

Child Care and Development Fund (CCDF) Plan  
For

DRAFT

Utah  
FFY 2014-2015

PART 1  
ADMINISTRATION

**1.1 Contact Information**

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

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

Effective Date: 01-OCT-13

Name of Lead Agency: [Utah Department of Workforce Services](#)

Address of Lead Agency: [130 E 300 South, Salt Lake City, UT 84111](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Jon Pierpont](#)

Phone Number: [801.526.9210](#)

Fax Number: [801.526.9211](#)

E-Mail Address: [Jpierpo@utah.gov](mailto:Jpierpo@utah.gov)

Web Address for Lead Agency (if any): [jobs.utah.gov](http://jobs.utah.gov)

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

**a) Contact Information for CCDF Administrator:**

Effective Date: 01-OCT-13

Name of CCDF Administrator: [Kristen Floyd](#)

Title of CCDF Administrator: [Director, Utah Office of Child Care](#)

Address of CCDF Administrator: [130 E 300 South, Salt Lake City, UT 84111](#)

Phone Number: [XXX](#)

Fax Number: [XXX](#)

E-Mail Address: [klfloyd@utah.gov](mailto:klfloyd@utah.gov)

Phone Number for CCDF program information

(for the public) (if any): [801.468.0042](#)

Web Address for CCDF program

(for the public) (if any): [jobs.utah.gov](http://jobs.utah.gov)

Web Address for CCDF program policy manual

(if any): [NA](#)

Web Address for CCDF program administrative rules

(if any): [NA](#)

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

Name of CCDF Co-Administrator: [NA](#)

Title of CCDF Co-Administrator: [NA](#)

Address of CCDF Co-Administrator: [NA](#)

Phone Number: [NA](#)

Fax Number: [NA](#)

E-Mail Address: [NA](#)

Description of the role of the Co-Administrator:

## **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)).

Effective Date: 01-OCT-13

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ [60,522,210](#)

Federal TANF Transfer to CCDF: \$ 0

Direct Federal TANF Spending on Child Care: \$ 9,000,000

State CCDF Maintenance-of-Effort Funds: \$ 4,474,923

State Matching Funds: \$ 3,000,000

**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

Effective Date: 01-OCT-13

N/A here

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

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

State general funds. The Utah Department of Health, Bureau of Child Development, Child Care Licensing Program.

County or local public funds CCDF Match Partnership Grants for afterschool programs.

If known, identify the estimated amount of public funds the Lead Agency will receive: \$2,8 million

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

If checked, are those funds:

donated directly to the State?

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

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

Voices for Utah Children.

United Way of Salt Lake.

If known, identify the estimated amount of private donated funds the Lead Agency will receive: 0

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%): \$1.2 million

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

[afterschool language](#)

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement: \$894,984.

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

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

Agency's overall goal of improving the quality of child care for low-income children.

Effective Date: 01-OCT-13

<b>Estimated Amount of CCDF Quality Funds For FY 2014</b>	<b>Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results (if possible)</b>
---	---	----------------	---

Infant/Toddler  
Targeted Fund  
\$991,425

The Baby Steps Project began in 2003 to support child care centers providing infant/toddler care and help them raise the level of quality of care they provided. It has been a very successful project and it is still going strong today. Three years ago we capped the number of years a center could participate in Baby Steps to a maximum of two years. In 2010 we created a new grant called Next Steps which is available to programs that have successfully completed Baby Steps. The programs funded in Next Steps have a greater focus on staff development, family involvement and are required to show a substantial increase in the ITERS-R score they achieve at their final observation. The Next Steps Grant is competitive and also limits the number of years of participation to two. As a result of community input, we have expanded and added a third phase of the project. By capping the amount of time a program may participate in the Baby Steps and Next Steps Grants, we are able to provide services to two year old children. The Two Year Old Grant is a quality improvement grant that will serve to assist licensed child care center programs in raising the quality of care they provide in rooms where two year old children are cared for. The funded amount is \$991,425.

The Baby Steps, Next Steps and Two Year Old Grants allow a child care programs to purchase furniture, equipment and materials used for daily care; pay for staff training and staff wages for time spent in training classes; create a safer/healthier environment both indoors and out; and to increase staff longevity or continuity of care for the children.

We anticipate the ITERS score of participating programs to increase by at least 1 or more points.

We are currently developing a web-based data collection process to aide us in more precisely measuring our outcomes.

<p>School-Age/Child Care Resource and Referral Targeted Funds 221,528</p>	<p>Child Care Resource and Referral Agencies (CCR&amp;R's) maintain child care provider data regarding licensing status, location, capacity, vacancies, ages served, rates, hours, staff education, etc for the 1,519 licensed/license exempt child care programs in Utah. The funded amount is \$3,035,605.</p>	<p>This data/information is now readily available for working parents to utilize as they search for child care programs at <a href="http://www.careaboutchildcare.utah.gov">www.careaboutchildcare.utah.gov</a>.</p> <p>3.</p>	<p>The impact of this activity is measured by utilization data. For example: 51,000 unique visitors have accessed the website 128,000 different times since its inception on February 10th, 2012. The website generates 2,000-3,000 child care referrals per month.</p>
---	--	--	---

Quality Expansion  
Targeted Funds

\$1,630,868

<p>1. Child care provider association support. Each year the lead agency collaborates with child care provider associations to host an early childhood conference. Each participating association receives a formula-based stipend for their help planning and executing the conference. The funded amount is \$10,500.</p> <p>2. Professional development</p> <p>3. Public Awareness. The lead agency will contract with a local public relations firm to manage the Paid Google search activity for Care About Child Care (QRIS). The funded amount is \$10,000.</p> <p>4. TEAM grants. These training grants are available to licensed family child care providers that request on-site coaching and technical assistance to improve the quality of their family child care program. The funded amount is \$65,000.</p> <p>5. Utah Afterschool Network (UAN). The lead agency provides funding to UAN. UAN is a non-profit association established in 2005 by a consortium of over 100 afterschool practitioners, youth advocates and leaders of state agencies. The funded amount is \$153,000.</p> <p>6. The Children's Center. The mission of the Children's Center committed is to provide comprehensive mental health care to enhance the emotional well-being of infants, toddlers, preschoolers and their families. The funded amount is \$182,355.</p> <p>7. Research. In partnership with Utah</p>	<p>1. The purpose of the conference to is foster professional development and collaboration.</p> <p>2. The purpose of Utah's Professional Development system is to increase the quality of care given to children in child care. The PD system also strives to maintain continuity of caregivers in the child care system.</p> <p>3. The purpose of the paid Google search project is to provide consumer education to parents searching for child care by driving them to careaboutchildcare.utah.gov</p> <p>4. The purpose of the TEAM grants is to support and encourage family child care providers to improve the quality of their program through onsite coaching.</p> <p>5. UAN works to connect key decision makers and resources to establish statewide structures that foster policies committed to funding and sustaining quality school-based/school-linked out-of-school time (OST) programming. The OST specialists monitor afterschool programs and provide onsite coaching using a quality observation tool developed by UAN.</p> <p>6. Our partnership with The Children's Center is to provide training and on-site coaching to child care providers regarding behavioral and guidance issues. Children's Center professional also conduct high-level individual child mental health observations and make referrals as appropriate.</p> <p>7. The purpose of this</p>	<p>1. The impact is measured by attendance. At the 2013 conference, was 1,100.</p> <p>2. The impact is measured by the number of participants in the system and the number of training hours achieved.</p> <p>3. The impact is measured by the number of careaboutchildcare.utah.gov webiste visits, child care referrals and level of participation by child care providers.</p> <p>4. The impact is measured by the number of participants and the score they receive on the coaching tool.</p> <p>5. In the coming biennium, UAN will develop a data collection process to more fully measure the quality improvements of afterschool programs.</p> <p>6. The impact of children's center is measured by the level of participation in onsite coaching. Retention of the child in the child care program.</p> <p>7. We anticipate data used from this study will help inform child care policy changes that support quality.</p>
--	--	---

State University, funding will be used this year to evaluate Utah's QRIS system. The research question, "Does participation in the CAC Quality Indicators represent a quality child care program?" will be analyzed. The funded amount is \$100,000.

activity is to determine if participation in Utah's QRIS system has a quantitative and qualitative impact on the quality of child care.

Quality Funds (not including Targeted Funds)

\$7,713,368

<p>1. Department of Health, Child Care Licensing. The Interagency contract provides financial support for child care licensors. The contract also maintains the Child Care Licensing Program database, facility history, onsite visit history, complaint history database and hotline. The contract provides technical assistance and orientation to support child care providers in meeting health and safety standards. In addition, the contract allows for background screenings for family, friend and neighbor child care providers that receive CCDF subsidy funds. The funded amount is \$1,613,008.</p> <p>2. Child Care Resource and Referral Agencies (CCR&amp;R's) maintain child care provider data regarding licensing status, location, capacity, vacancies, ages served, rates, hours, staff education, etc for the 1,519 licensed/license exempt child care programs in Utah. The funded amount is \$3,035,605.</p> <p>3. School age contracts. ASPIRE Kids (After School Partnerships Increasing Resources for Elementary-age Kids) is a project created to increase the quality and access of afterschool programming. The funding amount is XXXX.</p> <p>4. Care About Child Care Quality Grants. This project is new this year. The grants will provide funding by competitive bid to child care providers as they voluntarily participate in Care About Child Care.</p>	<p>1. The purpose of this activity is to meet the statutory requirements of the CCDF grant and the State of Utah Code/Rule regarding Child Care Licensing.</p> <p>2. This data/information is now readily available for working parents to utilize as they search for child care programs at <a href="http://www.careaboutchildcare.utah.gov">www.careaboutchildcare.utah.gov</a>.</p> <p>3.</p> <p>3. School age contracts. The grant encourages programs to identify additional funding, generate local awareness and support, and allow for creation and expansion of afterschool programs for elementary-age children throughout the State of Utah. Eligible programs could apply for up to \$31,000 with the potential of increased funding based on qualifying cash match. A minimum of 10% of the grant request has to be identified in qualified cash match. The awarded programs are required to: collaborate with other public/private entities, incorporate parental/family involvement; support academic achievement; offer enrichment opportunities; provide appropriate training for staff and volunteers; implement at least three designated prevention/education components; and adhere to specific quality standards, safety, data, and reporting expectations as designated by DWS.</p> <p>4. The purpose of the Care About Child Care Quality Grants is to support licensed child care providers achieve quality indicators and criteria on Care About</p>	<p>1. The impact of this activity is measured through quality improvement documented on the Quality Data Report.</p> <p>2. The impact of this activity is measured by utilization data. For example: 51,000 unique visitors have accessed the website 128,000 different times since its inception on February 10th, 2012. The website generates 2,000-3,000 child care referrals per month.</p> <p>3. The impact of the school age contracts is to improve improve the quality and availability of afterschool programming throughout Utah. In addition, the ASPIRE grant will generate increased revenue resulting from CCDF matching fund draw-down.</p> <p>4. The anticipated impact of the CAC Quality Grants is increased participation in Care About Child Care. Additionally, we anticipate an increase in the quality of each program.</p>
---	--	--

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

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

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

Effective Date: 01-OCT-13

- 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

NA

- Other.  
Describe:

Quality funds are distributed based on a competitive bid process to local agencies and individuals. For example, Utah has six local child care resource and referral agencies. In addition, through the competitive bid process, contracts are awarded to individual programs for quality improve activities.

## 1.3 CCDF Program Integrity and Accountability

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

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

Describe:

1. **Fiscal Management:** The State Auditor's office in cooperation with the department's internal audit division conducts a yearly program audit. A meeting to kick-off the audit year is held at the beginning of the process. A wrap-up meeting is held at the conclusion of the process to review the audit findings and corrective action steps.
2. **Error Rate Review (Improper Payments):** The Department of Workforce Services conducts a quality control child care case review process to identify, measure, and calculate improper payments made to an ineligible recipient or provider. The resulting data will be submitted in the State Improper Authorization for Payment Report along with identified strategies for reducing future improper payments.
3. **Data Reporting:** The MIS division gathers data required for the department's Balanced Score Card and Operational Metrics Reports, as well as other child care subsidy trends data reports.

