to physical activity.

  Describe:

  N/A

- [ ] Screen time.

  Describe:

  N/A

- [ ] Caring for children with special needs.

  Describe:

  N/A

- [x] Recognition and reporting of child abuse and neglect.

  Describe:

  Utah law requires all personnel working in a child care program to report suspected child abuse or neglect. Utah Code 62A-4a-403, 411. All staff shall follow the reporting requirements for witnessing or suspicion of abuse, neglect, and exploitation. Licensing rules require any new child care provider and caregiver to complete training regarding this topic, as part of their pre-service and ongoing training. The topic includes recognizing the signs and symptoms of child abuse and neglect and legal reporting requirements for witnessing or suspicion of abuse, neglect, and exploitation. The citations for the health and safety requirements are found in the Child Care Licensing Administrative Rules R381-100. R381-70, R381-60, R430-90, R430-50 address the same topics for the corresponding provider type. The Administrative Rules may be found at http://childcarelicensing.utah.gov/rules.htm.

- [ ] Other subject areas determined by the State/Territory to be necessary to promote child development or to protect children's health and safety.

Describe:

N/A

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.

☐ 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

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings. In addition, Child Care Licensing Administrative Rules R430-50,90; R381-60, 70, 100. Utah Code §26-39.

☐ 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:

The Child Care Licensing Protocol manual requires that, before they are hired, all its licensors have a bachelor's degree in Child Development or a related field, that they have experience as a child care provider, and that they pass a comprehensive background screening. Licensing inspectors also receive extensive pre-service training and monthly ongoing training. These trainings are required and they cover all related health and safety and all aspects of the state's licensure requirements, rules and protocols. Additionally, all Child Care Licensing staff are First Aid and CPR certified, and receive training in all CCDF required topics. These topics are covered throughout the year during their monthly training meetings.

Since there are separate sets of rules for the different types of child care providers, during monthly training sessions, licensors are divided into groups according to their job assignments. Those licensors involved with FFN providers are separated from center licensors and licensed-home licensors, so each group can receive training specific to the population with whom they work. Training for all licensors includes language and cultural diversity of providers. However, licensors who are working with providers from other cultures, speak different languages, or are of other nationalities are able to request specific training to be able to handle their case load and improve their monitoring approach.

Depending on the specific training needs, licensing uses community partners and other agencies and programs to bring training to their staff. Training topics have included building cultural awareness, using pictorial signs to overcome language barriers, the American Indian and Alaska native Culture Card, how the local refugee programs help refugees become child care providers, and body language.

Child Care licensing has a training team who plans and delivers training to both providers and licensing staff. This team is made of two training specialists whose main responsibility is to train providers, three managers responsible for FFN and all exempt providers, center providers, and home providers respectively, two lead licensors whose responsibility is to train and coach licensors, and the program administrator.

☐ 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

All licensed CCDF child care providers receive at least one pre-license/annual renewal announced inspection and one annual unannounced inspection for compliance with health and safety standards. These providers are also required to pass a local fire and a kitchen inspection and to present a current fire and kitchen inspection certification at renewal each year. Utah Administrative Rules R430-1-3, R430-1-4.

☐ 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:

All license-exempt CCDF child care providers receive at least one pre-/annual renewal announced inspection and one annual unannounced inspection for compliance with health and safety standards. Utah Administrative Rule R986-700-705.

☐ 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:

The Child Care Licensing Protocol manual requires that the ratio of licensing inspectors be determined by the program manager. This ratio is based on a variety of factors which includes travel distances, provider type, facility size, inspection type, inspection length and licensor role. In Utah, licensors are assigned caseloads according to the provider type. There are center licensors, licensed home licensors, license exempt licensors (this includes FFN), and complaint investigators. Based on the factors previously stated, the licensor ratios are as follows: center licensors 1/64, licensed home licensors 1/97, and license-exempt licensors 1/82. Currently, one licensor conducts all complaint investigations.

☐ 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):

All providers must follow the reporting requirements for the witnessing or suspicion of abuse, neglect and exploitation found in Section 62A-4a-403 and 62A of the Utah Code. Additional policies: FFN Health and Safety Regulations 6(d), R381-100/90/50-14(2).

☐ 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.

☐ 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) 09/30/2017

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

The following requirements are currently implemented:

-Requirements, policies, and procedures in place to conduct criminal background checks for staff members of child care providers 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 any

other individuals in the household that may have unsupervised access to children.
- 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.
- Search of National Crime Information Center (run by the FBI).
- Search of 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.
- Conduct the background checks as quickly as possible and shall not exceed 45 days after the child care provider submitted the request.
- 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.
- Have a process for a child care staff member to appeal the results of their background check to challenge the accuracy and completeness.
- Lead Agency may not publicly release the results of individual background checks. They may release aggregated data by crime as long as the data does not include personally identifiable information.
- Search of State criminal and sex offender registry in the State where the staff member resides.
- Search of State child abuse and neglect registry in the State where the staff member resides.
- Ensure that policies and procedures for conducting criminal background checks are

published on the State/Territory's consumer education website.

-FBI fingerprint checks for all providers receiving CCDF are completed using Next Generation Identification.

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:

Child Care Licensing, which is part of the Utah Department of Health, conducts all background screenings for licensed and license-exempt child care providers according to the state's Public Safety requirements. Background screenings are conducted for all owners, directors, members of the governing body, employees, providers of care, including children ages 12 and older residing in the home where child care is provided, volunteers, excluding parents of children enrolled in the program, and anyone who has unsupervised contact with a child in care. Background screenings include the local and national sex offender registry. Background screening forms are received online to expedite the process. Fingerprints are done using Next Generation. The FBI results are received as soon as the same day. Some other results may take longer depending on the FBI's processing time and the quality of the submitted prints. Local background checks are completed within five to 10 business days after having been received by Child Care Licensing. Some checks may take longer, depending on the complexity of the findings and the need for information from other states. Background screening findings are never disclosed. The individual and the provider receive notification stating that the applicant passed or did not pass. If the applicant passed, a traveling background screening card is issued and sent to the individual. Background screening checks are done annually. All applicants have the right to appeal any decision made by the Department within 30 days of the decision.

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:

Although not yet requested, Child Care Licensing can share the results of an individual's

latest background screening with other state's background screening agencies, only stating that the applicant passed or did not pass the background screening.

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:

If an individual wants to appeal any of the agency's decisions, they may request an informal discussion as specified in Utah Administrative Rules R380-10. The individual must complete and submit an appeal written request within thirty (30) days of the agency decision letter.

If there is an error on an individual's record, or if the individual is eligible to have their record expunged (removed from their criminal history), it is the individual's responsibility to resolve the matter. If the individual denied is able to have their record expunged, they will need to resubmit a Background Screening form and fees and proof of expungement before this individual is involved with child care.

When a provider is denied as a result of an individual living in the same household, child care may be reconsidered when that person no longer resides in the home. This change will need to be reported directly to the Background Clearance Unit. A Letter of Attestation will be required to be signed and returned before child care can be approved.

