



Child Care and Development Fund (CCDF) Plan

For

State/Territory: Northern Mariana Islands

FFY 2014-2015

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2013 – 9/30/2015. 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 printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Form ACF-118 Approved OMB Number expires

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PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

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

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

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

Name of Lead Agency: Department Of Community and Cultural Affairs
Address of Lead Agency: Caller Box 10007 Building No. 1347 Ascension Ct. Capital Hill Saipan, MP 96950
Name and Title of the Lead Agency's Chief Executive Officer: Laura T. Ogumoro, DCCA Acting Secretary
Phone Number: 670-664-2587
Fax Number: 670-664-2571
E-Mail Address: dyssup@gmail.com
Web Address for Lead Agency (if any): Not available

1.1.2. Who is the CCDF administrator?

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

a) Contact Information for CCDF Administrator:

Name of CCDF Administrator: Maribe S. D. Loste
Title of CCDF Administrator: CCDF Program Administrator

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Address of CCDF Administrator: Caller Box 10007 Building No. 1347
Ascension Court Capital Hill Saipan, MP 96950
Phone Number: 670-664-2575; 670-664-2573
Fax Number: 670-664-2547
E-Mail Address: ccdf.maribelloste@gmail.com
Phone Number for CCDF program information (for the public) (if any):
670-664-2575; 670-664-2576; 670-664-2546
Web Address for CCDF program (for the public) (if any): Not Available
Web address for CCDF program policy manual: (if any): Not Available
Web address for CCDF program administrative rules: (if any): Not
Available

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

Name of CCDF Co-Administrator: N/A
Title of CCDF Co-Administrator: N/A
Address of CCDF Co-Administrator: N/A
Phone Number: N/A
Fax Number: N/A
E-Mail Address: N/A
Description of the role of the Co-Administrator: N/A

1.2 Estimated Funding

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

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

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching):
\$1,904,992.00
Federal TANF Transfer to CCDF: \$0.00
Direct Federal TANF Spending on Child Care: \$0.00
State CCDF Maintenance-of-Effort Funds: \$0.00
State Matching Funds: \$0.00

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

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

Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark N/A here.

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

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

If checked, identify source of funds: _____

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

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

If checked, are those funds:

donated directly to the State?

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

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

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

State expenditures for pre-k programs to meet the CCDF Matching Funds requirement. If checked,

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

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

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

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

State expenditures for pre-k programs to meet the CCDF Maintenance of Effort (MOE) requirements. If checked,

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

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

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

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

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

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1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015.

In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Activity	Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)	Purpose	Projected Impact and Anticipated Results (if possible)
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Activity	Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)	Purpose	Projected Impact and Anticipated Results (if possible)
Professional Development, Training and Technical Assistance for Child Care Providers, parents, community members; consumer education materials to parents and providers; information drive; health and safety; what makes quality early care and education; incentives to providers; educational materials to support quality efforts of child care providers; educational and health and safety materials to support the health and safety initiatives of the Child Care Licensing program;	<hr/> <p>Check if targeted funds for this activity:</p> <p><input checked="" type="checkbox"/> Infant/Toddler Targeted Funds - \$95,250.00</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input type="checkbox"/> Quality Expansion</p>	Continuing and free Professional development, trainings and technical assistance opportunities for all child care providers, parents and community; information drive focusing on Infant and Toddler Care. Topics that will be included but is not limited to the following: Infant and toddler development; developmentally appropriate practices; health and safety etc; quality infant and toddler care; educational materials to support the early care and education of providers who care for infants and toddlers.	Through the use of the targeted funds for the infant and toddler group, providers, parents, and community members will have increased and enhanced their knowledge with regards to infant and toddler care; infant and toddler health and well being; how to choose developmentally appropriate educational materials; and how to support the unique needs of infants and toddlers.

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Activity	Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)	Purpose	Projected Impact and Anticipated Results (if possible)
<p>Information drive related to quality child care (school age and child care services); incentives to providers in their efforts to provide quality afterschool services; training and technical assistance to support best practices in afterschool programs; purchase of educational materials to support best practices in afterschool programs</p>	<p>_____</p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input checked="" type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds - \$19,050.00</p> <p><input type="checkbox"/> Quality Expansion</p>	<p>Disseminate information related to quality school age child care services; provide developmentally appropriate educational materials and activities to school age programs</p>	<p>A community knowledgeable about quality school age child care services for children-afterschool services; parents, providers and the community knowledgeable about best practices in afterschool programs</p>

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Activity	Estimated Amount of CCDF Quality Funds (check which targeted funds will be used, if any)	Purpose	Projected Impact and Anticipated Results (if possible)
Offer Afterschool and Summer Program through grants; purchase educational materials to support afterschool and summer programs;	<p>_____</p> <p>Check if targeted funds for this activity:</p> <p><input type="checkbox"/> Infant/Toddler Targeted Funds</p> <p><input type="checkbox"/> School-Age/Child Care Resource and Referral Targeted Funds</p> <p><input checked="" type="checkbox"/> Quality Expansion-\$367,500</p>	To expand the availability of afterschool and summer programs; to provide developmentally appropriate educational materials and make accessible to providers training and technical assistance related to afterschool programs	Increased availability of afterschool and summer programs for the community; increase availability of appropriate afterschool and summer program educational materials

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

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

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

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

1.3. CCDF Program Integrity and Accountability

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

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place.

The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

The Department of Community and Cultural Affairs (DCCA) serves as the lead agency that administers the program and is mainly responsible for administering all CCDF funding received from the DHHS-Office of Child Care. This agency is also responsible for the development of Child Care's administrative policies and regulations, promulgation of regulatory requirements for child care providers and assuring that recipients of this program adhere to the CCDF rules and regulations. DCCA-CCDF also provides assistance and direction to the care providers for the improvement of quality care to the children.

The Lead Agency through its financial control manages funds received from DHHS, and the CNMI Department of Finance – Federal Accounting Section oversees the accounting control of all federal funded accounts. Once the grantor agency approves and sends the grant award letter, an advice of allotments is prepared by the grantee and has it submitted to the CNMI-Office of Grants Management, a newly created unit under the Office of the Governor that scrutinizes the allotment advice based on the conditions of the grant award letter. After the the scrutiny it is then forwarded to the Department of Finance (DOF)- Federal Accounting Section and the CNMI Office of Management and Budget for the account to be set up for that particular grant award. Once the account is set up and been reviewed that the amount matched up with the approved grant, then the program or the lead agency starts the procurement process using CNMI's Procurement Rules and Regulations. In obligating operational costs, purchase requisitions are prepared and being scrutinized and certified by the department's accountant to make sure that items or services being procured are in compliance within the uniform administrative requirements and cost principles based on OMB's circulars. After such process, the official expenditure authority approves and signs, then requisitions are forwarded to Finance & Accounting for certification that funding is available and budgeted. After this process, the Division of Procurement and Supply prepares purchase order, which is the basis for payment. For personnel wages and benefits' obligation, a bi-weekly timesheet is prepared and scrutinized by the official timekeeper and have it submitted to CNMI Payroll Section for payment processing.

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Consistent monitoring and reconciliation of accounts with Finance and Accounting are done on a monthly basis regarding fund balance status through JD Edwards system being used by DOF, which ensures the program that obligations do not exceed available funds.

With a close coordination between DCCA and DOF-Federal Accounting Section, tight budget control is implemented and timely financial reporting of ACF-696 is met.

The Lead Agency assures that effective internal control; integrity and accountability will be in place. It will include in exercising its internal control the plan of organization, methods and procedures adopted by management to meet our goals. It also includes processes for planning, organizing, directing, controlling, and reporting on agency operations. The DCCA-CCDF further assures that three objectives of internal control will be maintained, such as: 1) effectiveness and efficiency of operations; 2) reliability of financial reporting; and 3) compliance with applicable rules and regulations.

1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients.

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

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor**

(http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010).

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

The Northern Mariana Islands' CCDF Lead Agency will directly administer and implement all services, programs, and activities under the CCDF funds. It will not have any sub-recipients.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below.

Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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

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

DCCA CCDF Program will sign an MOU with the CNMI Special Supplemental Nutrition Program for Women, Infants, and Children (WIC Program). The purpose of this agreement is to share and match data information between the participants of these programs. This MOU will also assure both programs that information shared between the two agencies will not be disclosed to a third party.

On a monthly basis upon receipt of the Payment Invoices, Eligibility Specialists (ES) will review all attendance records of eligible clients (parents) through the submitted time records. ES will also cross-reference child/ren’s attendance calendar with parents’ attendance records at work, school or job training. Daily sign in and out of child/ren at their respective provider facilities will be reviewed. The CCDF Accountant will also conduct a final review of the summaries of payments.

CCDF Staff along with the Child Care Licensing Program (CCLP) Staff will Conduct on-site un-announced visits to providers to review children’s attendance or enrollment documents on a regular basis. CCDF and/or CCLP staff will initial the attendance records of any child/ren not present at the provider’s place.

All CCDF staff will be trained on a regular basis on policy and/or audits during the monthly and/or quarterly meetings. During the meetings, discussions will include

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clarification regarding current policies and procedures as well as any updates to these policies and procedures.

The Northern Mariana Islands is not required to participate in the Error Rate Review.

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

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount \$1.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe Once an intentional program violation has been identified, CCDF Office will coordinate with the Attorney General's Office for collection, law enforcement, or fair hearing.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Reduce payments in subsequent months	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit The Administrative Manager is responsible for the investigation and collection of improper payments. The Administrative Manager will work with the Eligibility Specialists (ES) to identify the amount to be collected. The ES will ensure that the	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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Strategy	UPV	IPV and/or Fraud	Administrative Error
<u>monthly recoupment amount as agreed upon by CCDF and the parent will be collected.</u>			
Other. Describe <u>The CCDF Program will provide training in best practices regarding identifying possible fraud as well as ensuring that policies and procedures are clearly described for all clients and CCDF staff to avoid miscommunication.</u>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

[The CCDF Program will recover any amount over \\$1.00 for intentional program violations. The process will include notifying the client, explaining the specific findings of the program related to program violation, indicating the amount to be recovered, and providing the client options on how to return the funds. Once both parties have agreed on the amount to be recovered, the CCDF ES will ensure that this amount is collected on a monthly basis until the full amount has been recovered.](#)

[The CCDF Program will coordinate with the CNMI Attorney General’s Office for administrative hearings, collection, and enforcement of the CCDF Rules and Regulations.](#)

[The CCDF Program may provide the client two \(2\) options for the recovery of funds:](#)

- [1. Monthly Repayment plan of not less than \\$50.00 until the full amount has been recovered or](#)
- [2. CCDF will reduce provider payments of not less than \\$50.00 in subsequent months until the full amount has been recovered](#)

[The program will consider the client’s ability to pay in all instances and consideration to pay less than the minimum amount maybe provided on a case to case basis.](#)

[Ongoing trainings and clarifications will be provided to ensure that all staff clearly understand the CCDF Rules and Regulations.](#)

The CCDF Administrative Manager with the assistance of the ES will be responsible for the investigation and collection of improper payments.

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

None

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

§ 55-50-505 Notice of Adverse Action

- (a) Prior to any action to reduce, deny, suspend, or terminate any child care service specified in these regulations, the Child Care Program shall provide the parent with timely and adequate notice before the adverse action is taken.**
- (b) The notice of adverse action shall be considered timely when the Child Care Program provides the notice at least 10 calendar days prior to the effective date of action**
- (c) In order to be adequate, the notice shall contain the following information:**
 - 1. The proposed action and the reason for the proposed action and**
 - 2. A citation to the Child Care Program rules supporting the proposed action**
 - 3. The name and telephone number of the person to contact for additional information**
 - 4. The family's right to appeal the Child Care Program's decision to the Secretary, Department of Community and Cultural Affairs (DCCA).**

§ 55-50-510 Administrative Appeal Requests

- 1. The parent may file a written request for an administrative appeal when the family is dissatisfied with the Child Care Program's adverse action of denying, reducing, terminating, suspending an assistance. The family shall have an opportunity to:**
 - a. Examine the case record as well as all documents and records to be used at the appeal hearing at a reasonable time before the date of the hearing as well as during the hearing;**
 - b. Present the case independently or with the aid of legal counsel;**

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- c. **Bring witnesses, including an interpreter if non-English speaking;**
 - d. **Establish all pertinent facts and circumstances;**
 - e. **Advance any arguments appropriate to the issue being heard without undue interferences; and**
 - f. **Question or refute any testimony or evidence, and to confront and cross-examine any witness.**
2. **The appeal request shall be in writing delivered to the Department of Community and Cultural Affairs Office of the Secretary within 10 calendar days of the date on which the notice informing the family of the Child Care Program's decision was delivered to the family and shall refer to the following:**
 - a. **The request is for an administrative appeal**
 - b. **The specific action identified in the notice that is being appealed; and**
 - c. **Whether continuation of benefits at the current level are being requested with the understanding the family will be required to pay back the total value of benefits (received pending the decision) if the DCCA decision is upheld.**
3. **If the request is not filed within 10 calendar days of the date the notice was provided to the family, the request shall be denied and the Office of the Attorney General shall provide notice of denial to the family.**
4. **The Attorney General or designee shall preside over a hearing within 30 days of timely appeal request.**
 - a. **The hearing shall be informal where strict rules such as the exclusion of hearsay evidence do not apply. However, the evidence presented must be relevant.**
 - b. **The family and the Child Care Program shall have an opportunity to present evidence, including witness testimony and documents. Each party shall also have the right of cross-examination.**
 - c. **The hearing shall be audio-recorded.**
5. **The Attorney General or designee shall issue a written decision to the Child Care Program and the family within 30 days after the hearing.**
6. **In the event that an appeal decision is rendered in favor of the family, benefits shall be restored as appropriate.**