**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](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.

Effective Date: 01-OCT-13

Describe:

All grants and financial awards are based on a RFP or application process. The Lead Agency uses an established contract monitoring process that includes on-site reviews, fiscal reviews and desk monitoring. The internal auditing office is available for additional support if necessary.

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

Type of Activity	Identify Program Violations	Identify Administrative Error		
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Review of attendance or billing records	<input type="checkbox"/>	<input type="checkbox"/>		
Audit provider records	<input type="checkbox"/>	<input type="checkbox"/>		
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Conduct supervisory staff reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Conduct data mining to identify trends	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
<table border="1" style="width: 100%;"> <tr> <td style="padding: 2px;">Other. Describe</td> </tr> <tr> <td style="padding: 5px;">In addition to the activities listed above, the department also uses the following information to identify program violations: Office of Recovery Services, Unemployment Benefits, and Save (alien e-verification system), Quality Control and Performance Review reports.</td> </tr> </table>	Other. Describe	In addition to the activities listed above, the department also uses the following information to identify program violations: Office of Recovery Services, Unemployment Benefits, and Save (alien e-verification system), Quality Control and Performance Review reports.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe				
In addition to the activities listed above, the department also uses the following information to identify program violations: Office of Recovery Services, Unemployment Benefits, and Save (alien e-verification system), Quality Control and Performance Review reports.				
None	<input type="checkbox"/>	<input type="checkbox"/>		

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

The Department of Workforce Services (DWS) utilizes the activities marked above to identify intentional and unintentional parent or child care provider program violations. The above activities also help to identify administrative errors. DWS contracts with other state agencies and employers to share information on applicants and recipients applying for services. Some of the verification systems eFIND

interfaces with are: the Office of Recovery Services(child support collection), the Social Security Administration, the Driver's License Division, PARIS, Utah Vital Statistics, the Unemployment division, and the Work Number, Unemployment Benefits, and SAVE (e-verification alien system). TANF, Medicaid, FNS (SNAP), and Child Care assistance programs are integrated in eREP, the department's eligibility determination system. eREP also interfaces with the license exempt child care provider registry and with the child care licensing database. Only providers that have an eligible status may be selected by a parent receiving a child care subsidy. This prevents payments from being authorized with child care providers who have not passed the criminal background check screening and/or are not currently licensed. When a child care provider no longer has an eligible status, eREP auto closes the child care program to prevent further subsidies from being issued. Quality Control and Performance Case Review reports identify administrative errors and improper payments monthly and cumulative. Our computer system along with other agency interfaces, supervisory edits, audits, performance team case reviews, and quality control reviews aid the department in identifying program violations and ensuring program integrity.

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

NA

**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)).**

Effective Date: 01-OCT-13

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 300	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: NA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Recover through repayment plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Unemployment insurance reduction and wage garnishment.			
Establish a unit to investigate and collect improper payments. Describe composition of unit:			
The Program Error Prevention (PEP) unit is comprised of two teams with a manager over each team. The investigation team has twenty fourteen investigators that conduct research on all agency referred potential overpayments.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe:			
The PEP unit is comprised of two teams with a manager over each team. The investigation team has twenty fourteen investigators that conduct research on all agency referred potential overpayments (unintentional, administrative, and fraud). After the investigation team confirms the existence of an overpayment, the referral is transferred to the overpayment calculation and adjudication team. The overpayment team consists of one criminal specialist, three two adjudication specialists, and twelve nine benefit accuracy analysts.	<input type="checkbox"/>	<input 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 Payment Error Prevention Unit (PEP) within the Eligibility Services Division of DWS investigates, calculates, and adjudicates all intentional, unintentional, and administrative error overpayments. The Public Assistance Overpayment Unit (PAO) of DWS is responsible for collection and enforcement of all classifications of overpayments. The threshold amount for adjudication and collection of unintentional and administrative error overpayments is \$300.00. There is no threshold for adjudication and collection of misspent funds due to fraud.

DWS does not refer child care overpayment debts to any other state agency for collection activities. PAO collection staff routinely set up repayment plans with overpayment debtors. Recoupment (benefit/payment reduction) from ongoing child care benefits is one method of collection used by PAO collection staff. This method is involuntary to the debtor. Non-administrative error debt amounts are submitted for collection via state tax refund offset when there is a judgment in place against the debtor for the debt. Collection methods include direct billing, recoupment, EBT transfer, state tax offset and wage garnishment.

**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?**

Effective Date: 01-OCT-13

None

Disqualify client.

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

All alleged overpayments must be adjudicated through the administrative process, civil process, or criminal process. Orders and judgments obtained in these processes establish the validity of the overpayment, the reason (including intentional program violation or fraud) for the overpayment, and provide a means of enforcing the collection of the overpayment. If the decision is that the customer committed an intentional program violation (IPV), the department will mail the customer a written notice, such as an administrative order or an administrative hearing decision, informing them of the determination and all subsequent penalties. State statute allows for disqualification from receiving child care assistance when an IPV occurs.

**Administrative Hearing Process:**

If the IPV overpayment is adjudicated through the Administrative process, a customer may request an administrative hearing in writing or orally within 90 days of the date of the notice of agency action with which the customer disagrees. The Administrative Law Judge (ALJ) must issue a written decision within 60 days of the date the Department receives the hearing request. However, if the customer or provider received a postponement, the 60-day time limit may be extended for as many days as the hearing was postponed.

The local office or the customer can appeal the decision of the ALJ to either the Director of the Division of Adjudication or to the District Court. Either appeal must be filed, in writing, within 30 days of the issuance of the decision by the ALJ.

Disqualify provider.

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

All alleged overpayments must be adjudicated through the administrative process, civil process, or criminal process. Orders and judgments obtained in these processes establish the validity of the overpayment, the reason (including intentional program violation or fraud) for the overpayment, and provide a means of enforcing the collection of the overpayment. If the decision is that the customer committed an intentional program violation (IPV), the department will mail the customer a written notice, such as an administrative order or an administrative hearing decision, informing them of the determination and all subsequent penalties. State statute allows for disqualification from receiving child care assistance when an IPV occurs.

Administrative Hearing Process:

If the IPV overpayment is adjudicated through the Administrative process, a customer may request an administrative hearing in writing or orally within 90 days of the date of the notice of agency action with which the customer disagrees. The Administrative Law Judge (ALJ) must issue a written decision within 60 days of the date the Department receives the hearing request. However, if the customer or provider received a postponement, the 60-day time limit may be extended for as many days as the hearing was postponed.

The local office or the customer can appeal the decision of the ALJ to either the Director of the Division of Adjudication or to the District Court. Either appeal must be filed, in writing, within 30 days of the issuance of the decision by the ALJ. Child care providers who are disqualified are listed on an internal disqualification database. This database interfaces with our eligibility system.

Prosecute criminally

Other.

Describe.

NA

**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

Effective Date: 01-OCT-13

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

<p>1. The Program Review Team (PRT) conduct real time reviews and identify issues before benefits are authorized. The Child Care Program Team will be working with the PRT Team to align the case review process with the elements found in the CCDF Improper Payments Error-Rate review.</p> <p>2. Child Care Program Specialists will review policy and procedures, and work with training team for target team and individual training on error prone areas.</p>	<p>Miscalculating the parents countable income and hours of need based on employment hours.</p>	<p>Initial planning meeting held on September 4, 2012. Follow-up meetings held in April and May 2013. The plan is to analyze the errors found in the prior CCDF improper payment review an internal audit findings. From this analysis, our plan is to re-structure the PRT real time case reviews to address our error prone areas. This analysis will also be used to update policy and procedures, and develop additional training resources</p>	

**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)).**

<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
----------------------	---

**Representatives of general purpose local government (required)**

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.

The child care subsidy system in Utah is state administered. The Lead Agency has established local councils to discuss economic issues relevant to individual counties. The Lead Agency also contracts with local school districts to operate after-school programs and provide technical assistance to improve the quality of afterschool programs. The Utah Department of Health, Bureau of Child Development, Office of Child Care Licensing works with local health departments to coordinate health inspections for child care providers. Representatives from local government and local state agencies participate on one of three early childhood committees in Utah. The Office of Child Care Advisory Committee, the Child Care Licensing Committee, the Utah Early Childhood Systems Grant Committee. These committees provide the framework for the consultation listed below.

**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.**

State/Territory agency responsible for public education

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.

1. Utah State Office of Education  
-Early Childhood Education Specialist is a member of the Office of Child Care Advisory Committee.  
-21st Century Community Learning Center Specialist
2. University of Utah. Utah State University, Weber State University, Utah Valley University



State/Territory agency responsible for programs for children with special needs

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

1. Utah Department of Health, Baby Watch/Early Intervention
2. Utah State Office of Education, Part C Specialist



State/Territory agency responsible for licensing (if separate from the Lead Agency)

The Utah Department of Health, Bureau of Child Development, Child Care Licensing Program.



State/Territory agency with the Head Start Collaboration grant

The Head Start Collaboration Office of located within the lead agency.

<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	Three representatives from the Lead Agency participate on the SAC (Early Childhood Utah). The Utah TANF Administrator, The CCDF Administrator and the newly appointment Director of Intergenerational Poverty Initiatives.		
<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	The lead agency has a goal to involve the tribal members on the Office of Child Care Advisory Committee.		
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	Utah State Office of Education, CACFP Program Specialist		
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	Utah Department of Health, Bureau of Child Development, Home Visiting Program.		
<input checked="" 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)	Utah Department of Health and the Utah Department of Human Services, Children's Mental Health		
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	Utah Department of Human Services		
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives	NA		
<input checked="" type="checkbox"/> State/Territory agency responsible for employment services/workforce development	The lead agency is the agency responsible for employment services.		
<input checked="" type="checkbox"/> State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)	The lead agency is the agency responsible for TANF.		
<table border="1" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> </td> <td style="width: 50%; vertical-align: top;">           Indian Tribes/Tribal Organizations   <input type="checkbox"/>            N/A: No such entities exist within the boundaries of the State         </td> </tr> </table>	<input type="checkbox"/>	Indian Tribes/Tribal Organizations  <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	NA
<input type="checkbox"/>	Indian Tribes/Tribal Organizations  <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State		

<input checked="" 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	The lead agency has participated in two grant/coaching opportunities with BUILD this year. One to study QRIS systems and the second for professional development. The lead agency has participated in a Strengthening Families train the trainer. Strengthening Families is a community-based class offered on the Career Ladder. The lead agency provides funding to Afterschool Utah (MOTT afterschool network).
<input checked="" type="checkbox"/> Provider groups, associations or labor organizations	Members from the provider groups and associations participate on the Utah Office of Child Care Advisory Committee.
<input checked="" type="checkbox"/> Parent groups or organizations	Members from parent groups participate on the Early Childhood Utah Committee.
<input checked="" type="checkbox"/> Local community organization, and institutions (child care resource and referral, Red Cross)	The lead agency contracts with community-based agencies to deliver child care resource and referral activities.
<input type="checkbox"/> Other	

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

Effective Date: 01-OCT-13

a) Date(s) of notice of public hearing: [05/02/13](#)

**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? [The public was notified by email, the Utah Public Notice Website, the Office of Child Care Advisory Committee, and Early Childhood Utah Committee.](#)  
c) Date(s) of public hearing(s): [06/19/13](#)

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

d) Hearing site(s) [The public hearings will be a Go To Meeting webinar. Two hearings will be held. One on June 19, 2013 and the second on June 20, 2013.](#)

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? [The draft of the CCDF State Plan was made available on the Go To Meeting site one week. The plan was posted on the Department of Workforce Services website.](#)

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? [Public comments will be reviewed by June 21, 2013 and the plan will be modified if appropriate.](#)

**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.

Effective Date: 01-OCT-13

The CCDF State Plan hearings were held via telephone conference. The conference is available throughout the state. Individuals were able to listen in from the comfort of their own home. They could view the plan document, listen to questions being asked and post questions. The Lead Agency uses this process for grant/contractor orientation meetings. Utilization has been high and the evaluations have been very favorable.