☐ 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:

According to Utah Code §26-39 and Utah Administrative Rule R430-6, Child Care licensing may consider adjudications by the juvenile court system.

☐ 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.

Only the actual cost of processing and administration for completing the background screening is charged to the applicant. Currently, local background screenings for FFN providers are done at no cost to the FFN provider.

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.

State background screening rules and regulations are posted on the Child Care Licensing website. These policies are also posted on Care About Childcare, Utah Legislative website which posts the Utah Code and the Utah Administrative Rules website, as well as the Lead Agency policies.

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.

- [x] 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 individualto 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.

The Utah Core Competencies for Early Care and Youth Education were first published in 2008. The Core Competencies are based on research and best practice and have been disseminated throughout Utah to providers in multiple types of care settings. Utah's Core Competencies of what providers should know and be able to do when working with children provide a continuum on which basic skills are developed first, with more complex skills built upon experience and training. Utah's Professional Development System aligns with the Core Competencies document and it provides the framework for the system as a whole. Additionally, the Early Learning Guidelines, developed by the Utah State Office of Education and the Utah Office of Child Care acknowledges developmentally appropriate practices and are informed by theory and literature. Utah has adopted Minnesota's Early Childhood Indicators of Progress for Infant Toddler standards.

☑ Career ladder or lattice.

Describe.

Utah's Career Ladder consists of 10 levels. In order to obtain a Level 1, a provider must complete CPR/First Aid training, obtain a Food Handler's Permit and complete 30 hours of Level 1 basic trainings. CDA courses are available for Levels 2 and 3, which require 40 hours of training each. For a Level 4, a provider must have a Demonstrated Competency, which includes training, assessment and an observation. A CDA is one of several ways a provider can demonstrate competency to obtain a Level 4. Levels 5 through 7 require 40 hours each of trainings with a wide variety of courses from which to choose. To obtain a Level 9, a provider must have an Associate's Degree with at least 15 credits in Early Childhood. A Bachelor's Degree with at least 15 credits in Early Childhood is required for a Level 10. Providers working in a licensed center or family child care qualify for an annual Professional Development Award which is based on the number of years of service and Career Ladder level.

In addition to the Career Ladder for Licensed Providers, the Afterschool Professional Credential is a voluntary, statewide professional development program for afterschool professionals working in license-exempt programs. The goal of the Credential is to increase the quality of afterschool programs by encouraging afterschool professionals to receive ongoing education and training in the afterschool field. Each level of the Credential focuses on specific content areas and requires 40 hours of training. Content areas include youth development, social-emotional development, child abuse prevention, bullying prevention, college and career readiness and financial literacy. Training can include Career Ladder courses, college level coursework and/or college degrees, attending statewide or national conferences, or continuing education units. Afterschool professionals can apply and receive one Credential on an annual basis.

☑ Articulation agreements between two- and four-year postsecondary early childhood education or degree programs.

Describe.

One 40-hour Career Ladder Endorsement course called Relationship Touchpoints taught through the CAC agencies will articulate into three hours of college credit for providers that complete the class and the subsequent homework. The caregiver is responsible for the fees for the credits. An articulation agreement is in place with Salt Lake Community College and Utah State Universities to give nine hours of college credit to providers that complete a CDA, should the provider pay the credit fees and apply.

☑ Community-based training approved by a state regulatory body to meet licensing or regulatory requirements.

Describe.

The CAC agencies provide community-based training for childcare providers that are approved by the Lead Agency in coordination with Child Care Licensing. The Lead Agency, in coordination with Child Care Professional Developmental Institute (CCPDI), reviews the trainings. Approval is based on a rubric developed by the Professional Development Subcommittee.

☑ Workforce data, including recruitment, retention, registries or other documentation, and compensation information.

Describe.

Utah's professional development system and registry collects and shares data on recruitment, retention, training hours and additional data. This data is reported to the Lead Agency and Child Care Licensing on an ongoing basis.

☑ Advisory structure that provides recommendations for the development, revision, and implementation of the professional development system or framework.

Describe.

A Professional Development Subcommittee meets bi-monthly to give input and recommendations for the professional development system. The subcommittee approves new curriculum to be added to the system, revisions to existing curriculum, and makes recommendations for any policy or procedure changes to the Career Ladder or Professional Development System as a whole. This subcommittee reports to the Office of Child Care Advisory Board. In addition, there is a School-age Professional Development Committee that meets monthly to develop, revise and implement the Afterschool Professional Credential.

☑ Continuing education unit trainings and credit-bearing professional development.

Describe.

Career Ladder courses and many community-based courses, including those related to the Afterschool Professional Credential, are available for Continuing Education Units (CEU). Credits are attributed to a provider where he or she submits homework or documentation to CCPDI. It is anticipated that by Fall 2016, there will be 15 credit hours of online coursework entitled "Foundations of Early Childhood" that will be available through universities statewide. Content will include principles of child development, factors that contribute to, or interfere with, development, the importance of interactions and relationships with children, factors that contribute to positive social development, the

value of assessment, diversity and cultural competence, and how to work effectively with families. The coursework may be completed as an elective without the traditional prerequisites of English and Math.

☑ State-approved trainings.

Describe.

All of the courses taught at the six CAC agencies have been approved by the Professional Development Subcommittee. Additionally, trainers of other community-based classes can apply to have course content reviewed for approval from this committee. If courses are not approved by the committee, the courses will not be eligible for Career Ladder credit. Similarly, the Professional Development Committee is responsible for license-exempt, school-age providers reviews and approves trainings for providers in afterschool programs.

☐ 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.

Utah's professional development system was first created by the Lead Agency in the 1990s. Early in development, courses offered were limited, primarily covering licensing training topics and those needed for a provider to obtain a CDA. The Career Ladder was created and at its inception provided five levels of achievement. The Child Care Professional Development Institute (CCPDI) was created in 2003. At that time CCPDI,under the direction of the Lead Agency, became responsible for the professional development system and continues to inform the development of Utah's statewide Early Childhood Comprehensive Workforce System. The Career Ladder was expanded to include 10 levels shortly after CCPDI assumed responsibility for the system as a whole. Additionally, training options were

expanded to include endorsement classes, which are comprised of four 10-hour classes specific to one large topic. Examples of these include the Infant/Toddler, Special Needs, Relationships Touch Points, and others. The State Advisory Council, Early Childhood Utah was created in 2011. Since that time, CCPDI, Child Care Licensing and the Lead Agency work collaboratively to build on the professional development system in consultation with Early Childhood Utah. A member of Early Childhood Utah serves on the Lead Agency's Professional Development Subcommittee. Similarly, a member of the Professional Development Subcommittee is a member of Early Childhood Utah.

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.