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

Notice of Adverse Action

- (a) Prior to any action to disqualify any child care service provider the Child Care Program shall provide the parent with timely and adequate notice before the adverse action is taken.**
- (b) The notice of adverse action shall be considered timely when the Child Care Program provides the notice at least 10 calendar days prior to the effective date of action**
- (c) In order to be adequate, the notice shall contain the following information:**
 - 1. The proposed action and the reason for the proposed action and**
 - 2. A citation to the Child Care Program rules supporting the proposed action**
 - 3. The name and telephone number of the person to contact for additional information**
 - 4. The family's right to appeal the Child Care Program's decision to the Secretary, Department of Community and Cultural Affairs (DCCA).**

Administrative Appeal Requests

- 1. The provider may file a written request for an administrative appeal when the provider is dissatisfied with the Child Care Program's adverse action of disqualification. The provider shall have an opportunity to:**
 - a. Examine the case record as well as all documents and records to be used at the appeal hearing at a reasonable time before the date of the hearing as well as during the hearing;**
 - b. Present the case independently or with the aid of legal counsel;**
 - c. Bring witnesses, including an interpreter if non-English speaking;**
 - d. Establish all pertinent facts and circumstances;**
 - e. Advance any arguments appropriate to the issue being heard without undue interferences; and**
 - f. Question or refute any testimony or evidence, and to confront and cross-examine any witness.**

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- 2. The appeal request shall be in writing delivered to the Department of Community and Cultural Affairs Office of the Secretary within 10 calendar days of the date on which the notice informing the provider of the Child Care Program’s decision was delivered to the provider and shall refer to the following:**
 - a. The request is for an administrative appeal**
 - b. The specific action identified in the notice that is being appealed; and**
 - c. Whether continuation of payments for services at the current level are being requested with the understanding the provider will be required to pay back the total value of payments(received pending the decision) if the DCCA decision is upheld.**

- 3. If the request is not filed within 10 calendar days of the date the notice was provided to the provider, the request shall be denied and the Office of the Attorney General shall provide notice of denial to the provider.**

- 4. The Attorney General or designee shall preside over a hearing within 30 days of timely appeal request.**
 - a. The hearing shall be informal where strict rules such as the exclusion of hearsay evidence do not apply. However, the evidence presented must be relevant.**
 - b. The provider and the Child Care Program shall have an opportunity to present evidence, including witness testimony and documents. Each party shall also have the right of cross-examination.**
 - c. The hearing shall be audio-recorded.**

- 5. The Attorney General or designee shall issue a written decision to the Child Care Program and the provider within 30 days after the hearing.**

- 6. In the event that an appeal decision is rendered in favor of the provider, payments shall continue as appropriate.**

- Prosecute criminally
 Other. Describe. _____

1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below.

Territories not required to complete the Error Rate Review should mark N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)

1.4. Consultation in the Development of the CCDF Plan

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

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

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

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The DCCA CCDF Program continues to take active role in partnerships and collaborations with other local government entities. These agencies include: the Head Start program through the Head Start Community Partnerships, as a member in the Interagency Coordinating Council (ICC) of the Public School Systems (PSS) Early Intervention Services, and the Public Health’s Early Childhood Comprehensive Systems (ECCS).</p> <p>The Head Start (HS) Community Partnerships bring together other service agencies that provide support for the implementation of HS Program’s numerous Family Services. This partnership between service</p>

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Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	<p>agencies provide an avenue for strong communication, cooperating, sharing of information and resources among agencies. This partnership endeavors to improve the deliver of community family centered services that pays particular attention to the complex and diverse needs of the families and children of the CNMI.</p> <p>The CNMI CCDF Program continues to be an active member of the Interagency Coordinating Council or ICC. The council assists PSS Early Intervention Services (Part C of the Individuals with Disabilities Education Act) in achieving the full participation, coordination, and cooperation of all appropriate public agencies in the CNMI. The ICC also advices and assists the PSS Early Intervention Services in the development, implementation, and maintenance of the policies that constitute a statewide system of service.</p> <p>The CNMI Early Childhood Comprehensive Systems or CNMI-ECCS, Big Steps for Little Feet aims to strengthen, improve, and expand numerous agencies' services to enable children and families to benefit much from a more systematic, integrated and comprehensive delivery system. DCCA Child Care Program continues to be an active member of this system. Other members of this comprehensive system include but is not limited to: HOME Visiting Program; Women, Infant, Child (WIC); Non-Communicable Disease (NCD); Children's Developmental Assistance Center; Immunization Program; Community Guidance Center;</p>

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	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
		<p>Maternal and Child Health Program (MCH), etc.</p> <p>These service agencies meet at a minimum monthly to discuss improving the delivery of services as well as address the unique and diverse needs of the families and children of the CNMI. Recommendations that emerge as a result of these meetings and discussions are noted and incorporated in the formulation of the DCCA Child Care Program state plan or revisions to the state plan. If needed, the CNMI Child Care Program will engage in MOA's and/or MOU's to indicate support of such partnerships and activities.</p>
<p>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</p>		
<input type="checkbox"/>	<p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	
<input type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	
<input type="checkbox"/>	<p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	
<input type="checkbox"/>	<p>State/Territory agency with the Head Start Collaboration grant</p>	
<input type="checkbox"/>	<p>Statewide Advisory Council authorized by the Head Start Act</p>	
<input type="checkbox"/>	<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services</p>	
<input type="checkbox"/>	<p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	
<input type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation</p>	

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	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	programs grant	
<input type="checkbox"/>	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children’s emotional and mental health)	
<input type="checkbox"/>	State/Territory agency responsible for child welfare	
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	
<input type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	
<input type="checkbox"/>	Provider groups, associations or labor organizations	
<input type="checkbox"/>	Parent groups or organizations	
<input type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	
<input type="checkbox"/>	Other	

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

At a minimum, the description should include:

- a) Date(s) of notice of public hearing:

May 22, May 24, May 30, June 2, and June 9, 2013

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

- b) How was the public notified about the public hearing?

Email notification to all partner agencies, posting of the notice in the CNMI Governor’s Website, distribution and posting of flyers in all government and private business’ bulletin boards, newspaper ads, announcement during the Street Market events.

- c) Date(s) of public hearing(s):

Saipan, June 20, 2013; Rota, June 21, 2013; and Tinian, June 24, 2013

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

d) Hearing site(s):

Saipan, Multi-Purpose Hall, Susupe Rota, Round House, Song Song Village and Tinian, Tinian DCCA Gym

e) How was the content of the Plan made available to the public in advance of the public hearing(s)?

Hard Copies were made available at the CCDF Saipan Office as well as the DCCA Offices in Rota and Tinian. The plan was also posted in the CNMI Governor's Website

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan?

The public hearing process will afford the Child Care Program an opportunity to share its plan to the community as well as listen and consider the comments of the community. During the hearing process notes will be taken. Written comments will be accepted throughout the comment period. Once the comment period is completed the program will compile all comments received for possible inclusion to the plan.

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing.

For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.

To increase public consultation on the Plan and access by the community to the public hearing, all public hearings were held after working hours. Public hearings were also conducted in the 3 islands Saipan, Rota, and Tinian. Bilingual CCDF Program staff were also available during the public hearings to accommodate families who may need to have the plan translated or explained to them for clarifications.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

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

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

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

	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>The Child Care Program will continue to partner and collaborate with public health agencies to ensure that the communities' needs are adequately addressed. These partnerships and collaborations will be in the form of MOA's or MOU's as appropriate.</p>	<p>Through this partnerships and collaborations, the Child Care Program will ensure the health and safety of the children are addressed; training and technical assistance are realized for all children care providers; increased knowledge of agency partners' information that will be helpful in the referral process and more importantly, address family and children's unique and diverse needs.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education;</p>	<p>The Child Care Program will work in partnership with the Public School System in the delivery of the Afterschool Program for children enrolled in</p>	<p>Through this partnership with the Public School System, school age children will be supported in their afterschool services needs. These supports maybe in the form of additional activities</p>

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		<p>the Public School System. This partnership will be solidified in the form of an MOU/MOA.</p> <p>The Child Care Program will work in partnership with the Northern Marianas College (NMC) in the provision of trainings and technical assistance offerings to children care providers.</p>	<p>related to meeting content standards or enrichment activities such as computer classes, health and fitness, the Arts, and interscholastic opportunities. Children will be offered these additional support in an environment that is safe.</p> <p>Through partnership with NMC, child care providers and teachers will be afforded with the knowledge base they need to provide quality child care services. The knowledge gained through face to face trainings and hands-on activities will relate to child development, health and safety, infant and toddler care, nutrition and how to run a child care business among other things.</p>
<input checked="" type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)	The Child Care Program will continue to work in partnership with the PSS Head Start Program and Kindergarten Programs to ensure parents are	Parents who maybe interested in other options for early childhood services will be referred to the PSS Head Start Program as well as the PSS Kindergarten Program. For families who wish

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination
		<p>provided with many different options for the care and education of their children.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>to access the Head Start Program and the PSS Kindergarten Program will be assisted to access a part time care of their choice. Through this collaboration, families will be provided many different options for early care and education as well as a seamless delivery of care.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children’s emotional and mental health</p>	<p>The Child Care Program will continue to be an active member of the CNMI Early Childhood Comprehensive Systems (ECCS), Big Steps for Little Feet.</p>	<p>This partnership will improve the delivery system of care to all families; will improve mental health services, increase access to early care and education services, strengthen and improve family involvement and enhance child care provider and parent education. In addition, this partnership will enhance and develop a stronger and effective public awareness campaign and agency activities. Through this partnerships, child care providers will also have increased accessibility to trainings and technical assistance opportunities as well as resources across partner agencies.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce</p>	<p>The Child Care Program will work</p>	<p>Through this partnership the Child</p>

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	development (required)	in partnership with Division of Employment Services as well as WIA for any job training and employment opportunities for clients.	Care Program maybe able to refer parents who are graduating from school or a job training to Employment Services so their upward mobility is ensured and their child care is not interrupted.
<input type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies(required)	The Northern Mariana Islands do not receive TANF	
<input type="checkbox"/>	Indian Tribes/Tribal Organizations (required) <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery			
<input type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	The Northern Mariana Islands does not have the Head Start Collaboration Grant	
<input type="checkbox"/>	State/Territory agency responsible for Race to the Top – Early Learning Challenge (RTT-ELC) <input checked="" type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC		
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)		
<input checked="" type="checkbox"/>	State/Territory agency responsible for programs for children with special needs <input checked="" type="checkbox"/> This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other	The Child Care Program will continue to be a member of the Interagency Coordinating Council (ICC).	Through this membership, the Child Care Program will be able to identify issues, concerns, and challenges that a family with children with special needs may face. By identifying these

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<p>Agency/Entity (check all that apply)</p>	<p>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</p>	<p>Describe results expected from the coordination</p>
<p>State/Territory agencies that support children with special needs</p>		<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>issues and unique circumstances, the Child Care Program may be able to provide better support to clients with children with special needs.</p> <p>The Child Care Program will also be able to refer families to Part C and Section 619 for preschool aged children for additional assistance.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>The Child Care Program and the HOME Visiting Program are both members of the ECCS. Coordination and partnership will be in the form of referrals between the programs for families who will be needing the services offered by the respective programs.</p>	<p>This collaboration will ensure that families eligible for the HOME Visiting program will have access to the program. Home Visiting Program will also be able to assist in the training of family home care providers on best practices for early care and education. This collaboration will improve the quality of care and service of family home care providers.</p>
<p><input checked="" type="checkbox"/> State/Territory agency responsible for child welfare</p>		
<p><input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives</p>		
<p><input type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21</p>		

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	Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe results expected from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	<p>The Child Care Program continues to partner with local community organizations to address quality early care and education. Child Care Program partners with Motherhead/Fathere ad program to provide parent literacy trainings to families and child care providers.</p> <p>Child Care Program partners with Red Cross for its Infant and Child CPR trainings.</p>	Through these partnerships with different community organizations, Child Care Providers have access to numerous and diverse training opportunities that will enhance provider skills in caring for young children.
<input type="checkbox"/>	Provider groups, associations or labor organizations		
<input type="checkbox"/>	Parent groups or organizations		
<input checked="" type="checkbox"/>	Other	The Child Care Program will work in partnership with non-profit organizations in offering Afterschool Program and Summer Program grants.	This collaboration will increase the availability of part time as well as full time (summer program) care for school age children.

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan?

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

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- Yes. If yes,
- a) Provide the name of the entity responsible for the coordination plan(s):
 - b) Describe the age groups addressed by the plan(s):
 - c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
 - Yes
 - No
 - d) Provide a web address for the plan(s), if available: _____
- No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs?

(658D(b)(1)(D), §98.14(a)(1))

Check which entity(ies), if any, the State/Territory has chosen to designate.

- State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.
If yes, describe entity, age groups and the role of the Lead Agency _____
- State Advisory Council (as described under the Head Start Act of 2007).
If yes, describe entity, age groups and the role of the Lead Agency _____
- Local Coordination/Council
If yes, describe entity, age groups and the role of the Lead Agency _____
- Other.
Describe _____
- None

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

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

The Child Care Program will continue to participate in meetings with both private and public schools and secular providers of child care and afterschool programs to promote public-private partnerships and to ensure that focus is made on efforts and resources on providing the best early care and education as well as afterschool services for all children. These public-private partnerships will increase the bond between the child care program and the quality of care provided to all children. These partnerships will also increase and improve services available to parents, provide the most updated best practice in early care and education to

all child care service providers and referrals of families who may need assistance to the correct agency.

No.

1.6. Child Care Emergency Preparedness and Response Plan

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

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

- Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- Developed.** A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available: _____
- Other. Describe:**

The Child Care Program is in the process of planning its emergency preparedness and response plan. This planning started with an initial assessment of all CCDF providers' emergency evacuation plan as well as drills conducted on each respective sites. This initial assessment was followed by an ESF 6 work group meeting held on January 11, 2013 and the presentation was done by the CNMI Office of Homeland Security (OHS) who is tasked to put together the CNMI Emergency Operation Plan.