### **1.5. Coordination Activities to Support the Implementation of CCDF Services**

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

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

Note: Descriptions of how governments are organized for each State are provided at: [http://www2.census.gov/govs/cog/all\\_ind\\_st\\_descr.pdf](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)).**

Effective Date: 01-OCT-13

<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe the goals or results you are expecting from the coordination</b>
		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>Representatives of general purpose local government</p> <p>This may include, but is not limited to:</p> <p><input checked="" type="checkbox"/> representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>Utah Office of Child Care staff have met with representatives from counties, municipalities, local education representatives and local public health agencies as joint members of Early Childhood Utah, the Utah Afterschool Network, the Child Care Licensing Program Advisory Committee and the Office of Child Care Advisory Committee.</p>	<p>Increase communication and understanding of child care on local areas. Exploration of funding that may be used for CCDF match. Coordination regarding definition of quality and use of QRIS system.</p>
<p>State/Territory agency responsible for public education <b>(required)</b></p> <p>This may include, but is not limited to,</p> <p><input checked="" type="checkbox"/> State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>Utah State Office of Education. (USOE) Early Childhood Education Specialist. The Early Ed Specialist is a member of the Office of Child Care Advisory Committee and Committee and participates in multiple discussions about the state plan. The 21st Century Community Learning Center Specialist, the Lead Agency and the USOE coordinate afterschool program delivery efforts through the Utah Afterschool Network.</p>	<p>The Lead Agency and USOE hope to increase local support and public education regarding the importance of early education and school readiness. Educating the public on the newly approved Early Childhood Standards will be a key activity this year. The Early Childhood Specialist from USEO provides training and technical assistance at the annual early childhood conference in Utah each year. In partnership with the 21st Century Community Learning Center Specialist, the Lead Agency has a goal to simplify and coordinate required reporting and data collection for all afterschool programs in Utah.</p>

<input checked="" type="checkbox"/>	<p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services <b>(required)</b></p>	<p>The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.</p>	<p>The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health <b>(required)</b></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 lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Department of Health and the Department of Human Services as we discuss and strategize ways to support children and families.</p>	<p>The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.</p>
<input type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development <b>(required)</b></p>	<p>The lead agency is the agency responsible for employment services.</p>	<p>The Lead Agencies goals are to align eligibility policies/ procedures, to streamline and simplify the eligibility process and to blend funding.</p> <p>The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.</p>

<input checked="" type="checkbox"/> State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies (required)	The lead agency is the agency responsible for the TANF grant.	The Office of Child Care works in coordination with the TANF State Administrator to provide support for child care providers through subsidy dollars, funding for afterschool programs and quality environment grants for child care providers. The TANF grant will also support early education training for low-income FFN child care providers.
<input checked="" type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.	The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.

**For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery**

<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	The Head Start Collaboration office is located within the lead agency.	Coordination regarding Early Childhood Utah. Continued work on data collection for research purposes. Coordination regarding the definition of quality child care and the QRIS system. Seek opportunities to coordinate training and professional development activity.
<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	NA	NA

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>The CACFP program is administered in the Utah State Office of Education.</p>	<p>Coordination regarding Early Childhood Utah. Continued work on data collection for research purposes. Coordination regarding the definition of quality child care and the QRIS system. Seek opportunities to coordinate training and professional development activity.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to:</p> <p>State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>Utah Department of Health, Bureau of Child Development and the Utah State Office of Education.</p>	<p>Coordination regarding Early Childhood Utah. Continued work on data collection for research purposes. Coordination regarding the definition of quality child care and the QRIS system. Seek opportunities to coordinate training and professional development activity.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.</p>	<p>Coordination regarding Early Childhood Utah. Continued work on data collection for research purposes. Coordination regarding the definition of quality child care and the QRIS system. Seek opportunities to coordinate training and professional development activity.</p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for child welfare	The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.	The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	NA	NA
<input checked="" 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	The lead agency has participated in two grant/coaching opportunities with BUILD this year. One to study QRIS systems and the second for professional development. The lead agency has participated in a Strengthening Families train the trainer. Strengthening Families is a community-based class offered on the Career Ladder. The lead agency provides funding to Afterschool Utah (MOTT afterschool network).	Coordination regarding Early Childhood Utah. Continued work on data collection for research purposes. Coordination regarding the definition of quality child care and the QRIS system. Seek opportunities to coordinate training and professional development activity.
<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.	The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.	The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.
<input checked="" type="checkbox"/>	Parent groups or organizations	The lead agency will begin a new project to study intergenerational poverty in SFY2013. This project will include the Federal, State, local, Tribal and/or private agencies serving low-income children and families.	The goal will be to complete a comprehensive review of all state policy and begin work on a 5 to 10 year strategic plan to impact children and families impacted by intergenerational poverty.
<input type="checkbox"/>	Other	NA	NA

**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.

Yes. If yes,

a)

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

The Utah Department of Health is the lead agency for Early Childhood Utah.

b)

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

[Early Childhood Utah serves children birth - age 8.](#)

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:

<http://health.utah.gov/childdevelopment/>

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

NA

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

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

[The Utah Department of Health is the lead agency for Early Childhood Utah. Early Childhood Utah is comprised of individuals interested in early childhood health, mental health, education and family well-being. Early Childhood Utah focuses on children ages 0-8.](#)

[The mission of Early Childhood Utah is to protect early childhood, by promoting and encouraging:](#)

- Family engagement
- Collaboration
- Community commitment
- Aligned funding streams

Local Coordination/Council

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

NA

Other

Describe

NA

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))**

Effective Date: 01-OCT-13

Yes .

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

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.**

Effective Date: 01-OCT-13

**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]:** [06/30/13](#) and put into operation as of **[insert date]:** [07/01/13](#), if available. Provide a web address for this plan, if available: [www.bereadyutah.gov](http://www.bereadyutah.gov)

**Other.**  
**Describe:**

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

Effective Date: 01-OCT-13

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

## CCDF SUBSIDY PROGRAM ADMINISTRATION

**2.1 Administration of the Program**

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

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

Effective Date: 01-OCT-13

Eligibility rules and policies (e.g., income limits) are set by the:

State/Territory

Local entity.

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

Other.

Describe:

Sliding fee scale is set by the:

State/Territory

Local entity.

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

Other.

Describe:

Payment rates are set by the:

State/Territory

Local entity.

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

Other.

Describe:

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

Effective Date: 01-OCT-13

**Implementation of CCDF Services/Activities**

**Agency (Check all that apply)**

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

**Implementation of CCDF Services/Activities**

**Who determines eligibility?**

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

**The Utah Department of Workforce Services determines eligibility for TANF and CCDF families.**

**Agency (Check all that apply)**

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

Describe:

NA

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

Describe:

NA

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

**Agency (Check all that apply)**

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

Describe:

**The payment is made to the parent. Parents who choose a license exempt family, friend, or neighbor provider receive a two party check. Otherwise they are issued a payment electronically via an EBT system. The money is placed in a child care only account on their EBT Card. The parent transfers the funds to an authorized child care provider . When applying for child care assistance, the Department of Workforce Services refers parents to [CareAboutChildcare.utah.gov](http://CareAboutChildcare.utah.gov) and/or to their local child care resource and referral agency.**

- Local government agencies such as county welfare or social services departments

- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

The Department of Workforce Services will refer parents looking for child care to Utah's QRIS web based system: [careaboutchildcare.utah.gov](http://careaboutchildcare.utah.gov)

**Who issues payments?**

**Agency (Check all that apply)**

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

Describe:

**Payments are issued by the Department of Workforce Services.**

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

Describe:

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

The payment is made to the parent. Parents who choose a license exempt family, friend, or neighbor provider receive a two party check. Otherwise they are issued a payment electronically via an EBT system. The money is placed in a child care only account on their EBT Card. The parent transfers the funds to an authorized child care provider .

**Other. List and describe:**

**2.2. Family Outreach and Application Process**

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

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

Effective Date: 01-OCT-13

- CCDF Lead Agency
- TANF offices

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

(provide website): [jobs.utah.gov](http://jobs.utah.gov)

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

Describe:

Community based organization such as: Child care advocacy groups: Voices for Utah Children, State CAP agencies, Child Care Provider Associations, Head Start grantees provide information on child care subsidy.

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

Effective Date: 01-OCT-13

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

(provide website): <https://jobs.utah.gov/mycase>

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

Describe:

**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.**

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.

When a customer applies for child care assistance, parents are informed of the different types of providers they may choose from including center based, licensed home and group, residential certified, relative, and in-home care. Parents are also referred to [CareAboutChildcare.utah.gov](http://CareAboutChildcare.utah.gov) and are given the statewide CCR&R phone number which connects them to their local CCR&R agency for assistance in selecting appropriate care in their community. The Child Care Resource & Referral programs employ phone counselors who offer consumer education to each parent who contacts CCR&R for a free child care referral. Follow-up consumer education materials are also mailed or emailed to parents that provide CCR&R with their contact information. Expected results are to provide valuable information to parents that are searching for child care, information such as: the child care program's achievement of quality criteria, caregiver professional development levels and child care licensing compliance information. CCR&R conducts a quarterly review of 100% of the feedback received from referral customers and address any quality improvement issues as appropriate. All parents who access CCR&R services via the website and create a log in with contact information receive an electronic customer satisfaction survey request. 93% percent of all CCR&R referrals occur via the Care About Childcare website. [CareAboutChildcare.utah.gov](http://CareAboutChildcare.utah.gov) is Utah's QRIS system. This system provides consumer education information to CCDF assisted families.

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

Effective Date: 01-OCT-13

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

The Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care through our QRIS system, Care About Childcare. The lead agency, in partnership with our 6 statewide contracted CCR&R agencies, will outreach to child care programs that serve a significant percentage of our CCDF subsidized children. This outreach will revolve around increasing the child care program's awareness of our QRIS and offering onsite and/or online assistance to support programs in demonstrating progress along the continuum of quality available throughout our QRIS. Tiered Incentives and/or Quality Improvement Grants will be offered to programs that serve

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

Effective Date: 01-OCT-13

Provide access to program office/workers such as by:

- Providing extended office hours
- Accepting applications at multiple office locations
- Providing a toll-free number for clients
- Email/online communication
- Other.

Describe:

[MyCase web based access to apply, report change, complete reviews, and view online case status information and notices 24/7.](#)

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: [TANF](#), [SNAP](#), and [Medicaid](#)

Streamlining verification procedures, such as linking to other program data systems

Providing information multi-lingually

Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).

Length of time:

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

Other.

Describe:

Other.

Describe:

None

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

Effective Date: 01-OCT-13

Provide CCDF assistance during periods of job search.

Length of time: [Families living in either Salt Lake County or Tooele County will be eligible for 150 hours of care for job search coordinated through CCR&R.](#)

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:

[TANF, SNAP, Medicaid](#)

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

Describe:

[Child care is approved for 6 month review periods.](#)

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

Describe:

[NA](#)

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

Describe:

[NA](#)

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:

NA

None

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

Effective Date: 01-OCT-13

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

Informational materials in non-English languages

Training and technical assistance in non-English languages

Website in non-English languages

Lead Agency accepts applications at local community-based locations

Bilingual caseworkers or translators available

Outreach Worker

Other.

Describe:

DWS contracts with a language line for interpretive services.

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 :**

Interpretive services for all languages may be obtained through the language line. DWS has a Spanish speaking team and a Refugee team to assist the majority of non-English speaking customers.

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

Effective Date: 01-OCT-13

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

Child Care Licensing works closely with CCR&R to assist providers with language barriers who are interested in becoming regulated child care providers. A licensing orientation in Spanish is offered monthly. Orientations in other languages are arranged with an interpreter as needed.