The courses offered by all CAC agencies include the topics of the Utah Early Learning and Developmental Guidelines, best practices for health and safety in early childhood settings, and social-emotional/behavioral health. There are several courses where these topics have been incorporated into content. Additionally, there are courses that provide more in depth training in the above areas. Utah's Early Learning Guidelines informed the development of the School Readiness curriculum, which may include achievement of the School Readiness Endorsement for ages 3 through 5 and the Infant Toddler curriculum and endorsement for birth through 2 years. Similarly, the professional development curriculum includes a ten-hour, Healthy Care course, which is based on Caring for Our Children. The Lead Agency ensures that providers have access to comprehensive training on social-emotional/behavioral health. Guidance and Emotional Wellness content is informed by the Children's Social-Emotional Foundations of Early Learning (CSEFEL) Pyramid. When a provider completes 40 hours of training in the area of social-emotional health, the provider is eligible to receive the Guidance and Emotional Wellness endorsement.

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.

The Lead Agency communicates with the tribal agencies interested in accessing its professional development system. The communication includes outreach from the CACs to the tribal organizations in their respective service delivery areas. This outreach includes notification to tribal agencies of classes taught in their region each quarter. This ensures that training classes are available and accessible to providers working in tribal childcare programs.

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.

The professional development system provides extensive training to target special developmental needs. This includes specific training based on ages of children and special needs of children not developing typically. The Lead Agency's six CAC Agencies provide these trainings and offer specialized endorsements in the following areas: infant/toddler (children ages birth to three years old), kindergarten readiness (children ages three to five years old), and school-age children (kindergarten through 12 years old). Additionally, there is a special needs endorsement available to provide in-depth information to providers to effectively serve children with special needs. The professional development system also offers Touchpoints courses, based on the work of T. Berry Brazelton. These courses encompass the stages of child development, birth to age six, and a comprehensive approach of collaborating with families in a shared partnership. The Afterschool Professional Credential (APC) is available for license-exempt providers working with school- age children. Approved APC trainings are offered three times annually and include workshops and courses in ELL, inclusion and cultural awareness.

Additional training is available to providers to help them understand how to provide culturally responsive care to children. Course content also includes how to work with parents in a manner that honors and respects their families' cultures. There is information to assist them in working with children that are English language learners and parents that are learning English as well, although it is minimal. The present curriculums do not contain information specific to working with Tribal children, although the CAC Agencies in the service delivery areas that contain Tribal reservations do advertise to providers that work with Tribal children. The Lead Agency will work to strengthen training content in these areas within its training system.

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.

The Lead Agency provides funds to CCPDI to offer a reimbursement of $325 out of the $425 cost of a Child Development Associate Credential (CDA) to any provider working at least 20 hours per week, in a licensed childcare program. Providers working in license exempt or other types of programs may receive reimbursement of $150 after completing and receiving a CDA. Additionally, providers working in licensed programs may apply for a $150 reimbursement for completion of a college-level class related to early childhood development.

☑ Financial incentives linked to education attainment and retention.

Describe.

CCPDI provides Professional Development Awards to qualifying providers, as an annual incentive to remain employed in the field of early care and education and complete additional professional development activities. The amount of the award is commensurate with a provider's level of education or training and the years they have been participating in the professional development system. The largest incentives are paid to those that have earned a college degree. Similarly, an annual financial incentive is provided to those attaining the Afterschool Professional Credential based on training and education.

☐ 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.

Several offered courses emphasize the importance of caring for a provider's own mental, emotional and physical health, as well as reflective practices. Additionally, many workshops taught at conferences focus on providers' mental health and well-being, managing stress and avoiding burnout. Recently, the Professional Development Committee approved a community-based course on mindfulness. This course will be added to the Career Ladder.

☐ Other.

Describe.

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.

CAC Agencies in the urban areas of Utah offer training and technical assistance to providers in Spanish. Written materials and children's books are also available to providers in Spanish. Several CAC staff members speak fluent Spanish and are available to assist providers by explaining processes to licensure, translating materials, or helping a provider fill out forms or other needed documentation in English when needed. Spanish providers are recruited by word of mouth from other providers and advertisement of resource nights offered in Spanish where providers are offered refreshments, materials and activities. These evenings are designed to motivate individuals to interact with the Care About Childcare (CAC) agencies where they can be recruited as family child care providers, to receive additional professional development, and to participate in the Career Ladder. A Spanish speaking recruitment specialist helps prospective providers through the application process of licensure. The Child Care Licensing Program requires all new providers attend a new provider orientation training before they begin caring for children. The specialist is available to attend with the new provider to provide translation services and assure the provider understands licensing expectations. Licensing is aware of the services for Spanish speaking individuals and refers them to the CAC agency for assistance when needed. Additionally, courses are offered through the CAC agencies in Spanish to aid new providers or those interested in becoming licensed. These include the Basic Child Care class, Babysitter to Business Owner, Exploring Creative Curriculum, Family Child Care, Course 4, (this course includes information on contracts, agreements, taxes and other business related topics) and all Career Ladder level-one courses. Lastly, some material on the Care About Childcare website is available in Spanish.

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

Spanish

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

The Lead Agency contracts with the Child Care Licensing program to verify that all required training is completed each year by every provider. Training regarding identifying and serving homeless children and families is one of the required topics Licensing verifies. As technical assistance, and at the request of providers, the Lead Agency has created an informational one-sheet document programs and providers can use to meet this requirement. The document defines homelessness and identifies special needs, issues and behaviors that may be exhibited by children without a stable place to live and how to work with them effectively in a responsive and supportive manner. Additionally, the document includes information on how providers can recognize signs of homelessness and how to identify

children and families that may be experiencing homelessness or may lose their homes. Lastly, the document provides a list of community resources that provides services to homeless families to which providers may be able to refer families.

☐ 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

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 Lead Agency tracks the following measures related to the training and professional development of the child care workforce: (1) number of providers participating in the career ladder, by completion of level; (2) number of training hours completed yearly by providers; (3) courses attended, by subject, by providers; (4) percentage of providers attending professional development courses; (5) achievement of any endorsements or credentials, annually; and (6) percentage and number of providers who attain the Level 4, "demonstrated competency." The demonstrated competency requires some type of observation and other forms of verification that the provider has shown that they are able to apply what they have learned in classes in their work with children. All measures are reported to the Lead Agency by CCPDI.

b) Indicate which funds will be used for this activity (check all that apply)

☑ CCDF funds.

Describe:

The Lead Agency utilizes CCDF funds to contract with CCPDI to administer the Career Ladder. Additionally, the Lead Agency utilizes CCDF to contract with the CACs to offer all of the courses related to the Career Ladder system. The Lead Agency utilizes CCDF to contract with the Utah Afterschool Network to administer the Afterschool Professional Credential, in coordination with CCPDI.

☐ Other funds.

Describe:

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:

Numerous Career Ladder courses focus on the developmental domains and how to promote healthy development in each area. All career ladder classes are formatted in 10-hour blocks. Each 10 hours is designed to provide specific information to aid providers that work in a variety of settings. All course content is embedded in research and best practice. Information from the most up to date, credible research and sources are used in the development of course content.