The initial assessment of providers' emergency evacuation plan indicated that many of the providers did not have a working evacuation plan as well as did not conduct the required mandatory monthly drills. To support providers' need of a working emergency evacuation plan, an emergency preparedness training was conducted on February 9 and 16, 2013. CNMI OHS facilitated the training and provided some clarification and pointers on how an emergency preparedness evacuation plan should be written out. Child Care providers are

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now in the process of re-visiting and revising their respective emergency evacuation plans based on the suggested pointers by OHS. Additionally providers have submitted the names of their respective staff who will be the lead person/s in any and all emergency preparedness planning meetings.

Based on these activities the suggested steps include:

1. Work closely with the Child Care Licensing Program on the amendment of child care licensing regulations to include specifics on child care providers emergency preparedness and response plan
2. Secure a copy of the existing standards operating procedures (SOPs) of collaborating agencies regarding emergency preparedness, if any.
3. On the child care subsidy, to ensure a back-up filing system of vital records and information
4. Commence with on-site visits to providers; conduct monthly evacuation drills at child care providers;
5. Update all providers' emergency preparedness plans
6. Prepare a draft Emergency Preparedness and Response Plan for CCDF

On April 22, 2013 technical assistance on site visit was completed by Region IX TA specialist. In connection with this visit a meeting with partner agencies to discuss emergency preparedness and response plan as related to the child care program was realized. Next steps to be completed will include:

1. For 3rd Quarter of FY 2013, to follow through with the commitment expressed by attending partner agencies to forge improved cooperation and coordination between agencies.
2. Meet with agencies or individual responsible for emergency preparedness and response plan in the neighboring islands of Rota and Tinian through CNMI-OHS.
3. Communicate with CNMI-OHS to acquire updated list of CNMI Emergency shelters
4. Communicate with DCCA MAC team to acquire updated emergency preparedness and response plan and organization
5. Identify components to CCDF's back up system
6. Continue with on-site visits and monthly evacuation drills

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

Check which elements, if any, the Lead Agency includes in the plan.

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, sliding fee scale, payment rate policies and procedures, and how Lead Agencies ensure continuity of care and parental choice of high quality settings for families.

2.1. Administration of the Program

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

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

Identify the level at which the following CCDF program rules and policies are established.

- Eligibility rules and policies (e.g., income limits) are set by the:
 - State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set _____
 - Other. Describe: _____
- Sliding fee scale is set by the:
 - State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set _____
 - Other. Describe: _____
- Payment rates are set by the:
 - State/Territory
 - Local entity. If checked, identify the type of policies the local entity(ies) can set _____
 - Other. Describe: _____

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

In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility?	<input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or social

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Implementation of CCDF Services/Activities	Agency (Check all that apply)
Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:	services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Who assists parents in locating child care (consumer education)?	<input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Who issues payments?	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input checked="" type="checkbox"/> Other State/Territory agency. Describe. The Child Care Program receives, verifies, and processes all child care provider invoices/documents. Provider checks are prepared and printed by Department of Finance/Treasury. Child Care Program picks up the checks from Treasury and releases checks from the Child Care Program Office. <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)	The payment is issued to the provider in the form of a check.
Other. List and describe: _____	

2.2. Family Outreach and Application Process

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

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a))

Check all agencies and strategies that will be used in your State/Territory.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors

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- Community-based organizations
- Public schools
- Internet (provide website): _____
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other. Describe: **Announcements regarding the child care program and its upcoming and continuing activities are shared during government agency meetings, flyers and community outreach such as the monthly Child Care Licensing Program Information Outreach held every first Thursday of the month at the Street Market, a regular community event. Information is also disseminated regarding child care program activities through email notification to all government agencies.**

2.2.2. How can parents apply for CCDF services?

Check all application methods that your State/Territory has chosen to implement.

- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet (provide website) _____
- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other. Describe: **When the Child Care Program is ready to accept new families a pre-eligibility opportunity is announced. Announcement is made through email notification to all government agencies, distribution of fliers, posting of pre-eligibility announcement in the Child Care Licensing Office and Child Care Program Office and government agencies, ads in the newspapers as well as by word of mouth. Pre-eligibility opportunities allow a parent/client to apply for the program using the minimum requirements of: 3 latest check stubs for working parents, or employment verification if parent is to start work within 2 weeks, latest completed and filed income 1040 Tax Form, and school or job training schedule. Upon initial verification if the parent/client is “pre-eligible” the parent is provided the complete listing of requirements along with the application form.**

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

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

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

Consumer education regarding quality child care services is provided in the form of making available (1) a check list called “Is this the right place for my child”. The checklist encourages all parents to bring the checklist with them as they visit different programs. The checklist provides parents information on what to look for when trying to decide on a program or provider, such as what does supervision look like, educational or trainings providers have taken, availability of educational materials to promote growth and development, health and safety considerations, etc. Another way is (2) making accessible to parent a specific newsletter called, “The Daily Parent” which describes considerations to look for when choosing child care, such as: health and safety, training and education of providers, group size and child to staff ratios, the learning environment and Licensing and Accreditation. (3) During pre-eligibility opportunities, CCDF staff engage parents in a discussion regarding quality child care services and what to look for, (4) during mandatory orientations, as part of the presentation on quality child care services information is shared regarding considerations to look for and (5) the Child Care Licensing Program rules and regulations pertaining to health and safety considerations are also shared during these mandatory orientations.

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

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

Currently, all CCDF providers access free trainings and technical assistance (TA) opportunities. These opportunities ensure that all CCDF Providers are afforded the knowledge and skills they need to be competent at caring for young children. Through partnerships with other agencies serving the same population (birth to 13 years old) our providers become a priority for any trainings and technical assistance offered by other agencies, thereby ensuring that CCDF providers have accessed to these activities. Technical assistance (TA) opportunities which are offered free of

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charge to all CCDF providers provide for the specific needs of each individual programs. These TA's maybe in the form of consultations, strategic planning sessions, small cluster trainings or observations with immediate feed back. TA's are also avenues for providers to identify and receive specific educational materials their programs may need to support their quality child care efforts through grants when funds are available to support such activities. Monetary incentives are also provided to providers who have met a minimum number of training and TA hours annually.

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

- Provide access to program office/workers such as:
 - Providing extended office hours
 - Accepting applications at multiple office locations
 - Providing a toll-free number for clients
 - Email/online communication
 - Other. **Describe: Pre-eligibility opportunities are held at different locations on Saipan and pre-eligibility schedules are also afforded to the islands of Rota and Tinian. Currently, for parents/clients who are students full time with zero income, the program is open for applications throughout the year and applicants may apply every Friday at the CCDF Office.**
- Using a simplified eligibility determination process such as:
 - Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
 - Developing a single application for multiple programs
 - Developing web-based and/or phone-based application procedures
 - Coordinating eligibility policies across programs. List the program names _____
 - Streamlining verification procedures, such as linking to other program data systems
 - Providing information multi-lingually
 - Including temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment). Length of time **30 days (Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).**
 - Other. Describe: _____
- Other. Describe: _____
- None

2.2.6. Describe the Lead Agency's policies to promote continuity of care for children and stability for families.

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

- Provide CCDF assistance during periods of job search. Length of time **30 days. And while parent is on job search the co-payment will be waived.**

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- Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)
- Synchronize review date across programs. List programs: _____
- Longer eligibility re-determination periods (e.g., 1 year). Describe _____
- Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe _____
- Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe _____
- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
- Individualized case management to help families find and keep stable child care arrangements. Describe _____
- Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
- Other. Describe _____

The Child Care Program has synchronized our re-determination (renewal) of eligibility every six (6) months for all families. All families will go through re-determination every April and October of each year. Families are provided the whole month of April and October to come in and renew.

- None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency?

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

- Application in other languages(application document, brochures, provider notices)
- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Outreach Worker
- Other: _____
- None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered : bilingual program staff in Filipino, Chamorro and Carolinian

2.2.8. How will the Lead Agency overcome language barriers with providers?

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

- 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
- Other: _____
- None

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

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

Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available _____

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.

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	CCDF will request the following documents as proof of identity: current passport, current CNMI Driver’s License, current Mayor’s ID, Notarized Affidavit of being a single parent,
<input checked="" type="checkbox"/> Household composition	Copy of the most recently completed and filed 1040 Tax Form; map/sketch to the house of the applicant for verification; notarized affidavit indicating single parent
<input checked="" type="checkbox"/> Applicant’s relationship to the child	Copy of Birth Certificate, recently completed and filed 1040 Tax Form
<input checked="" type="checkbox"/> Child’s information for determining eligibility (e.g., identity, age, etc.)	Copy of Birth Certificate, Social Security Card, current Mayor’s ID

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The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Copy of school or job training documents; acceptance letter and/or class or job training schedules; three (3) latest checkstubs that will indicate applicant's name, number of hours worked, completed Child Care Program Employment Verification Form;
<input checked="" type="checkbox"/> Income	three (3) latest checkstubs that will indicate applicant's name, number of hours worked, completed Child Care Program Employment Verification Form;
<input type="checkbox"/> Other. Describe _____	

2.2.10. 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 **15 days**
- Track and monitor the eligibility determination process
- Other. Describe _____
- None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

- Yes. If yes, describe: _____
- No.

The CNMI does not receive TANF

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

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

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is

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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 _____
- b) Provide the following definitions established by the TANF agency.
- "appropriate child care": _____
 - "reasonable distance": _____
 - "unsuitability of informal child care": _____
 - "affordable child care arrangements": _____
- c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

- In writing
 Verbally
 Other: _____

The CNMI does not receive TANF

2.3. Eligibility Criteria for Child Care

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

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

- ***residing with*—children who are physically living with the natural, foster or adoptive parents, legal guardians, or a person acting in the place of a parent**
- ***in loco parentis* – a birth, foster, or adoptive parent, guardian, a person acting in the place of a parent**

2.3.2. Eligibility Criteria Based Upon Age

- a) The Lead Agency serves children from **6 weeks to 12 years 11 months** (may not equal or exceed age 13).
- b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

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Yes, and the upper age is 18 and 11 months ([may not equal or exceed age 19](#)). Provide the Lead Agency definition of *physical or mental incapacity* –

Physically or mentally incapable of self-care:

No.

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

Yes, and the upper age is 17 years old. ([may not equal or exceed age 19](#))

No.

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

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

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

- **working – parent or legal guardian engaged in an activity in exchange for wage or salary for at least 30 hours a week**
- **Job Search – an activity that demonstrates an individual is actively seeking potential employment. Qualifying job search activities include but is not limited to: completing applications in person; completing on-line computer applications at employment agencies and/or community agencies, engaging in interviews, registration at the CNMI Labor Office, phone inquiries with a minimum of 10 calls per week, and volunteer hours not to exceed 20 hours a week at a prospective employer. A parent or legal guardian in job search and is actively seeking employment is eligible for up to 30 days of subsidized child care. During Job Search the parent’s co-payment is waived.**

A parent or legal guardian who may experience a break in employment is eligible up to 30 days of subsidized child care provided the parent or legal guardian is actively seeking employment.

Parent or legal guardians who may need an off-island treatment maybe eligible up to 60 days of subsidized child care if documented as necessary by a physician or employer.

Parent or legal guardians who may need medical or maternity leave maybe eligible for up to 45 days of subsidized child care while on sick leave, maternity leave or family leave as defined by the Family and Medical Leave Act of 1993 if documented as necessary from a physician and employer.

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

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

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

- *attending job training or educational program –*

Attending job training: parents or legal guardians who are attending a job training program for at least 20 hours per week or 80 hours per month maybe eligible for subsidized child care. These job training programs maybe sanctioned by the Public School System, Workforce Investment Agency (WIA), the Northern Marianas College and/or an accredited vocational training program. Job training activities may include but are not limited to: job readiness, vocational training, English as a Second Language supervised on-the-job skills training, classroom job skills training, or a refresher job skills training. Job skills training activities shall be limited to education that is directly related to the individual’s employment goal.

Educational program: parents or legal guardians who are attending an educational program on a full time basis as defined by the CNMI Northern Marianas College (NMC), CNMI Public School System (PSS), or NMC Adult Basic Education (ABE) maybe eligible for

subsidized child care services. Educational programs may also include: clinical, internship, or Practicum, and work/study as defined by the accredited institution or government entity. Parents or legal guardians attending Distance learning/online Course Work or education via electronic media maybe eligible for subsidized child care provided: the distance learning institution is recognized and accredited by the U.S. Department of Education (<http://ope.ed.gov/accreditation>), the parent or legal guardian is formally enrolled in the institution, has an educational plan, projected graduation date, identified coursework hours to be completed, and the number of hours approved for child care shall not exceed the number of credit hours per week for the course as defined by the educational institution.

Parents or legal guardians who are residents of Rota and Tinian who are full time students in Saipan maybe eligible for subsidized child care provided the parent has maintained residency in Rota or Tinian.

No.

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

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

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

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

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

- *protective services*

teen parent: an unmarried, minor parent under the age of 19 who has not obtained a high school diploma or GED equivalent; who lives at the home of his/her parent, an adult relative, or a legal guardian and is attending full time education

Military deployment: parent or legal guardian who has been deployed off island due to military activities. The children will continue to be eligible to receive child care services regardless of the needs of the persons acting in loco parentis.

Off island treatment: a treatment that is medically necessary and not available on island, as verified by a doctor or Medical Referral Office to prevent further complications. The children will continue to be eligible to receive child care services regardless of the needs of the persons acting in loco parentis.

Homeless families with children: families without a house to call their own who lives in shelters or another temporary locations.

Parent/s who are going to school or working on another island but within the CNMI: Parents or legal guardians who are residents of Rota and Tinian who are attending an educational institution or working in Saipan. The children will continue to be eligible to receive child care services regardless of the needs of the persons acting in loco parentis.

Place here DYS definition of court supervision

No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

Yes.
 No.