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:**

Services are offered in Spanish, other languages upon request.

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

Effective Date: 01-OCT-13

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

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	The lead agency documents and verified applicant information through a database interface with Driver's License Dept. or picture ID.
<input checked="" type="checkbox"/> Household composition	Identity of second parent required.

<input checked="" type="checkbox"/> Applicant's relationship to the child	The lead agency documents and verifies the applicant's relationship to the children through a Vital Statistics interface for child(ren); we don't require verification of relationship by itself.
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	The lead agency documents and verifies the age of the child through a Vital Statistics interface, birth certificate, Social Security interface or other valid documents.
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	The lead agency documents and verifies work, job training or education programs through employer statements, check stubs, electronic verification through work number, work schedules, school schedules, course of study and estimated date of graduation.
<input checked="" type="checkbox"/> Income	The lead agency documents and verifies income through employer statement, check stubs, self-employment ledgers.
<input checked="" type="checkbox"/> Other. Describe: The lead agency utilizes child care provider contact info and charges for each child in care to verify the child care subsidy application.	The lead agency also used the following forms to document and verify child care subsidy applications: Child Care Subsidy Worksheet (Form 980), License-Exempt Provider Registration (Form PRO1).

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

Effective Date: 01-OCT-13

Time limit for making eligibility determinations.

Describe length of time 30 days from date of application.

Track and monitor the eligibility determination process

Other.

Describe

None

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

Effective Date: 01-OCT-13

Yes.

If yes, describe:

If a parent is receiving TANF, they do not need to complete an application for child care services. The start date for child care is negotiated between the employment counselor and the parent based upon the

parent's participation in approved activities per Federal and State TANF regulations.

No.

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

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

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

Effective Date: 01-OCT-13

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

State/Territory TANF Agency [Utah Department of Workforce Services](#)

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

- "appropriate child care": [Appropriate child care is determined by the parent. The parent chooses the care setting that best meets the child's developmental needs. Finding appropriate child care will be counted as parent participation in the State's TANF program. To find appropriate child care, parents are referred to \[CareAboutChildcare.utah.gov\]\(#\) and their local child care resource and referral agency.](#)

- "reasonable distance": [Travel that requires less than one hour one way, unless the commute time for the community is generally longer.](#)

- "unsuitability of informal child care": [A child care setting that is chosen by a parent, which is operating illegally, as defined by Utah law or a setting where there is substantiated evidence of child abuse.](#)

- "affordable child care arrangements": [An approved provider in the community whose charge for services does not exceed the monthly local market rate established at the 75th percentile.](#)

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

In writing

Verbally

Other.

Describe:

## **2.3. Eligibility Criteria for Child Care**

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

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

Effective Date: 01-OCT-13

*residing with -*

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

*in loco parentis -*

Specified relatives may be eligible to receive child care payments when the child lives with the specified relative and the parent is not in the same home. Specified relatives are defined as:

- Grandparents, brother or sister (including step, half, and adopted), aunt or uncle, first cousin, nephew or
- niece, and people of prior generations as designated by the prefix grand, great or great-great, spouses
- any relatives mentioned above even if the marriage has been terminated, and ex-step parents.

An unrelated adult who has legal custody of the child is treated the same as a parent.

### **2.3.2. Eligibility Criteria Based Upon Age**

Effective Date: 01-OCT-13

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

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care?  
(658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

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

Provide the Lead Agency definition of *physical or mental incapacity* -

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

No.

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

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

No.

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

Effective Date: 01-OCT-13

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

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

Working is defined as a job or providing a service that pays wages, a salary, or in-kind benefits. Employed in the labor market, on-the-job training, or being self-employed are considered work activities for purposes of eligibility determination. Single parents must be working an average of 15 hours per week; in a two-parent household, one parent must be working an average 15 hours per week while the other parent must work an average of 30 hours per week.

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 -*

Training and/or educational programs are defined as participating in a program or course whose intent is to improve the skills, knowledge, or employability of the individual. Specific activities include college courses, technical/trade programs, high school/GED classes, or workshops. The individual must also meet the minimum work requirement as outlined in 2.3.3 (a), or be participating in a TANF employment plan.

No.

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

Effective Date: 01-OCT-13

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

Yes.

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

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

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

*protective services*

No.

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

Yes.

No.

#### 2.3.5. Income Eligibility Criteria

Effective Date: 01-OCT-13

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 -*

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

b) 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:

Per capita payments made to tribal members by either the Secretary of the Interior or the tribe. A \$100.00 medical expense disregard per household, A \$100.00 earned income disregard per each employed parent. Legally obligated court ordered and verified child support paid out by the parent to someone outside the child care household. Only the first \$50 of child support received is excluded income.

None

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

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

Describe:

Income from ineligible children is excluded.

None

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

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

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	NA	NA	NA	NA
2	3854	3276	2158/2698	56/70
3	4761	4047	2666/3333	56/70
4	5668	4818	3174/3968	56/70
5	6575	5589	3682/4602	56/70

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

Yes.

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

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

Parents who are applying for child care will be approved if their monthly income is equal to or less than 56% of SMI. Once approved for child care, the ongoing income limit will increase to 70% of SMI.

No.

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

f) SMI Year 2014 and SMI Source Utah uses SMI as reported by the U.S. Census Bureau.

g) These eligibility limits in column (c) became or will become effective on:  
October 1, 2013

### 2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

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

Yes

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

6 months

24 months

Other.

Describe:

Length of eligibility varies by county or other jurisdiction.

Describe:

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

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

Head Start and/or Early Head Start Programs.

Re-determination period:

Pre-kindergarten programs.

Re-determination period:

TANF.

Re-determination period: 6 months

SNAP.

Re-determination period: 6 months

Medicaid.

Re-determination period: 12 months

SCHIP.

SCHIP.

Re-determination period:

Other.

Describe:

No.

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

A family's eligibility will be redetermined when a new program application is received, when synchronizing program reviews, or when a parent reports a change that affects their eligibility. Parent's are required to report when child care is no longer needed due to participation changes in their employment and/or training (employment terminated, schedule changes, employment changes (no longer working, change of employment), when a household member moves in or out of the home (spouse, absent parent, or child, or when there is a change in providers.

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

The eligibility specialist reviews the change report to determine continued eligibility for Child Care assistance. The child care case may close, the parent's need may be adjusted, and subsidy payment may be reduced or increased. The family will receive notification of any action taken on the case.

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> ).

The family receives proper notification with a due date for required verifications, and the date of closure if the verifications are not received timely. If the child care case closes, the parent does not have to reapply for assistance. They can complete the verification process within 30 days of the closure and resume assistance. If a subsidy has been issued for a family in a month where the family becomes ineligible, they may continue to use the provider for the remainder of the month.

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

Yes.

If yes, describe:

No.

### 2.3.7. Waiting Lists

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

Effective Date: 01-OCT-13

Lead Agency currently does not have a waiting list and:

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

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

Lead Agency has an active waiting list for:

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

Only certain eligible families.

Describe those families:

Waiting lists are a county/local decision.

Describe:

Other.

Describe:

### **2.3.8. Appeal Process for Eligibility Determinations**

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

A customer must request a fair hearing in writing or orally within 90 days of the date of the notice of agency action with which the customer disagrees. The Administrative Law Judge (ALJ) must issue a written decision within 60 days of the date the Department receives the hearing request. However, if the customer or provider received a postponement, the 60-day time limit may be extended for as many days as the hearing was postponed. The local office or the customer can appeal the decision of the ALJ to either the Director of the Division of Adjudication or to the District Court. Either appeal must be filed, in writing, within 30 days of the issuance of the decision by the ALJ.

### **2.4. Sliding Fee Scale and Family Contribution**

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

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

Effective Date: 01-OCT-13

Yes.

Effective Date: [October 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..

Effective Date: 01-OCT-13

State Median Income,

Year: [2014](#)

Federal Poverty Level,

Year: [2013](#)

Income source and year varies by geographic region.

Describe income source and year:

Other.

Describe income source and year:

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

Effective Date: 01-OCT-13

Fee as dollar amount and

Fee is per child with the same fee for each child

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

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee as percent of income and

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

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

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

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

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

Effective Date: 01-OCT-13

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).

Effective Date: 01-OCT-13

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:

Some families who are at or below 100% of poverty are not subject to the income adjustment scale. These families participate in the Family Employment Program (FEP/TANF). Families who transition off FEP may receive up to six consecutive months of child care without being required to pay a fee. They must meet all other employment support eligibility factors.

## 2.5. Prioritizing Services for Eligible Children and Families

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

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

Effective Date: 01-OCT-13

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

<p>Children with special needs</p> <p><b>Provide the Lead Agency definition of <i>Children with Special Needs</i>:</b></p> <p>Special needs children have a physical, social, mental condition, or special health care need that requires an increase in the amount of care or supervision.</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.</p> <p>Describe:</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is:  <input type="text"/></p> <p><input checked="" type="checkbox"/> No</p>	<p><input checked="" type="checkbox"/> Different eligibility thresholds.</p> <p>Describe:  <input type="text"/></p> <p>Families with children who have disabilities and/or special needs have higher income eligibility limits.</p> <p><input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input type="checkbox"/> Other.</p> <p>Describe:  <input type="text"/></p>
<p>Children in families with very low incomes</p> <p><b>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i>:</b></p> <p>Families that are TANF eligible and/or homeless children who are income eligible.</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is:  <input type="text"/></p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe:  <input type="text"/></p> <p><input checked="" type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input type="checkbox"/> Other.</p> <p>Describe:  <input type="text"/></p>

**2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF?** (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4)) **Reminder** - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

Effective Date: 01-OCT-13

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

contractors)

Other.

Describe:

NA

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

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

Effective Date: 01-OCT-13

**Term(s) - Definition(s)**

Describe:

NA

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

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

**2.6.1. Child Care Certificates**

Effective Date: 01-OCT-13

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

Before parent has selected a provider

After parent has selected a provider

Other.

Describe:

NA

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

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

Website: <http://jobs.utah.gov>

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

Describe:

NA

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:

The child care payment is made either electronically through the Utah Electronic Benefit Transfer system or by two-party check. The parent receives an approval notice explaining the amount of the payment co-payment (income adjustment), approved hours, initial month, subsequent months if there are changes in benefits, and the next recertification date.

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

No services are available through certificates.

## 2.6.2. Child Care Services Available through Grants or Contracts

Effective Date: 01-OCT-13

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

Yes.

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

No. If no, skip to 2.6.3

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

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

Describe:

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

Specify:

Other.

Describe:

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

Yes.

No,

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

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

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

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

Effective Date: 01-OCT-13

Signed declaration

Parent Application

Parent Orientation

Provider Agreement

Provider Orientation

Other.

Describe:

**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:

Settings where the parent and provider live in the same home, or non-related license exempt provider are not approved unless an exception is met. The exceptions are: when no other child care setting is available during the parent's hours in approved activities, to accommodate a disabled or special needs child, in unusual or extraordinary situations, or with approval of the supervisor or program specialist.

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

Effective Date: 01-OCT-13

Customers are advised to immediately report complaints to the Bureau of Child Development, and/or file a police report. Child Care Licensing tracks complaints through the provider database. Child Care Licensing maintains a list of substantiated complaints, which are made available to the public upon request. Parents can view public information online through [CareAboutChildcare.utah.gov](http://CareAboutChildcare.utah.gov).

**2.7. Payment Rates for Child Care Services**

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

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

Effective Date: 01-OCT-13

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

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

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

Effective Date: 01-OCT-13

Policy on length of time for making payments.

Describe length of time: [30 days from date of application, or 10 days from date verification is received.](#)

Track and monitor the payment process

Other.