In total, there are eight training courses (80 hours) that address the cognitive domain of development. There are cognitive development courses specific to children birth through three, the pre-school years and the school age years. Additionally, content has been designed to assist providers working with mixed age groups, primarily family child care providers, on how to foster cognitive development when working with children of varying ages simultaneously. Topics covered include brain development, language development, child development theory and how to apply it, what research tells us about how children best learn and how we can support them, developmentally appropriate practices regarding the use of materials and methods using hands-on based approaches, school readiness information and activities to support math, science, language and literacy development.

Six classes include content regarding typical physical development and healthy practices when working with children. Topics include typical physical milestones for each age group, teaching children good hygiene, child nutrition, activities to promote healthy physical development, why physical activity is important, how to use the School Readiness Standards and Early Learning Guidelines to promote physical development and other related information. Additionally, the curriculum TOP STAR is taught in a 10 hour course. TOP STAR focuses solely on nutrition, physical activity and other health related topics related to caring for children.

Information and content related to the social and emotional domains of development is widespread throughout the curriculums taught. Because of the critical nature of healthy social and emotional development there are 125 hours of training specific to optimal development in this area. Examples of topics covered are typical milestones of social and emotional development, typical age appropriate behaviors of children in

different age groups, attachment, self-regulation, how to teach positive social skills when working with children, helping children identify and express feelings, and additional related information.

It is important to note that although many courses are written primarily to speak to a particular developmental domain, it is not possible to separate them out entirely. Children are using all domains at once and they are all interrelated and dependent upon each other for healthy development. For this reason, each course includes content of how each affects the other.

- [x] 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:

Numerous Career Ladder courses contain content to help caregivers learn how to use positive guidance and effective behavior management strategies. Because social and emotional development is so affected by the behavior management strategies used by the adults that care for children, these two topics are typically taught in tandem.There are basic CDA courses that provide information on discipline strategies including developmentally appropriate expectations and practices, setting up the environment to prevent problems, the difference between punishment and guidance, how the development of the brain affects behavior, and other relevant topics. There are also courses targeted to specific age groups such as birth through three, pre-school and school age children that focus in depth on all of the above items to help caregivers develop skills most useful to the specific age group they primarily work with. In total, there are 65 hours of courses available that speak specifically to social/emotional development and implementing behavior management strategies in a way that supports autonomy and healthy self-esteem.

Additionally, in response to a high volume of requests for more in depth information on handling challenging behaviors, a 40-hour endorsement course was created called Guidance and Emotional Wellness (GEW). These courses give higher level, more in-depth information regarding children that exhibit more challenging behaviors than the typical child and how to identify issues, work to solve problems, sources of stress for

caregivers and children that may make coping with typical daily experiences more challenging and how to work with families in a way that promotes collaboration and respect in relation to events where children exhibit challenging behaviors. In the GEW courses there is a great deal of information to help providers reflect upon and consider solutions, supports and other options to avoid child expulsion.

- [x] 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:

Courses focusing on parent engagement and supporting families in culturally and linguistically appropriate ways are available to caregivers state-wide through the CAC network. At CDA level, content for "Working Together: Productive Relationships with Families," covers effective strategies for establishing and maintaining open and positive relationships with each child's family, supporting each child's relationship with his or her family, encouraging family involvement in the childcare program, effective communication strategies, community resources for families in crisis, and how to be aware of, and sensitive to, cultural differences. Additionally, one course is targeted to caregivers working with families of children birth through three, and the special attention that is needed in communicating with families to meet the needs of non-verbal children as well as caring for them in a culturally sensitive manner.

An entire 40-hour endorsement was created around T. Berry Brazelton's Touchpoints, and Touchpoints Approach in working with families. This class provides in-depth insight in to working collaboratively with parents as partners as experts on their own child. It is a relationships-based, comprehensive course that provides many opportunities for self-reflection and helps providers consider different ways to view behaviors of parents and situations that occur that may be challenging. Many activities support positive communication strategies and guiding the providers in effective use of the eight Guiding Principles that are central to the Touchpoints Approach.

Lastly, the 20-hour course, "Strengthening Families," contains information about protective factors and how to help build resilience in families and other related topics.

- [x] 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:

Content regarding developmentally appropriate and responsive environments are embedded within a number of classes taught through the CAC Agencies. Basic training contains content on setting up the environment in a way that promotes optimal development, is developmentally appropriate, includes materials that reflect the families and cultures of each child in the group, and promote learning through hands on activities and materials that are stimulating and appropriate for the children in the group. Information taught is based on up to date research in the field. Specialized courses for specific age groups, such as infant/toddler, give detailed information in relation to the unique needs of children birth through three years of age. Utah has adopted Minnesota's Early Childhood Indicators of Progress which are utilized in the Infant Toddler Courses 1 through 4 (40 hours). For pre-school age children, Utah's Early Learning Guidelines, developed by the Utah State Office of Education and the Office of Child Care, acknowledges developmentally appropriate practices and is informed by theory and literature. The School Readiness, Courses 1 through 4 (40 hours) are based on these guidelines. Course content is designed to support providers in understanding what skills children need to enter school ready to learn and provides examples of activities that can be carried out with children that support development in specific areas.

☐ 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:

☐ Using data to guide program evaluation to ensure continuous improvement.

Describe:

☐ Caring for children of families in geographic areas with significant concentrations of poverty and unemployment.

Describe:

☑ Caring for and supporting the development of children with disabilities and developmental delays.

Describe:

The Career Ladder curriculums have information regarding children with special needs

and including them in programs. There are portions in level 2 and 3 classes that give information on the American Disabilities Act, individualizing, Individual Education Plans, working as a team with other professionals that meet children's needs, and other topics. Additionally, there are four 10-hour courses that focus on the unique needs of children with special needs and their families called the "Special Needs" endorsement. Content includes aspects of caring for children with special needs that require additional attention from a program and caregivers. These courses contain information on inclusion, understanding disabilities, recognizing all children's strengths and needs, individualizing for children, caring for children with special physical needs, setting up the environment for success and access, teaching techniques for children with special needs, Individual Education Plans, and how to work with specialists or other individuals that support the child. Additionally, there is a major focus on strategies of working with families of children with special needs and how to manage communication, collaboration and sensitivity to the unique needs of these families.

Lastly, Help Me Grow (10 hours) is a course that teaches child care providers how to use the developmental screening tool the Ages and Stages Questionnaire. Content includes information that teaches caregivers how to use the tool as well as how to work with parents to help them become familiar with it and utilize it themselves. In addition, caregivers are given information on how to work with parents to help them develop an understanding of typical child development, complete the questionnaire to identify areas where the child is on track or areas that may need improvement, and community resources that are available if it appears that a developmental delay is present or that a child may be at risk in any developmental area. All of this information is available to providers statewide through the CAC network.

☑ Supporting positive development of school-age children.