2.3.5. Income Eligibility Criteria

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

- *income* –

monthly gross income means non-excluded monthly sums of income received from sources such as but is not limited to: gross income

gross income: any benefit in cash which is received by the individual as a result of current or past labor or services (before deductions), business activities, interest in real or personal property or as a contribution from persons, organizations, or assistance agencies such as wages and salary

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

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran’s benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above _____
- None

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

- Children under age 18

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- Children age 18 and over – still attending school
- Teen parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other _____
- None

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

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	\$2008	\$1707	\$958	48%
2	\$2008	\$1707	\$1293	64%
3	\$2337	\$1986	\$1628	70%
4	\$3437	\$2921	\$1963	57%
5	\$4062	\$3453	\$2298	57%

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

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

- Yes. If yes, **provide** the requested information from the table in 2.3.5d and **describe** _____.
Note: This information can be included in a separate table, or by placing a “/” between the entry and exit levels in the above table.
- No.

f) SMI Year **2010** and SMI Source **the CNMI will use figures and/or data included in completing Bankruptcy Forms 22A and 22C. for Cases filed on or after April 1, 2010 as well as the 2013 Federal Poverty Guidelines for the 48 Contiguous States**

(http://www.justice.gov/ust/eo/bapcpa/20100315/bci_data/median_income_table.htm)

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

October 1, 2013

2.3.6. Eligibility Re-determination

- a) Does the State/Territory follow OCC's 12 month re-determination recommendation? (See Program Instruction on Continuity of Care <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>)

Yes

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

6 months

24 months

Other. Describe _____

Length of eligibility varies by county or other jurisdiction. Describe _____

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

Yes.

No. If no, **check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.**

Head Start and/or Early Head Start Programs. Re-determination period _____

Pre-kindergarten programs. Re-determination period _____

TANF. Re-determination period _____

SNAP. Re-determination period _____

Medicaid. Re-determination period _____

SCHIP. Re-determination period _____

Other.

Describe: all families go through a re-determination every April and October of each year. For families that become eligible before or after these identified months, the eligibility specialists will determine by identifying the month closest to the 6th month review but not less than 4 months.

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

A family's eligibility will be reviewed prior to scheduled redetermination when the Child Care Program office receives a Change of Report from the family.

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

Action/s may entail: family being provided a higher or lower co-payment or family being in-eligible to the program. For any actions that will result in an adverse action such as denial, reduction, suspension or termination from child care services, the families are provided an appeal process.

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

Policies are implemented in a family-friendly manner by ensuring that any responses by the child care program to family's eligibility circumstances are provided in a timely manner and the family is allowed an appeal process.

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

Yes. If yes, describe

The Child Care Program uses a simplified re-determination by only requiring the following documents during redetermination times:

Three (3) latest check stubs for working families, school or job training schedules for families attending education or job training, notarized affidavit as a single parent, any documents that may affect the co-payment determinations (not limited to the following: birth certificate for new member of the family, etc.)

2.3.7. Waiting Lists

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

- Lead Agency currently does not have a waiting list and:
- All eligible families *who apply* will be served under State/Territory eligibility rules
 - Not all eligible families *who apply* will be served under State/Territory eligibility rules
- Lead Agency has an active waiting list for:
- Any eligible family who applies when they cannot be served at the time of application
 - Only certain eligible families. Describe those families:

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- Waiting lists are a county/local decision. Describe _____
- Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

§ 55-50-510 Administrative Appeal Requests

The parent may file a written request for an administrative appeal when the family is dissatisfied with the Child Care Program’s adverse action of denying, reducing, terminating, suspending an assistance. The family shall have an opportunity to:

- a. Examine the case record as well as all documents and records to be used at the appeal hearing at a reasonable time before the date of the hearing as well as during the hearing;
- b. Present the case independently or with the aid of legal counsel;
- c. Bring witnesses, including an interpreter if non-English speaking;
- d. Establish all pertinent facts and circumstances;
- e. Advance any arguments appropriate to the issue being heard without undue interferences; and
- f. Question or refute any testimony or evidence, and to confront and cross-examine any witness.

The appeal request shall be in writing delivered to the Department of Community and Cultural Affairs Office of the Secretary within 10 calendar days of the date on which the notice informing the family of the Child Care Program’s decision was delivered to the family and shall refer to the following:

- a. The request is for an administrative appeal
 - b. The specific action identified in the notice that is being appealed; and
 - c. Whether continuation of benefits at the current level are being requested with the understanding the family will be required to pay back the total value of benefits (received pending the decision) if the DCCA decision is upheld.
- (d) If the request is not filed within 10 calendar days of the date the notice was provided to the family, the request shall be denied and the Office of the Attorney General shall provide notice of denial to the family.
- (e) The Attorney General or designee shall preside over a hearing within 30 days of timely appeal request.
- 1. The hearing shall be informal where strict rules such as the exclusion of hearsay evidence do not apply. However, the evidence presented must be relevant.

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2. The family and the Child Care Program shall have an opportunity to present evidence, including witness testimony and documents. Each party shall also have the right of cross-examination.
3. The hearing shall be audio-recorded.

(f) The Attorney General or designee shall issue a written decision to the Child Care Program and the family within 30 days after the hearing.

(g) In the event that an appeal decision is rendered in favor of the family, benefits shall be restored as appropriate.

2.4. Sliding Fee Scale and Family Contribution

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

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1.

Will the attached sliding fee scale be used in all parts of the State/Territory?

- Yes. Effective Date **Oct. 1, 2013** _____
- No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b**, etc.

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

Check only one option.

- State Median Income, Year: _____
- Federal Poverty Level, Year: _____
- Income source and year varies by geographic region. Describe income source and year: _____
- Other. Describe income source and year: 2010

the CNMI will use figures and/or data included in completing Bankruptcy Forms 22A and 22C. for Cases filed on or after April 1, 2010 as well as the 2013 Federal Poverty Guidelines for the 48 Contiguous States

2.4.3. How will the family's contribution be calculated and to whom will it be applied?

Check all that the Lead Agency has chosen to use. (§98.42(b))

- Fee is a dollar amount and
- Fee is per child with the same fee for each child

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- Fee is per child and discounted fee for two or more children
- Fee is per child up to a maximum per family**
- No additional fee charged after certain number of children
- Fee is per family
- Fee is a percent of income and
 - Fee is per child with the same percentage applied for each child
 - Fee is per child and discounted percentage applied for two or more children
 - No additional percentage applied charged after certain number of children
 - Fee is per family
- Contribution schedule varies by geographic area. Describe: _____
- Other. Describe the Sliding Fee Scale is a percentage of the monthly cost of the child care service that the family pays.**

If the Lead Agency checked more than one of the options above, describe The Sliding Fee Scale is a percentage of the monthly cost of the child care service that the family pays. This fee is per child with the same fee for each child.

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

- Yes, and describe those additional factors:
- No.

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

Select **ONE** of these options.

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

- ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: \$ _____
- SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: The Lead Agency will waive the fees of families whose parent/s are full time students with no income.**

2.5. Prioritizing Services for Eligible Children and Families

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

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44)

Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>Children with special needs</p> <p><u>Provide the Lead Agency definition of Children with Special Needs <i>children who have been tested and determined to need special education and/or related services. The child/ren should have a formal IEP.</i></u></p>	<p><input checked="" type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds. Describe _____</p> <p><input type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input checked="" type="checkbox"/> <u>Prioritizes quality funds for providers serving these children</u></p> <p><input type="checkbox"/> Other. Describe _____</p>

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How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children in families with very low incomes Provide the Lead Agency definition of Children in Families with Very Low Incomes <u>families with gross income that does not exceed the Federal Poverty Income Guidelines</u>	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe _____ <input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input checked="" type="checkbox"/> <u>Other. Describe Families engaged in full time education with zero income will be waived their co-payments</u>

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF?

(658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

- Use priority rules to meet the needs of TANF families (describe in 2.5.1 or 2.5.3.)
- Waive fees (co-payments) for some or all TANF families who are below poverty level
- Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
- Other: **The CNMI does not receive TANF funds.**

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

Reminder – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)
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Term(s)	Definition(s)
Residency	To be eligible for assistance, the family must be living in the CNMI, with the intention of making the CNMI their home permanently. Acceptable documentations include but is not limited to: utility payment receipts, house rental or mortgage receipts, CW 1 Status, Employment Authorization Document (EAD), etc.
Citizenship	Only the citizenship and immigration status of the child, who is the primary beneficiary of the child care services is required for eligibility purposes. The child must be a US citizenship or a qualified alien as defined in PRWORA, to be eligible for child care assistance. Acceptable documentation include but is not limited to: birth certificate, passport, etc.

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

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

2.6.1. Child Care Certificates

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

- Before parent has selected a provider
- After parent has selected a provider
- Other. Describe: **once a parent or legal guardian has been verified to be eligible for the child care program, the parent is informed of the schedule for mandatory orientation. After the completion of the orientation the parent is provided their certificate and they are to take the certificate to their provider of choice. The parent is given a maximum of 5 working days to submit back to the Child Care Program**

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Office the completed certificate as well as other required documents as attachment. The Child Care Program Office then has a maximum of 5 days to approve the Child Care Certificate.

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

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency Website: _____
- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe **The parent is provided information regarding choice of providers at numerous time throughout the application process. First, listing of providers are made available during the pre-eligibility outreach. Next At the time of the mandatory orientation parents are provided with listing of providers, the certificates also contain the types of care available for a family to choose from and during mandatory orientations, parents are informed that they are able to change their providers when needed throughout their eligibility.**

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

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

d) What is the estimated proportion of services that will be available for child care services through certificates? 100%

2.6.2. Child Care Services Available through Grants or Contracts

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

- Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: _____
- No. If no, skip to 2.6.3.

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

- Increase the supply of specific types of care
 - Programs to serve children with special needs
 - Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
 - Programs to serve infant/toddler
 - School-age programs
 - Center-based providers
 - Family child care providers
 - Group-home providers
 - Programs that serve specific geographic areas
 - Urban
 - Rural
 - Other. Describe _____
- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families. Specify: _____
- Other. Describe _____

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

- Yes.
- No, and **identify** the localities (political subdivisions) and services that are not offered: _____

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

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

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

Check the strategies that will be implemented by your State/Territory.

- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other. Describe: _____

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

Will the Lead Agency limit the use of in-home care in any way?

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

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

All complaints by parents about a provider is logged in. The information is then shared with the Child Care Licensing Office that makes the necessary investigations on the complaints. All substantiated parent complaints are maintained in a file in the Child Care Office and the Child Care Staff responsible for maintaining this file is the Administrative Manager. This file is made available to the public upon written request through the DCCA Secretary's Office and provided that the client's confidentiality are maintained.

2.7. Payment Rates for Child Care Services

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

2.7.1 Attach a copy of your payment rates as Attachment 2.7.1.

Will the attached payment rates be used in all parts of the State/Territory?

- Yes. Effective Date: October 1, 2013
 No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b**, etc.

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

- Policy on length of time for making payments. Describe length of time: **In order to make timely payments to child care providers, the Child Care Office will follow this timeline; three (3) working days for parents to submit payment invoices; five (5) working days for calculations; two (2) working days for parents to make co-payments to Treasury; a total of six (6) working days to prepare the summaries as well as payment authorizations into the Data Tracker; and total of three (3) working days to prepare the Purchase Requisition**
- Track and monitor the payment process
 Other. Describe _____
 None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2011). The MRS must be completed prior to the submission of the CCDF Plan ([see Program Instruction CCDF-ACF-PI-2009-02](#)<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

- a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): February, 2013.
b) Provide a **summary of the results** of the survey.

A total of 15 respondents submitted their surveys to the Child Care Program. Of the 15 respondents, 13% indicated they are a non-profit, 47% indicated for profit, 13% said they were private schools, 20% indicated no answer or indicated both non-profit and for profit. All indicated they operate five days a week and one provided weekend care. One respondent indicated a possibility of offering weekend care soon. When asked for their time of operations, the respondents provided a range of times starting as early as 6:00 a.m. and ending at late as 7:00 p.m. One respondent indicated offering night care.

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All respondents offered child care services throughout the year and the respondents indicated a range of approved or licensed space ranging from 18 to 149 spaces.

All of the providers surveyed operate 30 hours or more and provide full time child care services. 87% offered part time child care services. 73% offered holiday services, 80% offered drop in care, 67% offered before school services, 100% offered afterschool services, 87% offered full day child care services during school closing, 33% offered services to mildly ill children, 80% provided services to children with disabilities, and 53% provided emergency back-up care. The respondents indicated days their program were closed for holidays. A range of answers were provided from as low as 3 days to as many as 15 days of closures for holidays. One respondent indicated their program is closed a total of 3 days for vacation. And two programs indicated they were closed 1 day for professional development. All respondents indicated they accept CCDF children.

In terms of additional fees that parents pay for, 87% indicated their programs charge registration fees. These fees range from as low as \$20 per child per year to \$75 per family per year. 20% said they charge the families for supplies and materials. The fees for this range between \$150 to \$310 per year. 13% indicated they charge the families for program activities and the fee range from \$40 to \$80 dollars per year. 20% of the respondents indicated they charged for breakfast meals and this range from a low 50 cents to as high as \$1.25. 20% of the respondents indicated they charge families liability insurance and this range from a low \$9 a year to \$15 a year. Only one respondent indicated they charge families for transportation fees and this is at 2 dollars per day. One respondent also indicated they charged a late pick up fee of 5 dollars per hour.

When asked if the respondents received any other government subsidies, 15% of the respondents indicated they get some form of government assistance in the form of free meals for children ages 3 to 5 years old. 20% did not answer the question. 67% indicated that they did not receive any form of government money or subsidies.

The survey also asked the number of employees respondents employ. Employees range from as little as 2 to as many as 18. Of the identified staff, Directors/administrators with a BS degree (4), administrators/directors with BA degree (5), director with AA (1); teachers with BS degree (24), BA (3), AA (4); assistant teachers with BS (1), BA (1); caregivers with BS (4); BA (1) AA (2) high school diploma (15); child care workers with BS (8)

The number of hours worked by the staff daily range from as little as 3.5 hours to as much as 14 hours. In terms of the number of years the staff has been in the program the respondents indicated a short 1 year to as long as 13 years. The survey also asked for the total hours of trainings participated by the staff for fiscal year 2011 to 2012. The answers varied from as little as 12 hours to as much as 50.5 hours. In terms of the total technical assistance hours or TA's completed for the fiscal year 2011 to 2012,

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respondents also provided a range of answers from as little as 2 hours to as much as 10 hours a year.