Describe:

None

### **2.7.3. Market Rate Survey**

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

Effective Date: 01-OCT-13

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

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

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

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

Effective Date: 01-OCT-13

<b>2.7.4a - Highest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	\$710	\$620	43rd percentile
Full-Time Licensed Center Preschool (59 months)	\$537	\$480	51st percentile
Full-Time Licensed Center School-Age (84 months)	\$452	\$396	46th percentile

<b>2.7.4b - Lowest Rate Area (Centers)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed Center Infants (11 months)	\$710	\$620	43rd percentile
Full-Time Licensed Center Preschool (59 months)	\$537	\$480	51st percentile
Full-Time Licensed Center School-Age (84 months)	\$452	\$396	46th percentile

<b>2.7.4c - Highest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed FCC Center Infants (11 months)	\$538	\$500	60th percentile
Full-Time Licensed FCC Center Preschool (59 months)	\$473	\$462	73rd percentile

Full-Time Licensed FCC Center School-Age (84 months)	\$430	\$389	54th percentile
--	-------	-------	-----------------

<b>2.7.4d - Lowest Rate Area (FCC)</b>	<b>(a) Monthly Payment Rate at the 75th percentile from the most recent MRS</b>	<b>(b) Monthly Maximum Payment Rate Ceiling</b>	<b>(c) Percentile if lower than 75th percentile of most recent survey</b>
Full-Time Licensed FCC Center Infants (11 months)	\$538	\$500	60th percentile
Full-Time Licensed FCC Center Preschool (59 months)	\$473	\$462	73rd percentile
Full-Time Licensed FCC Center School-Age (84 months)	\$430	\$389	54th percentile

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

Effective Date: 01-OCT-13

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

A Residential Certificate is a regulated category of care with fewer requirements than a family child care license. The rates are collected and set through the local Market Rate Study. License exempt Centers are paid at the Residential Certificate rate.

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

We take a percentage of the Residential Certificate rate.

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

NA

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

In-home care is paid at the license-exempt family child care home payment rates.

**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.

Effective Date: 01-OCT-13

Differential rate for nontraditional hours.

Describe:

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

Describe:

Children with special needs are subsidized at the infant rate in the provider category of care being used. Infants with special needs are subsidized at the next highest level of their current provider category.

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...**

Effective Date: 01-OCT-13

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

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

Describe:

Policies vary across region, counties and or geographic areas.

Describe:

Other.

Describe:

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

Effective Date: 01-OCT-13

a) Number of absent days allowed. Describe

We pay prospectively. We do not specify a number of absent days. If there is a reportable change, we consider whether the customer was eligible for child care for the benefit month and if services were provided at least one day.

b) Paying based on enrollment. Describe

If a new applicant is eligible, benefits are issued from the date of the child care application.

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

We pay prospectively on the first day of each month.

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

All regulated providers receive payments through an EBT process. The customer transfers the funds to their provider.

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

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

Effective Date: 01-OCT-13

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)):

CCDF served families may select any licensed provider with an available opening. Families are made aware of which providers have openings by contacting the local Child Care Resource and Referral agency and/or [CareAboutChildcare.utah.gov](http://CareAboutChildcare.utah.gov). During the eligibility process, families are also informed that they may choose a relative care provider who meets requirements in accordance with department rules.

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

The Department works closely with the resource and referral network to monitor the availability and accessibility of affordable child care throughout the state. Data reflecting the number of regulated child care spaces and vacancies are reported quarterly. Subsidy rates for regulated care increased in July 2012. The increased rates were set using the 65<sup>th</sup> percentile data collected from providers who accept CCDF payments. When comparing the difference between the current 75<sup>th</sup> LMR percentiles and the percentiles at which we pay, listed in 2.7.4, the range varies from \$11 to \$90.

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

Family co-payments are calculated from the most recent Federal poverty level and the most recent State median income levels. The lowest co-payment is calculated by multiplying the Federal poverty limit by 1%. The highest co-payment is calculated by multiplying 70% of the State median income by 15%. Copayments in between use both the Federal poverty level and the State median income.

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

NA

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

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

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

Effective Date: 01-OCT-13

**Goal #1:**

We are working on a Family, Friend, and Neighbor (FFN) Project which will accomplish multiple goals:

1. Strengthen health and safety criteria required for license-exempt FFN caregivers who care for children receiving CCDF subsidies.
2. Align eligibility processes to mirror the steps followed for issuing benefits to regulated providers.
3. Implement an EBT payment process for FFN.

**PART 3**

**Health and Safety and Quality Improvement Activities**

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

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

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

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

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

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

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing as defined by the State/Territory. The

State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) (658E(c)(2)(F), §98.41).

Effective Date: 01-OCT-13

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

Yes.

No.

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

Utah Department of Health, Bureau of Child Development, Child Care Licensing Program

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

The lead agency contracts with the Utah Department of Health, Bureau of Child Development, Child Care Licensing Program for the development of child care licensing rules and enforcement in Utah. The CCDF child care subsidy program requires parents to select care from licensed or legally licensed exempt child care providers.

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

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input 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 NA	Describe NA	Describe NA	Describe NA
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe NA	Describe NA	Describe NA	Describe NA

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

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
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.	Describe which types of center-based settings are subject to licensing in your State/Territory A person or persons must be licensed as a child care center if they provide care in the absence of the child's parent; they provide care in a place other than the provider's home or the child's home; they provide care for five or more children, for four or more hours per day; they provide care for each individual child for less than 24 hour per day; the program is open to children on an ongoing basis for four or more weeks in a year; and they provide care for direct or indirect compensation.	Describe which types of center-based settings are exempt from licensing in your State/Territory.  Care for less than 4 hours a day, care considered to be not in lieu of parental care, care under other government oversight, care provided by public, private, or parochial schools, and uncompensated care.

<p>Group Home Child Care</p> <p>N/A. Check if your State/Territory does not have group home child care.</p> 	<p>Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of group homes settings are subject to licensing</p>	<p>Describe which types of group homes are exempt from licensing:</p>
<p>Family Child Care</p>	<p>Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.  <b>Reminder</b> - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are subject to licensing  A person must either be licensed or certified if he or she provides care in lieu of care ordinarily provided by a parent; provides care for five or more unrelated children; provides care for four or more hours per day; has a regularly schedule, ongoing enrollment; and provides care for direct or indirect compensation.</p>	<p>Describe which types of family child care home providers are exempt from licensing:  Care for less than 4 hours a day, care for less than 5 children, care provided to related children only, and care provided on a sporadic basis only.</p>

In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. <b>Reminder</b> - 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.	<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.  Describe which in-home providers are subject to licensing	Describe which types of in-home child care providers are exempt from licensing
--------------	--	--	--

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



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

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

For each indicator, check all requirements for licensing that apply, if any.

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

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

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.	<input type="checkbox"/> Yes, Child: staff ratio requirement.
Infant ratio (11 months): 4:1	Infant ratio (11 months): 4:2	List ratio requirement by age group:	List ratio requirement by age group:
Toddler ratio (35 months): 7:1	Toddler ratio (35 months): 16:2	Children under age two 2:1 or 3:1 if only 6 total children in care; birth - 12 years 8:1.	<input type="checkbox"/> No ratio requirements.
Preschool ratio (59 months): 15:1	Preschool ratio (59 months): 16:2	<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> Yes, Group size requirement.
<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> No ratio requirements.	<input checked="" type="checkbox"/> Yes, Group size requirement.	List ratio requirement by age group:
<input checked="" type="checkbox"/> Yes,	<input checked="" type="checkbox"/> Yes,	List ratio requirement by age group: Maximum total # of children through age 12 present in the home during child care hours with 1 caregiver is 12.	<input type="checkbox"/> No group size requirements.
Group size requirement Infant group size (11 months): 8	Group size requirement Infant group size (11 months): Maximum total # of children through age 12 present in the home during child care hours with 2 caregivers is 24.	<input type="checkbox"/> No group size requirements.	
Toddler group size (35 months): 14	Toddler group size (35 months): Maximum total # of children through age 12 present in the home during child care hours with 2 caregivers is 24.		
Preschool group size (59 months): 30			
<input type="checkbox"/> No group size requirements.			

		Preschool group size (59 months): Maximum total # of children through age 12 present in the home during child care hours with 2 caregivers is 24. <input type="checkbox"/> No group size requirements.		
Do the licensing requirements identify specific experience and educational <b>credentials for child care directors?</b>	<input checked="" type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED
	<input checked="" type="checkbox"/> Child Development Associate (CDA)	<input type="checkbox"/> Child Development Associate (CDA)	<input type="checkbox"/> Child Development Associate (CDA)	<input type="checkbox"/> Child Development Associate (CDA)
	<input checked="" type="checkbox"/> State/ Territory Credential	<input type="checkbox"/> State/ Territory Credential	<input type="checkbox"/> State/ Territory Credential	<input type="checkbox"/> State/ Territory Credential
	<input checked="" type="checkbox"/> Associate's degree	<input type="checkbox"/> Associate's degree	<input type="checkbox"/> Associate's degree	<input type="checkbox"/> Associate's degree
	<input checked="" type="checkbox"/> Bachelor's degree	<input type="checkbox"/> Bachelor's degree	<input type="checkbox"/> Bachelor's degree	<input type="checkbox"/> Bachelor's degree
	<input type="checkbox"/> No credential required for licensing	<input checked="" type="checkbox"/> No credential required for licensing	<input checked="" type="checkbox"/> No credential required for licensing	<input type="checkbox"/> No credential required for licensing
	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:
		No credentials are required for home providers.	No credentials are required for home providers.	



Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year</b> ?	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year
	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year
	<input type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement
	<input checked="" type="checkbox"/> Other: At least 20 training hours per year.	<input checked="" type="checkbox"/> Other: At least 20 training hours per year.	<input checked="" type="checkbox"/> Other: At least 20 training hours per year. At least 10 training hours per year if Residential Certificate.	<input type="checkbox"/> Other:

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

Yes.

Describe:

No.

### 3.1.2 Enforcement of Licensing Requirements

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

services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

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

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

Effective Date: 01-OCT-13

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe: NA	<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: NA
<input checked="" type="checkbox"/> Group Home Child Care  <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe: NA	<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: NA

<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: NA	<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: NA
<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: NA	<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: NA

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.

<b>Licensing Procedures</b>	<b>Describe</b> 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.



Yes.

Describe:

Orientation training is provided before opening a facility and certificate of attendance to that training is required during the application process.



No.



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.



An on-site inspection is conducted.



Programs self-certify.

Describe:



No procedures in place.



Other.

Describe:

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



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



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



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



No procedures in place.



Other.

Describe:

[On site follow-up inspections for verification of correction depending on the non-compliance issue.](#)

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



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

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

<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:	

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

<input checked="" type="checkbox"/>	Yes.
Describe: <a href="#">Providers have the right to appeal any licensing action within 30 days of the action.</a>	
<input type="checkbox"/>	No.
<input type="checkbox"/>	Other.
Describe:	

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

- Yes.If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency
- No.