Describe:

There are four 10-hour Career Ladder courses taught at each CAC Agency that focus on supporting the positive development of school-age children. Each 10-hour class focuses on specific areas of development or best practice when caring for school-age children. Typical development of school age children in all developmental domains is discussed in course 1. Course 2 focuses on the physical, organization, instructional and social aspects of the environment for school age children. The focus of course 3 is how observation practices can be utilized to develop an emergent curriculum and inform and evaluate the effectiveness of the program. Lastly, course 4 focuses on

positive guidance techniques, trauma informed care and how to facilitate intensive intervention and refer families to community resources specifically for school age children, if needed. Additionally, workshops and trainings focusing on the school-age population are provided by the Utah Afterschool Network a minimum of three times annually as well as on an as-needed basis for individual providers.

☐ 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

2.5

2) Number of on-going hours and any required areas/content

20 hours annually on child care related topics, 10 of which must be face-to-face.

b) Licensed Group Child Care Homes

1) Number of pre-service or orientation hours and any required areas/content

2.5

2) Number of on-going hours and any required areas/content

20 hours annually on child care related topics, 10 of which must be face-to-face.

c) Licensed Family Child Care Provider

1) Number of pre-service or orientation hours and any required areas/content

2.5

2) Number of on-going hours and any required areas/content

10 hours annually on child care related topics, 10 of which must be face-to-face.

d) Any other eligible CCDF provider

1) Number of pre-service or orientation hours and any required areas/content

2.5

2) Number of on-going hours and any required areas/content

For FFN providers, five training hours must be completedannually . For Legally License-Exempt programs, 20 training hours must be completed annually , 10 of which must be face-to-face.

☐ 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

Training is accessible through the CAC Agencies related to childcare program management and provider's business practices. Creating Good Child Care is the most basic course that covers topics such as forms, maintaining records, developing program philosophy and mission statement, legal protection and insurance, American Disabilities Act, reporting requirements for abuse and neglect, and custody issues.

Course 4 of the Family Child Care Endorsement includes content for family providers regarding ethics and professionalism, contracts and policies, record keeping, taxes and marketing. For center administrators, four 10-hour classes make up the 40-hour Director's Toolbox Endorsement. Content includes much more in depth information on contracts and policies and procedures, recordkeeping, budgeting, leadership, hiring, developing and retaining qualified staff, conflict resolution, how to effectively communicate in both writing and verbally, and other pertinent issues.

Lastly, Utah supports administrators that wish to obtain the National Administrator's Credential. This is a 40-hour course specific to effective program management offered through the National Early Childhood Program Accreditation organization. If an administrator chooses to take the NAC class, a scholarship for $150 is available for reimbursement of the payment of the fees. This course may also be used to increase one level on the Career Ladder. Technical Assistance for both family providers and center directors regarding business practices is available through the CAC Agencies statewide, should it be requested by a provider.

☐ 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

Reviewed every five years.

☑ 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://jobs.utah.gov/occ/occ2/forproviders/early_childhood.pdf

☑ Three-to-Five

Provide a link:

http://ccpdi.usu.edu/files/uploads/Utahs_School_Readiness_Standards.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:

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:

The CAC Agencies provide extensive training on the Preschool Early Learning Standards. Four 10-hour classes have been developed and providers are able to earn an endorsement of completion for attending 40 hours of School Readiness trainings. These trainings use the standards as the core of the class curriculum. Providers are taught how to use the standards and participate in activities that

illustrate how they can work with children to help them prepare to enter school ready to learn. Content also helps caregivers understand how to implement the activities in their classroom environments.

The Infant/Toddler Guidelines are embedded in the Infant/Toddler 40-hour endorsement classes taught through the CAC Agencies as well. These classes are not foundationally written around the guidelines, but caregivers are taught how to use them in their day-to-day work.

☐ The technical assistance is linked to the State's/Territory's quality rating and improvement system.

Describe:

☑ Child care providers working with infants and/or toddlers have access to the technical assistance for implementing early learning and development guidelines.

Describe:

Five Infant/Toddler Specialists working statewide with programs serving children under the age of three provide the Infant/Toddler Guidelines as a resource and provide technical assistance to providers on how to use them.

☑ Child care providers working with preschool-age children have access to the technical assistance for implementing early learning and development guidelines.

Describe:

Through the coaching program at each of the CACs, providers and coaches work together to determine how the coach can best support the provider to meet their needs. Technical assistance regarding the Pre-Kindergarten Early Learning Standards is an area that a provider may choose to receive support.

☐ Child care providers working with school-age children have access to the technical assistance for implementing early learning and development guidelines.

Describe:

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 Lead Agency utilizes CCDF funds to publish guidelines to be distributed to providers by coaches or through training classes. CCDF funds are also utilized to pay the wages for Infant/Toddler Specialists and others that provide technical assistance and coaching. Additionally, the Lead Agency utilizes CCDF to contract with the CACs to offer the courses related to the preschool and infant/toddler guidelines. Where the services are delivered through Infant/Toddler Specialists, infant-toddler set-aside funds are utilized. Similarly, where the services are delivered through the CACs, quality set-aside funds are utilized.

☐ Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

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

The Lead Agency, in coordination with its CCDF Reauthorization Steering Committee partners, established the following goals for quality improvement:

(1) Ensure all child care programs receiving CCDF funding prioritize continuity of care for all children in their programs.
(2) Ensure all child care programs receiving CCDF funding provide care that meets the developmental needs of the children in the program through the utilization of development screening tools.
(3) Ensure that all children receiving child care through CCDF-funded programs have access to high-quality child care, regardless of income and geographic location of residence.

In addition to the consultation with the CCDF Steering Committee, the Lead Agency evaluated the following data: locations of providers throughout the state relative to child care need; enrollment in professional development courses; and utilized data analyzed in Utah's Annual Report on Utah's Annual Report on Intergenerational Poverty, Welfare Dependency and Use of Public Assistance 2015.

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.)

☑ 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.)

Infant-toddler set aside funds will be used for this activity. The Lead Agency funds six infant-toddler Specialists to assist programs Statewide.Grants will be used to allow programs to expand by increasing capacity for infant and toddler slots. Grants will be used to help programs increase the quality of child care provided to children birth to three years.

☐ Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

☑ 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.)

Quality set aside funds will be used for this activity. Funds are used to provide parent referrals, training services and consumer education information as well as technical assistance and coaching. The Professional Development system for providers is also

funded.

☐ 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.)

Quality set aside funds will be used to maintain licensors to complete inspections of all providers.

☐ 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.)

Among the programs that are evaluated or assessed for quality and effectiveness, quality set aside and infant-toddler funds are utilized. These funds will pay for observers to use the Environmental Rating Scales to evaluate programs.

☐ Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

☐ 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.)

☑ 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.)

This activity is supported through contracts to the CACs which are funded with CCDF quality set aside funds.

☐ Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

☑ 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.)

The Lead Agency uses quality set aside dollars to fund afterschool quality improvement efforts.

☑ Other funds.

Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.)

State funds and TANF funds are utilized to support preschool quality improvement activities.