Of the total identified full time staff in the survey the following benefits were provided; one director (Workmen’s Comp), one administrator gets free housing, teachers (Workmen’s Comp), 1 assistant teacher (free housing, free food and Workmen’s comp), 4 child care worker (holiday pay), 2 caregivers get free housing, 2 caregivers get free food, and 7 caregivers get Workmen’s Com). Other benefits identified by respondents in the survey included reimbursement of medical expense as well as paid annual health exams.

For comments, 100% of the respondents felt the need to increase their rate due to increase in minimum wage, spiraling cost of materials and supplies, and increase in utility rates. At the same time, the respondents felt that if they raise their rates, then their enrollment will go down.

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

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

Because of the flexibility that Lead Agencies have in setting payment rate ceilings, the following tables have been developed to simplify Lead Agency reporting on how their payment rate ceilings compare to their most recent MRS. These tables are not meant to collect comprehensive payment rate ceilings within a State/Territory and ACF recognizes that Lead Agencies are not required to set their payment rate ceilings at the 75th percentile. These tables allow Lead Agencies to use a common metric – the 75th percentile – as a reference point against which the Lead Agency can report their percentiles for three selected age groups in two geographic areas for licensed child care centers and licensed family child care homes.

In table 2.7.4a and 2.7.4b, *highest rate area* refers to the State or Territory’s area or geographic region with the highest maximum payment rate ceiling for child care centers (2.7.4a) and family child care homes (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceiling, not including any rate add-ons or tiered reimbursements. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest

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level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, **Lead Agencies can** use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4a – Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed Center Preschool (59 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed Center School-Age (84 months)	\$150.00	\$150.00	75 th percentile

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed Center Preschool (59 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed Center School-Age (84 months)	\$150.00	\$150.00	75 th percentile

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In table 2.7.4c and 2.7.4d, *lowest rate area* refers to the State or Territory’s area or geographic region with the lowest maximum payment rate ceiling for child care centers and family child care homes. Identify the lowest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceilings, not including any rate add-ons or tiered reimbursement. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., accreditation, or rating within a quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze), **only** if there is no lower “base” rate paid for child care services by providers **not** participating in the quality rating system.

If your State/Territory has hourly, daily and/or weekly maximum payment rate ceiling, **Lead Agencies** can use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed FCC Preschool (59 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed FCC School-Age (84 months)	\$150.00	\$150.00	75 th percentile

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey

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2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed FCC Preschool (59 months)	\$350.00	\$350.00	75 th percentile
Full-Time Licensed FCC School-Age (84 months)	\$150.00	\$150.00	75 th percentile

2.7.5. How are payment rate ceilings for license-exempt providers set?

- a) Describe how license-exempt center payment rates are set: **there are no licensed-exempt centers in the CNMI**
- b) Describe how license-exempt family child care home payment rates are set: **licensed-exempt family child care home payment rates will follow the same rates as the licensed centers since these providers must meet all health and safety requirements similar to the licensed day care centers.**
- c) Describe how license-exempt group family child care home payment rates are set: **there are currently no license-exempt group family child care homes in the CNMI**
- d) Describe how in-home care payment rates are set:
- e)

2.7.6 Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies?

Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, **indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.**

- Differential rate for nontraditional hours. Describe _____
- Differential rate for children with special needs as defined by the State/Territory. Describe _____
- Differential rate for infants and toddlers. Describe _____
- Differential rate for school-age programs. Describe _____
- Differential rate for higher quality as defined by the State/Territory. Describe _____
- Other differential rate. Describe _____

None.

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

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

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

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

Policies vary across region, counties and or geographic areas. Describe

Other. Describe **CCDF will reimburse providers a maximum of 3 days a month for child absences**

2.7.8 What specific policies and practices does the Lead Agency have

a) Number of absent days allowed. Describe: **Child Care Providers may request payments for a maximum of 3 absent days plus 1 day of closure for Provider Appreciation Day.**

b) Paying based on enrollment. Describe: **Child Care Program will not be able to pay based on enrollment.**

c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly) **Currently, Child Care Program pays its providers on a monthly basis after services has been rendered.**

d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe **The Child Care Program is not able to use electronic tools to make provider payments.**

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

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible

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families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) **The complete listing of providers is readily made available at the Child Care Program Office, provided during pre-eligibility activity and outreach activities. The listing of providers include all types of providers.**

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)) **The payment rates are adequate based on the most recent local MRS. As indicated, the payment ceilings are set at the 75th percentile. Additionally, providers have expressed that they are willing to accept CCDF families by way of giving the family a discounted rate.**

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) **Co-payment is based on a percentage of a family income. The co-payments are nominal and for those with zero income full time students, the co-payments are waived. The sliding fee scale percentage that the family pays is a percentage of the monthly cost of child care.**

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates **none.**

2.8 Goals for the next Biennium

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium **and are encouraged to identify no more than five priority goals total.** ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). **Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.**

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

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

Goal 1 –Implement a tiered reimbursement payment to providers based on quality of care
Goal 2 –continue planning and developing an Emergency Preparedness and Response plan for the continuity of the Child Care Program in the event of an emergency.
Goal 3 -
Goal 4 -
Goal 5 -

PART 3
HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

In this section, Lead Agencies are asked to describe their goals and plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through the State/Territory's child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both programs and the staff who work in them are a core element of CCDF. Lead Agencies have been reporting on their efforts to support program quality improvement and professional development since their initial Plans in 1999. This section allows Lead Agencies to continue to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options across settings for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency has the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

Part 3 is organized around a template of four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies over the past decade:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care program through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to conduct a three-step process. First, in this section, Lead Agencies will conduct a self-assessment of their programs by responding to the questions in Part 3 that describe the current status of their efforts, using common practices and best practices to list characteristics that build off those that have been reported in previous plans. Second, Lead Agencies then are asked to identify goals for making progress during the FY 2014-2015 biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance

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Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

Based on information reported in past plans, it is expected that the Lead Agency will describe in these first two steps how they will continue to make systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully implemented and integrated. Each State/Territory is expected to fall on a continuum of progress as a result of these first two steps. Lead Agency's individual progress will reported using the Quality Performance Report.

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

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

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

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

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

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification

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requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.

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

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

Yes.

No. Please identify the State or local (if applicable) entity/agency responsible for licensing

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

The Child Care Licensing Program or CCLP provides for the minimum requirements a child care provider must meet to engage in the child care business in the CNMI. Once a provider has receipt of his/her CCLP Child Care License Certificate then the provider may choose to participate in the Child Care and Development (CCDF) Subsidy System. In participating in the CCDF Subsidy system a provider may need to meet additional requirements such as meeting annual training and technical assistance hours, subject to a minimum announced and unannounced visits and annual renewal of the CCDF Subsidy System Application.

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

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	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Yes, for some providers in this category	Describe _____	Describe _____	Describe _____	Describe _____
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe [redacted]	Describe [redacted]	Describe [redacted]	Describe [redacted]

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

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	<p>Describe which types of center-based settings are subject to licensing in your State/Territory</p> <p>Child Care center or group child care center means a place maintained by any individual, organization or agency for the purpose of providing child care to children between ages of 2 to 16. The term child care center shall include day nurseries, nursery school groups, preschool child play groups, parent cooperatives, drop-in child care centers, group child care homes or other similar units operating under any name.</p>	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory</p> <p>For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.</p> <p>School-based before and afterschool programs are exempt from licensing in the CNMI.</p>
Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	<p>Describe which types of group homes are subject to licensing</p> <p>Means child care provided by any individual in a facility that may be an extended or modified family child care home which provides care to no more than twelve children during any part of the 24 hour day. Group child care homes are licensed under the rules for group child care centers.</p>	Describe which types of group homes are exempt from licensing
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than	<p>Describe which types of family child care home providers are subject to licensing</p> <p>Family child care home or family child care means child care in any private home maintained by an individual which</p>	<p>Describe which types of family child care home providers are exempt from licensing</p> <p>Family Child Care homes that provide for 4 children or less are considered licensed-exempt and may apply as</p>

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
	<p>the child’s residence, unless care in excess of 24 hours is due to the nature of the parent(s)’s work. Reminder - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><u>provides care to three and no more than six children during any part of the 24 hour day and where the relationship of child and family child care provider is not by blood, marriage or adoption.</u></p>	<p><u>child care service providers under the Child Care Program. As a licensed-exempt family home care provider, the provider is still required to submit the following documents: Business license, Police Clearance, Infant/Child CPR Certificate, Health Certificate with a TB clearance, and all family members 18 years old and above living in the home where the care is to be provided will be verified under the Sex Offenders Registry Notification Act or SORNA with the Department of Public Safety or DPS. The home where the care will be provided will also be visited by the CCDF Health and Safety Inspector. This home will be subjected to announced and unannounced visit throughout the year.</u></p>
In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child’s own home. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.</p> <p>Describe which in-home providers are subject to licensing</p> <p><u>In Home Providers caring for 4 children or less is considered licensed-exempt. As a licensed-exempt in home provider, the provider is still required to submit the following documents: Business license, Police Clearance, Infant/Child CPR Certificate, Health Certificate with a TB clearance, and all family members 18 years old and above living in the home where the care is to be provided will be verified under the Sex Offenders</u></p>	<p>Describe which types of in-home child care providers are exempt from licensing</p>

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CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
		<u>Registry Notification Act or SORNA with the Department of Public Safety or DPS. The home where the care will be provided will also be visited by the CCDF Health and Safety Inspector. This home will be subjected to announced and unannounced visit throughout the year.</u>	

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

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

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

Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
Do the licensing requirements	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement Infant ratio (11 months):	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio	<input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child’s own home) <input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by

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Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
<p>include child: staff ratios and group sizes?</p> <p>If yes, provide the ratio for age specified.</p>	<p>Infant ratio (11 months): 1:4</p> <p>Toddler ratio (35 months): 1:6</p> <p>Preschool ratio (59 months): 1:10</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement Infant group size (11 months): Maximum of 8 infants</p> <p>Toddler group size (35 months): maximum of 12</p> <p>Preschool group size (59 months): No maximum group size</p> <p><input type="checkbox"/> No group size requirements.</p>	<p>1:4</p> <p>Toddler ratio (35 months): 1:6</p> <p>Preschool ratio (59 months): 1:10</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input checked="" type="checkbox"/> Yes, Group size requirement Infant group size (11 months): maximum of 8</p> <p>Toddler group size (35 months): Maximum of 12</p> <p>Preschool group size (59 months): No group size maximum</p> <p><input type="checkbox"/> No group size requirements.</p>	<p>requirement by age group:1:6</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)</p> <p>age group:</p> <p><input checked="" type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>

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Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
Do the licensing requirements identify specific educational credentials for child care directors?	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care. Do the licensing requirements identify specific educational credentials for child care directors? Bachelor's degree from an accredited college or university, preferably with courses in early childhood education, child development, or related field	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input checked="" type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	<input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home) Do the licensing requirements identify specific educational credentials for child care directors? None
Do the licensing requirements identify specific educational credentials for child care teachers?	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input checked="" type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	Do the licensing requirements identify specific educational credentials for child care teachers? A degree in child development or early childhood education from an accredited college or university, post secondary credential in child development associate program/certificate in early childhood education; baccalaureate degree in elementary education from an accredited college or university	<input type="checkbox"/> High school/GED <input type="checkbox"/> Child Development Associate (CDA) <input type="checkbox"/> State/Territory Credential <input type="checkbox"/> Associate's degree <input type="checkbox"/> Bachelor's degree <input type="checkbox"/> No credential required for licensing <input type="checkbox"/> Other:	Do the licensing requirements identify specific educational credentials for child care teachers?
Do the	<input type="checkbox"/> At least 30	Do the licensing	<input type="checkbox"/> At least 30	Do the licensing

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Indicator	For each indicator, check all requirements for licensing that apply, if any.			
	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?	training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:	<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care. requirements specify that directors and caregivers must attain a specific number of training hours per year? No training hours	training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:	<input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home) requirements specify that directors and caregivers must attain a specific number of training hours per year? No training hours.

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

Yes. Describe **The Child Care Licensing Program rules and regulations are going through an amendment process. Currently, the identified amendments are being translated. Once translations are completed, the amendments will be announced for public comments for 30 days.**

No

3.1.2 Enforcement of Licensing Requirements

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

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

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

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

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No

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input checked="" type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input checked="" type="checkbox"/> Group Home Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input checked="" type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input checked="" type="checkbox"/> Family Child Care Home	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input checked="" type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe 	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

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

Yes. If “Yes” please refer to the chart below and check all that apply.
 No

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input type="checkbox"/> Yes. Describe
	<input checked="" type="checkbox"/> No.
	<input type="checkbox"/> Other. Describe
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input checked="" type="checkbox"/> An on-site inspection is conducted.
	<input type="checkbox"/> Programs self-certify. Describe
	<input type="checkbox"/> No procedures in place.

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Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	<input type="checkbox"/> Other. Describe [redacted]
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections. <input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers. <input checked="" type="checkbox"/> Licensing staff verify correction of violation. <input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation. <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe [redacted]
Licensing staff has procedures in place to issue a sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license <input checked="" type="checkbox"/> License revocation or non-renewal <input type="checkbox"/> Injunctions through court <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines for regulatory violations <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe [redacted]
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input checked="" type="checkbox"/> Cease and desist action <input type="checkbox"/> Injunction <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe [redacted]
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe <u>an applicant or licensee whose child care license is about to be denied, suspended, or revoked shall be given written notice; the notice shall contain a statement of the reasons for the proposed action and shall inform the applicant or licensee of the right to appeal the decision; the provider has 20 days from receipt of notice to request for a hearing.</u> <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe [redacted]

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

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

No

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other _____
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input type="checkbox"/> Other _____

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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
<input checked="" type="checkbox"/> Group Child Care Homes <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home
<input checked="" type="checkbox"/> Family Child Care Homes	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home

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

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CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home

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

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

all types of providers are required to submit a most recent local Police Clearance which can be obtained from the House of Justice. This police clearance must be renewed annually. Normally, a police clearance cost \$15.00. In addition to the police clearance the providers should also be subjected to SORNA. SORNA is free.

d-2) Who pays for background checks the providers pay for the police clearance.

d-3) What types of violations would make providers ineligible for CCDF? Describe a licensee whose child care license has been revoked or on provisional will not be eligible for CCDF.