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

<input checked="" type="checkbox"/> <b>Center-Based Child Care</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Teaching staff
	<input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Non-teaching staff
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	Describe: At any time the individual is arrested or has a criminal finding. In addition, a background check must be done again after a dismissal or expungement.	<input checked="" type="checkbox"/> Volunteers
	<input checked="" type="checkbox"/> Sex Offender Registry		<input checked="" type="checkbox"/> Other.
		<input checked="" type="checkbox"/> Initial Entrance into the System	Any owners, members of the governing body, employees, caregivers, and any one who has unsupervised contact with a child in care.
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Director
		<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Teaching staff
		Describe: At any time the individual is arrested or has a criminal finding. In addition, a background check must be done again after a dismissal or expungement. Also for multi-state offenders.	<input checked="" type="checkbox"/> Non-teaching staff
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Volunteers
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Other.
			Any owners, members of the governing body, employees, caregivers, and any one who has unsupervised contact with a child in care.
		<input checked="" type="checkbox"/> Director	
		<input checked="" type="checkbox"/> Teaching staff	
		<input checked="" type="checkbox"/> Non-teaching staff	
		<input checked="" type="checkbox"/> Volunteers	

		<input checked="" type="checkbox"/> Other. Describe: If licensed before July 1, 2013: Fingerprints required for any individual 18 or older who has not resided in Utah continuously for the past five years. If licensed after June 30, 2013: Fingerprints are required for all individuals 18 and older.  <input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: In Utah, the Sex Offender Registry is a secondary source of information. It is based on criminal and court records. Utah checks criminal and court records for sex offenses. This is why Utah does not check the Sex Offender Registry.	<input checked="" type="checkbox"/> Other. Any owners, members of the governing body, employees, caregivers, and any one who has unsupervised contact with a child in care. <input type="checkbox"/> Director <input type="checkbox"/> Teaching staff <input type="checkbox"/> Non-teaching staff <input type="checkbox"/> Volunteers <input type="checkbox"/> Other. NA
--	--	--	---

<input checked="" type="checkbox"/> <b>Group Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Other.	Caregivers, volunteers, substitutes, and residents of the home who are 12 years old and older.
<input type="checkbox"/> Check if the State/Territory background check includes fingerprints		Describe: At any time the individual is arrested or has a criminal finding. In addition, a background check must be done again after a dismissal or expungement.	
<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
<input checked="" type="checkbox"/> Sex Offender Registry		<input checked="" type="checkbox"/> Other.	Caregivers, volunteers, substitutes, and residents of the home who are 12 years old and older.
		Describe: At any time the individual is arrested or has a criminal finding. In addition, a background check must be done again after a dismissal or expungement.	
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	Caregivers, volunteers, substitutes, and non-providers residents of the home who are 18 years old and older.

		<p><b>Describe:</b>  If licensed before July 1, 2013: Fingerprints required for any individual 18 or older who has not resided in Utah continuously for the past five years. If licensed after June 30, 2013: Fingerprints are required for all individuals 18 and older.</p> <p><input type="checkbox"/></p> <p>Initial Entrance into the System</p> <p><input type="checkbox"/></p> <p>Checks Conducted Annually</p> <p><input checked="" type="checkbox"/></p> <p>Other.</p> <p><b>Describe:</b>  In Utah, the Sex Offender Registry is a secondary source of information. It is based on criminal and court records. Utah checks criminal and court records for sex offenses. This is why Utah does not check the Sex Offender Registry.</p>	<p><input type="checkbox"/></p> <p>Provider</p> <p><input type="checkbox"/></p> <p>Non-provider residents of the home.</p> <p>NA</p>
--	--	--	--

<input checked="" type="checkbox"/> <b>Family Child Care Homes</b>	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Other.	Caregivers, volunteers, substitutes, and residents of the home who are 12 years old and older.
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	Describe: At any time the individual is arrested or has a criminal finding. In addition, a background check must be done again after a dismissal or expungement.	
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	Caregivers, volunteers, substitutes, and residents of the home who are 12 years old and older.
		Describe: At any time the individual is arrested or has a criminal finding. In addition, a background check must be done again after a dismissal or expungement.	
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Other.	Caregivers, volunteers, substitutes, and non-providers residents of the home who are 18 years old and older.

		<p><b>Describe:</b>  If licensed before July 1, 2013: Fingerprints required for any individual 18 or older who has not resided in Utah continuously for the past five years. If licensed after June 30, 2013: Fingerprints are required for all individuals 18 and older.</p> <p><input type="checkbox"/></p> <p>Initial Entrance into the System</p> <p><input type="checkbox"/></p> <p>Checks Conducted Annually</p> <p><input checked="" type="checkbox"/></p> <p>Other.</p> <p><b>Describe:</b>  In Utah, the Sex Offender Registry is a secondary source of information. It is based on criminal and court records. Utah checks criminal and court records for sex offenses. This is why Utah does not check the Sex Offender Registry.</p>	<p><input type="checkbox"/></p> <p>Provider</p> <p><input type="checkbox"/></p> <p>Non-provider residents of the home.</p> <p>NA</p>
--	--	--	--

<input type="checkbox"/> <b>In-Home Child Care Providers</b>	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Provider
<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"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	NA
	<input type="checkbox"/> State/Territory Criminal Background	Describe: NA	<input type="checkbox"/> Provider
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	NA
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Other.	
	<input type="checkbox"/> Sex Offender Registry	Describe: NA	<input type="checkbox"/> Provider
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	NA
		<input type="checkbox"/> Other.	
		Describe: NA	<input type="checkbox"/> Provider
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Checks Conducted Annually	NA
		<input type="checkbox"/> Other.	
		Describe: NA	

--	--	--	--

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

Effective Date: 01-OCT-13

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

Only FBI Criminal Background checks that require fingerprints have a cost. The FBI cost to run the fingerprint check is \$36.50

d-2) Who pays for background checks:

The owner/applicant is responsible for the costs associated with an FBI check when fingerprints are required.

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

The individual will be denied if any felony, class A misdemeanors, some class B misdemeanors, or any convictions related to child abuse are found.

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

Providers have the right to appeal any licensing action within 30 days of the action.

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

NA

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

Effective Date: 01-OCT-13

Yes.

Describe:

Parents and the public may call their local licensing office to check a provider's compliance history. They also have the ability to check providers' records of cited findings and substantiated complaints, and licensing status online. The child care program licensing compliance record is available for parents to view on [careaboutchildcare.utah.gov](http://careaboutchildcare.utah.gov).

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))

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

<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Describe:				

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

<b>For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.</b>				
<b>The Lead Agency requires:</b>	<b>Center-based child care providers</b>	<b>Family child care home providers</b>	<b>Group home child care providers</b>	<b>In-home child care providers</b>
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Building inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inaccessibility of toxic substances policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe: All child care programs receive an annual playground inspection.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 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
<b>Child Care Centers</b>	First Aid	At least one first aid certified person at the facility at all times when children are in care, and at every offsite activity.	The requirement must keep it current and is checked during annual inspection.
	CPR	At least one CPR certified person must be on-site at the facility at all times when children are in care. In addition, a CPR certified person must be available during transport, if transportation services are offered, and at every offsite activity.	The requirement must keep it current and is checked during annual inspection.
	Medication Administration Policies and Practices	To be done at orientation training prior to assuming caregiving duties.	This is a topic covered at each annual licensing inspection.
	Poison Prevention and Safety	Not required.	Not required.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention		This is a topic covered at each annual licensing inspection.
	Shaken Baby Syndrome and abusive head trauma prevention	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Age appropriate nutrition, feeding, including support for breastfeeding	This is a required topic for annual training.	This is a required topic for annual training.
	Physical Activities	This is a required topic for annual training.	This is a required topic for annual training.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	To be done at orientation training prior to assuming caregiving duties.	Required topic for annual training.

	Recognition and mandatory reporting of suspected child abuse and neglect	To be done at orientation training prior to assuming caregiving duties.	This is required topic for annual training.
	Emergency preparedness and planning response procedures	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Management of common childhood illnesses, including food intolerances and allergies	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Transportation and child passenger safety (if applicable)	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	This is not required.	This is not required.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Supervision of children	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Behavior management	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Other Describe: Coping with crying babies, Licensing rules for Diapering, Injury prevention, and have animals in your child care facility.	NA	NA

<b>Group Home Child Care</b>	First Aid	Required for the licensee, substitutes who work 10 or more hours a week, and one person in each vehicle when children are being transported.	Must keep it current. It is checked during annual inspection.
	CPR	Required for the licensee, substitutes who work 10 or more hours a week, and one person in each vehicle when children are being transported.	Must keep it current. It is checked during annual inspection.
	Medication Administration Policies and Practices	To be done at orientation training prior to assuming caregiving duties.	Required topic for annual training.
	Poison Prevention and Safety	Not a required topic.	Not a required topic.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	To be done at orientation training prior to assuming caregiving duties.	This is a require topic for annual training.
	Shaken Baby Syndrome and abusive head trauma prevention	To be done at orientation training prior to assuming caregiving duties.	This is a topic for annual trianing.
	Age appropriate nutrition, feeding, including support for breastfeeding	This is not a required topic for training.	This is not required for training.
	Physical Activities	This is not required.	This is not required.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	To be done at orientation training prior to assuming caregiving duties.	This is a topic required for annual training.
	Recognition and mandatory reporting of suspected child abuse and neglect	To be done at orientation training prior to assuming caregiving duties.	This topic is required for annual training.
	Emergency preparedness and planning response procedures	To be done at orientation training prior to assuming caregiving duties.	This topic is required for annual training.

	Management of common childhood illnesses, including food intolerances and allergies	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.		
	Transportation and child passenger safety (if applicable)	To be done at orientation training prior to assuming caregiving duties.	This is a topic required for annual training.		
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	This is not required.	This is not required.		
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	To be done at orientation training prior to assuming caregiving duties.	This topic is required for annual training.		
	Supervision of children	To be done at orientation training prior to assuming caregiving duties.	This topic is required for annual training.		
	Behavior management	To be done at orientation training prior to assuming caregiving duties.	This is a topic required for annual training.		
	<table border="1"> <tr> <td>Other</td> </tr> <tr> <td>Describe: Coping with crying babies, Licensing rules for Diapering, Injury prevention, and having animals in your child care facility.</td> </tr> </table>	Other	Describe: Coping with crying babies, Licensing rules for Diapering, Injury prevention, and having animals in your child care facility.	NA	NA
Other					
Describe: Coping with crying babies, Licensing rules for Diapering, Injury prevention, and having animals in your child care facility.					
<b>Family Child Care Providers</b>	First Aid	Required for the licensee, substitutes who work 10 or more hours a week, and one person in each vehicle when children are being transported.	The certification must be current. It is checked during annual inspection.		

	CPR	Required for the licensee, substitutes who work 10 or more hours a week, and one person in each vehicle when children are being transported.	The certification must be current. It is checked during annual inspection.
	Medication Administration Policies and Practices	To be done at orientation training prior to assuming caregiving duties.	This topic is required for annual training.
	Poison Prevention and Safety	This topic is not required.	This topic is not required.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Shaken Baby Syndrome and abusive head trauma prevention	To be done at orientation training prior to assuming caregiving duties.	This is a required topic for annual training.
	Age appropriate nutrition, feeding, including support for breastfeeding	This is not required.	This is not required.
	Physical Activities	This is not required.	This is not required.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods		This is a required topic for annual training.
	Recognition and mandatory reporting of suspected child abuse and neglect		This is a required topic for annual training.
	Emergency preparedness and planning response procedures		This topic is required for annual training.
	Management of common childhood illnesses, including food intolerances and allergies		This topic is required for annual training.
	Transportation and child passenger safety (if applicable)		This topic is required for annual training.

	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	This topic is not required.	This is not required.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.		This topic is required at annual training.
	Supervision of children		This topic is required at annual training.
	Behavior management		This topic is required at annual training.
	Other: Describe: Coping with crying babies, Licensing rules for Diapering, Injury prevention, and having animals in your child care facility.	NA	NA
<b>In - Home Child Care</b>	First Aid	NA	NA
	CPR	NA	NA
	Medication Administration Policies and Practices	NA	NA
	Poison Prevention and Safety	NA	NA
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	NA	NA
	Shaken Baby Syndrome and abusive head trauma prevention	NA	NA
	Age appropriate nutrition, feeding, including support for breastfeeding	NA	NA

	Physical Activities	NA	NA
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	NA	NA
	Recognition and mandatory reporting of suspected child abuse and neglect	NA	NA
	Emergency preparedness and planning response procedures	NA	NA
	Management of common childhood illnesses, including food intolerances and allergies	NA	NA
	Transportation and child passenger safety (if applicable)	NA	NA
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	NA	NA
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	NA	NA
	Supervision of children	NA	NA
	Behavior management	NA	NA
	Other	NA	NA
	Describe: NA		

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

providers? (§98.41(A)(ii)(A))

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

Describe the different requirements:

Relative providers self certify that they meet minimum health and safety requirements. The provider and all household members age 12 and older must pass a criminal background check.