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

Utah's QRIS, is administered by the Lead Agency through its Care About Childcare agencies. Utah developed its QRIS after completing a number of focus groups with family and center providers. After evaluating feedback, Utah chose to adopt a recognition system instead of a rating system. The acronym QRIS in Utah stands for a Quality Recognition Improvement System.

The system is a voluntary QRIS, allowing only non-hourly, licensed child care centers and licensed family, child care programs to participate. The CAC agencies assist programs participating in the QRIS and verify quality criteria achieved by programs through an online verification system. Providers may move from one level to another by earning additional criteria on an annual basis. Each of the criteria is self-reported, however, there is a rigorous approval process that takes place at each of the CAC Agencies prior to a provider receiving credit for any criteria. The provider must upload information to the CAC website that is examined by a designated individual. Some of the items required, depending on what the provider is asking credit for, include pictures, policies and procedures manuals, parent handbooks, lesson plans, copies of daily schedules and a number of other items. If a criterion is not approved, the provider is contacted by the CAC staff member and given some technical assistance regarding what the criteria means and why the information sent is not adequate to approve it. Providers must certify existing criteria each year as well as provide additional documentation for any new criteria being requested.The Lead Agency's QRIS website can be found through the Child Care Professional Development Institute, Care About Childcare tab.

☐ 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

- [ ] 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.

- [x] 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
- [x] Builds on State/Territory licensing standards and other State/Territory regulatory standards for such providers
- [x] Embeds licensing into the QRIS.

Describe:

In order for child care programs to participate in Utah's QRIS, programs must be licensed and in substantial compliance with licensing standards. The definition for substantial compliance is the absence of civil money penalties (CMPs) for the previous six months. CMPs are awarded when a violation occurs that did or potentially could have resulted in serious harm to a child, or when technical assistance citations are repeated and/or not corrected. In addition to the above, programs cannot participate in Utah's QRIS if they are currently issued a conditional license.

- [x] Designed to improve the quality of different types of child care providers and services
- [x] Describes the safety of child care facilities
- [x] Addresses the business practices of programs
- [x] 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

- [x] 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

The Lead Agency provides financial incentives to programs voluntarily participating in the QRIS, in order to encourage their continuous quality improvement. Programs receive an incentive-based on the number of quality criteria achieved each year. At this time, the Lead Agency does not provide incentives in the form of tiered payment rates based on QRIS levels.

- [x] 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.

- [x] Licensed child care centers
- [x] 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
- [x] Programs serving infants and toddlers
- [x] Programs serving school-age children
- [x] 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:

The Lead Agency will use the following measures to evaluate QRIS progress in improving

the quality of child care:

(1) Number and percentage of eligible providers participating in QRIS;

(2) Number of criteria achieved by providers cumulatively state-wide;

(3) Number and percent of providers achieving quality criteria, including those moving up or down a level in QRIS over the previous twelve months; and

(4) Number of Care About Child Care Grant providers received for completing quality criteria.

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:

The Lead Agency administers "birth to three years old" grant. Those grants incorporate professional development for providers by requiring programs to use a portion of grant funds to pay course fees and staff wages to attend birth to three courses. The required courses are specifically designed for caregivers working with children birth to three and are taught through local CAC agencies and other partnering agencies. The courses explore developmentally appropriate issues to be considered when providing infant and toddler care. The areas of focus for the training include the following: primary caregiving, appropriate group size, continuity of care, the physical environment, daily routines, and respectful caregiving. Other areas of focus include cognitive and brain development, literacy and language development, and working effectively with families of infants and toddlers in a culturally sensitive manner.

In addition, participants learn about the emotional and social development of infants and toddlers. Participants explore how infants and toddlers learn and positive ways to work with the families of the children in their care.

☑ 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:

The Lead Agency uses grants to increase the supply and quality of infant-toddler care. These grants are provided to licensed centers to improve the quality of environments, interactions, language and other areas that align with the ITERS-R assessment tool. The Lead Agency uses the ITERS-R assessment tool to evaluateprogram quality to determine the need for improvements within programs. The grant funds may be utilized to purchase materials, equipment, and/or to enhance or create birth to three indoor and outdoor play environments. Additionally, programs may utilize 15 percent of the grant to offset the high cost of providing infant and toddler care. The Lead Agency is prioritizing some its infant/toddler funds to licensed-family providers in rural communities, as well as licensed-family providers serving subsidy children, in an effort to expand infant/toddler capacity and improve quality among vulnerable populations.

☑ Providing coaching and/or technical assistance on this age group's unique needs from Statewide networks of qualified infant-toddler specialists.

Describe:

The Lead Agency provides statewide technical assistance to assist programs in addressing the unique needs of infants and toddlers. Specifically, the Lead Agency contracts with The Children's Center,Kids on the Move, and CAC-Weber State University to employ five Infant Toddler Specialists to provide statewide technical assistance. These specialists work with child care programs receiving the Lead Agency's birth to three grants. A variety of technical assistance approaches are used with these programs, including: observation and feedback regarding current practice, problem solving and sharing appropriate recommendations, coaching and modeling of best practices, facilitating small group workshops, sharing room arrangement ideas, selecting needed materials and equipment, facilitating director support groups, working with children who exhibit difficult behaviors, supporting age appropriate guidance techniques, and listening and reflecting concerns of program staff.

☐ 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:

☑ Developing infant and toddler components within the State's/Territory's QRIS.

Describe:

Infant and toddler components are currently embedded within Utah's QRIS. Specifically, indicators specific to health and safety and indoor, and outdoor environments, specific to this age group, are included on the QRIS.

☑ Developing infant and toddler components within the State's/Territory's child care licensing regulations.

Describe:

Currently, there are 36 licensing rules specific to infant and toddler care.

☑ Developing infant and toddler components within the early learning and development guidelines.

Describe:

The Lead Agency developed and published Infant and Toddler Guidelines that are being utilized statewide. The CAC agencies provide training to providers regarding the guidelines and methods of effectively implementing the guidelines in programs. The

Infant/Toddler Specialists provide technical assistance to providers on how to use the guidelines.

☑ Improving the ability of parents to access transparent and easy to understand consumer information about high-quality infant and toddler care.

Describe:

The Lead Agency's consumer website, Care About Childcare, provides parents access to easy-to-understand consumer information about high-quality infant toddler care.

☑ 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 Lead Agency contracts with The Children's Center to employ an Infant/Toddler Consultant. The consultant provides support to programs concerned about a child's development or behavior. The consultant performs classroom observations, consultation and on-site technical assistance in classrooms serving infants, toddlers and two-year-olds. Currently, this service is available along in the state's largest metropolitan region, free of charge to programs.