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

Notice of Adverse Action

- (h) Prior to any action to disqualify any child care service provider the Child Care Program shall provide the provider with timely and adequate notice before the adverse action is taken.**
- (i) The notice of adverse action shall be considered timely when the Child Care Program provides the notice at least 10 calendar days prior to the effective date of action**
- (j) In order to be adequate, the notice shall contain the following information:**
 - 1. The proposed action and the reason for the proposed action and**
 - 2. A citation to the Child Care Program rules supporting the proposed action**
 - 3. The name and telephone number of the person to contact for additional information**
 - 4. The family's right to appeal the Child Care Program's decision to the Secretary, Department of Community and Cultural Affairs (DCCA).**

Administrative Appeal Requests

- 7. The provider may file a written request for an administrative appeal when the provider is dissatisfied with the Child Care Program's adverse action of disqualification. The provider shall have an opportunity to:**
 - g. Examine the case record as well as all documents and records to be used at the appeal hearing at a reasonable time before the date of the hearing as well as during the hearing;**
 - h. Present the case independently or with the aid of legal counsel;**
 - i. Bring witnesses, including an interpreter if non-English speaking;**
 - j. Establish all pertinent facts and circumstances;**
 - k. Advance any arguments appropriate to the issue being heard without undue interferences; and**
 - l. Question or refute any testimony or evidence, and to confront and cross-examine any witness.**
- 8. The appeal request shall be in writing delivered to the Department of Community and Cultural Affairs Office of the Secretary within 10 calendar days of the date on which the notice informing the provider of the Child Care Program's decision was delivered to the provider and shall refer to the following:**

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- a. **The request is for an administrative appeal**
 - b. **The specific action identified in the notice that is being appealed; and**
 - c. **Whether continuation of payments for services at the current level are being requested with the understanding the provider will be required to pay back the total value of payments(received pending the decision) if the DCCA decision is upheld.**
- 9. If the request is not filed within 10 calendar days of the date the notice was provided to the provider, the request shall be denied and the Office of the Attorney General shall provide notice of denial to the provider.**
- 10. The Attorney General or designee shall preside over a hearing within 30 days of timely appeal request.**
- a. **The hearing shall be informal where strict rules such as the exclusion of hearsay evidence do not apply. However, the evidence presented must be relevant.**
 - b. **The provider and the Child Care Program shall have an opportunity to present evidence, including witness testimony and documents. Each party shall also have the right of cross-examination.**
 - c. **The hearing shall be audio-recorded.**
- 11. The Attorney General or designee shall issue a written decision to the Child Care Program and the provider within 30 days after the hearing.**
- 12. In the event that an appeal decision is rendered in favor of the provider, payments shall continue as appropriate.**

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

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

Yes. Describe parents are encouraged to call the Child Care Licensing Program for any licensing status and or compliance records.

No

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

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

Check if the Lead Agency certifies that there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

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

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Physical exam or health statement for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Physical exam or health statement for children	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for children	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

c) **Describe** the Lead Agency’s health and safety requirements for health and safety training in effect for child care providers of services for which

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

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	Providers must have an updated First Aid Certificate before service starts	Must be renewed annually
	CPR	Providers must have an updated CPR before service starts	Must be renewed annually
	Medication Administration Policies and Practices	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Poison Prevention and Safety	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	Providers must attend as part of the annual training

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			requirements under the Child Care Program
	Physical Activities	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Emergency preparedness and planning response procedures	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Management of common childhood illnesses, including food intolerances and allergies	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Transportation and child passenger safety (if applicable)	N/A	N/A
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	Taken
	Child development including knowledge of developmental		

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	stages and milestones appropriate for the ages of children receiving services.		
	Supervision of children		
	Behavior management		
	Other. Describe <u>Use of fire extinguishers</u>		Part of the annual training
Group Home Child Care	First Aid	Must be completed before service begins	Renewed annually
	CPR	Must be completed before service begins	Renewed annually
	Medication Administration Policies and Practices	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Poison Prevention and Safety	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	Providers must attend as part of the annual training requirements under the Child Care

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			Program
	Physical Activities	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Emergency preparedness and planning response procedures	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Management of common childhood illnesses, including food intolerances and allergies	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Transportation and child passenger safety (if applicable)	N/A	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Child development including knowledge of developmental stages and milestones appropriate for the ages of	N/A	Providers must attend as part of the annual training requirements under

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	children receiving services.		the Child Care Program
	Supervision of children	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Behavior management	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Other. Describe 		
Family Child Care Providers	First Aid	Must be completed before service begins	Must be renewed annually
	CPR	Must be completed before service begins	Must be renewed annually
	Medication Administration Policies and Practices	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Poison Prevention and Safety	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	Providers must attend as part of the annual training

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
			requirements under the Child Care Program
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Physical Activities	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Emergency preparedness and planning response procedures	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Management of common childhood illnesses, including food intolerances and allergies	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Transportation and child passenger safety (if applicable)	N/A	
	Caring for children with special health care needs,	N/A	Providers must attend as part of the

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act		annual training requirements under the Child Care Program
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Supervision of children	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Behavior management	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Other. Describe 		
In-Home Child Care Providers	First Aid	Must be completed before service begins	Renewed annually
	CPR	Must be completed before service begins	Renewed annually
	Medication Administration Policies and Practices	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Poison Prevention and Safety	N/A	Providers must attend as part of the annual training requirements under the Child Care Program

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Shaken Baby Syndrome and abusive head trauma prevention	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Age appropriate nutrition, feeding, including support for breastfeeding	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Physical Activities	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Recognition and mandatory reporting of suspected child abuse and neglect	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Emergency preparedness and planning response procedures	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Management of common childhood illnesses, including	N/A	Providers must attend as part of the

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CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	food intolerances and allergies		annual training requirements under the Child Care Program
	Transportation and child passenger safety (if applicable)	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Supervision of children	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Behavior management	N/A	Providers must attend as part of the annual training requirements under the Child Care Program
	Other. Describe 		

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

All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.

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- Relative providers are NOT required to meet any health and safety requirements as described in 3.1.2a-c, as appropriate.
- Relative providers are subject to certain requirements. Describe the different requirements

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

3.1.4 Effective enforcement of the CCDF health and safety requirements.

For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in 3.1.2 for licensed providers, please describe how the **Lead Agency** enforces the CCDF health and safety enforcement requirements. _____

a) Describe whether and how the **Lead Agency** uses on-site visits (announced and unannounced) **the lead agency has its own health and safety inspector. The CCDF health and safety inspector assists all providers in their application with CCDF but who maybe exempted from the Licensing requirements. The CCDF Health and Safety inspector verifies that all needed documents are completed. An initial announced inspection is conducted to meet the minimum health and safety requirements. If the provider meets all health and safety requirements the provider is given a CCDF Provider Certificate. If the provider has some deficiencies, the health and safety inspector explains the findings to the provider. The provider is given a certain number of days to comply and a final announced inspection is completed. Unannounced visits are conducted throughout the year.**

b) Describe whether the **Lead Agency** uses background checks

The Lead Agency requires local police clearances for all providers as well as subject to the Sex Offenders' Registry and Notification Act (SORNA)

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

- Yes. If yes, what documentation, if any, is required? Describe _____
- No

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

no additional enforcement policies are in place aside from what is indicated in the Child Care Licensing Program rules and regulations.

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conducted. The screening tools will be purchased as a cost share between the child care program and ECCS. As both ECCS and the Child Care Program continue the work on the implementation of the ASQ and ASQ-SE in all provider setting, both programs will ensure through trainings and technical assistance that providers are supported in their understanding of the referral process as well as the necessary steps to make in cases where a follow up is needed.

- No
 Other. Describe _____

- c) Does the State/Territory use developmental screening and referral tools?
 Yes. If Yes, provide the name of the tool(s)

Ages and Stages Questionnaire and Ages and Stages Questionnaire for Socio Emotional Development (ASQ and ASQ SE)

- No
 Other. Describe _____

3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance –

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

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

- Number of licensed programs. Describe (optional)

The DCCA Child Care Licensing Program will be able to provide the total number of licensed programs in the CNMI.

- Numbers of programs operating that are legally exempt from licensing. Describe (optional)

The Child Care Program, specifically the CCDF Health and Safety Inspector compiles this information.

- Number of programs whose licenses were suspended or revoked

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due to non-compliance. Describe (optional)

The DCCA Child Care Licensing Program will be able to provide this information.

Number of injuries in child care as defined by the State/Territory. Describe (optional)

The DCCA Child Care Licensing Program will be able to provide this information.

Number of fatalities in child care as defined by the State/Territory. Describe (optional)

The DCCA Child Care Licensing Program will be able to provide this information.

Number of monitoring visits received by programs. Describe (optional)

The DCCA Child Care Licensing Program for Licensed providers as well as the Child Care Program for Licensed-exempt providers will be able to provide this information.

Caseload of licensing staff. Describe (optional)

The DCCA Child Care Licensing Program will be able to provide this information

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

The DCCA Child Care Licensing Program will be able to provide this information

Other. Describe
 None

b) **Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements? All providers under the DCCA Child Care Licensing Program have been provided with the rules and regulations governing the minimum requirements for the provision of child care services. The licensing staff conducts at least one announced and at least one unannounced visits throughout the year. During announced and unannounced visits, for any violations cited, the licensing staff is ready to provide technical assistance and clarification regarding the violations.

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Annual trainings are also provided to all child care providers regarding health and safety of children in partnership with ECCS.

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

Currently, the CCDF Child Care Program uses the rating scales to assess program improvements. At a minimum the subscales specific to health and safety for children are addressed. The rating scales specific to infant toddlers and preschool age children are used. Through the use of these scales, CCDF Child Care Program is able to identify the specific trainings and/or technical assistance the providers may need.

3.1.7 Goals for the next Biennium –

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

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

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

Goal 1 –Implement the amended Child Care Licensing Rules and Regulations
Goal 2 –continue the revision of other sections in the Child Care Licensing Rules and Regulations that the committee have initially discussed and may not have been included in the first amendment of the rules and regulations
Goal 3 –Improve the Child Care Licensing Program application process by streamlining the process, updating application forms etc.
Goal 4 -
Goal 5 -

New!

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

and Territorial Plans as a data source. We have added a ruler icon  in Section 3.2 through 3.4 in order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary because States/Territories are not required to develop such guidelines or implement them in a specified manner.

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

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

If yes, insert web addresses, where possible:

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

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 **3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development?**

Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the

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domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner?

Check all audiences and methods that your State/Territory has chosen to use in the chart below.

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



3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system?

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional credential
- To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
- To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
- To develop State-/Territory –approved curricula
- Other. List
- None.



3.2.5 Are voluntary early learning guidelines and development standards aligned with into other parts of the child care system?

Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

- Cross-walked to align with Head Start Child Development and Early Learning Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards
- Other. List
- None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions.

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

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

- a) Are programs required to conduct ongoing assessments of children’s progress of children using valid, reliable and age-appropriate tools aligned with the

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early learning guidelines or other child standards?

Yes. Describe

Currently, the STAR computer-based assessment is completed by a Kindergartener at the school level; specifically, the STAR Early Literacy which focuses on reading and comprehension as well as the STAR MATH are taken by all Kindergartners. A pre-assessment is conducted at the beginning of the school year and then at the end of each quarter. Classroom teachers administers the assessments.

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

Yes. Describe

Through the use of these tools, the teachers and program are able to identify the areas a child my need additional assistance in.

No

Other. Describe

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

Yes. Describe

Information gathered from the STAR assessment is incorporated in the child's progress report completed each quarter.

No

Other. Describe

No

Other. Describe

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

Yes. Describe

These tools are researched-based.

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

Yes. Describe

No

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Although these tools are researched-based, it does not cover all the developmental domains. Currently, the tools primarily focus on literacy knowledge and skills and mathematics knowledge and skills.

Other. Describe

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

All children.

Describe All children take the computer based assessment.

Samples of children. Describe

Other. Describe

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

Yes. Describe

Through these tools, the information gathered are used to address program quality improvements.

No

Other. Describe

No

Other. Describe

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

Yes. Describe

No

Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines –

What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children’s attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for dissemination and implementation of the early learning guidelines? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving

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CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

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

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

The Child Care Program will have access to this information

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

The Child Care Program will have access to this information

Number of programs using ELG's in planning for their work. Describe (optional)

The Child Care Program will have access to this information

Number of parents trained on or served in family support programs that use ELG's. Describe (optional) _____

Other. Describe _____

None

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

The Child Care Program has disseminated the Early Learning Guidelines in all licensed center based programs. Trainings have been conducted and for those who need specific technical assistance related to the ELG, the Child Care Program is able to extend such assistance. The ELG is currently going through an update and once that update is completed. At a minimum the infant toddler ELG is scheduled to be updated. As soon as the update is completed a series of training and technical assistance will be offered to all parents, providers, community partners and the community at large. At a minimum all CCDF providers will be trained with the use of the ELG once it is updated. Additionally, the updated ELG information will be shared during the mandatory orientations as well as provided during the Child Care Licensing Program monthly outreach activities.

d) **Evaluation.** What are the State/Territory's plans, if any, for evaluation related to early learning guidelines and the progress of children in child care? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at

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outcomes in programs or the system and may be ongoing or conducted periodically.

DCCA Child Care Program will use the environment rating scales to capture any and all improvements demonstrated by all licensed providers. Specifically, at a minimum the Early Childhood Environment Rating Scale-Revised (ECERS-R) as well as the Infant and Toddler Environment Rating Scale –Revised (ITERS-R) will be used. -

3.2.8 Goals for the next Biennium –

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

The main goal will be the update of the ELG. At a minimum the update on the Infant and Toddler ELG will be completed.