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

<http://health.utah.gov/licensing/rules.htm>

**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)

NA

b) Describe whether the Lead Agency uses background checks

Legally licensed exempt providers who care for children receiving CCDF must pass a criminal background check initially, annually, then biannually. Everyone living in the home age 12 and older must pass the background check. Checks are completed using the child abuse registry and state and court records. FBI checks are required on multi state offenders and individuals who have lived in UT for less than 5 years. The provider is ineligible if they or anyone in their home has a finding of child abuse or neglect, any felony or class A misdemeanor, and certain class B and C misdemeanors.

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:

The provider must complete and sign a registration form certifying that they ensure specific health and safety criteria are met.

No

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

No. The Lead Agency does not use any other enforcement policies.

Check if the Lead Agency certifies that procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and

Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

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

Effective Date: 01-OCT-13

Yes.

Describe

A well trained workforce will support Utah's objective to increase the number of children who receive appropriate developmental and behavioral services. Through collaboration and coordination, Utah Department of Health, local CCR&Rs, local health departments, local mental health agencies, and Help Me Grow host training opportunities to assist early childhood education and care providers with improving their skills in screening children for developmental and behavioral delays and disabilities.

The Statewide Developmental Screening Initiative uses the Ages and Stages 3 (ASQ-3) and Ages and Stages Social Emotional (ASQ:SE) materials. The statewide screening programs train early care and education providers to use evidence based screening tools, share screening results with parents, and referral to services. These 10 hour training programs aim to help early care and education providers connect children and families to community resources for child development.

Both training programs have been approved for credit on Utah's Early Childhood Career Ladder Program. The Career Ladder is part of the state's early childhood professional development system maintained by the state Child Care Development Fund (CCDF) agency. The Career Ladder provides a cash incentive and annual wage supplement to providers who complete Career Ladder training and remain in the field. Offering these courses for Career Ladder credit is one way of ensuring that providers will attend the training.

The Parent Support Program Manager provides technical assistance and support as early care and education programs implement developmental screening programs. This has included presentations to parents, staff, volunteers, and community members.

No

a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

Yes.

Describe

Ages and Stages Questionnaire (ASQ-3 and ASQ:SE) Although there are many screening options available, the Utah Department of Health, Bureau of Child Development, Parent Support Programs, Statewide Developmental Screening Initiative utilizes the ASQ. Each child care program that completes

the training is eligible to receive the ASQ materials. The ASQ tools have been chosen because of the extent to which they have been found to be scientifically valid in identifying children at risk for delay. These instruments are brief and simple to administer, allowing parents of limited educational background to read, understand and complete. Screenings will be used to identify children at risk for delay and to facilitate appropriate referrals throughout the local child-serving system. The program is also enrolled on the ASQ Enterprise On-line Database. This allows programs to collect data and manager its developmental screening program. To date, 2338 child profiles have been entered into the database resulting in 1504 ASQ screenings. This database will provide screening data that will be used to guide future training, education, and guidance for system change.

- No
- Other.

Describe

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

- Yes.

Describe

The developmental screening initiative and the mental health consultation program have resulted in collaboration, Interagency Agreement, and Memorandum of Understanding (MOU) with community partners including Help Me Grow, the State Mental Health Agency, local mental health care providers and centers, local Targeted Case Managers (TCM), local home visitors, local Child Care Resource and Referral (CCR&R), local early intervention programs, local special education preschools, early care and education providers throughout the state, and the state "Learn the Signs Act Early" team. To date 286 early care and education providers have been trained with 46 providers participating in the developmental screening program. The developmental screening training program establishes important local linkages between early childhood education providers such as childcare and Head Start providers. Both the Parent Support Program manager and local CCR&Rs teach the 10 hour class to providers throughout the state. Community partners such as "Learn the Signs, Act Early", Help Me Grow, and local early intervention providers are invited to attend the sessions of the class to provide information about the referral process and services for young children with special needs.

- No
- Other.

Describe

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

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

- 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)).

Effective Date: 01-OCT-13

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):

[Access to this information is facilitated by using our current database. This reports including this information is produced and available daily.](#)

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

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

Describe (optional):

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

Describe (optional):

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

Describe (optional):

Number of monitoring visits received by programs.

Describe (optional):

Caseload of licensing staff.

Describe (optional):

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

Describe (optional):

Other.

Describe:

None.

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

Utah does not have any performance measure for its licensing system.

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.

Utah does not have a licensing evaluation process.

### 3.1.7 Goals for the next Biennium -

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

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

**Note** -When identifying your goals below, Lead Agencies are encouraged to begin with an action verb

reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Effective Date: 01-OCT-13

**Goal #1:**

This goal is related to Goal number 2.8. The Lead Agency will work in partnership with the Department of Health, Child Care Licensing Program to strengthen the health and safety criteria required for family, friend and neighbor caregivers. A database will be created to support this new type of regulation.

**NEW!**

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



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

**3.2 Establishing Voluntary Early Learning Guidelines (Component #2)**

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

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



Effective Date: 01-OCT-13

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

If yes, insert web addresses, where possible:

<http://careaboutchildcare.utah.gov/resources>

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

The Lead Agency is the lead for the Birth-three guidelines and the Utah State Office of Education is the lead for the PreK Standards.

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

Effective Date: 01-OCT-13

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Approaches to learning	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mathematics knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Science knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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: The infant/toddler guidelines are used by the State Office of Education in the Adult Roles and Financial Literacy classes for high school age youth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Effective Date: 01-OCT-13

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

Effective Date: 01-OCT-13

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

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.

Effective Date: 01-OCT-13

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

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.

Effective Date: 01-OCT-13

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

Yes.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

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

All children.

Describe:

Samples of children.

Describe:

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

No

Not applicable. State does not have an SLDS.

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

Effective Date: 01-OCT-13

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 Utah Training Registry maintains a list of all child care providers that have taken this voluntary ELG's class.](#)

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

Describe (optional):

[The Utah Training Registry maintains a list of all child care providers that have taken this voluntary ELG's class.](#)

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

Describe (optional):

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

Describe (optional):

Other.

Describe:

None.

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

NA

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

NA

### 3.2.8 Goals for the next Biennium -

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

Effective Date: 01-OCT-13

#### Goal #1:

The Lead Agency will incorporate the newly approved PreK Standards document into its existing Career Ladder framework. A revised 40 hour class will be written. Trainers will be trained and the new standards booklet will be distributed to child care providers.

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

Effective Date: 01-OCT-13

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

The Lead Agency, the Utah Office of Child Care, the Department of Health, Bureau of Child Development, Child Care Licensing Program.

### 3.3.1 Element 1 - Program Standards

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

Effective Date: 01-OCT-13

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

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

Describe:

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

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

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

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

licensing requirements.

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

Describe:

Substantial compliance with licensing: in order to participate in our QRIS, programs must be licensed for full time care, licensed for six months or longer, have no Civil Money Penalties (issue by the Department of Health for repeat findings/violations) for the previous six months and the program cannot currently be issued a conditional license.

- Not linked.

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

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

Describe:

- None.

### 3.3.2 Element 2 - Supports to Programs to Improve Quality

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

Effective Date: 01-OCT-13

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

None. skip to 3.3.3.

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Attaining and maintaining accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Infant/toddler care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School-age care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business management practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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:

Technical assistance is offered online or onsite or at the local CCRR. General help is given regarding navigating the QRIS application documentation/verification process and specific/targeting assistance is also offered to help programs achieve specific quality indicator criteria.

No

Other.

Describe:

### 3.3.3 Element 3 - Financial Incentives and Supports

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.4.**

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

<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving / maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe: <a href="#">The Lead Agency offers incentives through professional development awards and CDA scholarships.</a>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### 3.3.4 - Element 4 - Quality Assurance and Monitoring

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

Effective Date: 01-OCT-13

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

None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> For programs participating in the Baby Steps Infant/Toddler Quality Improvement program, the ITERS-R is used once per year as part of a routine contract monitoring process. </div>	<input checked="" type="checkbox"/> Infant/Toddler <input 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. <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. <div style="border: 1px solid black; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> The Lead Agency has developed a customize instrument/pathway for programs to submit written documentation demonstrating whether or not they have met our QRIS quality improvement standards/criteria. Programs can self-submit documentation online and or request a site visit to have the documentation/materials observed and then uploaded to our QRIS database by CCRR staff. QRIS quality criteria and the associated required documentation/verification can be viewed at <a href="http://ccpdi.usu.edu">http://ccpdi.usu.edu</a> .   The documentation/verification is required initially to obtain one or more of our quality indicator criteria to display on our website (<a href="http://www.careaboutchildcare.utah.gov">www.careaboutchildcare.utah.gov</a>) for parents to view. Programs will be asked to renew their criteria on an annual basis; we are currently working on developing the instrument/pathway for programs to complete our renewal process. </div>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<input checked="" type="checkbox"/> Other. Describe: We also have additional quality improvement initiatives utilizing quality improvement measurement tools that fall outside of the scope of our QRIS.  Family Child Care Coaching Program. This program works closely with licensed family providers that choose to participate in the program. Providers develop a mutually established quality improvement plan based on the NAFCC accreditation standards with their coach (PC's). PC's then spend up to 40 hours onsite modeling developmentally appropriate practices, interactions, etc. Homework/training assignments are also given. At the conclusion of the intervention the selected NAFCC standards are reviewed to determine if progress has been made. This is a one time measurement/intervention. The reporting instrument/tool documents: quality improvement goals, pre/post scores, quarterly progress, onsite participation hours and additional homework/training.  The Lead Agency partners with the Utah Afterschool Network to conduct an annual onsite assessment using the Utah Afterschool Program Quality Assessment and Improvement Tool.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------	--------------------------

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

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

None.

### 3.3.5 - Element 5 - Outreach and Consumer Education

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

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

Yes. If yes, how is it used?

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

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

Searchable database on the web

Voluntarily, visibly posted in programs

Mandatory to post visibly in programs

Used in marketing and public awareness campaigns

Other.

Describe:

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

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

Print

Radio

Television

Web

Telephone

Social Marketing

Other.

Describe:

None.

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

NA

### 3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-13



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

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

Participation is voluntary for:

Licensed child care centers and family child care providers.

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,**

Effective Date: 01-OCT-13

**please describe:**

NA

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

Effective Date: 01-OCT-13

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

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

Describe(optional)

The Lead Agency is able to track the number of programs that meet our definition of substantial compliance with child care licensing for all full time licensed programs (center/family) whether or not they participate in our QRIS. The Lead Agency is able to track the number of quality criteria (QRIS) each program voluntarily achieves. The Lead Agency is able to track the QRIS level of each program participating in our system. Currently, we have a statewide participation rate of 30%.

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

Describe(optional)

The Lead Agency can track the number of programs that move up or down our QRIS levels annually.



Program scores on program assessment instruments.

List instruments:

The Lead Agency used the Utah Afterschool Program Quality Assessment and Improvement Tool for coaching and evaluating afterschool programs.

The Lead Agency uses the NAFCC inventory for coaching and evaluation of family child care homes that volunteer to participate in our coaching program.

Describe(optional)

Family Child Care Coaching Program. This program works closely with licensed family providers that choose to participate in the program. Providers develop a mutually established quality improvement plan based on the NAFCC accreditation standards with their coach (PC's). PC's then spend up to 40 hours onsite modeling developmentally appropriate practices, interactions, etc. Homework/training assignments are also given. At the conclusion of the intervention the selected NAFCC standards are reviewed to determine if progress has been made. This is a one time measurement/intervention. The reporting instrument/tool documents: quality improvement goals, pre/post scores, quarterly progress, onsite participation hours and additional homework/training.

The Lead Agency partners with the Utah Afterschool Network to conduct an annual onsite assessment using the Utah Afterschool Program Quality Assessment and Improvement Tool.



Classroom scores on program assessment instruments.

List instruments:

The Lead Agency uses the ITERS-R for coaching and evaluating child care centers that are participating in the Babys Steps program.

Describe(optional)



Qualifications for teachers or caregivers within each program.

Describe(optional)

The Lead Agency maintains a Child Care Registry that keeps information on individual caregiver qualifications and training.