☐ 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 Lead Agency will use the following measures to evaluate Infant/Toddler progress in improving the quality of child care:

(1) Number and percent of programs utilizing the Infant Toddler Environmental Rating Scale-Revised Edition (ITERS-R);

(2) Among programs utilizing Infant Toddler Environment Rating Scale - Revised Edition (ITERS-R), the number and percentage improving on ITERS-R;

(3) Number and percent of programs receiving technical assistance from the Lead Agency's,

Infant/Toddler Specialists;

(4) Number of providers that complete 40 hours of Infant/Toddler training; and

(5) Number of providers receivingInfant/Toddler CDA consultation and CDA credential.

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 Lead Agency manages a statewide and coordinated network of child care resource and referral agencies, referred to as Care About Childcare (CAC). The Lead Agency contracts with six, CAC agencies that operate with a common and coordinated scope of work and shared database. The CAC agencies provide support to child care providers and parents in numerous ways. The CAC agencies provide extensive resources to parents, including information regarding highquality child care; selecting a highquality provider; and support locating child care that meets their needs. Additionally, CAC supports providers and those considering becoming providers through its Recruitment and Retention Department. This includes providing training and financial support to help provider achieve licensing status. The CAC agencies provide an array of lowcost, training classes, available to providers, parents and the general public. This training includes supporting providers on Utah's Career Ladder, which may include obtaining endorsements, pursuing CDAs, and a Bachelor's Degree. The CCR&R's also offer coaching and technical assistance in best practices to family and center based providers. Finally, the CCR&R's approve quality criteria for the Lead Agency's QRIS. Upon approval, providers are given a modest grant that serves an incentive to encourage providers to participate in the Lead Agency's QRIS.

☐ 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:

The Lead Agency will evaluate measures within the following topics to determine its progress in improving the quality of child care programs through its CAC agencies: (1) Caregiver Professional Development; (2) Quality Improvement; and (3) Provider Recruitment and Retention. The following describes the measures in each area:

(1) Number of providers participating in classes;
(2) Number of providers receiving coaching and technical assistance through any coaching program (i.e. Family Program Coaches, CDA Coaches, Center Program Coaches or General TA);
(3) Number of providers and/or programs that receive Program Coaching Grants;
(4) Number of family child care providers that receive Start Up Grants; and
(5) New programs receiving technical assistance to achieve Care About Childcare quality criteria.

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:

The Lead Agency contracts with the Child Care Licensing Program to inspect and monitor all providers and license-exempt programs receiving CCDF to ensure compliance with health and safety requirements, and additional requirements including serving homeless children.

The Lead Agency funds several strategies to facilitate provider's compliance with standards for quality child care. These strategies include the following: (1) Start-up grants for family providers to support them in becoming licensed; (2) technical assistance through CCL to

ensure programs comply with licensing; (3) technical assistance and grants to refugee child care providers to become either FFN providers or licensed providers; and (4) Reimbursement for half the cost of First Aid and CPR training for providers seeking FFN approval.

In addition, Lead Agency partners provide several courses that address state standards in child care. These courses include the following: (1) "Basics of Child Care," a free course addressing child care standards; (2) CCL Licensing Training for all providers; and (3) technical assistance to address standards when providers contact the CACs.

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:

The Lead Agency will evaluate the following measures related to state standards to ensure progress in improving the quality of child care programs and services:

(1) Number of new family providers that become licensed each year;
(2) Number of TA visits from licensors to ensure programs comply with licensing standards;
(3) Number of announced, unannounced and monitoring visits completed each year by licensors;
(4) Number of licensing visits triggered by a complaint;
(5) Number and suspensions or revocations of licenses each year;
(6) Among refugee child care providers receiving supportive services, the number and percent becoming FFN or licensed providers;
(5) Number of providers participating in the "Basics of Child Care," course; and
(6) Number of providers participating in the CCL training.

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 Lead Agency utilizes third party evaluators and evidencebased assessment tools in many of its grant programs. First, the Lead Agency utilizes CCDF, TANF and state funds to contract with the Utah Education Policy Center at the University of Utah to evaluate afterschool grants to determine quality and effectiveness in improving outcomes for school age children. These evaluations include regular surveys of program participants, teachers and parents to evaluate whether the programs are meeting the goals of the grants, as specified either by state code or the grants themselves. In addition to the program evaluations, the Lead Agency uses assessment tools in many of its grants. Specifically, the Lead Agency utilizes the Infant and Toddler Environmental Rating Scales (ITERSR), as well as the Early Childhood Environmental Rating Scales (ECERSR) to assess program quality. These assessments are conducted both pre and postgrant to measure effectiveness of the grants in improving quality. Also, the Lead Agency utilizes quality funds for programs serving schoolage children in afterschool programs, including curriculum and equipment, summer and school year grants for different types of afterschool care providers, including licensed centers and school and community based License exempt programs. The Lead Agency and its contracted partner, The Utah Afterschool Network (UAN), provide technical assistance through the use of up to five fulltime OutofSchool Time (OST) Specialists. The Lead Agency and the OST Specialists utilize the Utah Afterschool Quality Assessment and Improvement Tool (Quality Tool) to measure quality improvement efforts, as well as develop a plan for improvement, mentoring, coaching and training.

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 measurements relevant to the Utah Education Policy Center (UEPC) afterschool evaluations are determined by the contract. This includes delivery of semi-annual evaluation reports during implementation of the program. The main objectives of the evaluations is to determine whether programs are effectively implementing quality afterschool programming by Intergenerational Poverty Interventions grantees and explore the relationships between afterschool program implementation and academic outcomes for school-age participants. Measures utilized in the evaluation project include a afterschool program staff and student survey developed by UEPC the Utah Afterschool Program Quality Assessment and Improvement Tool (Quality Tool), afterschool program participation data, Dynamic Indicators of Basic Early Literacy Skills (DIBELS) scores and afterschool program participant education data.

The measurements relevant for the grants are both the pre- and post- assessment scores on both the ITERS-R and ECERS-R. Specifically, the Lead Agency will utilize the pre-assessment scores and compare those to the post-assessment scores compiled at the end of grants for programs receiving assessments.

Similarly, the afterschool grants utilize the lQuality Tool, which is organized into four essential areas of an effective afterschool program based on research and best practices. Quality Tool areas include 1) Be Safe; 2) Develop Meaningful Relationships; 3) Learn New Skills; and 4) Administration. All funded school-age afterschool programs must complete the Quality Tool on an annual basis and results are used to inform technical assistance with UAN Out-of-School Time (OST) Specialists.

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

- [ ] Yes, the State/Territory has supports operating as a pilot or in a few localities

  Describe:

- [x] 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:

Measures will be established relevant to this activity when the Lead Agency has put a plan in place.

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:

The Lead Agency, in partnership with the Department of Health, provides training through its CACs to meet the standards of the "Top Star," program. Top Star covers the following subjects: nutrition, exercise, breastfeeding, screen time and water. Providers successfully completing Top Star training become Top Star certified providers.

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:

The Lead Agency will evaluate the following measures to ensure this strategy is improving the quality of child care programs and services:

(1) Number of providers participating in Top Star training; and
(2) Number of Top Star-certified providers.