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

Many States have chosen to use targeted quality funds and other resources to develop a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs (i.e. QRIS). States and Territories will provide a self-assessment on current program quality improvement activities by responding to questions in this section and then describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to a Quality Rating and Improvement System (QRIS) framework. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and

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Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities. The DCCA Child Care Program primarily plans and administers all program quality improvement activities.

3.3.1 Element 1 – Program Standards

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

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

- Ratios and group size
- Health, nutrition and safety
- Learning environment and curriculum
- Staff/Provider qualifications and professional development
- Teacher/providers-child relationships
- Teacher/provider instructional practices
- Family partnerships and family strengthening
- Community relationships
- Administration and management
- Developmental screenings
- Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- Cultural competence
- Other. Describe Use of the environment rating scale to address program improvements and identify specific training and technical assistance to providers.
- None. If checked, skip to 3.3.2.

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

- Children with special needs as defined by your State/Territory
- Infants and toddlers

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- School-age children
- Children who are dual language learners
- None

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

- Licensing is a pre-requisite for participation
- Licensing is the first tier of the quality levels
- State/Territory license is a “rated” license.
- Other. Describe
- Not linked.

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

- Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
- Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
- Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
- Other. Describe
- None

3.3.2 Element 2 –Supports to Programs to Improve Quality

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

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

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
beyond licensing			
<input type="checkbox"/> Attaining and maintaining accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

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

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

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

- Yes. Describe
- No
- Other. Describe The CNMI Child Care Program currently does not have a QRIS

3.3.3 Element 3 – Financial Incentives and Supports

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



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

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Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Grants to programs to meet or maintain licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to <u>improving/maintaining</u> quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 – Element 4 - Quality Assurance and Monitoring

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

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

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Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. The ERS are currently being utilized to identify areas a program may need additional support. Currently, the ITERS-R and ECERS-R are utilized. Ratings will be posted as well as included in the CCDF Provider listing. All CCDF Providers will have an opportunity to prepare and complete their improvement plans as well as any specific trainings or technical assistance their program will need. A follow up visit will be made to validate/verify that improvement plans are addressed.	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input type="checkbox"/> School-Age	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments.	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. PAS observations will be conducted on interested licensed centers. Trainings and Technical assistance support will be provided on identified areas.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21 st Century Learning Center programs Describe, including frequency of assessments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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- Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
- Include QRIS or other quality reviews as part of licensing enforcement
- Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Other. Describe
- None

3.3.5 – Element 5 - Outreach and Consumer Education

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



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

- Yes. If yes, how is it used?
 - Resource and referral/consumer education services use with parents seeking care
 - Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
 - Searchable database on the web
 - Voluntarily, visibly posted in programs
 - Mandatory to post visibly in programs
 - Used in marketing and public awareness campaigns
 - Other. Describe
- No. If no, skip to 3.3.6.

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

- Print
- Radio
- Television
- Web
- Telephone

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- Social Marketing
- Other. Describe
- None

c) Describe any targeted outreach for culturally and linguistically diverse families. Village to village outreach, monthly outreach using native, diverse language during the outreach activities; information discussion with community members regarding quality efforts and assessing quality efforts.

3.3.6. Quality Rating and Improvement System (QRIS)

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

- Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.
 - Participation is voluntary for _____
 - Participation is mandatory for _____
- Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.
- No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.
 - State/Territory is in the development phase
 - State/Territory has no plans for development
- Other. Describe

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

- Child care centers
- Group child care homes
- Family child care homes
- In-home child care
- License exempt providers
- Early Head Start programs
- Head Start programs
- Pre-kindergarten programs
- School-age programs
- Other. Describe

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

in your responses to any question in section 3.3 above, please describe

3.3.8 Data & Performance Measures on Program Quality –

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

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

- Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe (optional) _____
- Number of programs that move program quality levels annually (up or down). Describe (optional) _____
- Program scores on program assessment instruments. List instruments: ERS Describe (optional) The Child Care Program will have data on the program scores on program assessment instruments.
- Classroom scores on program assessment instruments. List instruments: _____ Describe (optional) _____
- Qualifications for teachers or caregivers within each program. Describe (optional) The Child Care Licensing Program will have the information on qualifications for teachers and caregivers within a program.
- Number/Percentage of children receiving CCDF assistance in licensed care. Describe (optional) Both the Child Care Licensing Program and CCDF Child Care Program will have the data related to this.
- Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory
- Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe (optional) _____
- Other. Describe _____
- None

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures on program quality? The use of the ERS program assessment scales will identify program quality and will assist in identifying specific support. At a minimum at least all licensed centerbased program

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will undergo the ECERS-R , and prepare and complete a summary of improvement plans.

- c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. The Child Care Program will continue to use the ERS scales to evaluate program improvements and to identify specific needs of providers especially with training and technical assistance.

3.3.9 Goals for the next Biennium –

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

The primary goal for this biennium is to complete the ECERS-R of all licensed center based providers.

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

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

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

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

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

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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



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

Yes

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

Other. Describe

If yes, insert web addresses, where possible:

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

Child growth, development and learning

Health, nutrition, and safety

Learning environment and curriculum

Interactions with children

Family and community relationships

Professionalism and leadership

Observation and assessment

Program planning and management

Diversity

Other. Describe

None

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

To define the content of training required to meet licensing requirements

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

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

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- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other. Describe
- None

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

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, [National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation](#), Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other. Describe
- None

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe
- Providers working directly with children in family child care homes, including aides and assistants. Describe
- Administrators in centers (including educational coordinators, directors). Describe
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe
- Other. Describe
- None

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

- Birth-to-three
- Three-to-five
- Five and older
- Other. Describe
- None

3.4.2 Workforce Element 2 - Career Pathways

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



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

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

Insert web addresses, where possible:

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

- Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____
- Providers working directly with children in family child care homes, including aides and assistants. Describe _____
- Administrators in centers (including educational coordinators, directors). Describe _____
- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
- Education and training staff (such as trainers, CCR&R staff, faculty). Describe
- Other. Describe
- None

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

- Infants and toddlers
- Preschoolers
- School-age children
- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs
- Other. Describe
- None

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

- Voluntary guide and planning resource

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- Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
- Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
- Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
- Required placement for participation in scholarship and/or other incentive and support programs
- Required placement for participation in the QRIS or other quality improvement system
- Other. Describe
- None

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

- Yes. If yes, describe
- No

3.4.3 Workforce Element 3 – Professional Development Capacity

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



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

- Yes. If yes, describe

Currently, the Northern Mariana College (NMC) is the only community college on the island. NMC is able to offer a Bachelor's Degree in Elementary Education. NMC's Community Development Institute or CDI is able to offer an Early Childhood Certificate.

- No

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

Yes. If yes, describe

For any training and technical assistance (T and TA) on early childhood and school age or related T and TA programs in the CNMI, the Northern Marianas College Community Development Institute or NMC-CDI is sought. NMC CDI is able to provide information on the availability of T and TA.

No

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

- Standards set by the institution
- Standards set by the State/Territory higher education board
- Standards set by program accreditors
- Standards set by State/Territory departments of education
- Standards set by national teacher preparation accrediting agencies
- Other. Describe _____
- None

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

Training approval process. Describe

Trainings as it relates to ECE offered through NMC are reviewed and approved by the School of Education or CDI.

Trainer approval process. Describe

Trainers must meet the requirements as set by NMC and/or School of Education. For interested trainers, an application process is completed and School of Education or NMC reviews and approves the application. All trainers must submit the required documents and certifications.

Training and/or technical assistance evaluations. Describe

For all trainings and technical assistance activities, an evaluation is completed by the participants. These evaluations assist in the improvement of all trainings and technical assistance opportunities as well as address specific needs of the participants.

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- Other. Describe
- None

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

- Yes. If yes, describe
- No

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

- Yes. If yes, describe
- No

3.4.4 Workforce Element 4 – Access to Professional Development

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

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

- Yes. If yes, for which sectors?
 - Child care
 - Head Start/Early Head Start
 - Pre-Kindergarten
 - Public schools
 - Early intervention/special education
 - Other. Describe
- No

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

- Yes. If yes, describe
- No

Insert web addresses, where possible:

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

- Scholarships. Describe [redacted]
- Free training and education. Describe

All Trainings and Technical assistance opportunities are free of charge to all participants (providers and community)

- Reimbursement for training and education expenses. Describe [redacted]
- Grants. Describe [redacted]
- Loans. Describe [redacted]
- Loan forgiveness programs. Describe [redacted]
- Substitute pools. Describe [redacted]
- Release time. Describe [redacted]
- Other. Describe [redacted]
- None

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

Yes. **If yes, describe**

No

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

- Yes. **If yes, describe** [redacted]
- No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

Definition – For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

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

- Yes. **If yes, describe** [redacted]
- No

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

Yes. If yes, describe

The Child Care Program is able to provide a one time monetary incentive for the completion of the Infant Toddler Cohort a 70 hour training program specific for infant and toddler caregivers. The Child Care Program is also able to support an on-going annual monetary incentive for providers who complete a minimum of 10 hours of targeted TA for their programs.

No

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

Yes. If yes, describe

No

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

Yes. If yes, describe

No

3.4.6 Data & Performance Measures on the Child Care Workforce –

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

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

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

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

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- Records of individual teachers or caregivers and their qualifications. Describe (optional) _____
- Retention rates. Describe (optional) _____
- Records of individual professional development specialists and their qualifications. Describe (optional) _____
- Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) _____
- Number of scholarships awarded . Describe (optional) _____
- Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) _____
- Number of credentials and degrees conferred annually. Describe (optional) _____
- Data on T/TA completion or attrition rates. Describe (optional) _____
- Data on degree completion or attrition rates. Describe (optional) _____
- Other. Describe _____
- None

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

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

Yes.

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

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

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

Administrators in centers (including educational coordinators, directors). Describe _____

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

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- Education and training staff (such as trainers, CCR&R staff, faculty). Describe [REDACTED]
- Other. Describe [REDACTED]
- None

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

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

No

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

The Child Care Program will continue to offer training and technical assistance to its providers free of charge. By doing so, these trainings and technical assistance will continue to be easily accessible to the providers as well as community members (for trainings that are open to the community members). The Child Care Program will continue to encourage all providers in accessing these T and TA by ensuring that all notices are provided in a timely manner. These practices will ensure that at least a minimum of 85% of providers (both licensed and licensed-exempt) meet their professional development hours on an annual basis as well as improve the quality of care offered to all children in their care.

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

The use of the ERS scale has been useful in identifying the specific needs of each programs. Once a summary of the ERS has been completed and discussed with a specific program/provider, a Plan of Action is initiated which identifies the specific areas the program/provider will need to focus improvement on. The Plan of Action will describe the specific area of concern, indicate the materials, resources needed, schedule, changes/improvements made, expected date of completion and any follow up. The plan of action will also indicate the specific T and TA needs of the program. Ongoing monitoring as well as validation of the completed actions or activities will be done.

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3.4.7 Goals for the next Biennium –

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section in 3.4. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

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

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

Goal 1 – Increase availability of Technical Assistance opportunities for all providers
Goal 2 – Coordinate with other agencies on availability of T and TA
Goal 3 – Expand T and TA opportunities to include other agencies’ T and TA opportunities
Goal 4 -
Goal 5 -

AMENDMENTS LOG

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: _____
FOR THE PERIOD: 10/1/11 – 9/30/12

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Lead Agency’s approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information

<http://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

APPENDIX 1
QUALITY PERFORMANCE REPORT

This annual report will be submitted to ACF no later than **December 31, 2014** and will reflect the period **October 1, 2013 through September 30, 2014**. Lead Agencies will leave this report blank when the Plan is initially submitted.

In this report, Lead Agencies are asked about the State/Territory's progress in meeting its goals as reported in the FY 2014-2015 CCDF Plan, and provide available data on the results of those activities. At a minimum, Lead Agencies are expected to respond to the first question in each section of the Quality Performance Report (QPR) which asks for their progress toward meeting their goal(s) articulated in **Part 2 and Part 3** of the CCDF Plan for this Biennium.

Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. **A Describe box is provided for each question for Lead Agencies to provide descriptive context for data reported and narrative updates in each data section, including any plans for reporting data in the future, if actual data is not currently available or if specific questions are not applicable. Lead Agencies may use data collected by other agencies and entities (e.g., CCR&R agencies or other contractors) as appropriate. The term Lead Agency is used in questions when the data relate to a CCDF-specific activity, otherwise the term State/Territory is used when another entity may be responsible or involved with an activity (e.g., licensing).**

The purpose of this annual report is to capture State/Territory progress on improving the quality of child care. Specifically, this report will:

- Provide a national assessment of State's and Territory's progress toward improving the quality of child care, including a focus on program quality and child care workforce quality;
- Track State's and Territory's annual progress toward meeting high quality indicators and benchmarks, including those that they set for themselves in their CCDF Plans and those that are of interest to the U.S. Department of Health and Human Services in measuring CCDF program performance;
- Assist national and State/Territory technical assistance efforts to help States/Territories make strategic use of quality funds; and Assist with program accountability

This report collects progress on the five goals identified in Part 2 and Part 3 of the Child Care and Development Fund (CCDF) Plan for FY2014-2015 along with key data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2014-2015:

1. Ensuring health and safety of children through licensing and health and safety

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- standards
- 2. Establishing early learning guidelines
- 3. Creating pathways to excellence for child care programs through program quality improvement activities
- 4. Creating pathways to an effective, well-supported child care workforce through professional development systems and workforce initiatives.

Ensuring the Health and Safety of Children (Component #1)

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30, 2014.

A1.1 Progress on Overall Goals

Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.1.7, please report your progress using the chart below.

You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., revised licensing regulation to include elements related to SIDS prevention, lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

Note: If your licensing standards changed during this period, please provide a brief summary of the major changes and submit the updated regulations to the National Resource Center for Health and Safety in Child Care (www.nreckids.org.) _____

A1.2 Key Data

OCC is collecting this information as one part of our overall effort to better understand States/Territories’ activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here **and that some data requested may be collected by another agency or entity other than the Lead Agency.** Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. For example, the number of programs with licensing violations will be

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affected by how stringent the licensing standards are. States with more stringent standards may be more likely to report more violations than those with less stringent licensing standards. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A1.2.1 Number of Programs

a) How many licensed center-based programs operated in the State/Territory as of September 30, 2014? _____

N/A

Describe: _____

b) How many licensed home-based programs operated in the State/Territory as of September 30, 2014? _____

N/A

Describe: _____

c) Does the State/Territory have data on the number of programs operating in the State/Territory that are legally exempt from licensing? **At a minimum, the Lead Agency should provide the number of legally exempt providers serving children receiving CCDF.**

Yes. If yes, include the number of programs as of September 30, 2014 and describe _____ (Use the Describe Box to provide the universe of programs on which the number is based)

No. Describe: _____

A1.2.2 Number and Frequency of Monitoring Visits

For licensed programs, a monitoring visit is an onsite visit by department personnel to a licensed child care program with the goal of ensuring compliance with licensing regulations. This may include initial licensing determination visits, licensing renewal visits, periodic announced or unannounced visits, and visits made after a complaint is lodged. For legally exempt providers, a monitoring visit is an onsite visit to a child care program with the goal of ensuring compliance with health and safety standards as defined by CCDF and required for receipt of CCDF funds. Use the Describe box to provide your State/Territory monitoring visit requirement.

a) How many licensed center-based programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?

_____ a-1) Of those programs visited, how many were unannounced?

_____ a-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

a-3) What percentage of required visits for licensed center-based program were completed? _____

N/A

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Describe:

b) How many licensed family child care programs received at least one monitoring visit between October 1, 2013 and September 30, 2014?

_____ b-1) Of those programs visited, how many were unannounced?

_____ b-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

b-3) What percentage of required visits for licensed family child care programs were completed? _____

N/A

Describe:

c) How many legally exempt providers receiving CCDF received at least one monitoring visit between October 1, 2013 and September 30, 2014? Of those,

_____ c-1) Of those programs visited, how many were unannounced?

_____ c-2) Of those programs visited, how many were triggered by a complaint or identified risk? _____

c-3) What percentage of required visits for legally exempt providers were completed? _____

N/A

Describe:

A1.2.3 Number of Licensing Suspensions, Licensing Revocations and Terminations from CCDF

Suspension of license includes any enforcement action that requires the temporary suspension of child care services because of licensing violations. Revocation of license includes termination or non-renewal of licensure and any other enforcement action that requires the closure of a program because of licensing violations.

	How many programs had their licenses suspended due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs had their licenses revoked due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs were terminated from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?	N/A	Describe
Child Care Centers				<input type="checkbox"/>	

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	How many programs had their licenses suspended due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs had their licenses revoked due to licensing violations as defined in your State/Territory during the last fiscal year?	How many programs were terminated from participation in CCDF due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?	N/A	Describe
Group Child Care Homes	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Family Child Care Homes	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
In-Home Providers	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

A1.2.5 How many previously license-exempt providers were brought under the licensing system during the last fiscal year? _____

N/A

Describe:

A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year?

Please provide your definition of injuries in the Describe box and indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

N/A

Describe:

A1.2.7 How many fatalities occurred in child care or as the result of a child care accident or injury as of the end of the last year?

Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

N/A

Describe:

Establishing Early Learning Guidelines (Component #2)

A2.1 Progress on Overall Goals

A2.1.1 Did the State/Territory make any changes to its voluntary early learning guidelines (including guidelines for school-age children) as reported in 3.2 during the last fiscal year?

- Yes. Describe _____
 No

A2.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.2.8, please report your progress.

You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELG’s, Aligned the ELG’s with Head Start Child Development and Early Learning Framework). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A2.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A2.2.1a How many **individuals were trained on early learning guidelines (ELG’s) or standards over the last fiscal year?**

Responses to this question should be consistent with information provided in question 3.2.3 in the CCDF Plan.

Provider Categories	Birth to Three ELG’s	Three-to-Five ELG’s	Five and Older ELG’s	N/A	Describe
How many teachers/practitioners	_____	_____	_____	<input type="checkbox"/>	_____

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Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
in center-based programs were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)					
How many family child care providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many legally exempt providers were trained on ELG's over the past year? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

A2.2.1b How many children are served in programs implementing the ELG's?

Refer to question 3.2.4 in the CCDF Plan for examples of how ELG's can be implemented in programs. Program capacity can be used as an estimate of children served.

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many children are served in center-based programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

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Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's	N/A	Describe
How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____
How many children are served in programs implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____	<input type="checkbox"/>	_____

Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

A3.1 Progress on Overall Goals

A3.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.3.9, please report your progress.

You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs included in the QRIS, Aligned the QRIS standards with Head Start performance standards, or expanded the number of programs with access to an on-site quality consultant). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A3.2 Key Data

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A3.2.1 Number of Program Receiving Targeted Technical Assistance

Targeted technical assistance is technical assistance (coaching, mentoring and consultation) that is designed to address a particular domain/area of quality. Responses in this section should be consistent with responses provided in question 3.3.2 in the CCDF Plan which focuses on targeted technical assistance to programs (rather than practitioners) that is intended for moving programs to higher levels of quality.

- a) How many programs received targeted technical assistance during the last fiscal year (October 1, 2013 through September 30, 2014)?

N/A

Describe:

- b) If possible, report the number of programs who received targeted technical assistance in the following areas:

Health and safety _____

Infant and toddler care _____

School-age care _____

Inclusion _____

Teaching dual language learners _____

Understanding developmental screenings and/or observational assessment tools for program improvement purposes _____

Mental health _____

Business management practices _____

N/A

Describe:

A3.2.2 Number of Programs Receiving Financial Supports

Responses to this question should be consistent with responses provided in question 3.3.3 of the CCDF Plan. **Financial supports** must be intended to reward, improve, or sustain quality. They can include grants, cash, reimbursements, gift cards, or purchases made to benefit a program. This includes tiered reimbursements for CCDF subsidies. **One-time grants, awards, or bonuses** include any kind of financial support that a program can receive only once. **On-going or periodic quality stipends** include any kind of financial support intended to reward, improve, or sustain quality that a program can receive more than once.

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a) How many programs received one-time, grants, awards or bonuses?

Child Care Centers _____

N/A

Describe: _____

Family Child Care Homes _____

N/A

Describe: _____

b) How many programs received on-going or periodic quality stipends?

Child Care Centers _____

N/A

Describe: _____

Family Child Care Homes _____

N/A

Describe: _____

A3.2.3 Number of Eligible Programs for State/Territory QRIS or Other Quality Improvement System

a) What is the total number of eligible child care centers for QRIS _____
OR Other Quality Improvement System? _____

N/A

Describe: _____

b) What is the total number of eligible family child care homes for QRIS _____
OR Other Quality Improvement System? _____

N/A

Describe: _____

c) What is the total number of eligible license-exempt providers for QRIS _____
OR Other Quality Improvement System? _____

N/A

Describe: _____

A3.2.4 Number and Percentage of Programs Participating in State/Territory QRIS or Other Quality Improvement System

a) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of child care center programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of Child Care Centers Participating in QRIS _____
OR Other Quality Improvement System _____

Percentage of Child Care Centers Participating in QRIS _____
OR Other Quality Improvement System _____

N/A

Describe: _____

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- b) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of family child care programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of Family Child Care Homes QRIS _____ OR
Other Quality Improvement System _____

Percentage of Family Child Care Homes QRIS _____ OR
Other Quality Improvement System _____

N/A

Describe:

- c) Of the total number eligible as reported in A3.2.3, what is the total number and percentage of license-exempt programs in the State/Territory that participate in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year?

Number of License-Exempt Providers QRIS _____ OR
Other Quality Improvement System _____

Percentage of License-Exempt Providers QRIS _____ OR
Other Quality Improvement System _____

N/A

Describe:

A3.2.5. Number of Programs at Each Level of Quality

For each type of care, provide the total number of quality levels and the number of programs at that level of the total number of participating as reported in A3.2.4. Describe metric if other than QRIS, such as accreditation.

	Number of levels of quality	Number of programs at each level	N/A	Describe
Child Care Centers	<input style="background-color: #ADD8E6;" type="text"/>	<input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/>	<input style="background-color: #ADD8E6;" type="text"/>
Family Child Care Homes	<input style="background-color: #ADD8E6;" type="text"/>	<input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/>	<input style="background-color: #ADD8E6;" type="text"/>
License-Exempt Providers	<input style="background-color: #ADD8E6;" type="text"/>	<input style="background-color: #ADD8E6;" type="text"/>	<input type="checkbox"/>	<input style="background-color: #ADD8E6;" type="text"/>

A3.2.6 Number of Programs Who Moved Up or Down within QRIS

If quality threshold is something other than QRIS, describe the metric used, such as accreditation. These numbers ARE NOT expected to total the number of participating programs in the QRIS as reported in A3.2.4.

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	How many programs moved up within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	How many programs moved down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year?	N/A	Describe
Child Care Centers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Family Child Care Homes	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
License-Exempt Providers	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

A3.2.7 Number of CCDF Subsidized Children Served in Programs Participating in the State/Territory Quality Improvement System

Note. If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

- a) What percentage of CCDF children were served in participating programs during the last fiscal year? _____
- b) What percentage of CCDF children were served in high quality care as defined by the State/Territory? _____ Provide the definition of high quality care in the Describe box. This may include assessment scores, accreditation, or other metric, if no QRIS.

N/A

Describe:

Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)

A4.1 Progress on Overall Goals

A4.1.1 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.4.7, please report your progress.

You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible
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Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A4.2 Key Data

OCC is collecting this information as one part of our overall effort to better understanding State/Territory activities to improve the quality of child care. OCC recognizes that the data requested in this report will only provide part of that picture because there are many factors which affect the data being collected here. Each State/Territory’s policy context and priorities and standards will play a role in the way that quality improvement activities are developed and implemented. OCC intends to work with the States/Territories to gather any additional contextual information necessary in order to fully understand the context of these data for any reporting activities involving this information.

A4.2.1 Number of Teachers/Caregivers and Qualification Levels

a) What is the total number of child care center teachers in the State/Territory as of September 30, 2014? _____

N/A

Describe:

b) What is the total number of family child care providers in the State/Territory as of September 30, 2014? _____

N/A

Describe:

c) What is the number of center teachers and family child care providers by qualification level as of the end of the last fiscal year? **Count only the highest level of education attained.**

	Child Care Center Teachers	Family Child Care Providers	N/A	Describe
Child Development Associate (CDA)	_____	_____	<input type="checkbox"/>	_____
State/Territory Credential	_____	_____	<input type="checkbox"/>	_____
Associate’s degree	_____	_____	<input type="checkbox"/>	_____
Bachelor’s degree	_____	_____	<input type="checkbox"/>	_____
Graduate/Advanced	_____	_____	<input type="checkbox"/>	_____

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	Child Care Center Teachers	Family Child Care Providers	N/A	Describe
degree				

A4.2.2 Number of Individuals Included in State/Territory’s Professional Development Registry during Last Fiscal Year (October 1, 2013 through September 30, 2014)

Teachers in child care centers _____

Family child care home providers _____

License-exempt providers _____

N/A

Describe:

A4.2.3 Number of Individuals Receiving Credit-Based Training and/or Education as defined by State/Territory during the last fiscal year

Teachers in child care centers _____

Family child care home providers _____

License-exempt providers _____

N/A

Describe:

A4.2.4 Number of Credentials and Degrees Awarded during Last Fiscal Year

If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	List Type of Credential and Provide Number Awarded	List Type of Degree and Provide Number Awarded	N/A	Describe
Teachers in child care centers	_____	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	_____	<input type="checkbox"/>	_____

A4.2.5 Number of Individuals Receiving Technical Assistance during Last Fiscal Year

Describe any data you track on coaching, mentoring, or other specialist consultation. If possible, include in what type of setting the practitioner worked. Responses to this question should be consistent with information provided in question 3.4.4e of the CCDF Plan.

Setting	List Type of Technical Assistance and Provide Number	N/A	Describe
Teachers in child care centers	_____	<input type="checkbox"/>	_____
Family child care home providers	_____	<input type="checkbox"/>	_____
License-exempt providers	_____	<input type="checkbox"/>	_____

A4.2.6 Type of Financial Supports Provided and Number of Teachers/Providers Receiving as of End of Last Fiscal Year?

- Scholarships. How many teachers/providers received? _____
 - Reimbursement for Training Expenses. How many teachers/providers received? _____
 - Loans. How many teachers/providers received? _____
 - Wage supplements. How many teachers/providers received? _____
 - Other. Describe
 - N/A
- Describe:

Building Subsidy Systems that Increase Access to High Quality Care

In this section, Lead Agencies provide progress on their subsidy administration goals over the past year as of September 30, 2014.

A5.1 Progress on Overall Goals

Based on the goals described in the Lead Agency’s CCDF Plan at Section 2.8, please report your progress using the chart below. You may include any significant areas of progress that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., established copayment policies that sustain income and sustain quality, or established eligibility policies that promote continuity of care). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2014-2015 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

APPENDIX 2
CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

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- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:

<http://www.hhs.gov/forms/HHS690.pdf>

2. Certification regarding debarment:

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other>

3. Definitions for use with certification of debarment:

<http://www.acf.hhs.gov/grants/certification-regarding-debarment-suspension-and-other-o>

4. HHS certification regarding drug-free workplace

requirements: <http://www.acf.hhs.gov/grants/certification-regarding-drug-free-workplace-requirements>

5. Certification of Compliance with the Pro-Children Act of 1994:

<http://www.acf.hhs.gov/grants/certification-regarding-environmental-tobacco-smoke>

6. Certification regarding lobbying:

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<http://www.acf.hhs.gov/grants/certification-regarding-lobbying>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.