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

Describe(optional)

The Lead Agency has data on the number of children receiving CCDF assistance in different types of licensed child care.



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)

In accordance with the Quality Performance Report and the ACF-801 Case-Level Reporting Form, the Lead Agency will have data on the number/percentage of children receiving CCDF assistance who attend care at each tier of quality.



Other.

Describe:



None.

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

The Lead Agency establishes performance measures for individual contractors. We are establishing one baseline data for the first year of our QRIS implementation. Once we have a full year of data, we will establish performance measurements.

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.

Assessment and evaluation will include monitoring the implementation of our newly developed QRIS such as, tracking data on the number of programs participating in our QRIS, QRIS levels and the number of programs earning grants/incentives. The lead agency will also be exploring ways to validate our QRIS standards which are the Care About Childcare Quality Indicators Criteria. As budgetary

constraints allow, the lead agency will contract with a university or professional research group to use evidence based research tools, such as the Environmental Rating Scales to access the level of quality that exists in program that are on various levels of our QRIS.

### **3.3.9 Goals for the next Biennium -**

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

Effective Date: 01-OCT-13

#### **Goal #1:**

1. Conduct a research project to evaluate the work of Care About Childcare (CAC). Does participation in the CAC quality indicators and criteria represent a quality child care program?
2. Develop a new grant and TA program to support quality improvement and QRIS incentive awards.

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

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

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

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

Effective Date: 01-OCT-13

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

The Lead Agency is the home of the Utah Office of Child Care. The Utah OCC operates the Office of Child Care Advisory Committee. The advisory committee supports a Professional Development sub-committee.

CCPDI  
Early Childhood Utah  
BUILD  
Head Start Collab.

### 3.4.1 Workforce Element 1 - Core Knowledge and Competencies

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

Effective Date: 01-OCT-13

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

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

Other.  
Describe:

If yes, insert web addresses, where possible: <http://www.jobs.utah.gov/occ/index.html>

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

- Child growth, development and learning
- Health, nutrition, and safety
- Learning environment and curriculum
- Interactions with children
- Family and community relationships

- Professionalism and leadership
- Observation and assessment
- Program planning and management
- Diversity
- Other.

Describe:

None.

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

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (as reported in section 3.3)
- To define the content of training required for the career lattice or credential
- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other.

Describe:

None.

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

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

Describe:

None.

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

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

Describe:

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

Describe:

Administrators in centers (including educational coordinators, directors).

Describe:

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

Describe:

[BUILD initiative](#)

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

Describe:

Other.

Describe:

None.

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

Birth-to-three

Three-to-five

Five and older

Other.

Describe:

None.

### 3.4.2 Workforce Element 2 - Career Pathways

**Definition** - For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work

with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

Effective Date: 01-OCT-13

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

Yes.

Describe:

Utah has a comprehensive professional development program that includes a Career Ladder (lattice) as well as an annual professional development recognition award. Utah's Career Ladder consists of ten levels that begin with basic training (high school diploma plus 40 hours of early childhood training) and progresses up to the highest levels which are college degrees in early childhood or a related field. Utah's Career Ladder also includes a track for school age providers. The annual professional development recognition award is a cash bonus that rewards providers for their education (level on the career ladder) and years in the child care field. Technical Assistance about Utah's Professional Development systems are available to all providers in the state through Utah's Office of Child Care, Child Care Professional Development Institute and the Child Care Resource & Referral Agencies. Types of technical assistance that are available to providers includes help with obtaining a CDA, individualized assistance in advancing on Utah's Career Ladder and help with improving quality, specifically in family child care homes, center infant & toddler programs and school age programs.

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

Insert web addresses, where possible: <http://ccpdi.usu.edu>

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

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

Describe:

Utah's professional development system offers seven specialized endorsements as well as eleven ten hour early childhood related classes throughout the state each fiscal year. Two of the endorsement courses are available for college credit. Classes are scheduled evenings and weekends to accommodate center teachers work schedules and are offered throughout the state. Onsite technical assistance is available for center teachers who would like to earn their CDA. Scholarships are also in place to assist with the costs associated with obtaining a CDA. Onsite technical assistance is also available to centers who have infant & toddler and school age programs who would like to improve their quality.

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

Describe:

Utah's professional development system offers eight specialized endorsements as well as eleven ten hour early childhood related classes throughout the state each fiscal year. Two of the endorsement courses are available for college credit. Classes are scheduled evenings and weekends to accommodate family child care providers work schedules and are offered throughout the state. Technical assistance is available for family child care providers who would like to earn their CDA. Scholarships are also in place to assist with the costs associated with obtaining a CDA. Onsite mentoring and coaching is also available to family child care programs who would like to improve their quality.

Administrators in centers (including educational coordinators, directors).

Describe:

Utah's professional development system offers seven specialized endorsements as well as eleven ten hour early childhood related classes throughout the state each fiscal year. Two of the endorsement courses are available for college credit. Classes are scheduled evenings and weekends to accommodate administrator's work schedules and are offered throughout the state. Utah also offers a scholarship to those center director's interested in attending the National Administrator's Credential(NAC) training.

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

Describe:

Training and technical assistance to mentors and specialists is offered through the Utah Office of Child Care, The Children's Center and the Child Care Resource Agencies. It includes regular meetings, onsite visiting and individualized training and improvement plans.

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

Describe:

Technical assistance for improvement and training for education and training staff is offered through the Utah Office of Child Care and Utah's Child Care Resource & Referral Agencies It includes regular meetings, onsite visiting and individualized training and improvement plans.

Other.

Describe:

None.

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

- Infants and toddlers
  - Preschoolers
  - School-age children
  - Dual language learners
  - Children with disabilities, children with developmental delays, and children with other special needs
  - Other.
- Describe:

The Lead Agency offers specialized training in the following areas: [Guidance and Emotional Wellness](#), [Theory and Best Practices](#), [Family Child Care Programing](#), [National Administrators Credential](#), [Relationships Touchpoints](#).

None.

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

- Voluntary guide and planning resource
  - Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
  - Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
  - Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
  - Required placement for participation in scholarship and/or other incentive and support programs
  - Required placement for participation in the QRIS or other quality improvement system
  - Other.
- Describe:

None.

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

- Yes.
- If yes, describe:

All college credit and degrees are verified by college transcripts and entered in to Utah's Training Registry. All training used on Utah's Career Ladder is entered in to Utah's Training Registry and is

verified by paper attendance rolls or certificates. Work experience is verified by the owner's and directors of programs as well as from Utah's Bureau of Child Care licensing. All work experience is entered in to Utah's Training Registry.

No.

### 3.4.3 Workforce Element 3 - Professional Development Capacity

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

Effective Date: 01-OCT-13

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

Yes.

If yes, describe:

The Office of Child Care, the Child Care Professional Development Institute as well as Utah's Child Care Resource & Referral Agencies are aware of and can help practitioners identify institutions of higher education that can best meet their needs should they desire to obtain a degree in early childhood or elementary education. This also includes programs available from higher education that are available to accommodate the non traditional student.

No.

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

Yes.

If yes, describe:

The Office of Child Care, the Child Care Professional Development Institute as well as Utah's Child Care Resource & Referral Agencies are aware of and can help practitioners identify programs that offer training and technical assistance for those who work with young children as well as school age children.

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:

Utah has an extensive training approval process through the Office of Child Care and Utah's Training Registry. It includes minimum qualifications for the curriculum writer, applicable subjects related to early childhood and school age and a committee of diversified members who review and approve the curriculum.

- Trainer approval process.

Describe:

Utah has an extensive trainer approval process through the Office of Child Care and Utah's Training Registry. All trainers must go through a rigorous and specified approval process that includes meeting minimum qualifications based on the classes they will be teaching. All qualifications are verified using college transcripts and completion certificates. Work experience is verified by employers.

- Training and/or technical assistance evaluations.

Describe:

Evaluation of these programs is done through the Utah Office of Child Care and the Child Care Resource & Referral Agencies. Evaluation includes onsite monitoring, ongoing paper reports and regular meetings and training....g.....jjhjhkhkjhkhkj

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:

The Office of Child Care has an agreement with Utah State University to give 3 hours of college credit for providers that complete the 40 hour Relationship Touchpoints Endorsement through the CCR&Rs. There is also an articulation agreement with Salt Lake Community College and all of the universities in the state to give 9 hours of credit to providers that complete a CDA.

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:

The Child Care Professional Development Institute located at Utah State University acts as a statewide clearing house for information about professional development opportunities for the early childhood and school-age workforce.

No.

Insert web addresses, where possible: [www.ccpdi.usu.edu](http://www.ccpdi.usu.edu)

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

Scholarships.

Describe:

Free training and education.

Describe:

Career Ladder classes range from free to a low cost of \$16 for 10 hours of training.

Reimbursement for training and education expenses.

Describe:

Grants.

Describe:

All quality improvement grants offered through the Utah Office of Child Care have a training component. Grant funds can be used to support training costs.

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.

Describe:

Other.

Describe:

None.

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

The Utah system is based on a coaching and mentoring philosophy. The professional development system supports coaches for child care providers seeking to obtain their CDA. Family child care providers are able to receive on-site support from a trained Family Child Care Professional Consultant/Coach. Local CCRR offices employ QRIS coaches to support child care providers in their application and attainment of QRIS quality indicators and criteria. Utah maintains a system of Infant/Toddler specialists that provide on-site coaching for child care centers that have a Baby Steps contract.

No.

### 3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce

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

Effective Date: 01-OCT-13



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

Yes.

If yes, describe:

No.



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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

Utah offers an Annual Professional Development Award based on a formula that includes years of service in licensed care and highest level on Career Ladder.

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 is collected on those that work in state licensed programs as well as those who participate in Utah's professional development system.

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

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

This data would be available for any of those who participate in Utah's professional development system.

Retention rates.  
Describe (optional):

This data would be available for any of those who participate in Utah's professional development system.

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

This data would be available for any of those who participate in Utah's professional development system.

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

This data would be available for any of those who participate in Utah's professional development system.

Number of scholarships awarded .  
Describe (optional):

This data would be available if those individuals received with bonus from Utah's Professional Development system.

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

NA

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

NA

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

This data would be available if the practitioner received T/TA from either the Utah Office of Child or a Child Care Resource & Referral Agency.

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

NA

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:

Utah has data pertaining to those child care providers that voluntarily participate on the Career Ladder. The data would not be representative of all child care providers.

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

Describe:

Utah has data pertaining to those child care providers that voluntarily participate on the Career Ladder. The data would not be representative of all child care providers.

Administrators in centers (including educational coordinators, directors).

Describe:

Utah has data pertaining to those child care providers that voluntarily participate on the Career Ladder. The data would not be representative of all child care providers.

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

Describe:

Utah has data pertaining to those child care providers that voluntarily participate on the Career Ladder. The data would not be representative of all child care providers.

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

Describe:

Training is mandatory for approved Career Ladder Trainers.

Other.

Describe:

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?

Ongoing annual training is required for a practitioner to receive their annual professional development award. Practitioners who receive an annual award agree to participate in observations, research studies and/or assessments to determine how effective the program is.

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.

Observations, research studies and assessments. The Baby Steps program which is a quality improvement initiative for center infant & toddler programs uses the Infant & Toddler Environmental Rating Scale (ITERS) to monitor program progress. The mentoring that takes place in family child care homes is assessed by the National Association for Family Child Care Accreditation standards and baseline and final outcome scores are recorded. Those practitioners working toward their CDA who utilize the CCR&R CDA specialist received a baseline observation using the CDA observation tool and then also receive a final observation using the same tool after technical assistance has taken place.

### 3.4.7 Goals for the next Biennium -

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

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

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

Effective Date: 01-OCT-13

#### Goal #1:

The Lead Agency is setting four goals related to the early childhood workforce.

1. Develop a workforce registry
2. Incorporate the new Pre-K standards into the QRIS quality criteria
3. Develop professional development opportunities for CCRR training staff including, development of competencies and web-based adult learning workshops.
4. Implementation of the BUILD instigative strategic planning.