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 engages in additional activities to improve the quality of child care services in the areas of preschool quality improvement which prepares children for entry into kindergarten. Afterschool quality improvement efforts focus on childwell being, safety, developing meaningful relationships, program administration and learning new skills. The Lead Agency partners with the Utah State Office of Education and the Governor's Office of Management and Budget (GOMB) to coadminister the state's High Quality School Readiness Grant Program. In 2014, the Utah Legislature established the grant program, which establishes 10 components of a highquality preschool program. The grants are designed to assist private child care providers in meeting all 10 components through utilizing grant funds

to eliminate existing gaps. The program is evaluated by a third party evaluator, established through a contract between GOMB and Utah State University. The evaluator is utilizing the following assessments to determine whether programs are implementing a highquality preschool program: (1) Pre and postPeabody Picture Vocabulary Test (PPVT) Scores; (2) Pre and post Phonological Awareness Literacy Screening (PALS) Scores; and (3) Classroom Assessment Scoring System (CLASS) Scores Additionally, the Lead Agency engages in additional activities to improve the quality of child care services in schoolage afterschool quality improvement initiatives.

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 Quality Control (QC) and Quality Assurance Unit will modify the definitions for violations and update program integrity procedures when the State implements 12-month eligibility review periods. The QC-Quality Assurance unit prepares and updates the record review analysis document anytime policy and procedures change that affect program integrity.

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.

- [x] Issue policy change notices
- [x] Issue new policy manual
- [x] Staff training
  - [x] Orientations
  - [x] Onsite training
  - [x] Online training
- [x] Regular check-ins to monitor implementation of the new policies.

  Describe:

  Quality Control and Performance Case Reviews are conducted monthly to identify administrative error and improper payments.
- [ ] 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 monitors all sub-recipients receiving CCDF funds very closely. Each agency has a detailed Scope of Work that is written and detailed by the Lead Agency. The Scope of Work is part of each contract and is signed by the authorized individual at each agency or organization. A number of methods are used to monitor compliance with the contract requirements. Each year there is an orientation meeting where all contract requirements and scope of work are reviewed in detail. Specific direction is given verbally and in writing, as well as time allowed for questions by those in attendance. A Program Specialist and a Contract Analyst are assigned to each contract and works closely with their assigned sub-recipients throughout the year to assure contract compliance, provide resources, support and technical assistance, and approve invoices for payment. Other methods used to monitor sub-recipients include site visits, monthly meetings with program directors or specialists, quarterly reports that are reviewed by each Program Specialist, fiscal monitoring and audits completed by agency auditors and state auditors. Additionally, each Program Specialist is available by email or phone to answer questions, work through issues, discuss challenges or approve changes to budget. In unusual instances, the Program Specialist will collaborate with the Contract Analyst if a contract issue needs further clarification or there is a concern regarding compliance.

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.

- [x] 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:

- [x] Review of enrollment documents, attendance or billing records
- [x] Conduct supervisory staff reviews or quality assurance reviews
- [x] Audit provider records
- [x] Train staff on policy and/or audits
- [x] Other.

  Describe:

  Electronic interface with the Office of Recovery Services for child support collection, Unemployment division for start or stop of unemployment benefits.

- [ ] 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.

- [x] 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))
- [x] Run system reports that flag errors (include types)

  Describe:

  Eight system reports are run to flag errors. They include the following:

Monthly Review Status Report, Case Review Workload, Case Review Details, Case Review Accuracy, Case Review Causal Factor Report, Case Review Rank, Case Review (Woker) and Case Review Accuracy (Case).

- [x] Review of enrollment documents, attendance or billing records
- [x] Conduct supervisory staff reviews or quality assurance reviews
- [x] Audit provider records
- [x] 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?

- [x] Require recovery after a minimum dollar amount in improper payment.

  Identify the minimum dollar amount: $300.00

- [x] Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement)
- [x] Recover through repayment plans
- [x] Reduce payments in subsequent months
- [x] Recover through State/Territory tax intercepts

- [x] Recover through other means
- [x] Establish a unit to investigate and collect improper payments.

  Describe:

  The Payment Error Prevention (PEP) Unit within the Eligibility Services Division of the Lead Agency investigates, calculates, and adjudicates all intentional, unintentional and administrative error overpayments. Additionally, the Public Assistance Overpayment Unit (PAO) of the Lead Agency is responsible for collection and enforcement of all classifications of overpayments. There is no threshold for adjudication and collection of misspent funds due to fraud. Lead Agency does not refer child care overpayment debts to any other state agency for collection activities.
- [ ] 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?

- [x] Require recovery after a minimum dollar amount in improper payment.

  Identify the minimum dollar amount: $0
- [x] Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement)
- [x] Recover through repayment plans
- [x] Reduce payments in subsequent months
- [x] Recover through State/Territory tax intercepts
- [x] Recover through other means
- [x] Establish a unit to investigate and collect improper payments.

  Describe composition of unit below

  The Payment Error Prevention Unit (PEP) is comprised of two teams with a manager over each team. The investigation team conducts research on all agency referred potential overpayments. The overpayment team calculates the referred overpayment

and prepares the case for the Public Assistance Overpayment Unit (PAO) who is responsible for the collection and enforcement of all classifications of overpayments

☐ 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: $300.00

☑ 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

The Payment Error Prevention Unit (PEP) is comprised of two teams with a manager over each team. The investigation team conducts research on all agency referred potential overpayments. The overpayment team calculates the referred overpayment and prepares the case for the Public Assistance Overpayment Unit (PAO) who is responsible for the collection and enforcement of all classifications of overpayments.

☐ 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:

A client who commits an Intentional Program Violation (IPV) will be responsible for repayment of the overpayment and will be disqualified from receipt of any CCDF funds for a period of one year for the first IPV, two years for the second IPV, and for life for the third IPV. A client has a right to a request a Department hearing. The client must request the hearing in writing or orally within 90 days of the date of the notice of agency action. A decision will be issued within 60 days of the date on which the client requests the hearing.

☑ Disqualify provider.

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

A provider who commits an Intentional Program Violation (IPV) will be responsible for repayment of the overpayment and will be disqualified from receipt of any CCDF funds for a period of one year for the first IPV, two years for the second IPV, and for life for the third IPV. A provider is ineligible for CCDF funds after a disqualification until all overpayments established in conjunction with the disqualification have been paid in full even if the disqualification period has ended. A provider may appeal an overpayment or disqualification with the Department. The appeal must be filed in writing within 30 days of the date of the notice of agency action establishing the overpayment or disqualification. A provider who has been disqualified may continue to receive subsidy payments pending the appeal until a decision is issued by the Administrative Law Judge (ALJ). If the provider fails to file an appeal within 30 days of the date of the notice of agency action and the Department issues a default decision, and the provider files request to set aside the default, child care subsidy funds will not continue unless or until the default is set aside by the ALJ. If the request to set aside a default is denied, the provider will be

disqualified pending appeal of the denial to set aside the default.

- [x] Prosecute criminally
- [ ] Other.

Describe: